

# University Autonomy : **Making It Work**

Proceedings

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13<sup>th</sup> Anniversary  
Suranaree University of Technology



*13<sup>th</sup> SUT Anniversary*

INTERNATIONAL CONFERENCE ON

***UNIVERSITY AUTONOMY: MAKING IT WORK  
PROCEEDINGS***

*29-31 July 2003*

Suranaree University of Technology  
Nakhon Ratchasima  
Thailand

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## Foreword



The international conference, University Autonomy: Making It Work, was held at Suranaree University of Technology on 29-31 July 2003. The opening address was made by the Minister of Education, H.E. Mr.Pongpol Adireksarn. There were 78 participants from 7 countries. I therefore, consider this conference as one of the most successful conference organized at SUT. As university autonomy is a hotly debated topic, both in Thailand and abroad, it was appropriate that Suranaree University of Technology, Thailand's first autonomous university, should be the venue for this conference, and on especially the occasion of its 13<sup>th</sup> Founding Anniversary. It was my pleasure to host the conference and learn through many conversations, our common experiences in autonomy, and what we could do to develop autonomy further.

These Proceedings are transcriptions of the conference. We believed that it was important to preserve the spontaneity and atmosphere of the conference, with minimal editing.

I would like to thank all the co-organizers of University Autonomy: Making It Work, and all the speakers and participants, without whom the conference would have been impossible. I would also like to thank the editors and transcribers for a daunting task well accomplished. All comments for improving conference organization are welcomed at my e-mail address [rector@ccs.sut.ac.th](mailto:rector@ccs.sut.ac.th)

Finally, I sincerely hope that these Proceedings may serve to convey the significance and urgency of this timely subject, Autonomy.

A handwritten signature in black ink, consisting of stylized initials and a surname, positioned above the printed name of the Rector.

(Assistant Professor Dr.Tavee Lertpanyavit)  
SUT Rector



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## PREFACE

University autonomy is now a magic phrase for all institutions of higher education in Thailand and around the world. It has been the focus of hot debates and lively discussions in the academic world where educational reforms and the pursuit of academic freedom and excellence occupy a top most position in all agenda of educational reforms. As a matter of fact, autonomy has been commonly classified into three categories: **Substantive Autonomy**, or the right of a university to determine its own study program and their goals; secondly, **Procedural Autonomy**, or the right of a university to determine the means it shall devote to fulfil priorities agreed upon and assigned to it, as part of national policy; and thirdly, **Organic Autonomy**, or the right of institutions to determine their own academic organizations. Suranaree University of Technology, established in 1990, is the first autonomous state university in Thailand that bravely ventured into a new system of management and administration. It has been the testing ground of autonomy for 13 years now. Therefore, the "**International Conference on University Autonomy: Making It Work**" was organized to commemorate its 13<sup>th</sup> Year Anniversary and re-affirm its commitments and missions as a pioneering university with autonomy as a guiding principle. This timely conference served as a forum for the discussion and exchanges of expert ideas and experiences on these principal themes:

- 1) **Autonomy : Experiences and Case Studies**
- 2) **Autonomy : Good Governance Issues**
- 3) **Autonomy : Quality of Higher Education Issues**
- 4) **University Autonomy : Strategic Issues**
- 5) **Autonomy : Human Resources Issues**
- 6) **Autonomy : Budgeting and Finances Issues**
- 7) **Autonomy : Leadership and Followship Issues**

However, as Minister of Education, Mr. Pongpol Adireksarn puts it, "**Autonomy in higher education is not an end in itself. I see autonomy as a keystone in the arc of critical issues of higher education, especially in Thailand. First, higher education must involve a series of paradigm shifts. Not only must we stress the supply side of education, which is to provide knowledge in what we know in our fields of expertise, but we must stress the demand side as well. This means that universities must be responsive to the needs of society and the labor market. Also management within the universities must be flexible and efficient. It should be a common sense of ownership with a willingness to share resources. We must also stress human development, rather than buildings and other hardware. Not only this, but universities should be transforming Thai society into a knowledge based society. This**



**means ideas, rather than just physical products, will be at the forefront of development. Then universities will be a resource for national development through its research and a repository of knowledge".**

In his keynote address, **Professor Dr. Wichit Srisa-an**, one of the most prominent educators in Thailand and Asia Pacific, mentioned that there are three universal principles of university management expounded in the 1950 UNESCO International Conference of the Universities of the World, held in Nice, France. They are **academic freedom**, the right to pursue knowledge for its own sake, and to follow whatever the search for truth may lead; **autonomy**, the tolerance of divergent opinions and freedom from political interference; and last, **social responsibility**, the obligation of universities as social institutions to promote, through teaching and research, the principles of freedom and justice of human dignity and solidarity; protection of the environment, alleviation of poverty, and property in equities; and to develop mutually material and moral aid on an international level. He also stated that all universities in the world share three common missions: **excellence in teaching, research and provision of community service** as part of a university's social responsibility. In the case of Suranaree University of Technology, as university of technology we have added two more tasks as part of our mission, that is, the adaptation, transfer and development of appropriate technology, and the preservation and promotion of culture. The attainment of the mission must be characterized by excellence: excellence in the staff, students, and facilities, as well as excellence in the accomplishment of the task and the product, such as the graduates, the teaching, learning materials and research output.

Finally, Professor Dr. Wichit Srisa-an reminds us that **the autonomous universities cannot achieve their goal of being excellent in all of their missions without proper application of the principles of good governance.** Good governance must be, must in turn, be based on the university management pillars of academic freedom and autonomy. Good governance must be combined in proper balance with the principles of governing mechanism, accountability, transparency, participation of stakeholders; fairness, or social justice and equity, predictability, and pro-actability, as well, efficiency and effectiveness. They are all vital parts or vital pillars of good governance. Although a university is already autonomous, there would still be a need for it to establish good working relations with the government. There must be an effective governing system with the appropriate choice in the members of the Governing Board or the University Council. They must represent their various stakeholders so that the appropriate need of society could be identified and support could also be given in the attainment of the university's missions and goals. Even in a autonomous public university the greatest percentage of the budget is still from the government and student fees. The management of a

university must be accountable to the public taxpayers, the parents of the students and the other stakeholders who are supporting the university. Accountability is very much related to transparency in management; especially the financial management in policies, in choice of staff, admission of students, utilization of resources. The public and other stakeholders must be able to question and know the management practices used by the university. There must be a free flow of communication between administrators and staff and students, as well as the other stakeholders in the community. The administrators must be fair in the distribution of resources applicable in the admission of students and have fair staff promotion policies. **All the policies and activities must attend to promote social justice and equity. The management must establish strategic goals in its vision and must develop both strategic and operational plans aiming at decreasing the gaps between the present situation and the aspired future condition. The management must have to manage the resources effectively and efficiently. They must know what they do with resources and how well they do with them, and do it well. It is therefore being proposed that various principles and concepts of academic freedom and self-government to be integrated in the implementation of good governance to form a new paradigm of self good governance for university management.**

All in all, it is fervently hoped that the publication of the Proceedings will prove a significant contribution to the speedy and successful reform of higher education in Thailand, in particular, and in Asia-Pacific region and the whole world in general, where the transformation of state universities into fully autonomous ones has been the state-of-the-art and a long-awaited dream.

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# ***Welcome Remarks and Report***

**By Assist. Prof. Dr. Tavee Lertpanyavit  
Rector, Suranaree University of Technology**

**MC:** Now, I would like to invite Assistant Professor Dr. Tavee Lertpanyavit, Rector of Suranaree University of Technology, to present his report to His Excellency Mr. Pongpol Adireksarn, Minister of Education. Dr. Tavee, please.

**Your Excellency, Mr. Pongpol Adireksarn, Minister of Education.**

It is a privilege and great honor for to extend, on behalf of Suranaree University of Technology, a very warm welcome to your Excellency and to express our great gratitude to your Excellency for presiding over this opening ceremony of this international conference on "University Autonomy: Making it Work".

**University autonomy has been a topic of wide discussions in the academic world, especially, in connection with educational reform and the pursuit of academic excellence.** The central question being discussed concerning university autonomy is centred on: Why is it so fundamental for higher education to increase or re-affirm its autonomy? And what should universities do to make use of this freedom in a responsible way? Or, in short, how to make it work? Suranaree University of Technology is the first state autonomous university in Thailand. It seems appropriate that in its thirteenth year founding anniversary would include an International Conference on University Autonomy: Making It Work. This conference will be a forum for sharing four principal themes, experiences and case studies. We'll explore the experiences of autonomous universities in Indonesia, the Philippines, Vietnam, and Thailand. The next two panel discussions involve good governance and quality of higher education. The last panel strategic issues will cover other issues that may have some impact on autonomy; such as leadership, budgeting, and human resources. Finally, there will be parallel sessions for formal discussions. Nevertheless, we hope that discussions and dialogues will pervade the whole conference during our free times and other activities. We are honored by the presence of distinguished speakers from Australia, Indonesia, Japan, the Philippines, and Vietnam, along with well-known speakers from Thailand. We

look forward to learning from their experiences and having a better understanding of the term autonomy. I would like to take this opportunity to thank all of the supporting organizations, without whom this conference would not be possible. The then Ministry of University Affairs, now Higher Education Commission, the Council of Rectors of the Autonomous Universities, SEAMEO-RIHED, the Association of Universities of Asia and the Pacific or AUAP, the Asian Foundation. Finally, I would also like to thank all of our distinguished participants for their presence in this conference today.

Your Excellency, may I have the honor of requesting you to open this conference and honor us with your opening remarks. Thank you, Your Excellency.



# **Opening Address**

**By H.E. Mr. Pongpol Adireksarn  
Minister of Education**

**Distinguished participants, ladies and gentlemen.**

It is my honor to address such a group of distinguished persons, both Thai and international, at the opening of this conference, **University Autonomy: Making It Work**. His Excellency, **Prime Minister Thaksin Shinawatra** cannot be with you this morning due to our weekly Cabinet Meeting. So, I am honored to represent him in this distinguished gathering.

**Autonomy is and will continue to be a very urgent issue in this region of Asia and the Pacific. This is because, in our region, public universities were founded ahead of private colleges and universities.** Those universities are departments of the government, and so controlled by the Ministry or Departments responsible for higher education. Hence, they are subjected to rules and regulations, similar to other government Ministries. In this system, universities are seen as inefficient, rigid, and with a low degree of autonomy to accomplish their missions. **However, autonomy in higher education is not an end in itself. I see autonomy as a keystone in the arc of critical issues of higher education, especially in Thailand.** Where should higher education, at least in Thailand, be going? Let me address this question briefly. **First, higher education must involve a series of paradigm shifts. Not only must we stress the supply side of education, which is to provide knowledge in what we know in our fields of expertise, but we must stress the demand side as well. This means that universities must be responsive to the needs of society and the labor market. Also management within the universities must be flexible and efficient. It should be a common sense of ownership with a willingness to share resources. We must also stress human development, rather than buildings and other hardware. Not only this, but universities should be transforming Thai society into a knowledge based society. This means ideas, rather than just physical products, will be at the forefront of development. Then universities will be a resource for national development through its research and a repository of knowledge. But please**

make sure that universities, methods of research and gaining new knowledge are valid and reliable. I would also envision a creation of new incentives for researchers, such as career paths and intellectual property remuneration. But perhaps, most important is the training of university scholars. We have seen mass production according to the capacity of each institution. But now we need to move towards mass customization to respond to the demands of society and the market. We cannot produce graduates in isolation. They need to be linked closely with industry and the community. Here, we will need to reconsider the admission process so that it responds to the learner's needs. I would rather see a person do what he really wants to do, and do it well rather than someone doing it well, but really not enjoying it. **I want to see spirit and courage in our graduates, their enthusiasm for life, productivity for their country. I want to see them driven by the spirit of learning with a thirst of knowledge all their lives. Our graduates will need to be multidisciplinary to respond to the demands of the future. Knowing how and knowing why will be more important than just knowing what.** They will need to learn how to learn new skills and new ways of things, so that they can adapt to the future of rapid change. They will need fundamental skills in information communication technology, or ICT, to create new knowledge and understanding of the world around us. So, what role will autonomy play in this issue? I would like to begin with a discussion of the focus of this conference. I see a state university as a totally owned subsidiary of the government; a strategic business unit. Of course, it would be a state subsidized university with maximum autonomy. For me, it means that even though a state university would be autonomous, yet it remains accountable. As the state obtains funds from people's taxes to subsidize a university. **I think autonomy is the key in creating the kind of education briefly touched on above.** However, as we know, many universities are very reluctant to make such a transition. You will hear from some universities who have successfully become autonomous, and from others who are in the process. **I do not feel that autonomy can be forced on people, much less institutions; nevertheless, we must not be afraid of changes.** And as a source of training from management and governance, what is a better place than a university to put theory into practice. And so we are here at this conference: **University Autonomy: Making It Work.** I am pleased that this conference is discussion-based, rather than just a presentation of papers. It shows how fluid we must be in order to grapple with this issue and indicates how dialogue should create awareness that will lead to changes. I would like to compliment Suranaree University of Technology, the host of this conference. Being Thailand's first state autonomous university, I think this conference shows that SUT is not only willing to share its experiences, but to learn from others as well.

**SUT has been the testing ground of autonomy for thirteen years, and I would like to congratulate SUT on its 13<sup>th</sup> Founding Anniversary.** Finally, I would like to welcome you to Thailand. I hope that you will experience our

unique cultural offerings, especially those of the northeastern part of Thailand. I wish you all a very pleasant and productive stay in Thailand, and hope you will return here again and again. It is now the auspicious time. **I now declare open the Conference on University Autonomy: Making It Work. Thank you very much.**

**MC: Thank you, Your Excellency.** If I could ask you to remain on stage as I invite **Professor Kanueng Ruechai**, Suranaree University of Technology Council President to present a token of our appreciation to **Your Excellency.**

**MC: Thank you, Your Excellency.** This concludes the Opening Ceremony. Your Excellency, with your kind permission, may I now invite **Professor Dr. Wichit Srisa-an** to the podium on stage if I could invite you? I would, as he is proceeding to the stage, may I introduce Professor Dr. Wichit Srisa-an, who probably needs no introduction. But if you would bear with me, Your Excellency. Professor Dr. Wichit Srisa-an is currently Chairman of the House Commission on Education, and Member of Parliament. He obtained his Bachelor of Arts and Bachelor of Education from Chulalongkorn University in Thailand. He then obtained his Master of Arts and Ph.D. in Educational Administration from the University of Minnesota in the U.S.A. He has received many honors and awards, among them the Distinguished Fellow of the Centre for Educational Innovation, UNESCO. He is a member of the following International Organizations: United Nations University Council, World Association of Cooperative Education, and Board of the Council for International Educational Exchange. Among his previous university administrative positions, he was Acting Rector of Thammasat and Khon Kaen Universities. He was founding Rector of Sukhothai Thammathirat Open University, as well as the first autonomous state university in Thailand, Suranaree University of Technology. He was also Acting Rector of Walailuk University, SUT's sister state autonomous university in the South of Thailand. He served as Deputy Permanent Secretary and Permanent Secretary of the Ministry of University Affairs of Thailand. Finally, he is the Founding President of two Organizations, at least, The Asian Association of Open Universities AAOU, and also the Association of Universities of Asia and the Pacific AUAP, whose Secretariat is located at SUT These are just some of Professor Dr. Wichit Srisa-an's major accomplishments.

**Your Excellency, Mr. Pongpol Adireksarn, Minister of Education, distinguished speakers and participants, ladies and gentlemen.**

I now have the honor of inviting Professor Dr. Wichit Srisa-an to deliver the keynote address on "**University Autonomy: Making It Work**". Please.

# **Keynote Address**

**By Professor Dr. Wichit Srisa-an  
Founding Rector of Suranaree University of Technology  
Chairman of the Commission on Education of the House of  
Representatives**

**Excellency, Minister of Education, Mr. Pongpol Adireksarn, distinguished speakers, distinguished participants, ladies and gentlemen.**

First of all, may I express how honored and how pleased I am to be invited to participate in the academic activities of AUAP once again. After having participated in these activities since the establishment of the Association. **As the Founding President of AUAP, I am extremely proud to have taken part in the establishment of AUAP and feel highly impressed at the continued progress and strength of the association. This success is the result of the great contribution of AUAP members and other distinguished organizations that have offered such valuable support since the beginning, especially UNESCO, SEAMEO-RIHED, ASAHAIL and other regional organizations. As the founding Rector of Suranaree University of Technology, I am proud to have played a role in the university's establishment, and feel highly honored that it was selected to host the inaugural AUAP conference, and also houses the Association's Secretariat. I have been delighted to view the impressive progress and strength of Suranaree University of Technology, and would like to express my admiration of its success.** In addition, please allow me to extend my very best wishes to the university on its 13<sup>th</sup> Founding Anniversary two days ago. I intend to divide my paper into five short sections; namely, I would like to begin with cursory historical perspective of higher education system in the Asia-Pacific, then followed by academic freedom and university autonomy, university governance, and concluding with the paradigm of self-good governance and share some experience in Thailand. Let me now turn to the short, historical perspective. **A cursory survey of higher education systems in the world shows basically two type of higher education system; namely, the private-led system, and the state-led system.** Based on historical development, many countries in Asia have state-led systems where public universities were founded ahead of private universities. In this system, universities are departments of the government and, therefore, a part of the bureaucracy. So, the system is centralized and controlled by the Ministry or Department responsible for higher education. The universities are subject to rules and regulations similar to other



government ministries. In a private-led system, private universities were established first, then public universities followed. A good example of this system in our region is that of the Philippines where the earlier system of higher education under the Spanish regime was established mainly by religious orders. This is still reflected in the present system where about 85% of higher education is provided by private universities. The American regime established the first state university, the University of the Philippines in 1908. In the case of Thailand, higher education was originally state-led, with a strong western influence adapted to local, national needs and circumstances. Presently, private universities provide about one-third of higher education enrolment of the country. However, regardless of the system of higher education adopted by the country, private-led, state-led or combined system, there are three universal principles of university management being re-emphasized in the 1950 UNESCO International Conference of the Universities of the World, held in Nice, France. They are academic freedom, the right to pursue knowledge for its own sake, and to follow whatever the search for truth may lead; autonomy, the tolerance of divergent opinions and freedom from political interference; and last, social responsibility, the obligation of universities as social institutions to promote, through teaching and research, the principles of freedom and justice of human dignity and solidarity; protection of the environment, alleviation of poverty, and property in equities; and to develop mutually, material and moral aid on an international level. These are the principles pronounced at 1950 UNESCO International Conference. I regard this as a statement of the university's enduring commitment to universalism, pluralism, and humanism.

**Let me now turn to academic freedom and autonomy, to just elaborate a little bit more. All universities in the world share three common missions: excellence in teaching, research and provision of community service as part of a university's social responsibility. In the case of Suranaree University of Technology, as university of technology we have added two more tasks as part of our mission, that is, the adaptation, transfer and development of appropriate technology, and the preservation and promotion of culture. The attainment of the mission must be characterized by excellence: excellence in the staff, students, and facilities, as well as excellence in the accomplishment of the task and the product, such as the graduates, the teaching, learning materials and research output.** During the second half of the twentieth century, universities have experienced geometric growth in knowledge, great advances in research, and their efficient and varied modes of dissemination through modern information and communication technologies. Society and government have entrusted universities with the task of human development and ensuring social-economic, technical and cultural advances. **It has become the university's responsibility to respond to global issues of poverty alleviation, protection of the environment, the fight for human rights and eradication of injustice, prejudice, violence and social exclusion. For a university to be able to accomplish these missions for the benefit of human kind, now, more than ever, it must have an academic freedom and autonomy.** They are the fundamental pillars on which higher education and university management are founded. Society expects excellence

in the tasks and services to be provided by universities. This is possible only if universities have autonomy and academic freedom. In return, for the services of the university, the government and various sectors of society must be responsible for providing the support needed. As for academic freedom, the university provides a setting that supports and enhances the freedom to enquire and to teach, as well as, the freedom of the students to learn. It also means freedom to express opinions in the area of one's competency. Members of the academic community: the scholars, professors and students must be able to follow their scholarly activities in an academic environment and atmosphere, respecting ethical rules, international standards and without external interference which may be political, philosophical, and/or religious in nature. Concomitant with the right and freedom are the academic community's obligation and responsibility to the university and society. It is their obligation to advance the frontier of knowledge through research and disseminate or share the results with the community through teaching, publication and community service. **Each university must be able to decide how it can best accomplish these objectives.** Let me turn a bit more to autonomy. In the state-led educational system, the universities are subject to rules and regulations similar to other government ministries. The system is often criticized for its inefficiency, rigidity and low degrees of autonomy. If the university is to function more effectively and efficiently, and be more flexible to be able to respond to changes, institutional autonomy is a must. There is a continuum between institutional autonomy and state control. It is, however, a growing emphasis to move from control to supervision. Autonomy is also related to performance assessment. It is dependent on the ability of the individual university to show in a very concrete and technical manner that it has done what it claimed it would do. It is by the quality of its programs and products that it could be fairly judged, and be granted autonomy. Institutional autonomy is, therefore, conditional, depending on the institution's fulfilling certain defined criteria of output or performance. Autonomy is also very much related to the source of funds for a university. Public universities are largely dependent on government allocation. Since the money comes from the people's taxes, there is a growing demand for public accountability and transparency. On the other hand, government funding is almost always characterised by insufficiency and great bureaucracy in the release and the accounting of funds. It is also usually characterized by rigidity in the itemization of the kind and amount of expenses, and hence, allowing very little flexibility. Private universities have more flexibility with financial matters, but there is always control by the ministries in terms of their curricular offerings, the fees they can charge and many aspects of administration. My question is: Can there be a real increase in autonomy with privatisation of higher education? Autonomy has been commonly classified into three categories: **Substantive autonomy**, or the right of a university to determine its own study program and their goals; **secondly, procedural autonomy**, or the right of a university to determine the means it shall devote to fulfil priorities agreed upon and assigned to it, as part of national policy; and **thirdly, organic autonomy**, or the right of institutions to determine their own academic organizations. When asked about autonomous university, I always respond: it is the organization that can develop its own management system.

Institutional autonomy and academic freedom might be guaranteed and a proper balance must be worked out. Autonomy must not be considered as a special privilege of a university, but rather as a basic condition and right if it is to assume and meet fully the realization that society expects from it.

**Let me now turn to governance.** The extent to which universities can maximize the benefits of institutional autonomy and academic freedom depends as much on the political system, an administrative organization of the country as to the type of university governance. Universities are subject to regulations; not only of the Ministry of University Affairs or Ministry of Education, but also other ministries, such as Ministry of Finance. Most governments also have education committees in their parliament, which legislate laws for the improvement of education in the countries. Not many of the members of these bodies are educators. And so, they may not be cognisant of latest developments and needs in the field of education. Speaking from experience as Chair of the Commission on Education of the House, they could stifle through bureaucratic requirements, initiatives for change and innovation. But in the case of Thailand, it is much better now because we have more educators as members of the House.

**Universities under strict governmental control have less autonomy than those which are not part of the bureaucratic system. Universities in most developing countries exert strong efforts to seek a better model of a public, autonomous university that can have its own self-governance.**

Fifteen years ago, Thailand initiated the move to establish public, autonomous universities. Suranaree University of Technology is a pioneer in this system. Presently, there are six universities under this category. And the government, like the Minister said awhile ago, has a definite and clear policy of encouraging all public universities to adopt the system.

Malaysia has gone ahead with the concept of corporatisation. Japan is now making a plan to make all public universities to be incorporated and run as autonomous universities by April 1<sup>st</sup>, which is the beginning of their fiscal year, or budget year this year. That means that they want the governance of universities to be like those of corporate enterprises. These movements are a strategy in the case of Thailand for de-bureaucratization of higher education, because we have been part of the bureaucracy for too long. There is growing feeling that there exists an ineffectual relationship between universities and the government. The subject of de-regulation and enhanced autonomy has become one of the key issues in higher education governance. This movement has, however to be balanced by the level of control by government and degree of efficient management and transparency in transaction by universities, especially the public universities which are supported by public taxes.

I would like to present briefly and cover my almost last point: Paradigm for self good-governance. **It is deemed that the public autonomous universities cannot achieve their goal of being excellent in all of their missions without**

**proper application of the principles of good governance. Good governance must be, must in turn, be based on the university management pillars of academic freedom and autonomy. Good governance must be combined in proper balance with the principles of governing mechanism, accountability, transparency, participation of stakeholders; fairness, or social justice and equity, predictability, and pro-actability, as well, efficiency and effectiveness.** They are all vital parts or vital pillars of good governance. Although a university is already autonomous, there would still be a need for it to establish good working relations with the government. There must be an effective governing system with the appropriate choice in the members of the governing board or the university council. They must represent their various stakeholders so that the appropriate need of society could be identified and support could also be given in the attainment of the university's missions and goals. Even in an autonomous public university the greatest percentage of the budget is still from the government and student fees. The management of a university must be accountable to the public taxpayers, the parents of the students and the other stakeholders who are supporting the university. Accountability is very much related to transparency in management; especially the financial management in policies, in choice of staff, admission of students, utilization of resources. The public and other stakeholders must be able to question and know the management practices used by the university. There must be a free flow of communication between administrators and staff and students, as well as the other stakeholders in the community. The administrators must be fair in the distribution of resources applicable in the admission of students and have fair staff promotion policies. All the policies and activities must attend to promote social justice and equity. The management must establish strategic goals in its vision and must develop both strategic and operational plans aiming at decreasing the gaps between the present situation and the aspired future condition. The management must manage the resources effectively and efficiently. They must know what they do with resources and how well they do with them, and do it well. It is therefore being proposed that various principles and concepts of academic freedom and self-government to be integrated in the implementation of good governance to form a new paradigm of self good governance for university management.

**Allow me to conclude** by sharing my experiences in the implementation of this new paradigm of university management at Suranaree University of Technology, the first autonomous university in Thailand. **Suranaree University of Technology is the first university in Thailand with full autonomy with regards to governance. It is external to the governmental administrative system and under the direct supervision of the Ministry of Education. It is a government-supervised university outside the civil service system, under the philosophy of combined services, coordinated tasks.** Self-government is another key word enabling most of the decision making in the university council; the highest governing body of the university. All this is to enable efficiency and effectiveness in operation. The university's organisational structure itself is flat with clear and simple division of units. The academic units are arranged in clusters according to fields, which is different

from other conventional systems to allow the university to apply its administrative and educational innovation with ease. It has its own system of financial, personnel, academic, and general administration customised to its characteristic ambitions to ensure high operational efficiency as well as fulfilling international standards. It has a block grant budgeting and post-auditing system. The personnel is based upon the principle of merit, difficult to enter, easy to exit, and adequately competitive remuneration to attract and retain highly qualified personnel. That is why this university starts with about 70% of faculty members with Ph.D; which is far above the national average of about 20% only. The academic system is based upon the multidisciplinary and integrative approach, the cooperative education principle to ensure proper balance between theory and practice, team effort and extensive use of technology for promoting academic quality and efficiency. Its general administrative system is based upon the principle of **combined services and coordination of tasks** to facilitate the sharing of resources, expertise, and personnel, and to minimize duplication and ensure economy and increase performance efficiency. We do a lot of outsourcing here. It is envisioned that with the application of the principle of self good-governance, the university will be able to attain excellence in the implementation of its vision and mission. I would like to conclude that, self good governance strategies and practices must be promoted in the university management as it is indispensable in the achievement of academic excellence, as well as in the attainment of the goals and missions of the institutions.

**The application of the principle of academic freedom, university autonomy, and concern for social responsibility by universities should help in strengthening the role of universities in promoting universalism, pluralism, humanism, and academic cooperation among institutions of higher learning, especially in Asia-Pacific region.** This is one specific area where AUAP can help improve university management in the region through adoption of the integrated concept of self good-governance by member universities. Thank you.

**MC: Thank you, Professor Dr. Wichit Srisa-an** for your keynote address. May I ask that you remain on stage while I invite Professor Kanueng Ruechai, Suranaree University of Technology Council President, once again, to present Professor Dr. Wichit Srisa-an with a token of our appreciation. Thank you. The token is a symbolic tower model, something that you will see outside Surasammanakan Building, if you haven't seen it yet.

**Ladies and gentlemen.** That concludes the opening ceremony and the keynote address. We would like to invite you to your coffee break and we will reconvene for the panel discussion on "**University Autonomy: Experience and Case Studies**", at 10:30. **Thank you, ladies and gentlemen.**

**PANEL DISCUSSION ON “UNIVERSITY  
AUTONOMY - EXPERIENCES AND  
CASE STUDIES”**

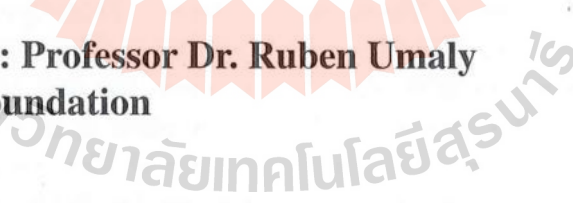
**Key Speakers:**

**Prof. Dr. Nguyen Duc Chinh**  
Vietnam National University, Hanoi, Vietnam

**Dr. Satryo Brodjonegoro**  
Ministry of National Education, Indonesia

**Dr. Krissanapong Kirtikara**  
KMUT, Thailand

**Moderator: Professor Dr. Ruben Umaly**  
ASEAN Foundation



**MC:** Distinguished participants, before we begin the panel discussion on **"University Autonomy - Experiences and Case Studies"**, I have a few announcements to make. The first thing is, if possible, if you have cellular phones, if you could put it in "shake-mode", instead of in the sound mode; that would really be great, because then it would not be as distracting. The second thing is that, we're sending out a form in which we will be asking you for your address because we will be sending proceedings of every word of everything that's done here to you, everything is being taped and we will be transcribing tape to paper and then making it to proceedings and then sending it to you. So if you want to get your proceedings, please make sure you have the correct name and address to fill out in the form for the Secretariat. Also, tomorrow there will be three panel discussions, but if you could please select one: **"Leadership and Followership Issues"**, **"Finances and Budgeting Issues"**, **"Human Resources Issues"**. This will be a chance for you to go to a small room and really go through the nuts and bolts of autonomy and how it works.

We are very honored to have this panel discussion on **"University Autonomy - Experience and Case Studies"** to be moderated by Professor Dr. Ruben Umaly. His areas of interest are molecular biology; genetics, and immunology; environmental management; limnology management; which is about management of lakes; and strategic management. He obtained his Bachelor of Science and Biology from the University of Philippines; his Master of Public Health from the University of the Philippines, as well. His Master of Science and Ph.D. in Radiation Biology, was from University of Birmingham, U.K. He has had many, many positions. I will list a few: Research Fellow, Radiation Immunology, Currie Foundation, Paris, Research Fellow, Immunology of Parasites, Institute of Tropical Medicine, Hamburg... Professor, Faculty of Science, University of Paris. He then was Director for SEAMEO, Bangkok Southeast Asian Ministers of Education Organisation. He was a Professor at Suranaree University of Technology, Faculty of Science, here. A Director for Centre for International Affairs, Suranaree University of Technology, and after that he became Assistant President to International Relations, at Siam University. He is currently the Executive Director of the ASEAN Foundation and the Secretary-General of AUAP. He has received numerous awards. I will list a few: British Council Fellow, French Government Fellow, Outstanding Professor from the University of the Philippines, Alexander van Humboldt Fellow, Chevalier de Pomes De'or, France. And Gold Medal for Service to the Ministry of Education and Training, Vietnam.

### **Ladies and Gentlemen**

I would like to turn the floor over now to our moderator Professor Dr. Ruben Umaly for our panel discussion, **"University Autonomy - Experience and Case Studies"**. Thank you.

**Dr. Umaly:** A very pleasant good morning to everybody. Firstly, I would like to express my sincerest gratitude and appreciation to the administrators of Suranaree University of Technology for giving me this very pleasant opportunity to be back home. It has been six years of very pleasant memories and growth at this particular university and it's nice to see again my dear colleagues. I also owe a lot to Suranaree University of Technology; especially to Dr. Wichit Srisa-an, who has been my mentor during the last six years that I have been with the university. Secondly, I would like to express the greetings and congratulations for the two organisations that co-sponsor this particular conference; mainly the Association of Universities of Asia and the Pacific, of which Dr. Wichit is the Founding President. Eight years ago, yesterday, the 28th of July, 57 Presidents, Vice-rectors and Vice-chancellors of various universities from 12 countries came to Suranaree University of Technology to form the Association of Universities of Asia and the Pacific. Now it is eight years old and the next meeting. General meeting of the Association will be in Seoul, South Korea in October with the theme of "One Asia Pacific Through ICT". So you are all invited to participate in that meeting. Now the Association of the Universities of Asia and the Pacific about 300 universities. So it is has grown within eight years from 57 till a little over 300 universities in the Asia- Pacific, starting from Iran to New Zealand; that is the coverage of the Asia-Pacific. Second, the organisation that is featured there is the ASEAN, which I am representing the ASEAN Foundation; The ASEAN Secretariat is very much involved in politics and economics, while the ASEAN Foundation is very much involved in anything but politics and economics. So, our major job is Human Resource Development, especially in a number of fields; like Science and Technology, Education, Environment, Social Development, and various other fields, which is non-political and non-economic. So our big difference between the Secretariat and the Foundation is that the Secretariat deals with Ministers and they talk, while the Foundation deals with the people and we work. So, this is a great pleasure for both the AUAP and for the ASEAN to be part of this very important meeting, and this morning we will share with you some of the best practices and experiences from four countries; Vietnam, Indonesia, Thailand and the Philippines in the process of being autonomous and having good governance. So, our first speaker is from Vietnam. He's the Vice President of the Vietnam National University; one of the three state regional universities; namely: Hanoi, Ho Chi Minh and Wei. We have been working with Vietnam National University, of course, as a member of AUAP and also as one of the lead institutions in the ASEAN University Network. Our speaker, Dr. Nguyen Duc Chinh is an expert in the Russian language and literature and just before the SARS broke out in Vietnam where we had the opportunity to have him as our keynote speaker, also in a very important meeting in Hanoi on Values, and Peace Education. So without much ado, I would like to invite Professor Dr. Nguyen Duc Chinh to present the experiences of Vietnam.



**Dr. Nguyen:** Thank you very much Professor Umaly, I must say that Professor Umaly is a big friend of Vietnam education. Twenty years ago he came to Vietnam and started to assist in Vietnamese education since then and up to now. Thank you very much, Professor Umaly.

First of all, may I congratulate Suranaree University of Technology for their outstanding achievements over the past thirteen years. Thirteen years is not a long time, but thanks to academic autonomy and freedom, during thirteen years, Suranaree University of Technology has made great achievements in training, research, and community service. On this occasion, I would like to express my best wishes to Suranaree University of Technology and hope that in the future Suranaree University of Technology will make more and more achievements in this mission.

#### **Distinguished guests, ladies and gentlemen**

It's my big honor to be invited here and to present my paper on "**University Autonomy in Improving Training Quality in Higher Education in the Twenty-First Century**". Article 26 of the Universal Declaration of Human Rights stipulates that higher education shall be equally accessible to all on the basis of merit underlying the importance of the full development of the human personality and the strengthening of respect for human rights, fundamental freedom and the maintenance of peace. The mission of higher education becomes more and more vital as a driving force for development of all countries. It aims not only to provide highly qualified human resources and responsible citizens, but also to provide opportunities for higher and lifelong learning. Moreover, higher education has acquired that unprecedented role in the present day society as the vital component of cultural, social, economic and political development, and as a pillar of indigenous capacity building since then on the development, democracy and peace. In the context of accelerating globalisation of the economy and technology, the higher education system has to face many challenges maintaining educational and social commitments, as well as obtaining the financial resources from both public and private sectors assuring equal access for students and improving their training quality. Traditionally, one of the tasks of high education is to provide high quality training for young people, that helps them access the job market and enables them subsequently to update their skills and knowledge. Moreover, the quality of higher education should be ready to satisfy the requirements for social-economic development, in a globalizing world. In fact, a number of conflicts and paradoxes rise from reality: the contraction between the explosion and fragmentation of demand on one hand, and an unemployment which affects an ever growing number on the other, between assuring equality and justice and the financial constraints of the mass extension of this formal education. Needs for social economic development end up requiring the

development of the education at all levels, both in quantity and quality. Today's education has to rapidly satisfy the needs for intelligent human resources with good qualification and capabilities of applying the achievements of modern scientific and technological revolutions. Moreover, education has also to meet the needs of people for mass education that creates learning opportunities, including the provision of higher education knowledge for our great community in the society. It must also create social equality in education so as to make everyone able to approach education, so as to create a learning society in the modern era. With the challenges and opportunities of the globalisation process, it requires a profound renovation within each educational system.

**Second, autonomy as a main point for innovation.**

In order to cope with the new challenges of the globalisation process in the twenty-first century, higher education needs to be reformed so as to enhance its quality and ensure the equal access for everyone without discrimination. In order to satisfy development requirements in the new era for education, especially higher education, it is necessary to carry out education renovation, reforming curriculum and teaching contents, and in order to bring into full play the learner's active role, help them to apply their knowledge to the real situation and enable them to create new knowledge as well. Another factor, which is very important in the education and renovation process is to intensify the investment in facilities, and build up the teaching staff. To modernize training institutions, computerize institutions, popularise the use of computers, transmission media, computer networks/internet access in university, are of great necessity. The teaching staff should update their knowledge and uphold their roles and responsibilities toward the society and education and training of the young generation. In order to fully exploit the intellectual potential of human resources, higher education should be gradually expanded and popularised in the society so as to bring into full play all the resources from the state and the people for the development of higher education. To encompass these challenges, higher education, higher institutions, should enjoy full autonomy and freedom, while being fully responsible and accountable to society.

**Now about the Vietnam National University in Hanoi in Improving Quality.**

The Vietnam National University in Hanoi is one of the two national universities. One in Hanoi and the other in Ho Chi Minh city. It is a fully autonomous university in Vietnam now, interested in the task of producing qualified human resources for industrialization and modernization of the country. The Vietnam National University in Hanoi holds a special position in the system of tertiary (higher) education of Vietnam operated according to special regulation promulgated by Prime Minister or the government, in which it defined that VNU is under the direct management of the Prime Minister. It

means that VNU has a ministerial status, Presidents and Vice-Presidents of VNU are appointed by the Prime Minister. **VNU has a high autonomy in organisation, personnel, training programs, science and technology, planning and finance, international relations, and other fields.** VNU is entitled to work directly with Ministries, ministerial level government bodies, labour organisations, and people committees of central cities and provinces concerning affairs related to VNU. While enjoying that autonomy, VNU has applied a number of measures so as to improve its training and research quality. We have organisational structure. Now we have three colleges; College of Science, College of Social Sciences and Humanities and College of Foreign Languages. Besides these colleges, VNU has established new official faculties to fulfill VNU's mission. I will explain that the right of establishing a new faculty, only VNU has this kind of right. The Faculty of Technology, Faculty of Economics, Faculty of Law, Faculty of Education, and Faculty of Graduate Studies. Especially some research institutes and centres which are also set up, such as, Institute of Information Technology, Centre for National Resources Management and Environmental Studies, Centre for Biotechnology, Centre for Vietnamese and Inter-Cultural Studies, Centre for Quality Education Assurance and Research Development, and other centres. These centres have carried out applied research in order to meet the requirements of industrialization and modernization of the country. And they have also played an important role in improving research and training quality, thus making a worthy contribution to building VNU into a high quality, multi-disciplinary training research centre. Each organizational structure can be seen in the following diagram. Thanks to its autonomy, VNU has also made plans to retrain the existing faculty and to train the younger generation by creating favorable conditions for them to attend training courses, both at home and abroad, to carry out joint research projects with their counterparts from other universities in the world. It is correct to say that VNU now has the greatest numbers of leading scientists and professors in science, social sciences and the humanities in the whole country and is enjoying its autonomy, VNU is entitled to experiment with a new training discipline which can meet the requirements of the social economic development of the country. This, we hope, should be applied to other universities in the country. In order to fulfil the mission of producing qualified human resources for the country in addition to organizing honors training programs for talented students, training courses for students gifted in natural sciences, social sciences and the humanities and foreign languages, VNU has accomplished a lot of work so as to improve the training quality. For example, many new textbooks and reference materials have been completed and published to substantiate graduate and undergraduate trainings with the priority given to full-time training program, high tech field and to increase graduate training programs, and so on.

**Now about the scientific research and transfer of technology.**

VNU is not only the comprehensive training centre of excellence, but also a large centre of scientific research with experienced and highly qualified teaching staff and scientists. VNU is a focal point for science and technology in the sense that it can make plans for scientific and technological research activities, and directly receive scientific and technological tasks from the Ministry of Science and Technology. Every year, the results of hundreds of scientific research projects at national level, ministerial level which are highly appreciated, have been or are being applied to production in everyday life. **For International cooperations, VNU has the right to work with international individuals and organizations all over the world. VNU has set up cooperative linkages with nearly 100 international organizations in the world. Every year, about 500 foreigners come to VNU for academic exchanges or for research, and about 500 staff and students of VNU are sent overseas for further training and research and scientific exchanges. VNU has signed a memorandum of understanding with 95 international organizations and a lot of projects or scientific research are carried out at the international level.** After nearly 10 years of development of two Vietnamese national universities; one in Ho Chi Minh City, one in Hanoi, Minister of Education and Training has given more rights for other universities, such as, self-control of finance, management and decentralization of training, scientific research and international cooperation. At present, VNU is going to move to the new campus, which is about 30 kilometres from Hanoi according to the plan, in the year 2008, the first phase in the construction of the new campus will be completed, it will be moved there. It's about 1,000 hectares and the approximate cost of 600 million US dollars for the construction of new campus in the new land area. Finally, we would like to take this opportunity to highly appreciate the initiative of Suranaree University of Technology, and other organizations in organizing this conference with the participation of many other universities which give a good forum for exchange of views and experience so as to build up the "Asian Education" in particular, and the world education in general, in order to enhance multinational understanding for peace, security and prosperity of all countries in the world. I would also like to take this opportunity to express our sincere thanks to Suranaree University of Technology for their hospitality, warmth and considerate care that make us really feel at home during our stay here.

**Thanks you for all your attention.**

**Dr. Umaly:** Thank you very much Dr. Chinh for keeping very precise and on time. So we are requesting all speakers to limit their presentation to 20 minutes so that we will have more time for open forum after the 4 presentations. One of the outstanding universities of Vietnam, of course, is VNU and I think there will be an exhibition or a visit of a number of Thai universities to Vietnam either next month or in September. So, for the Thai participants, I would

suggest that you visit VNU during that particular event. We have two humanists as speakers and two engineers. We have started with the Russian expert, the next one will be on English literature and creative writing. He is a colleague of mine from the University of the Philippines, is the Vice-President for public affairs, but ironically, this is the first time that our paths are crossing, and it's the first time I'm meeting Professor Dalisay who is one of our prolific writers. I have seen the collection of his books and I think I've read one. He has obtained his Bachelor's degree from the University of the Philippines, and his Master's degree from the University of Michigan, and his Doctorate degree from the University of Wisconsin. And as I said, he is a very prolific writer, he has edited several volumes of the Philippine history, and he has written many short stories. So, without much further ado, may I present Dr. Jose Dalisay, the Vice President of the University of the Philippines.

**Dr. Dalisay:** Thank you very much Dr. Umaly, and a pleasant morning to all of you. I'll dispense with the framework first for university autonomy in the UP and then proceed to our experience. The **University of the Philippines** or UP, was created in 1908 by the American Colonial Government a decade after the arrival of that of Commodore George Dewey and his troops. Where the Spanish had used the sword and the cross to subjugate us, the American used artillery and education to impose their rule. Where the Spanish stunted on educating the Filipino masses, effectively permitting only the children of the elites to go to college, the Americans set up an extensive system of public education from the elementary grades upward. It was logical within the scheme for the colonial administration to establish a public and secular and national university to attract the Filipino intelligentsia, create a stronger recruitment base for the colonial bureaucracy and provide an intellectual counterweight to the major sectarian universities and colleges operated by the religious, one of which is the Dominican-run University of Santo Thomas which was older than Harvard. UP thus arose out of the liberal humanist traditions that the great American universities have espoused for the past two centuries; with one arm reaching for the sky, and the other digging deep into the earth. The first degree program it opened was Fine Arts, followed by the rather more practical pursuits of Agriculture and Medicine. Over the American colonial period, and after the American granted independence in 1946, UP would produce a core of national leaders in all fields, and set standards for the rest of the country's institutions of higher learning. A UP diploma was seen as a virtual ticket to the best jobs in business government and the professions which were dominated by an elite of UP graduates. On the other side of things, UP also became the seedbed of student activism and revolutionary fervor. Since the 1930's, the leaders of the Communist movement in the Philippines have come from the UP. One of UP's arguably most successful and probably arguably also worst graduates, Ferdinand Marcos would meet his nemesis in another UP student and fraternity brother,

Benigno Aquino, whose murder in 1983 would lead to Marcos' downfall. What does all of this history have to do with University autonomy? Quite a lot, in fact, because of how autonomy has been historically interpreted at UP. Much less in a financial sense, and much more in a political one in terms of academic freedom and administrative independence from the central government authority. The tradition of liberal thinking espoused by its early American professors evolved into a critical mindset, that would ironically later turn itself against undue American influence over our economic and political life and prepare the groundwork for the great nationalist resurgences of the 1960's and 70's. The University of the Philippines, in brief, played a central and often contrary role, in the history of twentieth-century Philippines. While it began with one small campus in Manila in 1908, UP today is a system of seven constituent universities spread out over a dozen campuses all over the country, including a virtual university - the Open University. It is governed by a Board of Regents composed of 12 regions including a Faculty and Student Regents. Five Regents are appointed by the President of the Republic of the Philippines. The UP President is both the CEO and chief academic officer in the system. Each constituent university has a university council composed of all full-time faculty members with a rank of assistant professor and higher. The University Council deliberates and decides on all matters of an academic nature, subject to review and approval by the Board of Regents. The system serves about 55,000 students with some 4,500 faculty members, and 9,500 non-academic personnel. It operates on an annual budget of 4.3 billion Philippine Pesos.... approximately 3.3 billion baht, provided in lump sum by the national government through the General Appropriations Act. This is apportioned to the seven constituent universities or CU's, pro-rated according to their programs, needs and enrolments. Thus, autonomy in UP has external and internal aspects: Autonomy vis-à-vis the government and autonomy within the university system itself; in terms of the system administration, vis-a-vis the systems of seven constituent universities and sectors; namely, the faculty, students and non-academic personnel. Historically, UP has guarded and defended its academic freedom with great fervor and vigilance, even as it has depended on the national government for its funding. This freedom, at least in theory, was guaranteed almost from the very beginning. In 1920, Governor General Francis Harrison, recommended to the Legislature that the **University Charter** be reformed to give control of the university to the faculty " **as is customary in the great universities of England and Continental Europe, thereby ensuring to the faculty that absolute freedom of thought and speech, which is essential to a true attainment of its proper place in the intellectual life of this country**". Harrison also proposed the idea of a permanent endowment fund for UP. A very expensive and nearly impossible wish, that remains a wish more than 8 decades later. UP's autonomy is guaranteed by several statutes. The Philippine Constitution guarantees freedom to all institutions of higher

learning. In the Philippine context, this has been interpreted to mean two things. First, as the relative independence of schools, colleges and universities, vis-à-vis the state for decisions on academic matters. Second, as the relative freedom of faculty to choose and implement their own philosophies and ways of teaching. The **UP Charter** as amended ensures autonomy vis-à-vis the state and also vis-à-vis religion. For instance, with respect to autonomy in relation to the state, the Charter grants the Board of Regents the power to determine the requirements of graduation, and to the **University Council** the power to determine requirements of admission as well a approval of curricula, and the supreme court of the Philippines has been consistent in acknowledging the academic autonomy of the university. UP's unique historical and social position has ensured that it exerts considerable influence on government policies and programs, and that it can keep government reasonably at bay, or secure its support when it needs to. Many Philippine Presidents have been UP graduates, and UP is perhaps disproportionately represented in the Philippine Senate and House of Representatives. This hardly means that these alumni politicians think and speak as one. But when it comes to UP matters, UP alumni and both Houses of Congress have generally rallied to the university's defense. This support carries the occasional cost because admission to the university is extremely competitive. We receive the odd request from a senator or congressman, to admit a constituent. But we have routinely rejected such requests if the student concerned does not meet our minimum admission standards. With respect to religion, **UP Charter** categorically states, that no tests of religion, no tests for religious affiliation shall be allowed for purposes of admission to the university or acceptance as faculty. Despite the statutory guarantees of academic freedom, however, the government can still infringe on it through such mechanisms as the universities annual budget, which has to be reviewed and approved every year by Congress, or through judicial decisions bearing on academic cases. It can also employ the votes of the presidential appointees on the Board of Regents. As early as the 1920's, tensions were evident and the political relationship between the university and the government. These tensions have arisen from the natural urge by government and public officials to use the university for their own ends, given the university's vulnerability as a publicly funded institution. The other tension has, of course, been UP's traditional adversarial role as a critic of whatever government may be in power, alongside the fact that it has provided much of the brainpower for every administration since its inception. In 1921, UP successfully fended off an ill-thought effort by a provincial governor to have a UP branch established in his province. But great political pressure has since continued to be exerted on the university to open new unit and institutes where sponsorship might benefit a congressman's district or image. The university has resisted these incursions by invoking the authority under **the Charter of the Board of Regents** to set up academic units, and also the minimum standards set by the Board for the

establishment of new CU's. This authority, however is, strictly speaking, non-exclusive, and Congress can legally establish anything it pleases. So UP needs to be ever vigilant of any measures in Congress or the presidential palace that even vaguely mentions UP. I have a staff assistant whose job it is to monitor all legislation having to do with the university. In 1922, the National Assembly and the state and the Senate passed a bill that would have endowed UP with a tax based permanent fund; but this was vetoed by the governor-general and it never took off again. The politician wanted to retain some measure of control over the university by subjecting its budget to annual scrutiny, a situation that remains to these days.

I'll gloss over some of the cases over the next decades to focus on the more recent ones. Some time in the late 60's, the Civil Service Commission attempted to assert its authority over all UP employees, including the faculty, who were after all civil servants, but the university resisted and a compromise was reached whereby Civil Service rules and qualifications would apply only to non-academic personnel. So, we do our own hiring and directly without having to pass through the Civil Service Commission.

In February, 1971, in a season of strikes and rallies protesting unpopular government actions, radical UP students barricaded themselves in the university's main urban campus and declared the establishment of a so-called, "Dillimon Commune". Dillimon is where the university is situated. It was a romantic gesture of defiance more than anything else, but inevitably provoked a violent response from the government, which sent in its troops to crush the uprising. Martial Law was declared the following year, and the university was among the first targets secured by government security forces. Mass arrests of faculty members and students followed. Martial Law, of course, did not quell resistance from UP, but to forestall a complete breakdown of civility between the university and the government, the university came to an agreement with the Defense Ministry, whereby the military and the police could not enter the campus without the permission of the university officials. Thus, the university became a haven, albeit a strictly circumscribed one of dissent and free speech. No arrests could be made on campus unilaterally by the national police. This memorandum of agreement remains in force to these days, with the university maintaining its own police force to deal with local events. A major test of autonomy and academic freedom came in 1980, still under Martial Law, when the Ministry of Education sought to pass a Bill in the National Assembly, placing UP under the Ministry's control and supervision. We are not under the Ministry of Education. Ironically the Education Minister then was also a former UP president, Dr. Onafra Cortpoos. The UP community protested the Bill vigorously and lobbying key alumni in the Assembly, both on the administration and opposition sides, to oppose the Acts. Minister Cortpoos stuck to his guns,



but the threat of an embarrassing university strike during an International Conference of University Presidents in Manila, forced him to back down, eventually a watered-down version of the Act was passed applying only to other state colleges and universities.

The matter of internal autonomy seems to be a bit more complicated. The UP system came about in fact because of the threat of one of UP's main campuses to succeed in 1972. This was the University of the Philippines in Los Banjos, a university of agriculture. UP President Lopez sought a compromise and the result was a modified presidential decree reorganizing UP into a system and establishing the University of the Philippines of Los Banjos as the system's first autonomous university, and later this would become 7 autonomous universities. The term '**autonomous**' would later be replaced by '**constituent**' to emphasize the fundamental integrity of the system. The move was a good one, because according to observers the salutatory effects of autonomy could be seen by just after five years; for example, since most positions could be made locally, plans were implemented more quickly and the units of the autonomous university were brought closer together. Multidisciplinary programs became easier to implement.

I'll just move on forward. The CU's and their University Council are free to initiate the creation of their own academic programs, subject to review by the system and approval by the **Board of Regents**. If autonomy was tied to issues of academic freedom at the national level, on the local level, it implied greater administrative flexibility and democratic consultation; for example, in the search for Chancellors, Deans and even Department Chairs. Not everything, of course, has gone without incident. Autonomy being a relatively new concept conflicts were bound to arise. Some of the more significant cases involved the university system.

This has been invoked only a very few times. Indeed the autonomy of UP's constituent universities, has statutory limits. Section 8 of the Decree creating the UP system states that each university shall enjoy autonomy, and the administration of it's own affairs within the context of the purposes of the university of the Philippine's system and the policies laid sown by the **Board of Regents**. I can perhaps in the open forum cover more material if you wish on fiscal autonomy, which again is relatively new and limited given that our budget still primarily emanates from the national government. Let me just conclude by saying that tomorrow afternoon, debate will begin in the Philippine Senate over a Bill sponsoring important changes in the **University of the Philippines Charter**. It is the first important changes in almost a century. We are 95 years old this year. We are seeking formal recognition as the national university which would elevate us above the 111 other state

universities and colleges, with which we in effect compete for a slice of the National Education Budget. We are seeking exemptions from the **Salary Standardization Law** - while we are the premiere university in the country our salaries are pegged at civil service levels. This is the one anomaly we seek to correct. We are adding a staff to the **Board of Regents** representing non-teaching personnel, and we are seeking greater authority to engage in income generating activities, and to spend this income for our own needs and purposes.

**Let me close by saying that,** as many speakers in this conference will doubtlessly point out, modern universities do not and can not afford to exist in isolation. We labor within a complex of compromises between the ideal and the practical. In the case of a public university, like the University of the Philippines, autonomy can never be absolute, in that it needs to be balanced in some way by our accountability to the people, represented by the government, whose taxes pay for our operations. Reaching that compromise and remembering what it's for, is a challenge to the statesmanship of university administrators and political leaders alike. A challenge to which I expect, we can all rise.

**Thank you very much.**

**Dr. Umaly:** Thank you very much Professor Dalisay for that wonderful view of the history of autonomy of the University of the Philippines, and that is a very kindly presentation also of the event that will take place tomorrow at **the Senate**. We now turn to the engineers; two engineers. I have known Dr. Satriyo for quite a while because we have worked together in SEAMEO affairs. This is my second assignment to Jakarta. I was in Jakarta before studying in 1987 to 1991, and since then I have known Dr. Satriyo as one of the young administrators in the Ministry of Education in Indonesia. He is a mechanical engineer by training and profession, and he's still a professor at the famous Bandung Institute of Technology in the field of Mechanical Engineering. But he spends also most of his time at the Ministry of Education as the Director-General for higher education. He has written many books and articles, and the most recent one, I hope he has brought some copies, is the Educational Reform in Indonesia. So, this is the educational reform book of Indonesia we have been studying reading, and some students are also demonstrating and some faculty members are supporting, so it is a very very important document and we're looking forward to sharing the experiences of Indonesia in the field of autonomy and educational reform; so without much ado, may I request Dr. Satriyo Brojnegoro to present his paper.

**Dr. Satriyo:** Thank you Dr. Umaly. **Distinguished guests, ladies and gentlemen.** When we speak about autonomy in a university in material

processing change of status of some state university to become an autonomous university, and therefore I would like to share with all of you our experience and case studies, how we are progressing in the change of status from formerly a state university to become an autonomous university.

Let me start with the strategic issue. One of the issues that we have to solve is the shifting roles of the government, because in the future there will be a change in the role of government in conducting many things in higher education in Indonesia. **One is the enabling regulatory environment to encourage innovations at the level of individual institutions.** So, there will be no longer top-down approach but rather a bottom-up approach starting from the institutional level. **Second is the appropriate financial incentive to steer institutions toward quality, efficiency and equity.** So, we want to make sure that financial incentive will lead to quality, efficiency and equity, otherwise we'll have a waste in budget. **The third one is the evaluation of universities based on output and outcome in order to improve the accountability,** because so far we found that state universities are not accountable to the public, but they're accountable to the government. We have to change this paradigm. The next one, the other issue that we have to solve, is the social responsibility. Of course, we would like to encourage community participation because the budget from government is limited, we need to make people participate in and support higher education. In this case, institutions set their own tuition and fees because they want to make sure that they really collect some of the budget from the people. But in doing so, they should take into account the disparity in student's economic background because we have to make sure that we do not charge too much for the people with low economic level, but we should not subsidize the rich students, for example. Therefore, several schemes should be designed, for example, cross-subsidy schemes, so that the rich should support the poor, student loan, where a student can borrow some money for their study and pay after they graduate. And also maybe a voucher system in which a student can receive a voucher if they can perform substantial academic standard and level. So, the question is how to implement the strategy. Let's start with the legal reform that we are doing in Indonesia. We should look at the role of the government in terms of regulatory environment. So, the reform should be started from the establishment of rules of how to establish new institutions, for example, the quality assurance mechanisms, how to assure quality. **Third is to design financial control on public and private institutions through government budget allocation** because the controls should be there in order to make sure the government budget will be implemented properly in the institutional level, both for public and private universities or institutions. And also government should design a legislation regarding the intellectual property rights. This will become important for the university because they will have a lot of inventions that we should protect it for the benefit of the university. The

next point is still the legal reform, the role of government in this matter for financial incentive, for example, how to link resources to measure institutional performance. So currently there's no direct link between resources and performance of the institution. Yes, we have a lot of resources, but we never really receive the significant improvement in performance of the institutions. Second is the encouragement of resource mobilization by institutions to make more benefits of the existing resources. We try to develop the competitive funds for investment in quality improvement. So, on the universities that propose a program for competition will be appropriated some budget, otherwise they will not have the chance to receive some funding. The fourth one is the student financial aid. This scheme should be designed so that we can protect the students, especially if they are on the low economic background. The next one is the legal reform with regard to restructuring of public funding. So, actually there's a strong debate whether or not higher education should be publicly funded; some say no, some say yes, and some people say yes and no to a certain portion. Okay then, why don't we look at the condition that the government should conduct a rigorous cross-analysis to measure their performance and control, reduce rigidity to the possible extent, while providing assistance on planning budget and financial management to institutions? This is new for the state universities because in the past they never had such a capability. So, institutions should develop internal of financial management capability accordingly. Next, I would like to share with you that, still with regard to the restructuring of public funding, initiatives to introduce competitive funding mechanisms so far could only cover the investment part of the public resources. Then, we need to introduce a similar spirit to some key funding elements; such as recurrent block grants, recurrent budget reflecting the previous level of investment, and performance based-incentive in personnel expenditures. So, this part is one of the very difficult portions of the state universities because currently we are still under civil servant conditions in which there is no direct relation between performance and budget allocated to the university. Next, still in the structuring of public funding, we should develop a system that integrates the complimentary funding from routine budget, development budgets and self-generated revenue in a format that relates to the contribution of complimentary sources in supporting the corresponding programs and activities proposed. So, it should be a comprehensive approach in budgeting systems, and everything should be complimentary to each other. Next, I would like to share with you the reform with regard to personnel and civil service. Because currently all the state university staff are under civil service regulations, **we need to improve institutional autonomy by stabilizing the authority of our universities, including the implementation of merit-based recruitment, termination and retirement, performance-based career development and reward system, penalties and incentives, for example.** Second is to empower institutional leadership, so each institution should have

leadership in order to empower their human resources, and to demand staff to be accountable to the institution and to their direct supervisors, because sometimes we are lacking of this command between the supervisor and the staff because the staff feel they're not under the supervisors. Next, we still look at the legal reform, personnel, and civil service. The detachment of university staff from civil service has already become a global trend for the last ten years. So it is not only happening in Indonesia but almost in every country in need of autonomy. Autonomous universities are experiencing that same condition, so it's a process they cannot avoid. But, of course, considering the possible social impact that it might cause; the transformation of university staff from tenured civil service in the contract-based university employment should be carefully designed and processed in order to avoid the unrest and the collapse of the university. Next, with regard to the legal status, what is the status of the new university? A public university, mentioned by our previous speakers, is treated as a government bureaucratic unit and has to comply with the same regulations applicable to all units in the Ministry. And this status does not provide the necessary autonomy for public universities to develop themselves and prevent them from fostering a credible role as moral forces. Then, the necessary legal infrastructure is needed. Still in the legal reform, we would like to discuss about the tax incentive. This is one of the key issues in Indonesia I would like to introduce in order to invite more people's participation in higher education funding. In order to compliment the relatively low public resources allocated for higher education, the legal framework providing encouragement for non-tuition community participation is needed. Therefore, it is necessary to develop a variety of tax incentive programs for private donation, university-industrial cooperation, and perhaps establishment of a science park. The next strategy for implementation is the funding structures. We introduced the competitive funding, and it has been effective and efficient for the utilization of government funds. This is highly critical because we are having a limited budget. Following the currently implemented community finding scheme, the investment grants are provided in the form of budget developed through a proposal-based mechanisms. Next, the restructuring of the recurrent budget. The ideal format of government recurrent budget should include both operational and maintenance costs, determined by rigorous formulas that recognize the past and the current performance of higher education institutions. The recurrent block grants constitutes two main parts. The first is related to the cost to produce graduates, and the second is for excellence. So, we would like to have these two things in the university funding-structure.

**Ladies and gentlemen,** we would like to discuss about the piloting of university autonomy. Since the year 2000, there have been 4 universities under the new autonomy status; it is called, *çstate-owned legal entityé*. They are the University of Indonesia, Bandung Institute of Technology, Bogor Agricultural

Institute, and Gadjamali University. This year, 2003, we hope to have two additional candidates; North Sumatra University and Indonesian University of Education. So, we will have a complete mixture of the pilots for our university autonomy process. Of course, the piloting itself will have some problems perhaps, we have to overcome. So, the transition period is five years to become fully operational as state-owned legal entities. Since there are a number of things to be conducted, such as transfer of assets, excluding land which still belongs to the government, transfer of personnel, establishment of the necessary apparatus within institutions, development of control systems, development of a new budgeting system, and of course, there are many other things related to the change of status. Now, the learning experience is not only applied to the pilot universities, but it should be equally important for the government since a university as a separate legal entity has never existed before. All government institutions are equally inexperienced in implementing this initiative. So, you can imagine how difficult we are in this situation. Nobody knows what is the autonomous university. But we have to proceed, no other choice. Even some people still think it is a privatisation instead of corporatization. So, next is the evaluation of the autonomy process. I would like to share with you some of the issues raised during the process, particularly problematic from public policy perspective are science of development, such as, first, their near exclusive focus on revenue-raising with virtually no attention paid to the cost savings. Most universities are trying to generate revenue but they tend not to pay attention to how to save the costs to make it more efficient. There is an indication of commercialisation with emergence with different rates of tuition fees. This is the impact of a side effect of the autonomy: they tend to make tuition fees in different rates. About the expectation of the trustees, they thought this is an important revenue source, but in fact it's a governing nominative body that can control the process of a university. The underlying problem of the state universities is that they are over-staffed currently, while each member of staff is underpaid. **So, we have two conflicting conditions: over-staffed and under-paid.** As a result, they cannot operate at their full capacity with their current funding from the government. Universities have not yet made serious cost-cutting measures and internal efficiency gains. Finally, there is a need for a clearer blueprint for autonomy for all public universities. It is not only for the elite universities. If so, how to proceed with other institutions, because they have a different capability, a different mechanism, and even different problems as well. And also, maybe a question is: What kind of autonomy? Is it the same for all maybe, or different for different universities? We propose, for the time being, five different types of autonomy, maybe on the governance, separate legal status, maybe financial autonomy, or autonomy in civil service regulation, perhaps only for a start, and maybe the smallest one is only the academic autonomy.

**Thank you for your kind attention.**

**Dr. Umaly:** Thank you very much Professor Satryo. I think you can imagine the immensity of the issues that Indonesia is facing, where there are almost a hundred state universities, but 2000 private universities. We are hoping that we could have some more discussions of this during the break. The last but not the least speaker is from Thailand, Dr. Krissanapong. He is also an engineer, an electrical engineer, and is very much involved in alternative energy studies and industries. So, we are hoping that the ASEAN Foundation and the ASEAN Secretariat, through the ASEAN Energy Centre would be having some collaboration with King Mongkut Institute of Technology with the support of the French government on energy management. So I'm looking forward to working more closely with the Dr. Krissanapong. He's also the President of the King Mongkut Institute of Technology at Thonburi. Dr. Krissanapong, please.

**Dr. Krissanapong:** Professor Umaly, distinguished panelists and participants. First I'd like to express my sincere congratulations to Suranaree University of Technology on its 13<sup>th</sup> anniversary. King Mongkut Institute of Technology is highly very grateful to Suranaree University of Technology for the assistance we have continuously received. when we first designed our new system eight or nine years ago. We are still working closely together nowadays in the Council of Autonomous Universities. I have written a paper, somewhat mechanical or engineered, and sentimental. It's a long paper, about 20 pages long. What I'll cover in the panel is the nuts and bolts, not the sentiments. I don't know whether I'd consider myself a talker or a worker, reflecting on what Professor Umalee was saying, but maybe both as a talking worker or a working talker, I don't know in which role.

I was always asked by my Thai colleagues why autonomy, why we decided to make a transition. I think we can still recall the experience about 30 years ago when we first endured crisis due to the two oil shocks in the 70s and impacts on the bureaucracy in public universities. We saw control of new post creation, belt-tightening. The most worrying part is the brain drain to the private sector. The country is operating in the market mechanism, but the civil service denies the market force. So, a professor or a staff with a Doctorate Degree earned more or less equal to his Bachelor Degree graduate. How could that be? The universities, at that time, no longer attracted the best and the brightest. Mediocrity became the norm of staff recruitment. I think in Thailand, at that time, those of us in universities liked to build good universities. And I must say it was ominous that we recruited mediocre people as staff. You know that a great university begins with good teachers. You'll find that the constraints of bureaucracy is that it is quite clumsy and messy. In implementing allocated budgets and new posts, there must be concurrence of what given by the Budget

Bureau, by the Ministry of University Affairs, and by what universities wanted. We spent a lot of time pushing paper to reach this concurrence of these three parts. We found a lack of flexibility on decisions on clinic programs and student units, everything had got to go out to the Ministry or other agencies. Sometimes this decision required administrative decrees, oral decrees, so nobody wanted to change - thus maintained the status quo. So we decided, at least at our university, that if you want to build up a good university on a par with the international one, it's impossible within the bureaucracy. So, we decided on the autonomy part in the early 1980's. It's internally driven, even before the state had a policy in its place. What I found common that I have to answer is autonomy is not a new thing, at least in Thailand. Three years after the setting up of Chulalongkorn University, the first state university, three years after that, **His Royal Highness, Prince Mahidol** wrote a memo to the Minister of Education at that time that Chulalongkorn University was not a university in a universal sense, just a high education institute. He made a distinction between high education institute and a university. And he suggested that Chulalongkorn University should be autonomous. Then about 40 years ago, there was a movement on commercial universities. I think it was pushed by eminent scholars and persons like Professor Sippanondha, Professor Kasem, Professor Puoy, who were running universities at that time, but nothing came out of that 40 years ago. I think the major transition came over ten years ago under the leadership of Professor Dr. Wichit when he was then Permanent Secretary of MUA, when we prepared this so-called 15 year long range plan covering 1990 to the 2002 on high education. **Autonomy is one of the flagships of this long range plan - just to quote what is stated that Thailand has developed state universities and the MUA into becoming autonomous, responsive, efficient, and academically excellent.** This has to be achieved by a transformation of existing state universities into autonomous universities while new state universities to be created should be autonomous from the beginning. This is why Suranaree University of Technology became autonomous from day one on that year followed by Walailuk University, and others. So, after that, there was sort of policy guideline, there was an attempt to bring 16 state universities out of bureaucracy altogether in 1992, but we were not successful. I think they were protested by university people themselves, and also the President of the Assembly at that time - he got confused, so he decided to throw all the draft acts out by dissolving the Assembly at the first time. So, I think at the university level, we decided that united we perish, not united we may succeed. So, we decided to go ahead after 1992. We had six years of preparation from 1992 until 1998 when we became autonomous. What I saw as instrumental is continuity of policy and administration. At that time, our University Council, especially the external members remained unchanged so that we did have to explain to the new Council members what autonomy is about, and a strategy to achieve it so on and so forth. I find that this difficulty



has been facing so many state universities at the moment, they have to rehash everything, every cycle where they have new councils. And also at senior administration level, we had two persons who agreed on this. What is quite unique for us is that we enjoy good support from Saphar Khanar Jarn or Lecturers' Council, at least in Thailand, and it is peculiar in Thailand. They are normally government opposition - they oppose everything. The senior administrators did. I think in our case they are really behind us. In our preparation, I think we learned from inside Thailand. **We learned a lot from Suranaree University of Technology at that time because it's the first autonomous university of Thailand, but Suranaree University of Technology was different from us in that it was created from scratch.** We had so many decades of what I call initial conditions and boundary conditions as engineers or physicists. You know that if you have strong boundary initial conditions sometimes you don't get the solutions that you want. Everything is dictated by history. We also learned from our National Science and Technical Agency and its three national centres. They are autonomous agencies, similar to us in terms of the fact that they are a technical organisation, but they are not a university. So, we had to learn from these two entities at that time. But both were autonomous from the beginning. We also learned from outside Thailand, we learned from the States, we worked closely with MIT because we looked at MIT as a partial model, as a small world class science and technological university, and King Mongkut Institute of Technology would like to be a leading university, a small science and technological university. We also had the President of Michigan State University working with us for some time. We learned from experiences of universities in Australia and New Zealand at that time through our staff who went on the Thai University Administrator's Shadowing Scheme or TUAS by MUA, whereby senior administrators spend maybe three or four months working with their counterparts in Australian or New Zealand universities.

I think in our preparation we set up a survey, seven working groups covering so many issues but focused mainly on the three pillars of autonomy: the economic matter, the financial matter, and the personnel matter. We have one umbrella working group on university autonomy still functioning to these days because everything is dynamic. We have to be responsive to the environment and the changes. On the bureaucracy side, there were continuity and discontinuity in the Ministry. I have to tell our colleagues from overseas that Ministry of University Affairs was considered a grade "C" portfolio. We classify ministries into grade A, B and C. MUA was grade C because small influences were made on political constituencies and small budget source of ill-gotten gains for the politicians. So, it's called a grade C Ministry. Politicians only spend some time there at grade C Ministries as a stepping-stone to grade B and grade A Ministries. I think that's doesn't augur well for Thailand. We went to 9

Ministers in six years, plus three or four Acting Ministers. Some understood, some did not understand, some even misunderstood autonomy. But anyhow, we are lucky that we enjoy good support and understanding of senior officials, especially Permanent Secretaries and their division heads. The Permanent Secretaries that supported us, at that time, were Professor Dr. Wichit, Professor Dr. Kasem, and Professor Dr. Wanchai.

I think that it was only on the third attempt that we were successful, the first one in 1992. We went "**kaput**"(=broken or severely damaged) with 16 universities when the house was dissolved. The second time, we tried by ourselves in 1995, again the house was dissolved, so our draft bill was thrown out, and we were successful in March, 1998. So it's a struggle all the way for us. This is how to make it happen, not how to make it work. Next one is what I call life after transition. I think Suranaree University of Technology and Walailuk University enjoy a strong backing of politicians where the two universities are allocated for better or for worse. But we have no politicians backing us. Both universities were founded when the economy was buoyant and government at that time could direct bureaucracy away from their entrenched position. That's my analysis. I might be wrong. But King Mongkut Institute was established right under the 1997 collapse. The government was not strong and preoccupied with pressing problems. We are experimenting on quite a unique way of managing personnel. Nobody has tried before, but we did what do you call "one country with two systems". It's a dual personnel management system because civil servants have two options; they can stay on as civil servants as long as they like until they are retired or they die, or they can choose to resign and be recruited into the new system as contracted employees with fixed term, no longer life-long employment, but new staff are employees. So, this has been on for five years now. **We have to climb many bureaucratic mountains.** The first mountain we have to climb is to negotiate after transition, one on the salary top-up of civil service who joined the new system, the new remuneration system because, at least in Thailand, the salary system of autonomous university workers was not pegged to the civil service system like in the Philippines. How much top-up do we need, how much inducement do you need to make civil servants resign and join the new system. What sort of inducement? And the second one is the additional budget that we have to provide for regarding university provident funds and employee's benefits. It took us 14 months before a decision could be made by the government. It got to be made at the level of the Prime Minister. And it took us 30 months before the new decision became institutionalised in our budget system. So, actually we got what the country could afford, not what we wanted or what the others got. **We still have more bureaucratic mountains to climb.** I feel autonomy is incognito, similar to what our friend, our distinguished friend from Indonesia said. I think that our public sector is run by bureaucracy and they do not recognize autonomous

agencies, they go into "sleep-mode" or "customary-mode". They know only the Civil Service and the State Enterprises. We find difficulties with existing public instruments like the Public Administration Act, the Budget Act, the Customs Act, regulations of the Police Department on bail of criminal offences, provident fund scheme, regulation on road decorations, practice of the Comptroller Department, the latest public instrument that we face difficulty. That's okay. We can live with it, and we fight it. Past governments tried to help by setting up committees chaired by Ministers to solve this, but again, political discontinuity makes it frustratingly slow. **There is some ignorance that we have to solve, even nowadays. The first one is that the state will not fund autonomous universities and make us self-financing. The second one is that students pay more in autonomous universities. The third one is there'll be unfair evaluation and staff can be easily dismissed. The fourth one is that personnel in autonomous universities are "fat-cats".** I think we have to predict some anxieties of civil servants. We asked civil servants who decided not to join the new system yet. That's one and two years after the transition. What are the reasons? One is that it's a personal reason, they want to work for ten years so that they are entitled to pension, some are in the pipeline of getting a promoted category, they don't want to be caught in the pipeline. Some have parental objections, though civil servants are still listening to their parents. This is what I find out. Some said they can work hard even as civil servants. The second reason is they find salaries not attractive, maybe not as high as Walailuk or Suranaree Universities. That is what they mean, they were not unclear of benefits, and uncertainties will increase. Contracts are not attractive, they are uncertain on tenor, or when they will get permanent tenor, or possibly unfair relations. But I think we are dealing with human beings. At the moment, I want to say.. I am happy to say that 58% of our personnel are contracted employees. And I think that plateau would reach in ten years. I think about 80% of the personnel would be contracted employees, the rest would either die or retire. What we have achieved, I think, is the last point. I think a foundation and a system of inspiration for the institute to reach its mission and its stakeholders have been led. The second point I found very important is that we have surmounted the psychological barriers of civil servants, normally passive, and subservient to problems, they are all grumpy, because they can't do anything. For that one, I think we have some confidence in the potential of our personnel, the dynamic system. I think we have put good governance system in place. The next one is that we see a demonstration of potential and innovativeness. Cost reduction came very early after transition, sense of serving, high productivity, awareness of quality and cost effectiveness, increase in technical outputs, and revenues and assets increase. The next one is that our personnel have accepted mechanism for monitoring evaluation, both of individuals and organizations as tools of improvement. In the Thai civil service system, evaluation was taken negative and destructive. The next one is with the increase of income and asset

based on technical capability, I think incomes are not just given, we earn our income. Last year is the first year that we earn more than we are given. What we earn from fees and contracts exceeded what was given in the annual budget by the government. We form a new working culture with stakeholders. And the last point is that the system is more open to outsiders for recruitment. So, Heads of Department, Deans and Presidents could be recruited from outside. Now we have outsiders as department Heads and Deans, maybe in the near future, as President.

**Thank you very much.**

**Dr. Umary:** Thank you Dr. Krissanapong for a very interesting presentation....

**Dr. Umary:** The floor is now open for questions & answers. Could you kindly direct your question to a specific speaker?

**Participant:** I think the way the past two Presidents of the Lecturers Council treated this matter was not legitimate in that sense. They were self-established. Right? But the past two Presidents always recognized this and included the Council in major decision making mechanism. So even though they were not legitimate in that sense, they were recognized. Not legitimate, but recognized. Second, we always emphasized that we may differ in our opinions but we are not enemies.

**Dr. Umary:** Very well. Excellent. Any other question? Any comments from the panelist?

**Panelist:** I think to make the transition work, we need a change in paradigm and work culture. We might be discussing about legal transition or a system university. But what must be changed after the legal transition in my opinion is a change in paradigm and culture, otherwise we won't benefit from the transition. It's just a legal transition, not de facto transition, if I may say. And I find that lots of discussion were made in many universities. What the individual gets, not what the university gets. So, we have to put the university above the individual gain. If you start discussing about what the individual gets, you're losing your vision, you are losing your sights. You have to ask what the university gets, not what you get first. What do we want to become? Do we want to become a university of so and so? No, we don't want to become a university of so and so. So, in a transition, you have to ask what your university will get. The work culture I think we have to change is in Thai Civil service I find everything is activity-oriented and rule-complied. We have to change this mindset, that is, instead of being rule-compliant and activity-based we have to talk about cost effectiveness, goals and output-oriented things. You have to look at the monitoring assessment as a constructive tool for improvement, not destructive tool. Like what we see in the Civil Service. This is what I call " the

real change”, not just a legal transition. In our system, when we have dual personnel management system, the question asked initially was whether Civil servants could perform less well than contracted employees because they were less paid. I said no, no. We have only one standard of work, we expect the same from our people whether you are a Civil servant or a contract employee. Being a civil servant or a contract employee is your personal choice .It is your personal right. We won’ t violate that, but you are our people, of our university. We expect the same quality of work, the same standard.

**Dr. Umaly:** It is very gratifying to hear that. It is very clear definition of the mission, and vision of your university, very important. And there is a need for balancing or financing processes of the organization and quality products and services that have to be produced by that particular institution. So, I am very pleased to have that, but some administrations are still thinking that way. They still hope for our universities in the Asian region. Any other question? Yes, sir.

**Participant:** Inaudible.

**Indonesian Panelist:** I think we have to look at the background of each country because each will have a different Constitution. First, revising the existing law on education or Constitution in which autonomy is not there. So, we have to fight for that. We can proceed with autonomy. Second, diversity of classes, we have so many ethnic groups and many things are complex in Indonesia. And we have to have several options of autonomy depending on levels of development of the institution. Some in Java Island, some establishing universities, I think they can become full autonomy universities. For some in other islands, they might have partially autonomous universities, whether in academic or just in financial system. And the third dimension that we have difficulty with is the understanding of the public perspective on this autonomy itself. Again, I mentioned in my transparency that people thought this is a privatization. And once this issue appears, everybody will oppose that. Right ? So, we have to educate our two hundred million people what is autonomous university. And again we have to make them understand that autonomy in the university cannot be accountable, how could you expect quality if you can’t give autonomy to the university. If you control them everything, you cannot ask them to deliver good quality. You have to be inventive and creative. It is a kind of trade-off. Give them the autonomy and ask for the accountability. We have a reward system and incentives accordingly. So, that is why we are firm on autonomy and we must have different levels of autonomous university depending on the levels of development and also understanding of the complex system of our culture, because we have to satisfy all the people but we may not have that success because some people, especially, the leftists try to oppose this autonomous universities. We have to deal with them carefully. Thank you.

**Dr. Umaly:** Philippines?

**Philippine Panelist:** May I just correct any misimpression about universities in the Philippines to the effect that we do nothing but fight the Government. Actually, the experience of UP is very different from a hundred of State universities and colleges. In our country, we do not have quite the same privileges and we're much more concerned with bread and butter issue of academic freedom. We do not lose sight of the fact that our overwhelmed mission is the academic one. We raise academic standard, to cite some example, which we hope other state universities and colleges can aspire to in the future. So, we take that mission very seriously, both concerned with the issue of academic freedom and in terms of upgrading the standard of our programs. I mean autonomy is useless if your academic program is worthless. And we want to throw all that freedom back to devising responsible and responsive academic programs. So we see UP really as a possible model for other stated universities and colleges. I mean if we have it bad in the Budget Department, the other universities and colleges are much worse. So, we cannot claim that we are ostensible much ahead of others but we realize our responsibility of also helping other state universities and colleges to reach the same standard, hopefully within a decade or so, but probably much more than that.

**Dr. Umaly:** Vietnam?

**Vietnamese Panelist:** Thank you. You know that university autonomy in different countries is different depending on social, economic development and other factors. In Vietnam, since 1990, our government stated to form the high education system in the process of collaboration with economy and others. And Higher Education has to be refined in order to produce high quality human resources. That is why the first step of reforming process of higher Education in Vietnam is establishing the two national universities, one in Hanoi, one in Ho Chi Minh city. The special thesis of this kind of university in Vietnam is the fully autonomous university. It means we have the right in our training process. We can establish direct contact with other ministries, even with the Prime Minister to solve the problem faced in our university. That's why now maybe step by step, it takes time, to first step in to give the full autonomy to the national universities, and then to the regional. We now have three regional universities. It takes time, I think. Hopefully, after five or ten years, other universities will receive the same right to become national universities. Thank you.

**Dr. Umaly:** I think one of the other factors responsible for the autonomy movement in Vietnam national universities is leadership. The leadership of the President. Before the present President was Dr. Nguyen Van Dao, he has very strong vision, clear mission and a very dynamic personality that allow him to influence the national government. So, now the two universities are not part of

the Ministry of Education but directly under the Prime Minister. And way back in 1994, I was partly involved in the planning of these two national universities. It was the leadership of those Presidents that was partly responsible for this. But it was also partly because the Ministry of Education is not looking at us favorably. They sense that there are certain programs they will exclude VNUs because they are not following the Ministry of Education policies and activities. But that leadership which enables us to do what we think is best for VNUs. So, I think among other factors, leadership is one of the most important factors. Like in KMUT, it is also leadership that is responsible for this, also at SUT, it is the leadership of the founding President that is responsible for the success of autonomy at Suranaree University, and Walailuk University.

**Participant:** Just one comment. If you say that we still have difficulty in procedural autonomy, I think it is an understatement. If you look at one public instrument that is still against us. Something you can do within a university. We have to, I wouldn't say fight, but change it one by one. And I think it will get better since more and more agencies with autonomy are being created, especially public organizations. So, with more public organizations and autonomous universities, hopefully, we could convince these bureaucrats and change all these public instruments.

**Dr. Umaly:** Can we now give a big hand to our four great speakers?

**MC:** Thank you, Professor Umaly for the wonderful moderation and the panelists, and thank you all the participants for your interest. Before anything else, I would like to invite Vice Rector for Planning, Professor Dr. Kritsana Sagarik, the key mover behind this autonomy conference, to come up and present the panelists with tokens of our appreciation, please.

**MC:** Thank you. Distinguished participants, ladies and gentlemen. This concludes our panel discussion.

## **PANEL DISCUSSION ON “AUTONOMY : GOOD GOVERNANCE ISSUES”**

### **Key Speakers:**

**Prof. Dr. Sippanondha Ketudat**  
National Brain Bank for Economic and Social Development  
Board, Thailand

**Prof. Dr. Peter Pscheid**  
Swiss-German University, Indonesia

**Mr. Abhisit Vejjachiva, MP**  
Democratic Party, Thailand

**Moderator: Dr. Phadoongchart Suvannavong, SEAMEO-  
RIHED**

มหาวิทยาลัยเทคโนโลยีสุรนารี



**MC:** Good afternoon, ladies and gentlemen. Welcome back to this room for the afternoon session on **Autonomy and Good Governance Issues**. This panel discussion will be moderated by Dr. Padoongchart Suvannavong. Dr. Padoonchart earned his Bachelor's Degree with Honors in Education from Bangsaen Teachers' College, now Burapha University, in Thailand, Master Degree in Education from Harvard University under Fulbright Scholarship Program, and Doctorate Degree from the University of Oregon, USA. Currently, he is SEAMEO-RIHED Director and Senior Lecturer of Sukhothai Thammathirat Open University. Ladies and gentlemen, please welcome Dr. Padoongchart.

**Moderator:** Thank you very much for a very kind introduction. So, I would like to invite the panelist to come over on the stage, please.

**Good afternoon, ladies and gentlemen.** At the outset, I would like to place my felicitations and congratulations on the great achievement of Suranaree University of Technology over the past 13 years of serving the society. On its 13th founding annual anniversary. I wish the university continuing success for a long time into the future.

**Ladies and gentlemen,** good governance as a topic of this afternoon session is a critical component in running a university. Success or failure of a university depends very much on how good the governance of a university is. Four years ago, as I can recall, the Assembly of the Faculty Council of Thailand proposed 6 characteristics of a university's good governance. The characteristics were as follows:

1. Fairness
2. Transparency
3. Participation
4. Freedom
5. Effectiveness
6. Flexibility

And in each characteristic, there are certain number of indicators. At the present time, with the keen concern of public in the topic, there have been a great number of discussions and debates about the good governance for a university. Ladies and gentlemen, this afternoon we have very highly qualified speakers with us to address the issues related to university good governance, particularly, applicable to autonomous universities.

May I first introduce our distinguished speaker. The first person I would like to introduce is the person on my far right-**Professor Dr. Sippanondha Ketudat**. He is the Chair of Brain Bank for National, Economic and Social Development

Board of Thailand. He also holds a position of chairmanship of several university councils and corporate boards. He is university council member of numerous universities in Thailand. Dr. Sippanondha was former Minister of Industries of Thailand, Chair of National Economic and Social Development Board, Chair of National Research Funding Mission Board, Chair of Petroleum Authority of Thailand, and so many chairs. We don't really have time to mention them all. Dr. Sippanondha has played a very active role in the reform of education in Thailand for several years, in fact, since 1974, about 30 years ago. As far as education is concerned, Dr. Sippanondha earned his B.A. in Applied Physics from the University of California at Los Angeles or UCLA. His Master and Doctorat Degrees are in Physics, both from Harvard University. We are really privileged to have Dr. Sippanondha with us in this panel discussion. Please welcome Dr. Sippanondha.

**Moderator:** The second man from my immediate right is **Professor Cabino A. Mendosa** He is Professor of International Management from Asian Institute of Management or AIM in the Philippines. He was President of AIM, Dean of the Institute, and Dean of the Faculty. He is now Chair of the Board of Directors of Allied Metals Incorporated and Director Treasurer of Food Marks Incorporated. He is also Director of several big companies in the Philippines. Aside from his business expertise, Professor Mendosa was a Faculty member of Manila University Graduate School of Business, and Jose Lisa College. He hold a B.A. with distinction from Harvard Business School. So, we are honored indeed to have you with us this afternoon, Professor Mendosa.

**Moderator:** The person on my left lives in Thailand. He is famous and need no introduction, probably. He is now Member of Parliament from the Democrat Party. He is also Deputy Leader of the Party. He received his Bachelor Degree with honors in Philosophy, Politics, and Economics from Oxford University, and his Master Degree in Economics, also for Oxford. He also received his Bachelor Degree in Law from Ramkhamhaeng University in Thailand. His work experience is of course tremendous. I would like to elaborate a little bit. Before the year 1992, he was lecturer at Chulachom Klao Royal Military Academy, and a Faculty member at Thammasat University. He was first elected as Member of Parliament from Bangkok in 1992 when he was only 28 years old. He hold various important political positions, such as Spokesman of the Government, Chairman of the Parliamentary Education Commission and also Former Minister of the Prime Minister's Office. It is indeed a great pleasure and privileged to have you with us this afternoon. Let's welcome **Mr. Abhisit Vejjachiva**, please.

**Moderator:** Last but not least, on my far left is **Professor Dr. Peter Pscheid**. Professor Pscheid received his Solid Physics and Electron Microscopic Diplomas from the University of Zurich, and the University of Constance,

respectively. He became the Assistant to the Director of Polytechnic during 1979-1981. Then he became Founding Rector of Swiss- German University since 1982 until now. The Swiss-German University was founded jointly by Switzerland, Germany and Indonesia, and is located in the Island of Java, Indonesia. So, please welcome Professor Dr. Peter Pscheid.

**Moderator: Ladies and gentlemen,** our topic for discussion this afternoon on good governance is very important for running a university. So, it is my duty to propose a theme or a topic for discussion for our distinguished panelists. I would like to propose a very broad topic so that each panelist can fit their own interest, experience, and background into the theme. The topic to be discussed is, I would say, What is good governance of a university? How is the actual practice now? How can we bridge the gap of the two positions? What is the critical issue in this topic? What are the keys to success to get over this problem or challenge? Each panelist can fit in their expertise and preferences. So, now I would like to first invite Professor Dr. Peter Pscheid to speak first. Yes, Professor Pscheid.

**Dr. Pscheid:** Thank you. Mr.Chairman, ladies and gentlemen. Good afternoon. First of all, I would like to thank and express my gratitude to the organizer of this seminar for inviting me from Jakarta. Maybe I am one of the few people who visited this place, SUT, the first time. My visit was concentrated up to Bangkok. Many thanks and congratulations on what you have done, especially your guidance and hospitality. I still remember the talk over diner last night, the discussion this morning, and lunch break. Frankly speaking, everything has been said about autonomous universities. Therefore, allow me to present a few ideas, especially the history of the university; it is important. When you go into the direction, you have to know where you stay. But it is also important to know from where you are coming. Now, when I talk about the history of European universities, I keep in mind that all of what developed in Europe is based on high culture, just like the one in Pimai I visited yesterday. The city may have one million inhabitants at that time and Paris at that same time had only 35,000 inhabitants. You see the high cultures are in China, the northern part of Africa, the Islamic high culture. So, the Europeans have been influenced by these developments. Now, the creation of a university was done by the Church. They created it after the 6<sup>th</sup> or 7<sup>th</sup> century. Monasteries and the monks have taken the knowledge, they owned it piece by piece. In my city in Switzerland, there is a monastery founded in 700 A.D. There is still a library there, it is the oldest library. So, this is tremendous. After the year 1000, the rulers of the area have taken over and created a university. Therefore, universities in Europe are thousand years old. They are also named by the rulers. Now, there is a reason behind it. To run a government, you need to have some academics at that time, people, and lawyers. They are very important. We still rely on the Roman laws. The second group is doctors, and the third is theologists from the Church. These 3 professions are needed by the government, not by the university. This is due

to the historical background but the rulers also had some other ideas. They would like to develop science and medical science. They always think they can produce gold in a laboratory. This is one of the main points. Now, science and technology started in the 16<sup>th</sup> or 17<sup>th</sup> century. And there was a boom, a tremendous boom, and it is still a mystery of the invention developed in Europe, in a distance within a radius of about 500 kilometers from my city. This is a mystery. We don't know. Anyway, there was tremendous development and then universities started, science started, physics, chemistry started in the 19<sup>th</sup> century. And then, something happened - the technology jumped in. Engineers were genius but they were not respected by the university. For example, in Switzerland, the Federal Institute of Technology founded in 19 century could provide only up to a Bachelor's Degree, whereas, just next street was the University of Zurich which could provide Ph.D. and I would mention one more example, Albert Einstein. He started at the Federal Institute of Technology in Zurich and received his final degree to be a teacher for Senior High Schools in Physics. That was his degree but he also got a part-time job. To enroll in a Ph.D. program, he had to ask the professor at the university to provide Ph.D. subjects. He started, he got the first degree in 1900, then started with the Ph.D. He submitted his Ph.D. thesis in 1903. But they asked him to take his thesis back. Einstein's first thesis was not accepted because his own university could not do this. Then, he started again. He got a job at the Office of Intellectual Patents. He was the third officer and hence had a lot of time to do physics. He presented his second thesis and got accepted in 1905. That is an interesting point. The question is why in Europe, we cannot explain. Europe is far away from being politically united, geographically united, culturally united, language united. So different, but it looks like education builds bridges. This is one of the messages worldwide: Whatever is developed in educational institutions is open to the whole world. That means everybody is in possession of everybody. This is independent of culture. So, education can be a bridge. Now, I will give you a short sequence of the changes in science. I do this in the background of this autonomous university. This morning, we talked about the administration inefficiency. We have to see there is a tremendous development also in science and administration sometimes cannot catch up. So, this was in the 50s, clear condition. When you studied one subject, you knew it. In the 60s, there are more, in 70s, 80s, and 2000s. You will see it looks quite different compared to the 50s. In 2000, it looks quite different, quite complex. That means in science the single file is lost. And all other aspects are very short, developments in the laboratory have been done up to the market. The time has become shorter and shorter. The other aspect is the change in the population in Europe. You can see that agriculture with almost the same efficiency was reduced tremendously, whereas the industrial part is constant. The part of service including IT has been increased. The university should always find out what or where is the best. Now, our mission. It was mentioned this morning that we have to provide B.A., M.A., Ph.D. in science, we have to provide applied research and

development, we have to have science and technology transfers to small and medium sized companies and better cooperation with other institutions. This is the main mission of a university. Now, on the question: **What is a good university?**

The good universities contain 3 aspects:

- 1) **You have to provide courses with international standards.**
- 2) **You have to be fit with benchmarking and audition.**
- 3) **Students should be demanded by industry, not just getting a job.**

Now, the university by itself. There is a difference between private and government universities. There are also technical universities. By the way, let me go back to the history when a technical university was accepted and could produce Ph.D. graduates. Still up to now, they have to write in a different styles, fonts, and formats. This is dictated by law. There were few business universities, a few years ago, and now there are cyber universities. They have completely different aspects in management in relation to industry rather than general universities. Management of a university all over the world is the same, I think. We have normative management, we have strategic management, we have operational management. In the university, the same normative management is provided by the government. **Now, I will characterize 4 types of a university: the University by Command, the Republic of Professors, the University of Enterprises, and the Controlled Autonomous University.** The university by command means everything has to be given by the ministry so that the university can run, but we have to look for signatures, and every decision has to be made by the Ministry, every course is to be approved by the Ministry. This is by command. I used another example of inefficiency this morning. The bureaucrats or the government have to be mentioned. The CEO of industry has a similar problem. When I say people in the frontline, I mean the lecturers because they are value-added part of the university, between lecturers and students. The University of Professors is the type we have in Germany. The university is autonomous. The Rector is the highest representing body and the Chancellor is under the Rector; the operation is up to the university. This model works in good time if money is available but if changes are required, this type of university is very resistant. The third one is the University of Enterprises. This is maybe more American system where a university is linked to one entity-enterprise entity with pros and cons. One negative aspect is that it is too much practical and result-oriented. The middle or long term research is neglected because you cannot earn money. We should not forget that universities also produce results for society. It is quite important. We give suggestions and so on for the society. This can hardly be done. It has not been paid. And the fourth one is the so-called Controlled Autonomous University. This is a paradox: Controlled and Autonomous. But I think and it has been mentioned this morning that there must be a combination between the government and the university. The government can involve where necessary. This model may be the one that will fit in, you can do the research you ask for. One important aspect is the students. What are students thinking about autonomous

universities? For them, it is not the point they would like to discuss. Students would like to have good teaching for reasonable prices and in a very short time to get the result, the degree. I think this is what students would like to have. Now, I would like to go back to the administration issue, the main point in all discussions. I would suggest we do it to standardize the process, not to be misunderstood. You cannot standardize the process. Are they needed? Are they necessary? There, I think, you can cut process and you can earn some money. This is a hard work but it should be done. This has been done in industries with certain pains but they did it and the efficiency will be better because the university in the future will have more jobs with less money. That means we have to increase the efficiency. So, again, you have to define what you would like to have. As a final recommendation, we have to build the trust. You see everybody is a human being, would like to be independent, out of control. Therefore, I explained a little bit about the history. Democracy today is not the same as democracy 50 years ago, or 100 years ago. There is a process. When we talk about autonomy, we have today different understandings rather than maybe 15 years ago. So, we have to standardize it, to build our own house, in order to have a transparent system. Then, the government will have a trust. We have to identify the process. What is needed? What is not needed? We have of course to change our attitude. So, it is the killing phrase, we have done it all the time like this or the second one we have never done like this, or the third one, everybody could suggest that this would not help. And the third is of course to implement and make use of the e-technology in a campus to provide this to students. But I have something in mind. There are also math majors people who would like to learn via Internet. That means the contribution of the university is not only for the students, but also for the society. Thank you so much.

**Moderator:** Thank you very much, Professor Pscheid. So we have learned from him about the history of universities in Europe from so many years, so many centuries back up to e-campus. And Professor Pscheid talked about the university firstly being created by Church, the development of the university and vision of the university management, different kinds of university: University by Command, Republic of Professors, Controlled Autonomous University. He also mentioned about how students think about the university. Finally, he has suggested 3 important points:

- 1) To standardize the process
- 2) To create trust
- 3) To implement e-campus

So, with that, now I would like to invite **Mr. Abhisit Vejjachiva** to give his ideas about good governance on his our perspective. Mr. Abhisit, please. Thank you.

**Mr. Abhisit:** Thank you very much. First of all, let me congratulate the university on its 13<sup>th</sup> anniversary. The university has had a very challenging and eventful 13 years since its foundation ever a decade earlier.

**In fact, as of today, SUT is considered as a model for other universities that moving to an autonomous system.** But as many of you in Thailand know, despite repeated efforts by successive governments to make public universities autonomous. There has been somewhat slow progress. In deed, I think you might have heard this morning from Dr.Krissanapong about the obstructions for some universities that have decided to make a transition. I think he talks about many mountains that have to be climbed. You will also have noticed that even at present there are still uncertainties about other Thai public universities in deciding whether to follow suit in moving to an autonomous system. And I would like to suggest that the key to the success of both the transition to autonomous universities and the running of an autonomous university lie in the governance issue. **I would like to give my perspective on the governance issue at two levels: First at the level of government policy and the government relationship with prospective autonomous universities and second; governance issue within the universities themselves.** I say this because I think we've just heard that as far as stakeholders in society are concerned, they may not care very much about having the university run in terms of management. But they have expectations about what the university must deliver. We heard about student expectations, there are also expectations from industries, from people in economic sector, from society as a whole, as well as stakeholders within the university, including academic and personnel. **Therefore, if we want to look at the key to good governance, we must at first have a very clear vision of what it is that we want the university to do.** And from the point of view of governance policy and from the point of view of the country, and I think this applies to many developing countries as well, we are faced with some basic problems. First, I think the nature of higher education has changed. Although many countries will have had a long long history of higher education and universities, I think universities have for a long time had provided education to only a few people, to the elite, and as the country and economy grew, there are more opportunities for people to go into higher education. So, higher education was transformed from education for the few to education for the many, and this process is still on-going, especially in developing countries. The growth in demand for universities places or higher education places continue to be very rapid. It means there are challenges in terms of resources and funding for universities. **Here in Thailand, as you know, we now have the duty to provide free basic education for at least 12 years which, of courses, increases burdens to the government considerably in terms of education funds. Not only does that means that more resources have to be devoted to basic education, but it means as more and more people go to 12 years of basic education, more and more people will demand high education places.** There is also a change in the nature of demand. It would not be right to say that demand for university or higher education places would simply be for people to obtain degrees or certificates. But rather that now there is a great diversity in the nature of demand and expectations from universities. There are expectations about research work, about the ability to produce well-qualified people to go into various sectors of the economy. There are also

expectations about the social responsibility of university as organization that should provide some kind of leadership in terms of thoughts and ideas for society. So, it is this higher and greater expectation as well as increased limitation that put much more pressure on the ability for universities to deliver this result and the key to success is of course effective and efficient management, or of ours, we could term it as **'good governance'**. I think Professor Pscheid has just summarized it as more jobs, less money, and that is very much why issue of good governance is very decisive in determining success or failure in running the university. Having said that, we should be clear that with the questions and the challenges that we are facing now it is vital to ensure that we have an effective and efficient system of managing higher education as a whole. I say as a whole first because although when I get to the issue of running a university, of each university, broad success can only be achieved if there is also an effective and efficient system of management of higher education as whole because each university does not operate alone, and each university has a contribution it can make, but also in conjunction with other universities and higher education institutions. **So, to me, the first pre-condition for the success of a good governance is for the government to have a clear plan for higher education, clear and insistent plan so that each institution or each university knows exactly what objectives or what roles they are expected to play.** This is important because this will involve some key decisions concerning public policy, public funds, and the relationship between universities and government. Remember that when we talk about autonomous universities, we are effectively talking about universities that remain in the public sector. We are not talking about privatization and we are not talking about making public universities commercial universities. Private universities that are operated on the basis of commercial basis have vital contributions to make, but I think the idea is not to make public universities play the same role as private universities. And the basic rationale for that must clearly be that there are still some objectives, some functions that are expected to be performed by autonomous universities that cannot be provided by market mechanism. And it tells us that because market mechanism cannot provide it, the government must continue to give clear and sufficient support for each university to operate. Unless this condition exists, I think it will be very difficult to achieve good governance for any autonomous university, and I think part of the reason for the delay and obstacles that many universities here in Thailand face and are facing in that transition because they are very much uncertain about exactly what kind of support or funding that the government will continue to provide and how much they are expected to be self-financing. **So, we need to have a clear role about such a relationship, about the funding, and about the broader education question that students, families, and the public expect to know or ask, such as what kind of support will be given to the students from poor families.** I think the key to having a good governance is for the government to make the system as transparent as possible. Because if the system as a whole is not transparent, the university will have the burden of trying to achieve too many things at once. They are expected to provide quality education. At the same time, they are somehow



expected to subsidize poor students. So, as far as external conditions are concerned, I think this issue must be resolved clearly by the government. There are also other issues that I will mention because they are equally important but perhaps I will not go into details, for instance, the issue of academic independence or academic freedom, as well as other social objectives that should still be the objective of public autonomous universities. The other issue that must be tackled head-on by the government also is how to make that transition from a bureaucratic personnel management system to a new system. I am sure this morning you have heard that autonomous universities should be able to enjoy the freedom of setting up their own system of personnel management. That is indeed the key but it is one thing to create a brand new university and ask for new teachers or lecturers to join, and another for saying that public or civil servants could somehow overnight become new kind of people under a new personnel management system. Again it is the job of the government to provide the necessary assurance that those privileges or rights that civil servants used to enjoy and are still enjoying must somehow be applicable when the transition is made. But it has to come at a price, which is to say, that there has to be a change in work culture; a company, in the transition. Again, this is an issue I think that although an individual university might try to tackle, they could find it very hard to succeed unless the government provides clear directions and support. Those are the key conditions, external conditions, the conditions that the government might impose upon autonomous universities. But once these rules are set, I think the key to achieving what we want to do with autonomous universities is to allow maximum flexibility for universities to achieve those objectives under those rules, which mean freedom, not just academic freedom, but also financial freedom and flexibility, freedom and flexibility to manage personnel and so on. When that happens, I think the responsibility for success or failure rests with the university. And here the challenge about good governance which, as I said before, is an initial factor in determining success, is something again that has to be met head-on. Many public universities when they were under bureaucratic system did not nearly face this problem at all because they could always pass the buck: they could always say that responsibility rests with the department, with the minister, with the government. But once they become autonomous, and as I said, with sufficient and clear guidelines, funding, and support, they are now ultimately responsible for their success or failure. And to be honest, in many universities and among many academic circles, these kinds of questions are not usually discussed or tackled at all. And there is perhaps limited experience. So, perhaps, I think one key issue is that there has to be a kind of separation between the academic side of running the university and the administrative side. People who are qualified to do one might not be so well-qualified to do the other. And creating the right organizational structure that would allow this kind of operation, I think, is important. Secondly, I think there has to be an attempt to invite the participation of various stakeholders within the university as early as possible so that they feel the sense of ownership and partnership in running the university. Too often people in the academic world work on their own. But now that responsibility rests on the university, they must be able to

understand and develop a working relationship with each other. One particular issue concerning participation that is worth noting is there has to be a degree of democracy within the institution. I say degree because we are effectively moving from what was just now termed as a command university. But at the same time there could be too much as excessive democracy in running a particular organization, particularly social organization like university. We have had even under bureaucratic system here in Thailand cases of universities that practice democracy in the sense of holding election to find Rector or Head of Department, and often find that too much politics actually weakens rather than strengthen the running of a university. There has to be transparency and accountability so that everybody knows and can identify exactly where the problems are, why there are or not being solved. And, of course, there has to be efficiency in the management of resources. These key principles, whether it is participation or transparency or accountability or efficiency, I think, not only determine the success in running a university but also will be the key during the transition, because the biggest threat to autonomous universities is when people, inside or outside, pick on the failure or the things that go wrong and provide an excuse to take away autonomy from the university again. Believe me, I am a politician. I know many politicians attempted to look for these things to take things away from university. And not only just politicians, I say bureaucrats who work in the Finance Ministry, in Budget Bureau, not just in Thailand but in other countries too. So, there has to be very carefully planned and very principled way of managing, not just the university but also the transition to autonomous university. I will just leave you with two further thoughts: the first is that while there are guiding principles that I believe is key to good governance and success. There is really no ready-made formula that could be applied to all universities. Each university, I think, has its own history, has its own identity, and therefore, has its own strengths and weaknesses. When we want a university to become autonomous we don't want all the universities to think there is only one way to become an autonomous university. Rather, we would like all the universities to take the opportunity of becoming autonomous, to really look inward to see where its strengths and weaknesses are so that they can identify the opportunity and threats, and make the right decisions. Secondly, and this is the final thought. Much of the success or failure of running or transferring to an autonomous university, the strength or advantage of becoming autonomous is to make them flexible. Why? So that they can respond to change. And change will continue so that you have the best system in place. Today, the likelihood is the changing demand, the changing expectations, the changing technology will force you to make further changes. I like the expression Professor Pscheid used-Republic of Professors. He also used the word 'Resistance to Change'. But I think there is a great degree of conservatism in the academic world. I don't want to enter into a war with academics the way Prime Minister likes to, but as I am myself coming from the academic world, I do notice that academics are very progressive about issues concerning other things apart from themselves. This is an issue that has to be faced and I think the key to change management is of course strong leadership and also the creation of trust and understanding about how to handle these changes. And

this would be the thoughts that I would like perhaps to trigger debates and invite comments or question on how one might go about achieving good governance, which, I think, is the key to the nucleus of public autonomous universities. **Thank you.**

**Moderator:** So, the applause is the symbol of an excellent speech. The speech is very clear and very concise, and very stimulating and challenging as well. He is a politician now, but a former academic. He plays the role of a politician and he also talked about exactly what we are worried or concerned about-The external conditions. The government should make a very clear policy as to what autonomous university and what kind of support, or resources that the government can provide. If a university is to change or transform into an autonomous university. I think these things have been articulated many times but still, according to him, are not very clear to the community of public universities. So, again, I think the government should make this very clear, very crystal clear that if you change, what things you will get, and what things you are expected to do. At the same time, if you change, what will be the role of an autonomous university regarding transparency and responsibility. He invited the participation of stakeholders, and also suggests about separation of academic and administration, and so on. Finally, he gave us thoughts, food for thought, or something we should do further. He first said there is no ready-made formula to change or to transfer a university from a bureaucratic, conventional university into an autonomous university. There are many means, there are many ways. There is not just one uniform way of changing into an autonomous university. The second thing, very important, is change management, change in everything, change in the culture of work as well. **Thank you, Mr. Abhisit.**

Now, the third speaker I would like to invite to speak is **Professor Mendosa** from AIM who has a lot of experience internationally and also in the Philippines. Could you share with us about this topic. Thank you.

**Dr. Mendosa:** I have not been prepared to speak but the best I can do this meeting is to talk about things that have not been talked about. We have been discussing mostly about government-funded education. This year AIM (Asian Institute of Management) will celebrate its 35<sup>th</sup> year of being an autonomous university. From the past 35 years, we have not received any grant from the government. We have relied purely on private donors. When we started off 35 years ago, we were very clear that what we would try to do is to bring to the Philippines and to Asia management education. We were sending troops of Asians to the West to learn. We decided that it will be good for us to teach management here in Asia. We went to the business community and we asked them whether they would be willing to support this kind of an endeavor. And they were enthusiastic about a management that was full time, full time professors, full time students, students who are not going to work at all. We set up the first full time Management School in the Philippines. And one Harvard Business School professor said, why don't you instead of trying to set it up put together faculties

of the different tough universities?. So, Asian Institute of Management is really a union of many tough faculties from both Catholic Church and Christian Church in Manila. We united them together. What is interesting is why they agreed to unite. These two schools are great rivals. What made them unite really was money. And I will keep mentioning that dirty word over and over again. The Manila University put up the first full time management school, but they found out they could not put up a good management school unless they could get full time good teachers of management. And they have to pay them much more. They were paying the English teachers and Science teachers because these guys had the market. But they were going to have a revolt by the Sciences and the Arts people. They would have to raise everybody's salary. So, they decided to get rid of us. Asian Institute of Management was a retreat, really, from having a full time Business School inside the university. So, we put it up and the business community supported us. We put an MBA program and we put up non-degree program for middle managers. We got a lot of people, not only from the Philippines but also from Southeast Asia. As a matter of fact, there were a lot of graduates not only from the Philippines, but also from Malaysia, Singapore. As we were going along, we thought we had it all fixed. Then we looked around and decided that we're all Filipinos, we got to asianise the faculty. And in doing so, we have to get more money (the dirty word again!). We went to our Board of Trustees and said you have to raise some more money for us. We find that after we have tried very hard, they could not raise the kind of money we were looking for and so the faculty got together to decide the course of action or what we are going to do about this. We then took a look at what other sources of funds we can take. We found other two sources, one of them is students. But they were looking for different kinds of things and so we had to offer programs that they were demanding. We decided we would be market-driven; we would not teach the kind of programs we wanted to teach, we would teach the kind of programs that students wanted to learn. We also found that their companies were willing to put up the money so that they could get the kind of managerial skills that they needed. So, we proliferated the number of programs to 93 that we had from having a middle management courses. We had a tough management course, we had the first level management course. Then we went into Master's Program in Management because the businessmen were telling us "Your two-year MBA is too long, we have a lot of practicing managers and we can't let them go for longer than one year". So we designed the program that would cater to their needs. Today AIM has all kinds of market-responsive programs, we have a Master's Program for executives which is full time, we have the Development Management Master's Program for people in management and for people in the NGO who are running. We now have a Master's Program for entrepreneurs because we need a different kind of teaching. By the way, our entrepreneurial program demanded that learners have their own business, they just can't go to their father and ask for permission or decision. So, that is what we are getting in the Philippines. We are now offering it in Malaysia and going to offer it in Singapore, etc. Hence, we have become a market-driven school looking for money. We also found out that funds could be obtained from international organizations, but they just give away funds to

courses they wanted to push. When we wanted to start the Master's Program for developing managers, we went to the US government but they were not interested, so we went to Germany and talked with some of the foundations in Germany. The Germans said this is the kind of things we want to sponsor and so we got some money from them. We talked with CIDA, for example, this is the Canadian International Development Authority. We asked them what are the kind of things they were interested in and then would give the money for. One of the CIDA grantors said to me, "We see Southeast Asia is growing very fast but your professors are not teaching anything about Southeast Asia". I told him, "Yes, that's true because our professors don't know anything about Southeast Asia". So, they gave us the money so that we can get our professors developed and they would get the feel how Southeast Asian people think or even do joint research with our professor. The Germans were happy about this and said, "OK, that would be good for us and for you". So, we made the deal. Even in Thailand today, people from Chulalongkorn, Thammasat, and NIDA are running joint doctoral programs with members of Southeast Asian Deans Association funded by CIDA. It is also offering funds to academics in Southeast Asia. We have similar programs in the Philippines, one of them is run by the University of the Philippines and another by De La Salle University which is one of our mother institutions. But why Thai universities were able to cooperate but the Philippines universities were not though both funded by CIDA. I do not know the answer, either. So, it seems to me that when you look for funds you have to understand the fund givers. You know when you go to the business corporation it is easy to raise money. Why? Because you can name them after that. That was the drive of businessman. If you go to AIM you'll find almost every room has the name, every faculty Chair has the name named after the businessman which is vanity that drives in. The other things is they are also very practical if they want. We have, for example, some centres that are named after some businessman, and what do the centres do? They try to propagate business responsibility, and why are businessman willing to fund that? Because it gives them an aura and image of social responsibility. So, the secret to looking for money is to find out what they want. It's not a one-way deal. You know there 's an old adage from the west; it says, "He who plays pipers calls the tune" That 's true when the kings and queens were funding education. It seems true today, but one of the things I've learned from the 35 years experience is that if education, if private education is to flourish, it has to know its market, it has to be responsive to its market, it must offer the skills and the knowledge that the markets need. Of course, I agree with the politician friend over there that there are some things that private education cannot do: it cannot offer education for non-marketable things. That's what the government must do. Now it also makes me realize that we had been aping the west, we have been trying to put up university that looks like western university, we do not realize that we don't have the pile of money that the western countries have, and so, when we put up our university systems we must have a particular kind of job for the private universities which is different from the kinds of job of the public universities. The private universities, for example, seems to me, might start pushing the professions where there are markets for the kind of skills and

talents. There are some technologies that business is willing to pay for. Those can be done by the private sector. What government universities need to push are those that do not have a market yet. What universities, what public universities must do is to look much farther into the future, look much deeper in what makes a good society and funds the universities that will make investments in those areas, that will do research in those areas, that will teach students and give them scholarships so that they can move into those areas. We must make a balance between the private sector and the government sector and we must differentiate the kinds of things that will make them do. I also notice in this whole day that each one of us has different definitions of autonomy. I think there's a different dimension of autonomy. One is the strategic dimension. The strategic dimension of autonomy cannot be done by the people in general, it must be done by the people who are looking at the society as a whole. Now there's another kind of autonomy that is the operational autonomy, that the people who run the university must have, they must have the freedom, they must have the power to determine what they will do and finally there is an academic autonomy. And that one must be decided by the people who are in those kinds of functions. So, the teacher of management should decide and should have autonomy in teaching and research in that area. On the other hand, the teachers of science should have autonomy and freedom to decide what they will do research on and what they will teach. We must be very sure about that. In looking at the developing countries like ours, we have not achieved much. So, we must rebel against what make us so, we must make it respond to our needs and our capabilities. To try to do everything the way western universities do is not possible for us. What it will do for us is to have mediocre universities with mediocre people who cannot really run. You know one of my arguments with the people in the Development Management School. By the way, over the thirty-five years, we used to have one institute and now we have four schools, each school serving a particular market that needs it. But my argument with them is they keep talking about is how to alleviate poverty which is what the rich countries keeps telling us to do. You know in alleviating poverty, what we should be doing is: How do we get rich. One of Chinese dictators said, "You don't alleviate the poverty, you make everybody rich. It's the change in the way we think". Finally, it seems to me that we must be realistic when we look at education and governing education. We must give the private sector, the private school, liberty to do what they do best which is responsive to markets, and we must let the public sector, public universities do what only they can do. Look at the far future and decide what will make us a great society.

**Moderator:** Thank you very much. So many stimulating thoughts have been given to us aside from telling us about the development of AIM with some key words, for instance, market-driven institute, market driven school. He suggested that we have to know our market and respond to our market. He also suggested that in raising funds, we have to understand the fund givers us and find out what they want. He also talked about the differences between private and public universities-the role difference. That is, the private university should to something that is response to the market very well in the skill, the technology

or whatever the market wants, but the public university should do something else, it has to do something which is deeper or further to look into the future. He clearly mentioned about the kinds of autonomy such as strategic autonomy, operational autonomy, and academic autonomy. He said that our Asian universities should not duplicate or copy what the western universities do because of so many seasons, and we have to be realistic that is his final word of wisdom. So, thank you very much. Now, the last speaker which we save for the last intentionally. In fact, he asked to be the last speaker. He said he would like to listen to all his previous speakers first and then patch up or debate his own thoughts. I am sure he will give a more comprehensive definitions of the autonomous university in terms of good governance. So, now I'd like to invite Professor Dr. Sippanondha Ketudat, please.

**Dr. Sippanondha:** Thank you, Mr.Chairman. Mr.Chairman, distinguished guests, fellow panel members, ladies and gentlemen. It's good to be the last one. I did enjoy listening all morning and this afternoon. I learn a lot although I have tried to gather my experience around the world over the past 50 years. Let me discuss only 3 major points relevant to Thailand using examples and what we have learned today. The first point would be strategic issue of Thai higher education reform. To my knowledge, this is the 4<sup>th</sup> time that Thailand is trying. The first one started in 1930. It lasts long and I'll go into this a little later. The second point I'll touch on is the organizational structure and management of reform, particularly on autonomy highlighting some external to the university and some in the university proper. And the third point is good governance. Actually, I try to combine autonomy and governance together in my presentation. On the strategic issue of the Thai higher education reform at the moment. That has been the discussion over the past 3 years or so and finally, about a month ago, by the National Education Commission now called Council. On the 7<sup>th</sup> of July 2003, the legislation regarding management of education structure in Thailand as a whole came into effect. There were 5 resolutions regarding the reform. This is the reform paper, some carried out, some not. But many of our members on the Council say that it's done. I said it's done on paper. Anyway, there were 5 interrelated issues: One is the organization structure and management reform, both external to universities and tried to identify the relationship between universities and the government, and the universities and the State. I distinguish the State and the government. The government in Thailand comes and goes. At one time, in one year, we had three Ministers of Education, so whom will we listen to? That's why I think the State is much more stable, had been for the past 800 years at least, I think. Second is the financial allocation reform for quality improvement. Not much has been discussed on equity allocation yet. The third one is expansion which is equitable access and admission reform in mind. This third point is very difficult. Watching the growths of Thailand for the past two and a half decades, twenty five years, the average enrollment in higher education in Thailand increases about 7 % per year but resources and teaching staff do not increase at that rate. So, there is the problem in expansion with quantity but quality has declined. Fourth is the teaching-learning research reform in the organization on the allocation of money for

research, on the training of Ph.D. four years in Thailand, one year abroad for Ph.D. SUT has been a major recipient on this particular issue as well. And fifth is the teacher development reform. Now, I will not discuss all four or five but concentrate only on the first issue that is organization structure management. Although all the other aspects are important, the other topics are not so relevant to the theme of our conference. Now let me state the major principles under the reform of Thailand higher education. The State specifies policies, plans and targets. The State oversees policies, quality, and standards utilizing financial allocation as the means for leverage. Good to say but difficult to manage. The State encourages private sector, local authorities, and business to participate in higher education. That is the major principle. The second major principle is that at the institutional level each university is free to have its own internal organization structure and management. A university is encouraged to reform the system of searching and appointing its President. At the present moment, it is not very satisfactory in state universities, the private universities are much more efficient and effective in searching the President or Rector in searching for appointing the President, Deans and the key personnel, mobilization of resources, collaborating network among institutions and others are outlined. So, that is centrally the major principle for reform. This part is also encompasses the National Education Act of 1999. Now let me touch on a little bit by quoting what we mean by autonomy. It's very hard like many of our colleagues have said autonomy at the university is culture specific, location specific, and temporal specific depending on the society of that time, depending on freedom and academic freedom and settings at that particular time. Normally, one would have to discuss all three together: academic freedom, autonomy, and social responsibility and to carry out the three major principles of higher education Good management and good governance are the key to success. Be that as it may, let me state autonomy and the meaning of autonomy as agreed upon by most people, particularly the International Association of Universities recently. Autonomy is the necessary degree of independence from external interference that the university requires in respect of its internal organization and governance. The internal distribution of the finance resources and the generation of income from non-public sources. The recruitment of its staff, the setting of the conditions of studying. And finally, the freedom to conduct teaching and research. Now to put this into practice, to design the system from one setting to another setting is not simple. Like I said, it is location, temporal and cultural specific. Let me outline briefly what we have gone through in Thailand. When we compare the reform in Thailand with international concepts that I have described so far, it may seem to those abroad that the Thai universities have less autonomy and academic freedom than the university system and other societies. But Thai university system, I feel, has almost a full mark on social responsibility. One can understand this situation if one considers Thai university system in its historical perspective. Over a century ago, a few Thai higher education vocational institutes were established to train civil servants in law, administration, medicine, and engineering. These institutions were amalgamated into Chulalongkorn University in 1917. And now recently, only a few decades ago, when many universities, public and



private, were established, universities and higher education institutes now numbering over 800 campuses all over the country produce academic professionals, technicians, and others for economic, social and professional technician and others for economic social and political sectors and all sectors of Thailand. Furthermore, those with upper secondary certificates and lower secondary education with experience can enter into one of the two open universities. The enrollment ratio in Thai higher education is now 25% and it will go to 50% roughly in about 10 years. Can we manage it?

That's a tough question to answer. Indeed the system is now created for life-long education. There has been several attempts. This is the 4<sup>th</sup> attempt. Like I said before, the first attempt was made between 1930 -1932 just before I was born by the father of His Majesty the King of Thailand who wanted to reform Chulalongkorn University from a training school for civil servants to full-fledged university, but the transformation of Thailand from the absolute monarchy to constitutional monarchy occurred in 1932 and the new government did not carry out the task. The second time lasted about 8 years when many students from abroad, many Thai student who went abroad after the Second World War came back and so many universities around the world had a different types of systems, different autonomy, different freedom, and different social responsibility. So many people at that time started to reform, around 1960, or to be precise, from 1964-1972. They started to reform Thai higher education. Four major issues were discussed at that time. I was one of the instruments being a secretary of all the four major issues and went to the Cabinet to explain things to them. We lost in 1972. So, that was the second attempt to reform Thai universities. The third attempt was very interesting, between 1991-1992. We had a very foresighted, farsighted Thai Prime Minister, Mr. Anand Panyarachun. I was also in the Cabinet at that time, not holding the Education portfolio in the Ministry but I tried to help. We lost again. The Speaker of The House didn't agree with it, and the Session ended. The government resigned because we passed it through the Constitution. Now, this time it started in 1998 and has continued up to now. Dr. Krissanapong has outlined its difficulty and so on. With so many types of universities and higher education institutions in Thailand, the governing systems are different but I think good governance applies to all. Let me stress only on the university. What is a university? I try to sum up all the concepts, starting from Chulalongkorn University, roughly 90 years ago up until now, I believe that we understand the university. This is in the Thai society probably applicable to many developing countries. A university is a large multi-objective social organization nurtured by the society, and serves the society through its academic and professional staff to train future generation by utilizing effective teaching, learning, and research. I believe the university has 3 main functions or roles. First is to be responsive to the needs of the society. Second is to be proactive toward the wellbeing of the society by doing research, by participating in rural development, by setting an example in the slum, etc. And third is to be the conscience of the society. Thai universities have not done much in this respect. In order to carry out the multi-objective task of a large social organization, one has to consider

major tasks to be performed: who are to do this task? And how? Or conversely, who or what group and what types of person are to be responsible for what task. In general, the groups of the people are involved, but some could be amalgamated together. I try to sum this up from my experience in my academic life, in my public sector life, in my political life, and also in my private sector life. A university cannot be run as a small company, as a family affair company, or as a family unit of the professors only. Let me share with you 2 portions: one part within the university proper, another part external to the university. Within the university proper, there are six groups that I can see. First group is owners or benefactors or those deeply committed to the cause of the university. They provide roles and philosophy to the university. Their major responsibility is to provide funding, particularly major capital funding. They also approve financial statements. They elect among themselves or a trustworthy outsider as Chairman. This group is similar to shareholders of a business organization. The key to success is ownership and commitment. Now in public universities, in Thai universities, there's no ownership, no feeling of ownership among the Board members, call it Board of Governors, call it Council, call it whatever. Sometimes, students feel they own the university, janitors feel they own the university, professors feel they own the university, but there's no sense of ownership deeply committed to the mission of the university, in many public universities but not so in private universities, at least in Thailand and in a private university that I served as a member of the Board of Trustees once in Mexico. The second group is the University Council or Board of Trustees, or Board of Governors, or Board of Rectors, whatever you call it. These people are essentially professionals and academics with broad experience in a variety of specialized fields of interest. They were appointed by the first group of benefactors, the owners, or those deeply committed. But those deeply committed many times are not professionals that know the management. In many cases in Thailand, government send a few people to be members of this group, particularly in private universities, but not to private companies. The number of this group usually is around 20 to 40. The Chairman of group one is usually the Chairman of group two. Their responsibility is to oversee the whole operation starting from approving strategies, policies, plans, and budget; approving regulations and rules, reviewing the financial statement, appointing President, Deans and key personnel. The key to success, one can see it in Thailand and abroad, is the devoted Board with no self-directed or invested interest, they meet in general four times or five times a year. In many cases, groups 1 and 2 are merged together. The keys to success are the detailed duty or responsibility. How many? How are they selected? In many Thai public universities, many professors and deans sit on the Board, on the Council. So it is tough for Rectors or President to run the university because anytime he does something he has to scratch the back of others, they scratch the back of each other, so it's not effective and not really good governance in that sense. That's it. But some universities have tried this third group that comes in. The Executive Committee normally comprise 5-10 members of group 2 of the Council essentially. The Chairman of group 1 or Vice Chairman of group 1 or 2 sits as the Chairman. The major duty and responsibility are delegated from those in group 2. They meet once or twice a

month depending on the issues to review and approve those issues delegated to group 1. The President or his designate is the secretary. The keys to success are the overseeing roles, the working relationship with Chairman and major fund providers and the President. There are many gritty issues involved. When I served as Chairman of Petroleum Authority of Thailand and National Petro Chemical Corporation of Thailand, many times a Board composed of many people, so we cannot discuss issues deeply. When we want to discuss issues deeply, we normally formed an Executive Committee, like many banks do, and I was a Chairman of a Securities Company.

Every month, we have to see how money comes in and how money goes out, whether it is effective or noneffective, and we review what the President recommends. At the same time, there is a feedback mechanism from the clientele, etc. Now, I think the most important of all is the President and the management committee in the fourth group. He's the Chief Executive Officer or CEO representing the university in the outside world. He prepares the strategic policies, plans, packages and everything. The key to success is the leadership quality of the President or the Chief Executive of Officer. If he does not have the leadership quality, it's so so. Now if we're in the transition from being government department to autonomous university, we have heard this morning and this afternoon by Khun Abhisit again that management or change is the key. Therefore, when choosing the President or the Rector, the university that is in transition we have to choose a person with a change management quality, not the person that can run smoothly normally. The issue is: How are the President or the Rector and the Dean searched or selected, and who appoints them? In Thailand, there's a search mechanism but it doesn't work well yet in the public universities. Academics and professionals in the fifth group and the people who work as teachers research in their own field of interest and so on, they all work effectively and efficiently with quality if there's any enough incentive or decenter to do or not to do something. They recommend improvement to administrators, Deans and Presidents. The issue is straightforward how they're recruited or promoted. For the last group: the clientele, the students, the parents, and the public, some feedback mechanism has to be devised so that everyone would be kept on toe and participation is implemented so that transparency is implemented. Now outside the universities in Thailand at the moment, there're two major organizations: one is the National Commission for Higher Education. Under the National Education Act of 1999 revised in 2002, the Commission for Higher Education is responsible for proposing to the Ministry of Education policy, national development plan on higher education, standards for higher education in line with the national scheme of education, religion, art, and culture. They are also involved in the mobilization of resources, inspection and evaluation of the provision of higher education taking into consideration academic freedom and excellence of degree level institutions in accordance with the law on establishment of each institution and other relevant laws. This is easily said, still to be implemented. When I said the State rather than the government is embedded in the national scheme of education, religion, art, and culture. Who draws up this scheme? The scheme is to be drawn up by

National Education Council, about 60 people in this Council. Before the Act became effective, it was the National Education Commission that drafted this scheme. I was privileged to draft the scheme as to balance between specificity and generality: if you are too general then you can do anything under the sky but if you are too specific the roles of university are somewhat limited. So, it's more or less the art and the science. Drafting the scheme of education and implementing it are not so easy. In Thailand, for the past 100 years or so, we've had several schemes of education, about ten of them. I was privileged to be involved in the last four. I involved in the first one when I was a young staff teaching at Chulalongkorn University and also was helping the Ministry of Education, almost 50 years ago. In the second one, I was instrumental. In the third one, I was not directly involved but commented on it in the Parliament. So, autonomy is the interplay between the government and the university through the Commission of Higher Education. The second one is the Office of National Education Standards and Quality Assurance. Under the National Education Act, the office has been established to carry out external quality assurance. SUT has not gone through this but other universities, many universities, have gone through. I was privileged to serve as a Chairman of two committees to review two universities. Over the past two years, these activities have been carried out on a few thousand institutions, both at the basic and higher education levels with reasonable success. After outlining the organization structure and management reform, let's assess the overview and sum up this reform with reference to its autonomy. A long term historical perspective would show that a university in Thailand is definitely more autonomous, but not to the level at most universities in western society, not like Harvard or MIT. I still visit those two universities because I still have many professors who are still living. That's about 200. But they live alone quite well and they sit on the Board of Trustees of these universities. However, universities in Thailand are more responsive to the need of the government and to the society. Now, just briefly on the good governance. After structure has been designed, many laws, rather many bills are under consideration now by many universities in Thailand. I think I quite well drafted along the way, but the issue at hand on good governance is in the procedural matter, interpersonal relationship of the various units within the university and outside the university and still they are to be seen. So these issues had been touched on by distinguished panel members. I will not touch on again. You can read my paper along since I have already spent all my time. So, I will stop here. Thank you, Mr. Chairman.

**Moderator:** Thank you very much. Dr. Sippanondha touched on the issue of education reforms in Thailand. In fact, this paper is very helpful. I don't want to summarize very much but I'd like to underline certain points. The first point is that he said that when we compared education reform in Thailand with international concept, what we have described so far may seem to those abroad that Thai universities have less autonomy and academic freedom than universities in other societies. He said this two times. But the Thai university system has almost full marks on social responsibility. So, in his opinion, to serve society for Thai universities, whether private or public, we are doing very well in this respect.

The second one which is quite similar to what Professor Mendosa said is that the university roles should not only respond to the need but also be proactive toward the well-being and be the conscience of the society. This is the idea of looking forward for the public university and autonomous university. The third one, which is the very striking: he said that a public university doesn't have real committed ownership. This is why. He said sometimes, maybe in the future, the private universities will overtake certain public universities. Even now I would say some private universities have already overtaken some public universities because we don't have real ownership for public universities in Thailand. If you are a Thai you may have heard certain phrase, that is, "khong luang" which means it's nobody's, it just belongs to public, nobody owns it, nobody is committed to protect or preserve it because it is a "khong luang". So, this is exactly what he just said. And the last point is about good governance. He said that the good governance of university must assure relevant, efficient, and effective management with quality output in teaching, learning, and research. So, that is the delivery of important speeches by our panelists or our speakers. We now have about fifteen minutes for discussion. I think, after listening to us for more than 2 hours, go now, it's your turn to voice your opinions and queries. You may have some comments, ideas or questions to ask us. You have about two or three questions to ask. May I now invite the floor to respond. There are four microphones over there, so kindly come to the microphone and say something.

**Participant:** Well, I just would like to address one question. That is, you know, most speakers have mentioned the same thing: trust and public expectation or what the university has to do. It seems to me we already have that, we already have a burden trying to live up to the expectation that the public have and it also seems to me that all the presenters make the linkage between the new expectation and the autonomy that we will have. I'm not quite sure what difference it will make. While we have the new expectation, it seems to me by being expected to do a quality education, quality research and social responsibility. Probably it will be the same 3 things that we still have to do when we are not a controlled or an autonomous university. I would just like to ask: What will be the new expectation? Thank you.

**Moderator:** Thank you. Very short and very clear. Anybody want to respond? What are the new expectations after becoming autonomous universities. Will they be the same thing like teaching, researching, and responding to the society, or new pattern, new kind, new brand or new breed of expectations? Dr. Sippanondha, please.

**Dr. Sippanondha:** Briefly, I just want to mention one thing. Well, the expectation from the public: the rural sector, the modern sector, traditional sector, people with a deep commitment to culture, is they expect the university to play a good role in trying to bridge the gap of fast changing word of technology while maintaining social identity, and cultural identity. I think this is true in Thailand as well as in many developing countries, but this is a

different kind of concern in the western world. So, I just mentioned this one and it's very tough if universities in Thailand are still government offices that have to listen to directive from the bosses, one cannot really fulfil that, one has to be oneself, one has to do it effectively, efficiently and transparent as well as accountable because we are using the resources of our country: be it public or private.

**Moderator:** Could we hear from Mr. Abhisit, please?

**Mr. Abhisit:** I think maybe I should rephrase. I don't think new expectations come from the fact that universities are becoming more autonomous. I think it runs the other way. What you say is correct: the expectation about the role that universities are expected to perform. Just don't act differently from the past, but even the same objectives, for example, providing same quality education, producing quality graduates. The challenge is you used to be providing that to less than 10% of the population. Now you are expected to do it for half of the population in few years' time, like you are expected to produce good research work in an environment where much more rapid changes are going in technology and other fields. What we are saying is that unless there is greater autonomy, it's unlikely that you could meet the same expectation, if you like.

**Moderator:** Thank you very much. Dr. Pschied, please.

**Dr. Pschied:** We have to recognize that at the university, especially in science there are completely new teaching methods for a few years. They are introduced and the universities in the future will change, a lot of students will work at home, they work in group. The time when the lecturer just provides the lesson one two three four, in front of the black board, will be gone. The student who can't study by himself comes to the university or a place of study. This has been implemented, but by that method, facts and knowledge are not comprehensive enough.

**Dr. Mendosa:** Of course, the other change they will expect is they expect us to understand them better. When I look at my sons, they read a lot but when I look at my grandchildren, they don't read too much, they try watch TV, and they learn by listening, by looking at pictures, etc. What do they expect from teachers of tomorrow? They will expect them to teach differently. There is a case method at AIM. We write cases. I can see, for example, that ten years from now we will have to do it more differently. Ten years from now, people will absorb so much more information from watching the news on TV. The young people of today are different from us and they will have to be taught differently.

**Moderator:** Thank you very much. I think we can entertain one more question. Dr. Umaly, please.

**Dr. Umaly:** I am not asking the question but I would like to respond to the question. I think in terms of the role, it will be the same regarding quality

programs, research, community service, culture, but the main difference is how you are going to do this. And one of the things that they we saying is delivery system. It will be very different. The decision making will have to be different because you will have a different organization, so the decision process will be different, the allocation of resources will also be different, because you will have to have different strategies, different priorities, and therefore the allocation of resources will be different from the present ones. And lastly, maybe the other one will be on the sound quality you have to look for in the new system. So, I think it's will be the same, but those are some of the differences between the old and the new ones. Thank you very much.

**Moderator:** I think it's time to stop now. Let me just summarize here. We have learned a lot from our panelists. Their thoughts and ideas are to me very valuable. We have more insights into the problems. We can rethink or re-analyze the problems we are facing now and in the future. And in order to come up with very good governance of a university, I think there are so many players, so many many groups. Like what Dr.Sippanondha just mentioned about, the relationship between them are quite complex, they're all human being. That is very complicated, but I think with our commitment, and the real determination or intention, and if everybody knows their own role, their own designated role, very clearly and act with morals and ethics, I think we can hope for good governance in our university in the future. Before we say goodbye to you today, I'd like the audience to join me in thanking all the four distinguished panelists by giving them a big applaud. Again on behalf of the panelists, I would like to thank the audience for your patience and attention. Thank you very much. Thank you very much all the distinguished panelists.

**MC:** Thank you very much, all the distinguished panelists. Thank you. Dr. Phadoongchart, the Chairman. As Dr.Phadoongchart said, it was a very useful and thought - provoking session this afternoon, full of experience and lessons for all of us here to learns. Before anything else, may I invite the SUT Rector Asst. Prof. Dr.Tavee Lertpanyavit to present a token of appreciation to our panelists, Mr. Rector, please .

**PANEL DISCUSSION ON “AUTONOMY :  
QUALITY OF HIGHER EDUCATION  
ISSUES”**

**Key Speakers:**

**Professor John Loxton,  
Macquarie University, Australia**

**Professor Nobutaka Ito  
Mie University, Japan**

**Professor Sawasd Tanratana  
SIIT, Thammasat University, Thailand**

**Moderator:**

**Miss Porntip Kanjananiyot  
Bureau of International Cooperation Strategy Commission of  
Higher Education, Bangkok, Thailand**



**MC:** May I now introduce our moderator for this session, Miss Porntip Kanjananiyot. She graduated with First Class Honors, and earned two Master degrees from Columbia University, the United States of America, in Educational Administration and International Education Development. She's a former Director of Bureau of Higher Education Standards and Division of International Cooperation, Ministry of University Affairs, and she's currently the Director of Bureau of International Cooperation Strategy Commission of Higher Education. She has been actively involved in setting up the ASEAN University Network Secretariat, a Speaker on International Cooperation in Education and Quality Award under the coordination of Thailand Productivity Institute in 2002. First, I'd like to turn the floor over to Miss Porntip Kanjananiyote. Thank you very much.

**Miss. Porntip:** Thank you very much for the kind introduction. Distinguished guests, ladies and gentlemen, it's my honor to be moderator for this section. And this is the first session for today, so there should be something very interesting, and that would be the starting point for you to discuss later this afternoon as well. And because we have only an hour for three people to speak, I'll speak less and then try to have more time later in the session for questions and answers or something for discussion. So, each panelist will have about fifteen minutes. We'll be a little bit more flexible in between. So, basically, I'll give each fifteen minutes presentation, and we'll have five to ten minutes later for Q&A or discussion further. So let me introduce to you our first panelist today. Our first speaker for this session has had vast experiences of different dimensions of higher education, especially in teaching and learning, something that, in reform, we have been talking a lot. And his experience ranges from reconceptualization of teaching and learning development of performance indicator in target for teaching, development of proposals for awards for outstanding teachers and teaching development grants, et cetera. Currently, he is Deputy Vice Chancellor for Academic Affairs at Macquarie University taking responsibility for the development and oversight of international programs at Macquarie University, and also serves as a leader in Macquarie's collaboration with TEF and the vocational sector. Ladies and gentlemen, please welcome Professor Dr. John Loxton.

**Dr. Loxton:** Thank you very much for your warm welcome. It's a great pleasure to be here and joining the conference. I apologise for my voice which is still travelling from Sydney to Bangkok. I hope it will come back. In olden days, universities were said to be ivory towers, elites removed from the hurly burly of society. But globalisation has changed all that. Universities are now part of a mass education system and are expected to serve national, economic and vocational goals. Every country is looking at deregulation. Australian universities have quite a lot of autonomy and I just want to sketch one or two aspects of that. We can teach what we want to teach at whatever level we want.

Australian universities accredit their own degrees. We can teach where we want to teach, in Australia or in overseas countries around us. We can recruit what students we want to admit. In fact, we're quite lucky at the moment because there are more students wanting to get into university than we can take and it is becoming increasingly difficult to satisfy the demand. We can charge fees. One of the recent reforms in Australia will allow Australian universities to charge fees to students and that's both good and bad. It reduces our dependence on the government, but, of course, it puts the burden on students to pay more for their education. If the reforms proceed, we'll be able to have about half of our students in undergraduate programs on a fee-paying basis. We can work internationally, recruiting international students and teaching international programs. Most Australian universities have very strong international links. We can employ the staff we want to employ without getting permission. This is another interesting area in Australia at the moment. There is quite a lot of debate between the conservative government, which is looking at individual employment contracts, and the staff union which of course favours national awards with uniform conditions. The universities are in the middle of this rather difficult debate. This illustrates one of the difficulties of autonomy because universities have various responsibilities for employing staff and setting salaries and conditions, and don't always receive from the government the funding to make all that work. Still, we have the freedom to employ staff. We have the freedom to do research in the areas we choose and this is also the responsibility to make good use of the assets, the intellectual property, of the researchers. So commercialising research is an important activity in Australian universities. We can choose our research partners in industry and business. At Macquaries, we have set up a research park on campus which is a way of getting industry close to the campus and increasing the value of the links between academic staff and industry. So, there's a lot of freedom. On the other side, there is also a lot of accountability. Australia has moved from a much more regulated system to the state we are in over the last 10 to 15 years and, to some extent, the bureaucracy of government regulation has been replaced by the bureaucracy of government accountability. So the three R's of Regulation, Reporting and Review, are really quite onerous. There's a uniquely Australian twist to this because Australia has three levels of government: a national government, state governments, and local governments. Universities have to work to all three levels, and they all have their different regulations, some of which overlap and some of which are inconsistent. But I think just for the purposes here, I'd like to concentrate on the national government. The national government pays the government money that comes to us, so this is the most important thing in some sense. The national government collects a lot of information from universities. Some of that is certainly necessary and some of it is just a lot of information. Students may defer their tuition fees and pay them back through the tax system after they start earning income. The government collects individual student records, in order to pass on the necessary information

to the Tax Office, and that is just one example of the level of interaction. Some of the data is useful for purposes of accountability. Some of the comparative data may help students decide what universities they want to choose to go to. About two years ago, the government decided that more should be done about the quality of Australian higher education. They set up an independent body to monitor quality, called the Australian Universities Quality Agency, and that body began its quality audits in 2002. Macquarie was one of the universities to be audited in the first year. And it was a very expensive and onerous business. The audit panel visited the University for four days and interviewed over 250 staff and students trying to assess the quality and the way we control the quality of our programs. Of course, that was only part of it. There was a lot of work leading up to the interviews: reviewing ourselves, assessing our quality system, collecting documents, and everything. Well, Macquarie is just about to receive the audit report. So, fortunately, I don't have to tell you how it turned out. It was really an audit of processes, and not so much an audit of quality and what we actually teach and research. I think that's one of the difficulties with accountability. It's harder to design a fair test for quality and not just for quality processes. Just briefly, here are some of the things that the state government asks for by way of regulations and reports. A couple of weeks ago, we had a seminar in which the speaker told us about a different sources of legislation that the state government has controlling universities. There are two full pages of titles of Acts of Parliament that we're responsible for working under. We report to the state government on a lot of projects, especially research projects. These require ready accountability to state government. The Auditor-General audits the financial accounts of the university every year, and that is yet another quality process. And there's a great deal of social legislation that controls the universities like freedom of information legislation, privacy legislation, and equal opportunity legislation. These are just some of the ways that governments interact with us by way of legislation. The Australian university system has just had a major review. The Minister has just told the Parliament what he'd like to do, but all these changes are still to be approved by the Parliament. The Vice-Chancellors in Australia are seeking more deregulation, but some reform of accountability to make it less onerous. The Government has said it will cut red tape. But unfortunately, when we seek the detail of reforms, they actually seem to involve more accountability yet to come. The new system would require detailed negotiation with government about student profiles and even about how our universities are governed and how we manage our staff. So, I suppose, to sum up, it is very hard to get the right balance between regulations and accountability. I think it's not surprising that to some people, autonomy is a very dreaded word. But in Australia we do need more deregulation to deliver quality teaching and research outcomes and the internationally competitive higher education system which our country requires. Thank you.

**Miss Porntip:** Thank you very much, Dr. Loxton. I think what we could

summarize here is freedom is great but it is expensive and whatever the government and the university want to do is to make sure that all will be for quality. Now does the audit process really look at the process of quality itself? That is left for all to answer and discuss the balance of all this rules and regulations against the autonomy of the university. So, right now, let me move on to introduce to you our next panelist. He got his doctoral degree in Agricultural Engineering from Kyoto University. He initiated the university international seminar and symposium for university students program among three universities in Japan, Thailand, and China. He has also had teaching experiences in many countries including Thailand, a real close friend to our country. Currently, he is Professor of energy utilization engineering and Director of Center for international Students from Mie University. Please welcome Dr.Nobutaka Ito.

**Dr.Ito:** Well, thank you so much, Madam Chairperson. I'm really happy to be here to present my paper on the topic of university autonomy. Today's topic is just university high education in the 21st century. When I came over here the last year, I just talked something about this topic. This is just the content I want to explain. So, anyway, since the time is limited, and there are five panelists over here, I allocated time for almost thirty minutes but the Chairperson said I have only fifteen minutes, so I have to speak quickly. Anyway, the problem we are facing here is that we're forced to change into autonomous university from next year before April 1, 2003. First, I have to express my acknowledgement and congratulations to the 13th Anniversary of Suranaree University of Technology. As far as I know, by April 1,2003, all state or national universities will become autonomous by law. Here are the major reforms we carried out at Mie University: Management improvement or change for higher efficiency or effectiveness, power concentration and quick decision making by authorized persons, budgeting system based on individual performance evaluation. I would now like to mention current topics related to autonomous universities. These are faculty development before or after hiring, technology licensing organization, continuous evaluation by authorized third person or organization, and class evaluation by students. And in terms of human resource preparation for society, we should follow EQUIPPED model that stands for Excellent, Quality, Up-to-date, International, Pioneering, Professional, and Direction. I think the desirable human resource quality for society should encompass knowledge, vision, vitality, and venture. The graduates of university should possess these qualities: experience, qualifications, understanding, intelligence, potentiality, personality, and dedication. For engineers and other professionals, they should have these four global skills: English language skills, computer skills, communications skills, and knowledge of international finance. Now I would like to touch upon one important aspect of higher education in Japan. That is cooperative education, which is also available here at Suranaree University of Technology. The purpose of this program is to make sure that students have practical experience, co-operativeness, responsibility, and leadership, apart from

being a good member of society. More details on these and other topics are on Power Point. I have already spent 30-40 minutes. I will just stop here because of the time limit. Thank you.

**Miss Porntip:** Thank you very much. Dr. Ito has given many interesting points. I don't think I could summarize here. But, definitely, universities in Japan have changed their lives and the change is still going on with a lot of things for them to challenge them in terms of evaluation, and in terms of the outside-in approaches. There'll be a lot of innovative ideas coming out, and I think if you pick up something like special graduate program and the way the government is trying to come up with different kinds of incentive packages, there will be something that we could look into as well. Let me now move to our last speaker who has been very involved in Quality Assurance or QA at international level. So, this will be another aspect of quality assurance and university autonomy. He graduated with a Ph.D. in Electrical Engineering from Princeton University, USA. At present, he is Deputy Director of Sirindhorn International Institute of Technology and Professor of Telecommunications Program, please welcome Dr.Sawasd Tantaratana.

**Dr.Sawasd:** Thank you very much. My name is Sawasd Tantaratana from Sirindhorn International Institute of Technology, Thammasat University. I checked with the organizer, they did not give me any specific direction on what to talk about, so I just came up with something. These are just my views of things and hopefully, they reflect some of the facts and the situations. Mostly, they are related to Thailand, and the way I see them. Well, let me first introduce a little bit about SIIT or Sirindhorn International Institute of Technology. We are a privately funded institute within a public university, which is Thammasat University. So, maybe for some people the idea is still a little vague, but I usually compare it to Hong Kong within the People's Republic of China, or something like that. So, let me make it a little bit clearer what our role is. We do not receive any government money, therefore, we are not the same as government university which will get out of the bureaucratic system soon. We're already out, we've never been inside the system, and we are trying to set up a system which we believe will involve block grants as opposed to line item budget, which leads to a lot of freedom for the university. Anyway, as for the employees and faculty members which mean that perhaps they should get work the best we can. So, autonomy, usually, means that the university will get block higher salary. And what I have heard is that most of the universities, which plan to gain autonomy, will increase the salary to about 1.5 times or maybe somewhat more. In exchange for that, the universities must have accountability and then improve the efficiency at the same time. For the employees, what they lose would be the lifetime employment, what they get will be the employment contract. So everybody knows what he or she should do under the agreement and there should be a termination of the contract if the performance is

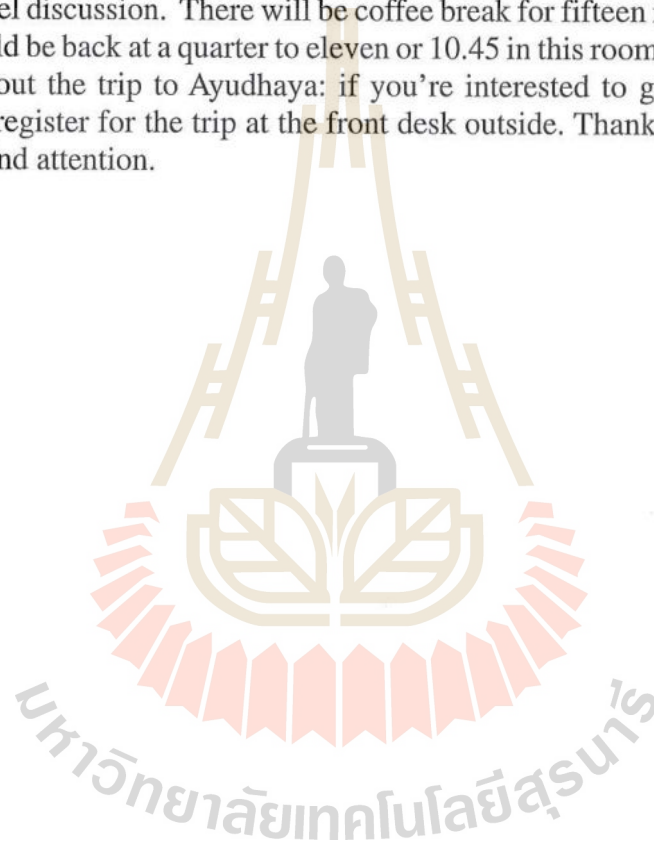
unsatisfactory, unlike in the bureaucratic system, which is very difficult to get somebody out. To be fair to all, a clear and fair method of evaluation should be established, otherwise the employees would complain that it's an unfair treatment, that they are laid off because of some biased opinions. The evaluation must be unbiased. And also one of the ways, especially for faculty, perhaps we need outside referees to evaluate the performance. To keep the quality, I believe that the faculty must maintain research interest and must continue to do some research, otherwise they would not be up to date, especially in science and technology. As we know now, the life of each knowledge, perhaps, as some say, is only five years. So, every five year, what you have known, half of them is already out of date. This is, perhaps, one of the best ways to keep up to date. But for faculty as well as other staff, they need sufficient compensation. This is very important. And I believe that the present scale, that is, 1.5 times of the government salary, is not sufficient for the faculty members to maintain their duty and at the same time continue working on their research. The university should get feedback from students' parents and they must perform or teach to the satisfaction of, especially, parents and students. For the employees, of course, we need quality assessment. To get good quality or to achieve quality, of course, there are many hurdles, especially, the way I look at the current universities now to get out and to obtain high quality or good quality. The first obstacle, I think, is the culture. You get out on paper, but then the people are still the same, the system is the same, all system, people, and the culture are still the same. You have to change this, and this is very difficult. I don't know, I have no idea how to do that, but I am just pointing out that this is one of the obstacles. And, of course, people's nature resists changes, so it will take time, you cannot just tell them that by tomorrow when we get out of the system you have to work in a different way or something else. O.K. the next one is we have to make sure that there is a scheme concerning non-performing employees that we can lay them off or something, otherwise, we will end up keeping inefficient people in the system. And as I mentioned before, I believe that the salary for faculty members is not sufficient, even at 1.5 times increase. So, with insufficient salary, what they will do is they teach more or moonlight, or maybe teach evening classes, or go out and do some outside consulting. So, they have less time for students, less time for research and less time for preparing good teaching. And with that, it may lead to dead wood faculty with no research that will keep them up with the new technology. So, what do we do with them? Some faculty members are still not familiar with the new system, not familiar with students' evaluation, but I think this has changed quite a bit. In fact, they object to students' evaluation which, I think, is not good if we want good quality. One thing that I see is now universities, most public universities are offering too many programs, especially, the special program as they call it. This is direct translation from Thai word *๕Krong karn piseté*, evening classes are one of those. The students have to pay more and the reason they do it is to gain more income. That's still the incentive to do that. With those special programs, the faculty

members have to teach more. They do that in order to cover those classes. They have to teach not only the regular program, but also these special programs. So, the faculty spends too much time on teaching and no time for research. And currently the public universities enjoy the quality endorsement from Day 1 in Thailand, especially. No question about quality. If you set up a public university today, that implies good quality. So, that may lead to complacency and no incentive for improvement. But I think this will change because of what you call Sor Mor Sor or Educational Standards and Quality Assessment Office. I think they start to have quality assessment, hopefully that will improve the quality of public universities. However, from the private universities' point of view, it is an unfair competition because the faculty members of public universities are subsidized by the government and at the same time, they collect fees at the similar level as private universities. Of course, since public universities receive public funding, they should be audited. I believe public universities, after they get out of the bureaucratic system to become autonomous, they should be mandated to keep some tasks, they should not keep only programs that make money. Some of the programs from which you don't make money should also be kept, and also find ways to take care of students with low income. If every university goes out and becomes autonomous, and every university raises the tuition fees, then what happens to the low-income students, or there should be some other schemes to take care of those students and the non-unprofitable programs. I think that is my last line. Thank you very much.

**Miss Pornthip:** Thank you very much Dr. Sawasd. It's very interesting to see the three panelists talk about research. The first one, Dr. Loxton, talked about commercialization. Dr. Ito talked about general impact factors, and Dr. Sawasd has just finished talking about up-to-date research study. So, this is basically one of the focuses. All talks are about evaluation, and for Dr. Sawasd, he also talked about *dead wood*, it seems that might be for Thai universities as well. So, when he was asked what we should do with the dead wood, the answer is love them and give them opportunity. After we give them the opportunity and it doesn't work, let them live with love, you know? And that's the way Thai people do, and I believe that other Asians might be thinking along this line. Another thing that I find is the keyword for this one is *satisfaction*. In our society, sometimes we don't really see the satisfaction of students, employers, and others outside the universities. And the last comment that he made would be something that is very interesting as well, and I think that's more or less the social responsibility of universities, particularly those in the public sector that has been funded by the government, what they have to do for the disadvantaged students. So, I think we could have one or two questions for discussion. Please identify yourself, be brief and to the point. Please, one or two. Very clear already? This is the final call. I think what we could do also is to catch the three panelists at the refreshment time, and then ask some specific questions. O.K.?

I learn a lot from these three panelists' presentations, and I'd like to thank them all. Please thank them all by giving them a big hand. Thank you very much for your kind attention.

**MC:** Thank you very much. Thank you all the distinguished panelists and the Chair person for that very interesting session. Before anything else, may I invite Assistant Professor Dr.Tavee Lertpanyavit, Rector of Suranaree University of Technology to present the panelists with the token of our appreciation. Thank you very much. Thank you very much and this concludes the panel discussion. There will be coffee break for fifteen minutes outside and we could be back at a quarter to eleven or 10.45 in this room. But let me remind you about the trip to Ayudhaya: if you're interested to go and join the trip, please register for the trip at the front desk outside. Thank you very much for your kind attention.







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**PANEL DISCUSSION ON  
“UNIVERSITY AUTONOMY :  
STRATEGIC ISSUES”**

**Key Speakers:**

**Professor Dr. Sippanondha Ketudat**  
National Brain Bank for Economic and Social Development  
Board, Thailand

**Professor Dr. Charas Suwanwela**  
Chulalongkorn University, Thailand

**Professor Dr. John Loxton**  
Macquarie University, Australia

**Moderator:**

**Assist. Prof. Dr. Arajuna Peter Chaiyasena,**  
Suranaree University of Technology

**MC:** Good morning. Welcome back to the panel discussion. Distinguished participants, it's now time to begin the panel discussion on "University Autonomy: Strategic Issues". And we are very honored to have this panel discussion moderated by Assistant Professor Dr. Arajuna Chaiyasena. Dr. Arajuna obtained his Ph.D. in 1993 from Pennsylvania State University in Mathematics. He started working here in 1993 as a lecturer of Suranaree University of Technology. He's now acting Director of the Center for International Affairs. His interest includes music, management issues, and many other topics, including analysis of differential equations and invariant theory. Ladies and gentlemen. I'd now like to turn the floor over to Assistant Professor Dr. Arajuna Chaiyasena. Thank you.

**Dr. Arajuna:** Good morning, I'm pleased to be here. I am standing here for Dr. Kritsana. Dr. Kritsana is the one who is good at autonomy because he's a Vice Rector for Planning. Unfortunately, he has a cold and he felt he wouldn't be able to handle it. So, here I am. I hope you can bear with me because I hope that we will have a discussion going as well. But without further ado since we are already late, may I invite my fellow panelists, my honored panelists to come up and join me, please.

**Dr. Arajuna:** Well, I feel very odd with the aura of the experienced around me, so, I'll begin. To my immediate right is Professor Charas Suwanwela. His areas are Neurosurgery and university administration which I think have some similar aspects. For educational qualifications, he's a medical doctor from the University of Medical Science in Bangkok, a Master of Science from the University of Chicago, the USA, and certified by the American Board of Neurological Surgery. Throughout his professional experience, he's received many awards, but he told me to keep it short: Distinguished Researcher, Health for All Medal by WHO, Distinguished Person Award by the Senior Statesman General Prem Tinsulanonda Foundation, and Distinguished Award by the National Identity Committee of the National Culture Commission. But his experiences we're drawing from today come from his being Director of Institute of Health Research; Vice President for Research, the Faculty of Medicine, and President of Chulalongkorn University. He's also been the President of Asian Institute of Technology and Chairperson of the Councils of Chulalongkorn University and Walailak University. Distinguished participants, I'd like to first welcome Professor Charas Suwanwela.

**Prof. Charas:** Thank you, Mr. Chairman. First of all, I'd like to thank the organizer of this very important event, and Suranaree University of Technology for the honor and privilege given to me, inviting me to participate in this panel. I would also like to congratulate the organizer for selecting the topic of "University Autonomy: Making It Work" which is very important and timely

because universities in Thailand at present are in a transitional period to have more autonomy. Suranaree University of Technology should be proud of being the leader in this development. From my experiences as a professional staff member, a dean, a president of both semi- autonomous and fully autonomous universities in the past as well as a Board chairperson of both type of universities at present, strategies to make it work are numerous and must be selected to suit divergent and dynamic situations. Many components are essential and I shall address a number of them.

1. The most important aspect is **leadership**. For an autonomous university to work successfully, it needs leadership. Top administrators must possess many essential qualities, attributes and competencies, namely vision, courage, tactfulness, morality and other qualities. Besides, a university is a unique set-up where quality and productivity depends on the brain of faculty-members. Thus, participatory leadership is, in my opinion, the suitable style. Ability to motivate, mobilize and create in internal strength within the institution for the cause of the university is essential. Leaders must possess broadmindedness, selflessness, sense of purpose, sense of proportion, sense of justice, integrity, and kindness, which are to be cultivated and expressed in order to command the respect of colleagues. The diversified and dynamic situations also require adaptability and flexibility, as well as ability to deal with different situations and personalities. An autonomous university also needs support from outside. The president must therefore command respect of persons and agencies outside the university, and of the society in general. Contacts and connections are helpful. Good human relations require certain competencies and attitude. To select and recruit an appropriate person to be the president of a university is therefore a most important task and a strategic point for success. Uncertainty usually prevails. Ron Richard once said that leadership is a combination of trait and training. Some are born with the tendency, but many aspects must be built. Past experiences and performances are helpful, but opportunity for nurturing and learning by doing can make a difference.

2. **Resources** can be the second strategic issue. Universities are constantly faced with limited resources, namely financial, human and technical. Changes and opportunities pose as continued challenges that require more resources. Universities in Thailand in particular are in crisis from prolonged deficiency. There are also limited sources of resources. Government's budget is limited and the share for higher education cannot be increased. People and families of many prospective students are not willing to pay. Many meritorious students are poor and cannot afford to pay. If equity in higher education is to be maintained, tuition fee can not be substantially increased and scholarships should be provided. Alumni and society at large do not have the culture of donation to university. So far there is inadequate active solicitation for donation to a university.

If one examines the university budget, a large proportion is spent on recurring expenses. There is little money left for development and for policy-directed activities. Thus a vicious cycle that leads to inefficiency prevails in university administration. For university autonomy to work, one must be able to break out from this cycle. Funding possibilities must be tackled, while preserving the integrity of the institution. Efficient administration that can take full benefits out of the limited resources must be established. Personnel management system, intellectual property management, and even physical facility management must be revamped. Adequate amount of endowment fund is a dream, which can hardly come true. Since knowledge and wisdom is the basic commodity of a university, human resources are the most crucial element. Recruitment, development, deployment, and conducive environment are important steps. An incentive system that supports effectiveness, quality and efficiency may vary according to prevailing culture and institutional memory.

**3. Good governance** is often overlooked, and has become a blind spot. It can be a pivoting factor for success or failure. Perhaps it is one of the most important elements to tackle in dealing with the issue of university autonomy. Autonomy must be accompanied by responsibility and accountability. Personally, I am very much interested in this issue. My last book which came out last month is entitled: "A Blind Spot on the Way to Good Governance: Roles of the Board of Civil Agencies". Universities, even private ones, are certainly responsible to the public, since a substantial part deals with public goods. Undoubtedly, if university autonomy is going to work, good governance is essential. For my Thai friends, more information can be obtained from the book, since the limited time here would allow me to mention only certain points. In my book, sets of principles or objectives of good governance are described. It must lead the organization to accomplishing its missions and goals, to efficiency in management, to sound and rational judgment of accountability, to transparency, and to honesty. Participatory management is nowadays a key to quality and efficiency. Distributed authorities and a balance of power with checking and auditing system would ensure more rational decisions. Good governance can be considered at various levels, but I shall concentrate at the highest level of the university administration, that is at the university council or board and its interface with top administration. An organization, in our case a university, is accountable to its owners, which can be the State or the public. By-laws provide the overarching purposes, rules and principles. The president of the university is the top administrator representing the university and is responsible for its activities. Leadership is provided. The Board or Council which is a group of selected persons provides another layer of governance. Proper roles and functioning of the council is essential for system of good governance. Interaction between these two layers is a delicate matter. Stewardship is a way to synergize the abilities of the top administrators and the overseeing council. To have good governance, one-plus-one should result in more than two.

Unfortunately, it more often results in less than two, or even less than one. There can be six regular functions of the Council as follows:

- 1. Provide direction, policy and balance for the university's activities,**
- 2. Set rules and regulations,**
- 3. Make major decisions,**
- 4. Oversee the soundness of the operations,**
- 5. Oversee and audit the finance and performance, and**
- 6. Promote the causes of the university.**

For modern management, which John Carver called "New Governance", proactive approaches, rigorous and powerful deliberation, as well as output orientation should be required of the council. Proper functioning of the university council requires adequate preparation of the council meetings with adequate information and proper analysis. There are rooms for improvement of competencies and behaviors of council members. I would not hesitate to say that there is yet a long way for the council of Thai universities to reach the optimal functioning. At many places, it is merely rubber-stamping. Collaboration between the president and the council to make irrational decisions is not unheard of. It may be presumptuous to say that university autonomy without good governance could be dangerous.

**4. Structure and operating system of the university** may need to be designed or changed in order to make autonomy work, that is to be effective and efficient. To give an example, decentralization, distribution of power, and sharing of responsibility should be clear and appropriate for effective and efficient operations, especially for large institutions. Management of diversity is required instead of a management by commonality. A single common rule is often not suitable for diversified settings. Management capacity at peripheral units must be adequately developed to accept the decentralized authority. Another example is the rigid vertical structure of faculties and departments, with ill-defined and non-functioning horizontal mechanism for coordination, which creates serious barriers for new academic advances and for solving societal problems.

**5. Culture and attitude** must be developed to fit autonomy. Presidents of some universities in Thailand are open-minded and have invited external evaluation, the results of which help in the improvement of the management. At some others, evaluation and criticism has led to frustration and documentation is apparently alien to Thai culture or at least not a traditional practice at Thai universities. It must be developed in order to make university autonomy work. The culture of academic freedom, open debate, tolerance to differences in opinions and ideas, as well as well as democratic principle of majority rule with

protection of minority opinion, is basic to an academic community. Evidence-based views should prevail over personal prejudices. An effective university must be able to build this strong culture. An autonomous university at present cannot stand alone as an ivory tower. Outward looking attitude with good cooperation with other sectors in the society is necessary for its survival. Effective mechanisms for cooperation and collaboration with business and industrial sectors not only can bring in fund, but can also improve relevance of university's activities. Link with the world of works is also beneficial. The role of university in the development of education system as a whole would broaden the contribution to society, and thus societal support. A change in attitude of university administration and personnel would create more opportunity for the institution, and contribute to its effectiveness.

In conclusion; institutional autonomy and academic freedom are the basic values essential for a university. Autonomy in administration and finance contributes to its efficiency and the ability to cope with expanded challenges. Effective leadership, proper management of resources, and appropriate structure of the university are needed for an autonomous university to work. Good governance is a deciding factor towards success or failure. In the long run, certain culture and attitude must be developed for its sustainability. Strategies for the development of these elements are ways to make it work. Diversity and dynamism must also be considered. Thank you.

**Moderator:** Thank you, Professor Charas. In fact, the last few comments and the summary I was supposed to do, but he's summarized for me, very easily. So, I just have the keywords involving leadership the success facts of being leadership, resources, good governance, culture, structure and operating system. Culture and attitude, I think is something that we might be able to discuss after the presentation when we have the open floor. Just think about it, what about the culture? So, the next one, the next person that I'm honored to introduce needs no introduction because he's already acted in the first session. Dr. John Loxton has already been introduced by Miss Porntip and for those of you just entered, he is Deputy Vice Chancellor for Academic Affairs of Macquarie University in Australia. He is also a Professor of Mathematics, and without further ado. Professor Dr. John Loxton, please.

**Dr. Loxton:** Thank you again for the chance to talk to you. I will make some general comments and I should warn you that I'm looking to be a bit provocative. I'm talking about the business of universities, and the increasing emphasis on user pay. I suppose you could, perhaps, pretend to think that autonomy is really all about making the user pay for what universities do. We mentioned earlier that there are a lot of constraints on the government money available to fund education. Education is a mass business. We would like all qualified students to be able to get into our universities. And the government's finances

will not be able to cope with that and fund internationally competitive institutions. It's interesting that if you look at the UK, USA, Australia, New Zealand and a lot of other countries, we're all tracking each other as we consider the changes to make our education systems work better. In fact, I mentioned earlier the new quality agency in Australia. The people who manage this agency were imported from the New Zealand quality agency which was set up a few years earlier, and you can see how this happens. Let me just give a few illustrations of how big of this business really is. I just pick the illustration of international students in Australia. These are fee-paying students, so they contribute to the university revenue, they're very important to us in that sense. And this is an industry that's worth \$4.5 billion dollars a year in Australia. According to the projections by IDP, Australia's International Development Program, demand for Australian education will increase almost 10 times in the next 20 years. There's just an enormous interest in higher education, and, of course, this is not just in Australia. It's a world-wide phenomenon. So, this is a big business. It is a fifth or sixth biggest industry in Australia. And it's not just important because it brings in money for universities. The importance of an international dimension is so much more in terms of cultural exchange, cultural interaction, education in a broader sense, but the illustration shows how this business contributes to our teaching program in an essential way. In research, we're being asked more and more to extend the business of doing research and to commercialise research outcomes. One of the most successful schemes in Australia goes under the name of CRC, the Cooperative Research Centres. These are independent companies that have been set up with partners from the universities, industries, and government agencies, to do research and to develop and commercialise it. There are about a hundred of these joint ventures now in Australia. Some of them have managed to become completely autonomous, making enough from their research to keep going without government support. And there's certainly a realisation of the increasing importance of industry as an essential partner to research and development in Australia. I mentioned some other examples earlier involving research parks and industry links. From the universities' point of view, universities do research, that's what they have always done and it's what they are good at. We now find that we can commercialise and find the revenue to do the research development by tapping a new source of funding. What is demanded of the university is to be entrepreneurial and the examples show that academic excellence and some types of income generation can go hand in hand. On the other hand, we must recognise the risks. Two warning signals occur to me. Firstly, if all our teachers and researchers are busy trying to make money, they won't have time to do their teaching and research anymore. This requires careful advice and nurturing inside the university. Secondly, the government must ensure that universities are not penalised for appropriate entrepreneurship. This requires eternal vigilance by the university system and is the price of autonomy. Thank you again for a chance to talk to you. I have generalized some reactions. I'm



looking to be a little bit provocative. I'm talking about the business in universities, and the increasing emphasis on making use of pays. I suppose you could perhaps pretend to think that autonomy is really all about, making use of pay for what universities do. So, with that start, I may just say a little bit about that, and I promise to keep it short. We mentioned earlier that there're a lot of constraints on government money available to fund education. Education is a mass business. We would like all of them to have qualified students to get into the universities. And the governments' finance will not be able to cope with that and fund internationally competitive institutions. It's interesting to say that if you look at the UK, the US, Australia, New Zealand and a lot of other countries, we're tracking each other the changes that work with the system. In fact, I mentioned that the quality agencies in Australia,. The people who work in their agencies are important in New Zealand when I set up quality agency, and you can just see how this happens. Let me skip, just give you a few of illustrations of how big this business really is. In teaching, I just pick the illustration of international students in Australia. These are paying students, so they contribute to the university revenue, and they're very important to us in that sense. And this is the industry that's worth four and a half billions dollars in Australia. According to the projection of the globe by almost 10 times in the next twenty years, it's just an enormous interest in higher education, and of course, this is not just in Australia. It is a worldwide phenomenon. So, this is a rather big business in Australia. I think it is the fifth or sixth biggest industry in Australia. And it's not just important because it brings in money, of course, for universities. The importance of international dimension is so much more than that in terms of cultural exchange, cultural interaction, education in a broader sense, but the illustration of how this business contribute to a teaching program in an essential way. In research, we're being asked more and more to generalize the name of doing research to commercialize. One of my successful schemes in Australia is to go under the heading of CRC, Cooperative Research Center. These are independent companies that have been set up with the universities, industries, and government contributions to do research and to develop it and commercialize it. And there're about hundreds of these separate companies now in Australia. Some of them have managed to become completely autonomous, make enough from their research to keep going without government's support. And there's a certainly fast increase of the industry important to research and develop it in Australia. Now I mention some of the other examples earlier on about the research parts and links, and, well again, from the universities' point of view, universities do research, that's what they are always being good at. We now find that we can commercialize and find the revenue to do the research development by tapping a new resource of funding. What is demanded of the university is to be entrepreneurial and I think there was a hint earlier on that if all our teachers and researchers are busy trying to make money, they won't have time to do their teaching and research anymore.

To summarize, the autonomous university will achieve a large measure of independence from government funding and will stay faithful to its mission for teaching and research. What we are trying to do is to establish strong links between teaching, research and community engagement and to make this a central focus of our academic planning. This engagement is the basis of the entrepreneurial university and entrepreneurship is a very important feature of our strategic planning. The illustrations I have given show some ways in which teaching and research are evolving. University staff, too, have different skills and experiences. For example, with the increasing use of on-line resources in teaching, we need to bring together the skills of teachers and instructional designers and computer technicians to translate the classroom experience into good learning resources for the internet age. Successful on-line teaching is often a cooperative project. To meet the challenge to commercialize research, we need to bring together the skills of research and business and we have set up an Office of Business Development to provide the commercial checks and balances. Commercial activities are governed by strict government guidelines designed to ensure adequate risk assessment and safeguards in what is an inherently risky business. Our progress towards autonomy is a work in progress. Obviously, universities should be about teaching and research, but we believe it is possible and even essential to do all this in a business-like way. Quality should be the watchword. We must have quality projects if they are to be accepted by industry, by students, by parents. More quality usually goes hand in hand with more success and in this way well-planned quality activities do support academic goals.

**Moderator:** Thank you, Professor John Loxton, for those comments and information. One of the things, I think, from someone who is involved in autonomy in Thailand, as one of the small people inside, small autonomous organization, is the Australian model. I still keep in mind Professor Mendosa's statement that we don't want to copy the West. But I think, in a sense, that Australian goal should be the way, perhaps, Thailand might be heading in the future. The government is trying to reduce support and maybe it is a sign. I think that it's valuable that is why we have Professor John Loxton with us today from Australia to show us what might potentially we all have to get ready, not only for SUT but Rajabhat and everybody else, too, to try to get ready to generate our own income in a sense. But yet remembering that something is difficult to generate. There's research, research now has to be commercialized in Australia in terms of getting the company to support them, not the government. Making links and changing the way the university works, they are going outside for international students. And so, this gives us something to think about. Our last speaker needs no introduction because he's been with us since yesterday morning. His name is Jose Dalisay. His area of competence is literature, American and Philippine, and creative writing. I don't think we need an introduction for him. He's the Vice President for Public Affairs and

Professor of English at the University of the Philippines. He's a Fulbright Fellow, he's a British Council Fellow, Rockefeller Fellow, and many writing awards. You can also find many of his writings. Visit [google.com](http://google.com) and type in his name "Jose Dalisay". You will find a few short stories. Professor Dalisay, please.

Dr. Dalisay: Thank you, Peter. Good morning to all of you. I didn't realize until this morning that my presentation will be required. I don't have my PowerPoint with me. So, I hope you'll bear with me. With the notes that I've quickly jotted on the subject of keynote issues for autonomous universities. As I said yesterday, the University of the Philippines is actually a system of 7 universities, 7 autonomous universities plus a few other units which have not the same status of the autonomous university. Two of these constituent universities achieved that status just over the past decade. In fact, the last one just got it last year. So, for us, autonomy is the question that we really think about a lot. It is a very practical question. You always have to ask yourselves, "When does a unit become an autonomous university? Who will gain autonomy? When? and why? What is autonomy for?" We seem to generally agree that autonomy is meant to improve the delivery of education and the conduct of research and serves the public. We believe, however, that before a unit can be autonomous, like the UP, in the University of Philippines system, it first has to be a university in every sense of a word. Within a university system, autonomy must be reserved, a minimum standard should be set and met. This means that autonomy for us is not a pre-condition. It is not given in the very beginning. But to some extent, a goal or even a reward, even if it is indeed a precondition for more rapid growth and this, of course, is an implication for faculty and staff development and for the allocation of resources toward strengthening the autonomous units, or preparing units for autonomy. Very quickly, I'll go to the examples of two different units, which became autonomous. Two different paths, one gradual autonomy and the other one is instant autonomy. In 1995, largely because of (tremendous political) pressure, we created a University of Philippines in Mindanao which is our third largest island. A very important island, I must say, which contribute to an important amount of GNP in relation to what it gets back. And so, UP opened a university in Mindanao, established by Congress as a autonomous unit right from the very beginning. Without, however, the proper academic and administrative groundwork, there was no budget to speak of but there is a small budget with no faculty and hardly a campus. An experience in Mindanao is a lesson to us that we just can't decree that an autonomous university be created without actually preparing for it in every way. We are now engaged in rebuilding the university from the ground up, for example, by dissolving some ambitious programs that was set in the very beginning without proper groundwork. Professor Mendosa mentioned yesterday that sometimes we have this ambition of just recreating the ideal western university. This is probably what happened in Mindanao. It was

conceived of the university with colleges of medicine, engineering, and duplicating many universities that are already in the place and actually without the facilities for it. So, what we are doing now is scaling down the university radically, and doing what we should have done right at the very beginning which was started as a rather more modest institution. The experience of another autonomous university is the UP in Baguio up North. It is a university which gained its autonomy gradually in about 6 or 7 decades. It started as a small college but gradually it is building up its resources and more experiences and it gained autonomy only last year. We now realize that we do not need to offer a complete complement of courses duplicating and competing with existing universities, especially the private universities, but that we should concentrate on unique strengths, for example, in Mindanao in agriculture and bio-sciences and on the unique possibilities offered by public funding. In the University of Philippines, we are aware of our missionary functions of the public university. We see a public university as a missionary offering a unprofitable programs necessary to achieve a certain wholeness of knowledge and experiences. For example, UP Diliman, the flagship campus, offers about 200 undergraduates programs and 400 graduate programs. Many of them are very small and many of which are completely unprofitable but without which, we would be leaving out significant aspects of knowledge and experience, for example, in the Arts and Social Sciences. UP cultivates a very strong ethical service to the nation in every one of its students. This is part of their regular indoctrination if you will. We imposed among them that every UP student, only one of whom gets in out of every ten that applies. We tell them that every student is a scholar at least in the financial sense because the tuition and other costs are heavily subsidized by the government. For other financial issues, we believe that autonomy should encourage great initiative and self-reliance, such as generating activities outlined by many previous speakers. For UP, this means using more of its land grants by 25,000 hectares of land, many of which lie idle. And our intellectual property, this land has been given to us at the very beginning but so far there has been no incentive for development, because the law does not allow us to get the income back directly for our use. So, this is one of those issues we are addressing now. In our experience, the first hurdle or obstacle is the mindset of dependence on subsidies of imposing full responsibilities on the government for financing public education as a moral obligation. There is a lot of resistance, a small one but very loud resistance, for example, to commercialization, which is often misread as privatization at times. The idea that we should help ourselves is anathema to many students and some professors who feel that we are relieving the government of its fundamental responsibilities. It's back to the old guns and butter argument. They always say that we pay 20% of our national budget to foreign debts deficits, and that we should stop doing that and put it in education instead. That is the mindset of some idealists. But we, of course, argue that we cannot simply do that. Again between the confusion of commercialization of education versus the commercialization of resources.

I think we must, at some point, find the political will to raise tuition in public universities. Again, it is a very difficult political issue. But I think over the medium term, there will be no way out of this. I feel that we should raise tuition so that those who can afford that pay for their tuition fees, but then, we also employ now what we have been doing is to socialize the tuition down the line. The cost of education, is also a concern reflected in our admission policy, called equity-excellence admission system, which begins with raw test scores but also applies weights to factors like family income and region. This is an ongoing debate in the university, given that we would like to be the best public university, the best outright university in the country, but also given that we are publicly funded, we feel obligated to represent in some way a broad range of geographical and economic population. We should also work out the inconsistencies and anomalies that arrive from the situation of being academically autonomous, of having all this academic freedom and also being financially independent on government. For example, the staff salaries are standardized because of the salary standardization law are the same throughout the system with the result that a full professor at UP, a full professor at a top private university earns about 3 times as much as he or she would earn at UP, resulting in a massive hemorrhage. This problem is what we have to stop soon. Also to be considered is the judicial decisions that impinged on physical autonomy, even well-meant ones, like the granting of staff benefits which in our budget we can ill-afford. There are also minor factors like faculty positions that can only be created with the concurrence of what is our department budget and management. And also the Civil Service Commission still reviews all faculty qualifications. So, these are minor things that need to be worked out. In other words, the harmonization of autonomy with existing government rules and regulations. Finally, I spoke yesterday of a long tradition of a critical debate between the university of the Philippines that likes to think of itself as, shall we say, the conscience of the nation. And what every administration of the government happened to be in power. And I feel that while this is of strategic value, over the long run there has to be some level of trust between the public university and the government, or the owner of the university. I liken that to two people in the life raft, that may have some reasons to mistrust each other, but who need to paddle together in the same reaction if they need to survive and get ashore. The public university has to be accountable to the government in terms of the auditing of its finances, and delivering its promises such as the quality of students which can be measured by both the standards set and by the perceived impact that they create on the life of the nation. On the other hand, the government has to see autonomy, not only as politically independent but as a move to higher academic standards, to which autonomy must be paid. Everyone must see that there's some great value to maintaining the national dream or even the national fiction if you will. But somewhere out there, there's must be a place where all things possible, where knowledge rather than politics and privileges rule. And that place is the national university.

Thank you very much.

**Moderator:** Thank you, Professor Dalisay. I think that presentation without the Powerpoint is powerful because of your use of words. For example, I think there are only two or three key points that you will see in the proceedings. In one of the key points Dr. Dalisay has insisted that when a university wants to become autonomous, it has to earn its status. It's not just changing the law, it's not changing its Charter, to have minimum qualifications to become autonomous. The second thing is that the paradox that he deals with is academics is the harmonization of autonomy with outside government. This is a problem in Thailand as well, where a university is very autonomous but then people like comptroller and the budgeting department and all these organizations or even the National Office of the Auditors don't even understand the procedures. So, we have to explain to them if they are open and really try to learn. They know that it's not easy anymore. They have to look financial statement and many things at once. I think that is the obligation for all universities to do. And, in a sense, I think now is the time for you to ask or to interact. I thought two days is long enough for you to spare this issue. Important as it is, but then we realize as we saw the range of issues and the time of presentations became compressed and you don't have time to interact. Now, it's your time, we have about half an hour. I think, yes, I think about half an hour. 12:30. Yes, please if you feel that you want to speak in Thai. I'll help translate for the panelist to answer in English. Could you please identify yourself? I really appreciate that.

**Participant:** Thank you. I'm Panu Sittivong from Rajabhat Institute Uttaradit. Well, I don't want to ask any question because I have already asked too many. So, I would like to share my comments and ideas. You know, I draw my comment from my unique experience that I had. I don't think that other people had this kind of experience and I don't ask you to have it, either. I've been to six institutes of higher learning. I've been where I've changed job a lot, put it that way: two in the U.S. as a student and as a faculty member, one in Germany as a visiting scholar, and three in Thailand, both private and public. Fair enough, 4 out of 6 have what we called "open recruiting process" and two have what we called "political selection process". You know, I also have been benefactor of "open recruiting process" because I used to work for a private university as a Vice Rector for Academic Planning Affairs. I applied for it. I didn't have to know anyone. At this college, I don't have to know anyone. And one time, the Minister of University Affairs was visiting us and asked how the college got me. So, they said, "Oh! he just walked in". This is the process that we actually what Professor Charas had mentioned. It is impossible for us to do a good job, if every four years we have to fight each other internally. So, the system that had been set up, it seemed to me that how they start, they probably started at the time of juntas in Thailand, they don't want the university to be in opposition to

the government. So, they devised what we called a “billion destructive system” in weakening the university in every four years interval. And I think I agree with Dr. Charas that if we want to move into autonomy, we have to start at doing something from the top, that is, to get someone who is independent of the institute, and who didn’t have any prior benefits and interest. That probably would give us some direction. But, it seems to me, nobody seems to pay any attention to this point even the legislation itself. When we look around, we can see that the government actually gets involved with the state enterprise in terms of electing their top executives. We saw the recruitment of Thai Airways International, EGAT, Governor and other state enterprise officers. They haven’t thought of the Rector and the President of the university yet. So, I think maybe we have to be aware of that. I just want to make everyone feel free and come up and talk. Nobody will ask me if I am naa maa or literally “horse face”, meaning a setup man in English, for SUT.

**Moderator:** Rajabhat Institute Uttaradit has a special relationship to SUT because Dr. Ruangdet, the previous Rector of Rajabhat Institute Uttaradit was here as my mentor. He was Dr. Tavee’s Assistant, he was the Assistant Rector for Academic Affairs at that time and he was inspired by SUT autonomy, he went to back to Uttaradit. Uttaradit was one of the first institutions to come up, it is just one of the snags that come up. We really appreciate your presence here.

**Participant:** Ok, Dr. Ruangdet, he experienced everything at Uttaradit and now he moved to Chiang Mai to become the President of Rajabhat Institute Chiang Mai. So, he will implement the real thing there. After he experimented and knew all the snagging that you mentioned. So, if you like to visit us, please do. Well, Uttaradit is a nice place to come and visit.

**Moderator:** Dr. Charas, do you have any comments about in terms of “how should the government be involved with the selection of university representatives” like the EGAT or Thai Airways.

**Dr. Charas:** I would say briefly, I am really concerned about the present problem as you mentioned. At the present time, all university Presidents in Thailand are free from politics but I’m not sure about the future.

**Dr. Loxton:** It is an interesting comment about the reason for some of the government changes. There was a reforming of Ministry of Education in Australia in 1980s, that is John Hawkins had instituted some major changes in the universities, making sure that the universities are in the positions that they had been before. I think again that’s quite a debate also in Australia, all the regulations, etc. We’ll get our voice back again in the university system. It just has to keep going on.

**Moderator:** Dr. Dalisay?

**Dr. Dalisay:** Oh, I think, Ideally not. But in practice, it doesn't hurt a lot for having a university president who's acceptable to the national leadership. I mean universities in the Philippines. We haven't had a president without the explicit or implicit positive gesture of the President of the country. There was a mechanism to do that because the President of the Philippines appoints five members of the Board of Regents, others were ex-officials, also politicians like the Head of the Senate, committees of education and so on. This is, of course, a sensitive issue to the faculty, but this is one of those areas where over a period of negotiation, a compromise is often necessarily achieved because we also feel that it would be very difficult because our president had a six year terms as does the President of the Philippines. They don't always run on the same track. It would be difficult to have someone there for six years to run the country. It's, again, it's a sensitive point. We are trying to at least nominally achieve that kind of independence But we know, on a practical level, it would be best to find someone acceptable to all parties.

**Moderator:** Thank you.

**Dr. Charas:** Can I enter here in order to make it a lively discussion? In Thailand, there had been times when the military got involved in running the nation, where the military took over the government and took over everything, including the university, some General was even appointed as university president. Has it ever happened in the Philippines?

**Dr. Dalisay:** No, we haven't gone that far. Well, that happens. I'm sure we'll have a very large crowd of people on the street. No, it hasn't been that far. No choices have been made that was not completely acceptable to the faculty. This is why we emphasize negotiations and compromises, which I think, as I was telling Peter the other day, we were pretty good at that. This is what got us out of that mess. Just the other day, before I flew here, there was a rebellion in the city. We talked a lot and then we achieved a workable solution as much as possible, knowing that there are bigger issues down the road. I think that the selection of Department Chairs and Chancellors tend to be more contentious than the selection of university's presidents.

**Moderator:** Thank you, oh yes Dr. Dhirawit.

**Dr. Dhirawit:** Well, I'm very excited to rise in front of or among intellectual giants and experts here. I would like to participate in some small way. For the last four or five years, we have talked, debated, discussed, and written quite a lot about academic freedom, institutional autonomy, accountability, quality and quality assurance and what not, but I think we still have one hidden agenda that



we have hardly talked about. I remembered visiting the Harvard bookstore in June 2003 and found a few good books one is written by Derek Bok, the former president of Harvard University. He wrote the book called *Universities in the Market Place: The Commercialization of Higher Education*(2003). Another one is *Why Education Is Useless* by Daniel Cottom(2003). And in fact there's still another book by Lawrence Summers, the president of Yale University: *The Functions of the University*. I bought the three books but I haven't got time to read them yet. But really it's still a hidden agenda. We talked about autonomy today but tomorrow if we look beyond the limit of today, I think marketization or commercialization of higher education is inevitable. So, it must or should be on the agenda for the government and the universities around the world, not just in America or Europe but also in Thailand and other Asian countries. We should be serious about this trend and fact. As we know, Thailand is a place where we consider a university a non-profit organization, but we have a lot of problems about finances and funding. So, I think it is time to think about the marketization of higher education. We cannot live without that in the future. It is merely one part of the theories about the survival of the fittest. I would also like to have some comments from other experts from different countries on this issue. Thank you.

**Moderator:** Who would like to be? Dr. John Loxton?

**Dr. Loxton:** Certainly, it is a big topic, isn't it? Well, in theory, almost all the Australian universities are public institutions, 37 out of 39 are public, 2 private. But I think, in practice now, the government is funding public universities. There's about 30% of our operating budget which comes from the government. And about 40% comes from student contributions at some various sorts. The rest is research money and commercialization. There are other sources or projects and so, calling a typical university in Australia a public university needs to be interpreted with some care. We are responsible to the government in a big way but not so much in the funding side. Other countries are quite different where they have more private universities comparing to the state university system. The debate that we are going through about uses of pays and more student fees is about the balance between the public goods and the private goods of university education. So, students studying at a university get some benefit for themselves. They can get a job prospect and a degree and so on.

**Moderator:** Thank you. Professor Charas?

**Professor Charas:** I like to come in here regarding the marketization of higher education. Four weeks ago, there was a meeting at UNESCO office in Paris dealing with the world conference on higher education. That is five years after the world conference in 1998. And the main part of the discussion dealt with the globalization and marketization of higher education. We see the

development of WTO and look at higher education as commodity for sales in the market. The discussion was around this issue of public goods because if you have survival of the fittest, when turning around, it is the extinction of those who have not. And for countries like Thailand, you have so many of them who have not. They would be taken advantage of and you would have inequality inside the country. If you look between countries, if you look at other countries, you will see a lot of difficulties for development, which had no protection for themselves. And so, UNESCO is trying to get another position dealing with this rather than having a total marketization of higher education. You need to preserve those who can't help themselves. You can equate that inside the country. If you allow competition inside the country, some universities will be taken benefit of and wouldn't survive. That is not really affordable. So you will have to think about two sides of the coin. Of course, competition would breed quality and you will need quality. So, how will you gain quality on the same ground rather than with kind of subsidy or special benefits? The whole system will need to be clarified both at the international level and national level.

**Dr. Dalisay:** In the society of the Philippines where we have economic and social divides. I think it would be catastrophic to let marketization rule as a general principle. We will have to find ways of bringing quality higher education within the reach of our poorest people. We do have a highly developed private education sector which in many ways is teaching us in the public sectors more than a few things about how to do with things efficiently, how to raise finances. But, as I said, the public university will have to bite the bullet at some point and maybe to raise some fees and impose charges on things but at the bottom line the education will be there heavily subsidized because no one else will do it. If you shut that door on our people, most of whom are very poor. Then, I think it will be a prescription for social chaos down the road. Already as it is, this is a very delicate issue: access to quality public higher education. Tuition in my university costs 1/8 of the actual cost tuition at a private university, just a kilometer down the road. What happens is that because they have a better preparation, most children of the rich go to the University of the Philippines and enjoy the government's subsidies. We have to think of the way around these things, they are very problematic. But we have to maintain the university that the people can afford and go to.

**Moderator:** Thank you. The issue of what Dr. Dhirawit said also rang bells in my head because there was a meeting about it a few months ago, sponsored by the Ministry of University Affairs about interactions with Ministry of Commerce, in which, they asked which part of Thai education you want to open up to other people to come in and teach. It was so controversial because at the end there was no answer. The conclusion is that we are not ready to do that; we are not ready to have people to come in and have competition. But the key question is "Is this coming soon?" If anyone in here would talk about it, it would

really be a wonderful topic for another conference. Dr. Supachai would be the key person (WTO Director) to come and see and clear up things because it is like ground on a pig's tail. Nobody talked about it and the pig's tail is getting heavier and heavier with the mud coming up and so slowing down the pig. Probably there will be about 2 questions now. Please.

**Participant:** Thank you I have to apologize for my voice but I do enjoy this two-day conference and it made me think a lot about autonomy. My name is Suchart Tuntanadecha from the Faculty of Education in Chulalongkorn University. I would like to share some of my thoughts in two parts. I think that the conference really makes me realize about the theory of autonomy and the second part is about the strategy to make it work. Since yesterday conference, I think it stimulates my thoughts that the conference is trying to set the standards for the autonomy of the university worldwide. One of the reasons is when I think about the historical perspective of the university. At the very beginning of the university, I think it's driven by the people who were seeking the knowledge and wisdom. So, the university requires a certain type of autonomy. I would say perhaps the complete autonomy at the beginning like the University of Bologna in the modern day. So, we really require a full autonomy so that people can enjoy creating, experimenting, and seeking wisdom and knowledge. But then later on, I think the university had changed, the society had changed to make the university become more economic driven unit. So, then it stimulates my thought that perhaps autonomy should not be the same as the very beginning, because we have to apply the knowledge that the university create and then make the nation and economic growth for the people. So, we may require another type of autonomy that fits the functions and probably the present day and future, the university may be driven by the market and technology. So, we may require another type of autonomy that's not the same as before. This is my theory, probably the panelists can give some idea or comments on this. My second part is then the strategy because in my first part theory. When I think it that way, I believe that autonomy should depend on each individual unit, individual institution. I would like to make a short analogy between democracy and autonomy. I think it is probably the same, the same thing. The only difference is for democracy, you have to fight for it. But the autonomy you can negotiate for it. But the more important thing as the panelist had mentioned earlier. We can't get autonomy without a condition. And the thing is probably we have to make ourselves clear. The university has to make itself clear in what you can do and what you want to do. You have to make yourself clear and show the government. Then, you can have the kind of leadership and efficiency as Dr. Charas said. Then, later on, we have to balance the public fund and the customer pays as Professor John had mentioned. This might be the strategy that we have to make ourselves clear and then negotiate individually with the government. This might be the strategy. So, I would like to share the idea. Thank you.

**Moderator:** Professor Charas, do you think this strategy in Thailand will work in Thailand?

**Dr. Charas:** For sure, I don't think you can standardize it. The present trend in Thailand is to standardize it. That is a problem. At least you can have different points of entry. I think this is a message today but eventually everybody will have to have autonomy because otherwise you cannot be called a "university".

**Moderator:** Thank you. That is quite a strong statement!

**Dr. Loxton:** I think that it will be different. I'm sure. One thing that's new that will make us different. It is the online teaching. The borderless education that poses a new whole challenge for us. It is interesting. In Australia, we have two reviews about our system recently. One is about four years ago that predicted that online education would be the thing by now. Another one is last year, it just the same like this.

**Moderator:** Anybody would like to fill the time up? Everybody is hungry. Well, I think that I like the idea. Pretty much, this conference has synthesized many things and ideas as well. Ladies and Gentlemen, all good parties come to an end. This is a good discussion in the strategic issues. I have to tell the truth that it is. I'm gratified with this amount of discussion and I just thank you very much for making this panel a success. Please give a hand for the panelists. Thank you for all chairpersons and may I invite Assistant Professor Dr. Tavee Lertpanyavit, Rector of Suranaree University of Technology to present tokens of appreciation to the panelists, please. Thank you very much and I hope that we haven't bored you yet with the remainder, but again, could I take this moment to briefly remind you about the afternoon session today which is the parallel discussions? We are honored to have three distinguish people to come all the way from their offices to lead a discussion this afternoon to spare us enlightenment on the autonomy issues. It would be our great pleasure to have you back here this afternoon after your great lunch, I hope. Well, distinguished participants, ladies and gentlemen. This concludes the panel discussion and we will reconvene at half past one. The small room, if you go out it is left hand side room 1 room 2 and room 3 according to the topic of your interests and I like to thank you again for your kind attention and lunch is provided downstairs again as usual like yesterday. Thank you very much and enjoy your lunch. See you at half past one.



**PARALLEL DISCUSSION ON  
“AUTONOMY : HUMAN RESOURCES  
ISSUES”**

**Key Speaker:**

**Professor Dr. Pratyva Vesarach, Thailand Innovative  
Administration Consultancy Institute, Bangkok, Thailand**

**Moderator:**

**Dr. Pattana Kitti-asa  
Suranaree University of Technology**

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**Moderator: Ladies and gentlemen, now may I start this session by first introducing Professor Dr. Praty Vesaraj.**

Professor Dr. Praty received his Ph.D. in Political Science from Northern Illinois University. He was the recipient of the prestigious King Mahidol Scholarships and has had important experience as a key member in various national and international committees, for examples, the Committee on Civil Service Reform, Committee on Civil Servants in the University. His present position is Director of Thailand Innovation Institute. May I now call upon Professor Dr. Praty Vesaraj to take the floor and run the show, please.

**Dr. Praty:** Thank you, Dr. Pattana, for the generous introduction. Let me make a few corrections. I am no longer Director of Thailand Innovation Institute. I resigned two months ago. Things change, anyway. Since this is an International Forum. I suppose we will exchange our ideas in English, of course. How many international persons are there in this room? We do not consider Thais international anyway. The topic we are going to discuss and perhaps reach some conclusions today is a very important one. It has been discussed throughout the beginning with the introduction of the government to transform public universities into autonomous universities in the sense that the university should have their own say in administration and they have to struggle a bit. There are some changes in the area of personnel administration. First of all, the status of the professors and personnel in public universities would change. They would no longer be regarded as public servants. They would be considered as university employees only and without any recognition of public servants. They are simply servants, not public servants. The second thing that would change with autonomous universities is the salary scale and income which will be different. At the moment, we have the same national salary scale for all public servants. That will no longer be the case when public universities became autonomous universities with the passing of the law. At the moment, we are aware that there are 6 autonomous universities if we include the two ecclesiastical or clerical universities (Mahachulalongkorn and Mahamakut). Sukhothai Thammathirat University has already submitted the draft law to the Parliament but has not been reviewed yet. So, the change in the area of salary and compensation would come about with the status of an autonomous university. The third area that will change would be the kind of Royal Orders and Decorations. People have complained that university personnel will no longer enjoy the kind of Honors and Decorations as enjoyed by public servants. Well, that has been discussed for some time now. There could be some fears among public servants who now serve in public universities. The fear is that being a public servant he or she is well protected by various rules and regulations. There is also a lot of security enjoyed by public servants. That could be detrimental to them once they become autonomous university employees. So, these are some issues that have been discussed for many years. When I served as a member on the Public Sector Reform Committee with Mr. Abhisit Vejjachiva, we have discussed about this for two or three years without any evident conclusions.

So, with this introduction, I invite all of you to express your own views and opinions on the issues of status, compensation, and other issues relating to human resources in the public universities. You are all welcome to come forward, but please state your name and make your views open. We do not intend to come up with any concrete resolutions on a particular issue. If there are conflicting views, we will record those views. There will be no voting on the resolutions. That ends my introduction. Please anybody who has any particular views to express. Enjoy yourself. Do I need to count one, two, three! OK. Please introduce yourself.

**Participant:** I have seen more difficulties with the autonomous system than other universities in the state sector. Most of the Ph.D. graduates working at SUT have some burden to shoulder. They have to travel a long way and be far away from their family in Bangkok or other provinces. SUT spends a massive amount of money and very large amount of time, for 15 years. My fear is that if all universities become autonomous, there will hardly be a viability to share staff or to manage staff in ways that is very easy because everyone is under the same system. You see everyone becomes autonomous and independent to move around. Well, it becomes absolutely impossible.

**Dr. Pratya:** Well, I am not supposed to give the answer, but anyway we will discuss it. Please go ahead.

**Participant:** I think we may have to stick to the framework somewhere. It will be more useful if we put something in the framework and discuss the issue or topic that comes under the framework. Let me start out by looking at the issue of personnel in the university. We have to group the people in 3 different categories: 2 groups belong to civil servants and 1 group belongs to university employees. Each group has some deadwoods, some solid citizens, and some stars. Let me put it this way. It doesn't matter he or she is a civil servant or just an employee if they are stars or solid citizen. I think they can go along. But we will have problem with the deadwood, we have to deal with them. You know, in fact, my comment is that the deadwoods are the ones who make a lot of money because they have worked for a long time, and those who are stars have a lot of potential, they can make money anyway no matter where they are. Those who are solid citizen, we may need them just to maintain the balance. So, it is just a matter of someone who is a star coming in. It doesn't matter. I don't care about the Royal Decorations, I don't care much about the salary I start with. I know I have the potential. If I work hard I can move on - And in fact, as I mentioned earlier, if we have the system fully open, we can move around easily. There will be a bid for staff - anyone who can prove his or her work can go around. That is what, I think, makes some western countries' educational system work because the professors are never committed to a university, they are committed to good opportunities or resources that they can enrich themselves. Somehow, talking about staff, I think the deadwoods and solid citizen can cause problems. That is my idea. Thank you.



**Moderator:** Thank you. I am afraid that what would happen is not going to be the stagnancy of personnel exchange. It will be what you have just said: There will be a big competitive bidding for high caliber personnel throughout the system. The deadwoods who stay are supposed to be dead somewhere in the university.

**Participant:** Well, the deadwood are not monsters. Sometimes, they are deadwoods because they are not able to work, the system does not allow them to work properly. People here at SUT can't move. They are fixed by the heavy workload.

**Dr. Pratya:** I am not sure whether that is a misunderstanding or the mistreatment of the personnel by SUT. In fact, it seems to me, from my experience, there are at least four autonomous universities in Thailand now. It is quite easy for personnel to move from one place to another place, with better offers they would go. A good example is an English teacher from Mae Fah Luang University who moved back to Chiang Mai University and got recruited there even though they do not have the government official position because no public universities offer government official positions at the moment. But the mobility or movement can be easier.

**Participant:** Well, in fact, you know. Another good example of mobility or movement is Dr. Ruengdet who used to be at SUT. He came from Uttaradit Province and has been at SUT for 4 years. Then, he went back to Uttaradit as Rajabhat Institute President. Now, he moved over to Chiang Mai Province. So, I think you can move in the system but you have to abide by the law of being a servant. It just does not make it more difficult.

**Participant:** I think you misunderstand what I am saying. I mean those people who travel overseas on a scholarship to the US or England.

**Dr. Pratya:** If I am not mistaken, there seems to be an interpretation by the law office of that if you have bond with one university which is a public university, you are able to move to an autonomous university carrying that bond with you to the other university since that university is also a public university. But that does not allow you to go to a private university. That is a different system. Yes, please. Go ahead.

**Participant:** I think one can say that is correct. There is such a policy but on condition that it has to be approved by both universities.

**Moderator:** That is right, I agree. Now we have solved the problem with common understanding.

**Participant:** Actually, I think that will cause some problems as well. Right now, the government has initiated the policy of providing scholarships to study

abroad for a Ph.D. degree. In fact, we need to have an interpretation. At Rajabhat Institute, those who want to go are not civil servants and they are on one year contract with the Institute. Will they be allowed to go even with the government scholarship? That has become part of the problem. I would like to take advantage of this scholarship program, this policy. We initiated the program to train our staff in English to make sure that they have good enough language skills to study abroad by taking advantage of the scholarship scheme. However, we have 4 or 5 people already who have expressed interest in my project and none of them is a civil servant. And I don't have the answers for them because the government has not yet come up with rules and regulations on how to go about doing this project. But luckily, my President just said "OK. Just go ahead. Do it." I think someone like Professor Pratyia can clarify this point.

**Dr. Pratyia:** That will be on the contrary. I don't think the government will want to talk to me anymore! After the fight, anyway. Any other issue? Yes, please go ahead.

**Participant:** There are some scholarships provided by CRN(Cooperative Research Network) where everyone can apply. It is still not clear how people who are not civil servants can apply for scholarships.

**Dr. Pratyia:** I have not read in detail the CRN contract but let us talk about different scholarship systems here in Thailand. The first one is the Open System where everybody can apply once you have the basic qualifications. The second one is the new project just recently issued by the Prime Minister: 1,000 million baht only for civil servants, or those who serve in public universities alone including Rajabhat Institute and Rajamongkala Institute, but not for anybody else. And now the third thing is at some universities once they are aware of a person who can be working for the university, they will recruit the person right away and sign the contract. But according to Civil Service Regulations, you are supposed to have worked for the university for at least 6 months or a year to be qualified for the scholarship.

**Assoc. Prof. Songporn:** Since CRN was mentioned. I am the coordinator of this project. SUT has been asked to serve as a Secretariat for CRN because we are the first to offer a Ph.D. program in English Language Studies. In fact, in terms of scholarship, MUA has its own system and it has managed these scholarships on its own, except for last year that they asked CRN to nominate because they know that we are professional in terms of English teaching. We should know best about research trends and who is who in the field. So, last year, just some months ago, we were asked to do it. That is the only thing we do. I mean we are not responsible for other matters. So, in terms of eligibility to apply for this scholarship, I am very happy to inform you that since MUA has emerged with the Ministry of Education we have now become one big family. The lecturers from Rajabhat Institutes, Rajamongkala Institutes, and other higher

education institutes can apply for the scholarship. That is the policy. This year, I think in two weeks' time, in August, next month, the CRN English is planning to organize the first national seminar. We will ask those who have got scholarships or grants to do research about this matter. The CRN is not responsible just for nominating names of grantees for Ph.D. scholarships or graduate studies, but we are responsible for nominating grantees for research trips abroad for a few months, also grants for inviting international scholars or experts to come over and share their experiences, and to teach in graduate study programs in Thailand. The aim is to try to internationalize graduate programs in Thailand. This is just for your information. Thank you.

**Dr. Pratya:** Thank you. Your elaboration and answer are just great. Why don't we now follow what we have suggested earlier, taking some issues and then discussing them, and go on to the next issue? The first issue I would like you to discuss is the issue of job security. People feel that being a civil servant has a high degree of job security. You find it easy, you can stay and hang on being a deadwood until you are sixty. And a few months from now, the new law will pass allowing for Associate Professors and Professors to enjoy their life in the university until sixty-five. That appears in Article 8 of the new law. So, how do you feel about the job security in an autonomous university? I think at SUT, Walailuk, even Mae Fah Lauang universities, the first contract would be one year only, then the second contract will be for 3-5 years. There might be some slight differences at each university I mentioned. But the overall picture is like that. This is different from being a public servant. You are hired for life, once you are recruited, you can drag on until sixty. Then if you are fired for any reason, you can ask for the setting up of an investigating committee or file a complaint to the concerned bodies to investigate the matter more carefully. If they found you were fired on a solid ground, you can't be helped. But if not, you can be reinstated. So, you see they can still get rid of people from the public service, but not from an autonomous university; when you have the 3-year contract and somebody really hates you that much, evaluation process can become a sword that kills you right away, with the consensus of the Evaluating Committee. This is what they say but perhaps you may share the view on this.

**Participant:** I don't understand why we have to link the two issues. Why do we have to link a status in an autonomous university to the civil servant. If you leave that status for 10 years, it will be gone. Why can't the law just make the provision that those who want to be civil servants, they can stay on, and those who want more money or salary increase can opt for being an employee with the contract at an autonomous university: But, like a judge, or State Attorneys, they can do that. They can move away from the Civil Service Commission and set their own system without having any problem. Why can't, you know, the personnel in the university do something similar to that? We just honor those who have been there who have fought and built the institute for the new generation. We have to honor them even though they are deadwoods, or we can

just give them love and security and let them live on with love. They will be our last horse, they are going out, anyway. So, why can't you wait 10 more years? And then, we start with the new comers on contract, and by 10 years, we will have all new bloods. The old ones will also be happy, you don't have to fight or do anything. I think, at this point, we do have a choice for them. The system has been set up that way. You have a system. You can choose. For example, someone likes me, even though I only have 5-year tenure as a civil servant. For me, it doesn't matter which one goes in. I know a lot of people have served for 15-20 years in the government service. We should have honored them and, you know, if you have a new salary scale for the new comers, they should benefit from that, too. We just have to make a provision for them to live, just love them, honor them, and let them disappear gradually or fade away. Just like in Uttaradit, we know by 2008, the whole town will be gone, we know that, we have already calculated. So, actually, by that time, the majority of our faculty members may be the new generation. Now, instead of worrying about those who are going away, we should be worried about those who are coming in, like, how to make them happy. As I mentioned earlier, Dr. Ruengdet learned his ropes at Suranaree University of Technology, had an experiment at Uttaradit's Rajabhat Institute, and now he demonstrated it at Chiang Mai's Rajabhat institute as President. He did just that. We have just set up a new personnel policy for those who are employees, they come in with 1-year contract, then get 3 years, and then get 5 years. This is Dr. Ruengdet's word, "There is no perfect or 100% security". There must be insecurity somewhere, sometimes. That will force them to work, they have to do something. I am sure at most of the universities right now, these civil servants are in their 40s or 50s, so they have about 10 years to stay. We should just love them, and better be worried about the new comers. I don't think we can change or create autonomy in one or two years, it may take 10 years. Let us take a look at the broader perspective, we have our curriculum reformed. It has been 6 years now, and I think it is just one step ahead from where we started. In 1998, we just moved one step in 6 years. It is the same thing if you want to have an autonomous status, we may have to earn it. Someone may probably take 5 years to gain the status. Some may get it in one or two years. As a law, not many people have the same opportunity that SUT has. That is, you were born with a silver spoon, they give it to you, and so you get it.

**Participant:** I would like to be with him. Now, most people who are appointed as civil servants, or in the government service, have more job security for 10 years, 20 years, or 30 years. But the new comer gets only one year contract in the beginning, then 3 years, and then 5 years. With 3 contracts in a row, this means that they don't really have a kind of job security we are talking about.

**Dr. Pratya:** I think there are two issues right now. The first is a dual system for the existing universities. In other words, once they become autonomous universities, they should provide choices or options to the existing workers. Those who still want to become public servants may remain in that tract, and

those who prefer going out may do so. That is the system practiced by Phra Chom Klao's Institute of Technology, at Thonburi, at the moment. Initially, the Technology Institute, at Thonburi, at the beginning, had 75% of those who preferred to work as public servants. At the moment, there are about 60% or less who become public servants. The second issue is we are getting worried about the new comers. If the new comers do not enjoy their job security, if they feel they can work for a year or 3 years, then the contract will be discontinued. What would happen? That happened to some universities already. So, the new staff feel that they should not dedicate too much to the university. The sense of belonging and loyalty are lacking. That is the second issue.

**Participant:** This is a dangerous system. It can create resentment between old and new staff since the new comers must perform well in order to keep their job. I think you need some kind of consistency here.

**Participant:** From humanistic perspectives, everybody comes in with the job contract. My own job contract says I will be hired for life as a civil servant because I dedicate myself to the government service. You know that is the contract but if you want to change the terms of contract, you have to negotiate with me, not just make rules to force me to change. Well, the new comers come in with the new set of contracts. We must look at it that way. We just have to contact both the old ones and the new ones. The institute has to honor the old and the new contract. However, since the old system is bad, it doesn't mean the new guys, when they improve the system, have to worry about the old guys. If we look at it from that perspective, we will just lose our dignity. I think we don't have to worry about individuals but rather look at the structure and time will fit in rather the structure. You cannot just tell someone who has been there for 20 years, "Sorry, tomorrow you will be no more a civil servant. You have to sign the contract".

**Participant:** When we discuss about job security, I would like to hear about the key words concerning job security. The first one is TOR (Terms of Reference) for the new comers, the second one is KIP or the Key Indicator of Performance, and third one is FE or Fair Evaluation. These will be the main components of personnel management.

**Dr. Pratya :** When we talk about the 'Terms of Reference'. This is what happened. In fact, in existing universities, we have what we call 'minimum workload' required of all public servants in particular those in lecturing functions but it depends on the practice of different universities. Some treated it seriously, some don't care. That seems to be the practice. When you mentioned the personnel cost, it is 20% and varies from place to place. Some cost about 80% that left nothing for investment. Now, the key preference indicators and evaluation should be the key for the running of a university, it has to be announced publicly. The evaluation process should be transparent and there should be independent evaluators involved rather than letting what

people feel that they cannot take it. Having administrators appoint their own staff to evaluate is the fear of many public servants at the university right now. So, if we conclude that with fair treatment, transparent key performance indicators and independent evaluation can solve the problem. That should be the management of a university in the future. In fact, from my observation of existing autonomous universities, with the exception of the monk or ecclesiastical universities. I think there has been no fair treatment case coming out in the public. It seems everybody is more or less satisfied with which is much different from the existing public universities right now. Cases of maltreatment appear regularly. This is strange. It means perhaps that the autonomy university has been doing okay with their personnel management. Now, if you allow me, since we have 10 minutes left, I would like to turn to the second issue or third, I can't remember now. It is the issue of compensation. I will give you a concrete example when SUT hires a person to teach, with the Master Degree, the salary starts with 16,000 baht. So, there is a difference. Should a university follow similar pattern or should they have their own discretion in compensation? That is one issue. Mae Fah Luang University offers different salary scale, much different, while the King Mongkut Institute of Technology, still hangs on with the present government salary scale with 1.4% plus and the other 2% is used for welfare treatment. OK, you may explain better.

**Participant:** With a Master Degree, they are paid 1.4% plus, but with Ph.D. Degree, they get additional 6,000 baht. That amount increases every year.

**Dr. Pratya:** This is a different practice. This is unique for King Mongkut Institute of Technology, no other institutes get that. Dr. Krissanapong seems to be quite clever. I remember he explained to me once. This treatment causes some confusion: How come the longer you work, the less money you get? But in the end, it will be better.

**Participant:** The salary can be increased further if we get promoted in the academic rank: Assistant Professor, Associate Professor, and Professor.

**Dr. Pratya:** OK You have degree money and position money. This is not a monopoly. Other universities can follow.

**Participant:** Actually, there is another factor that we have to consider that will make this system more valuable. Well, a fair, open public is the best way to go; however, not all institutes at all time. They are not on the same level. If we use the same scale, I believe people will not be satisfied anymore. We have to compete with someone, we have to compete with Chulalongkorn University. I don't think we can survive with that. But then again, without one, we will come back to the same thing. If that is the case, why go autonomous? This is a kind of problem for us here. So, actually, the State of Texas had a case that the other state universities went to the Supreme Court to sue the State of Texas for unequal treatment of state universities because the University of Texas is big

and rich. The other state university went to the Supreme Court and said that is not a fair treatment. If the two universities had an endowment fund set up, then other universities should also have. The Supreme Court agreed. In fact, if we have the equal scale, I will sue the Ministry of Education for unfair treatment. It is unconstitutional. I will ask students to sue the Minister of Education as well. You know, that will be the issue. So, we have an equal opportunity to hire anyone, to go into an open market with fair and equal treatment. But if not, then partly we have to ask for national scale. I think SUT has to compete with other institute as well in terms of recruitment. So, it is necessary to have the better offer for people to come and join SUT.

**Dr. Pratya:** So, the different compensation schemes should consider the real needs of each institute. Let me have the last comment from the lady our there. My time is running out. We have to join the assembly very soon.

**Participant:** Thank you. My name is Benja. I am Director of Institute of Population and Social Research, Mahidol University. I think from our own experience, the compensation or salary scale is not a major incentive for being an autonomous university. Actually, a good and attractive social and health welfare would attract more people. I definitely agree with you and him that the new comers are the most critical issue for being an autonomous university, especially recruiting system. Now, we are facing the fact that we would like the new comers to be high caliber people. They have to be highly equipped with the skills that they can do all kind of thing so that we can compete with reputation and stuff like that. But, especially for some fields, it is almost impossible to find that kind of dream persons. Sometimes, you have to recruit your own students and they said this is inbreeding that will make us collapse sometimes. So, I think the major point, the critical point is recreation system with a good social and health welfare system, not the salary. Of course, we enjoy high salary.

**Dr. Pratya:** That is very good. I have to take my words back. In fact, we have 30 more minutes. Please, if you have more comments. Lady's comments should be well considered.

**Participant:** My name is Chaweewan. I am not a teacher, I am just an educational officer. I have some question relevant to Dr.Benja's comments. In some faculty, at Thammasat University, the new employees get about 1.6% salary more than the civil servants but when we compared the workload, the new comers have less workload. I don't know whether other universities have this problem on have set the workload for the teachers because the civil servants will twice a year be checked the workload but the university employees only once a year, but the salary in more. I would like to know whether other universities have this difference or not. Have they set the workload for their employees, especially the new employees.

**Dr. Pratya:** In fact, if you are working with the faculty staff, you should be aware that the Ministry of the University Affairs has set up the minimum workload for all academic staff, but the workload for non-academic staff is differently practiced by different universities. Now, the question you raised, correct me if I am wrong, is we have public servants and university employees. University employees once recruited into the university will have 1.6% additional pay, different from existing public servants. The question is who carries more workload or burden. You seem to mean that the new employees get lesser work than the existing employees. Is that what you said? OK, what are your views? At my university, Sukhothai Thammathirat Open University, employees work harder than the public servants. Public servants normally do not work that much.

**Participant:** I don't really agree with you, especially with regard to the new employees' workload and salary.

**Dr. Pratya:** Well, there is a good indication now. So, anybody who wants to be newly-recruited into a university should go to Thammasat University. This is a very nice place to go. But it seems that other universities have different practice. OK, anybody want to share the experiences?

**Participant:** Let us have more information from other institutions.

**Dr. Pratya:** OK, King Mongkut Institute of Technology. What is your practice?

**Participant:** We have the same workload. Everyone is equal in distribution of workload. It is an equal treatment for everyone.

**Dr. Pratya:** Other universities? Please.

**Participant:** I think if you have the workload by subject itself, you are going to have a problem. We should include other jobs, such as research, community service, etc. to make the workload fair and equal.

**Dr. Pratya:** Workload for academic staff and non-academic staff should be different.

**Participant:** I think I saw the point. It might happen when we become autonomous universities. Now, we try to accommodate the junior one into the stream of work by coaching them. For example, we call it '**Green Hand Project**'. We introduced this project to assist the junior employees into one stream of work is that they have experience and gain more experience in doing research, teaching, and writing publishable papers. That might be a problem when we become autonomous universities because we expect them to just come in with



the skills. That will be a problem in the long term. We may have to find some strategies to cope with this problem. Thank you.

**Dr. Pratya:** The duty of training new staff is necessary and also it adds more burden to the existing staff, too. Any more comments on this issue? If there is no more comments, I will move to the issue of evaluation.

**Participant:** Before we move on, I would like to talk about some key words that we missed. When we talk about university, we also talk about privatization and profits. I would call it a company university where you can get more profits and more money. Then, you will be satisfied with your appointment and your jobs.

**Dr. Pratya:** Can I pursue the issue further? What is the connection between profits, compensation, and autonomous universities? It seems to me that existing universities, not just autonomous universities, carry profits.

**Participant:** I used to work for Burapa University. They set the program of training because one source of getting money is to have a training center. When you set one program, you are the owner of the program. In Thai, they call you 'thao kae' (=business owner). So, you have to run the business: How to get the trainees and have more trainees so that you get more money. So, make profits. The one who works more, get more. That is a company university which is a profit organization.

**Dr. Pratya:** I am sorry for the intervention. There is a term now being used widely among public universities. That is '**Education Commercialization**'. People sell degrees for profits. One university, I would not mention the name, can ensure students that once they paid the fee, they are sure to get the degree. That is the guarantee. Perhaps now we should deal with the evaluation process. People are getting concerned about the fairness and fair treatment of evaluation as well as the integrity of evaluators. People seem to say that existing public universities do not impose so much staff evaluation while autonomous universities like SUT evaluates 3 times a year. It is the same with Walailuk University. You have to send the record and people will come to look at your jobs and functions. That becomes more clerical work, too. Now, what are your opinions on the evaluation process in autonomous universities. Yes, please, you have been evaluated as well. What are your points?

**Participant:** I think it is a trade-off between transparency and confidential information. So here, I will know my own evaluation and I will know my salary increase, but I cannot know anyone else's, which makes it very difficult in terms of transparency. You know your own salary but you don't know whether other people got more or less. This makes transparency very difficult.

**Dr. Pratya:** Very good remarks. From my personal experience, that seems to

be one big question in autonomous universities. We know what we get but we don't know what others get. How do we know that we have fair treatment? That is a big question, but I don't have the answer yet. What are your opinions on this?

**Participant:** SUT probably has a standard evaluation form and the procedure, right? So, you can put things in classified number. What you teach or do can be counted as points or numbers. Is that the way you do at SUT?

**Participant:** It is not the point for everything. Teaching can be counted as point but research cannot. Still, there is a problem with transparency as to how we calculate research and other jobs done apart from teaching and administration.

**Participant:** From my experience at a private university. As an evaluator or someone who has to evaluate, we are actually matching independent evaluation which means I am not going to compare you with the other person. Everyone gets independent evaluation. However, there is an unwritten rule that, yes, we know this person; he created something very critical to our operation. It doesn't matter whether you are teaching or doing research, everything will be converted into something countable or quantifiable, including writing papers, giving community services so that, at least, the fairness can be created.

**Dr. Pratya:** I think we have a few more minutes. My last question I wouldn't raise is: What should be the best protective device for personnel and staff of the autonomous universities? Do we have channels for complaints? Where can we get fair treatment? And what institute or agency can help us? We are not talking about administrative coach, which according to many laws, will be the justice provider for bad or unfair treatment. What then should be a built-in agency within autonomous universities which will protect us before our cases are raised outside. What are your comments on this? Some universities, for example, STOU, my university, call for the establishment of Personnel Council or Human Resource Council and, another one, the better one, is Merits Protection Board within the university. In other words, if the President wants to fire someone who is badly treated by the evaluator, Merits Protection Board consisting of people from both inside and outside, will take the role and oversee this. What is your feeling about this?

**Participant:** Does the Board consist of the administrators from within?

**Dr. Pratya:** No, the **Merits Protection Board**, according to our Draft Bill, will be chaired by the expert from the University Council which is independent from the administrators. This is an interesting case and I think some other universities follow this similar pattern as well.

**Participant:** I work at SUT, I don't know much but I would like to share with

you what I know. We have just finished the drafting of an ethical code or '**Chanyaban**' in Thai for our academic staff.

**Dr. Pratya:** Well, the Ministry of University Affairs had in the past a government committee that took care of all the complaints from the university staff, but not any more, once the university becomes autonomous. But anyway, we will take the issue and record all of these comments. I believe we all come up with no solutions, but good exchange of facts, viewpoints, and experience. I thank you all for your kind cooperation. We would join the general meeting in a few minutes. Thank you.

#### **PARALLEL DISCUSSION ON "BUDGETING AND FINANCES ISSUES" (ABSTRACT)**

**Dr. Pratya:** Good afternoon, actually I'm the substitute for Professor Preeda who was supposed to be here, but for some emergency situation, his wife is in the hospital, so, he asked me to come here on his behalf. What he said I should do is present this financial indicator. This is for the SIIT, Sirindhorn International Institute of Technology. Hopefully, it will generate some discussion and other things, so let me just explain what this page shows. At SIIT, we have been doing some KPI, or **Key Performance Indicator**. That is not only for the academic matter but about the financial matter, too. And many of them also coincide with those of the national standards and the quality assessment committee. The first one is the library spending. Library facility spending, actually, includes books, journals, personnel, and cost of the space of the library. We also have a separate cost. This is only for the first subtotal of the first one. This is only for the books and journals part. We have three figures here. The first one was in 1994. SIT was set up in 1992, so 1994 was a little bit early to have some statistics, but 1997 and 2001 were on the numbers we have collected for those years. In 1997, we spent a little bit more than 2000 baht on books and journals. But in 2001, the number increased to 3,500 baht. And for a national university, I think the average is around 600 - 1,000 baht. But if we include personnel and space being used by the library, the number went up to, in 1997, almost 8000 baht per year and in 2001 was 8,300 per year. For a national university, the range, by the way, a national university in the remark down here, from statistics from several but not all engineering and related programs in Thailand, Dr. Preeda has some statistics from them around 4 - 5 universities. The range for them is around 1,400 - 6,000 baht. The next number is the computer facility spending per student. SIT students are full time equivalent students which means 36 credits per year, equated to 1 student. This one we have number in 2001, over three thousand baht. I believe this number is only for the facility but no personnel included. This facility means several things: PC, workstations, and the networking facility, as well as expenses on the Internet. Together, that is the number there. And then next one is on research support or internal research support. What we have at SIT is that each faculty member has a budget of 80,000 baht per year. They can use this budget for going to conferences or getting their papers published. I think the major expenses are

those items on going to conferences and getting published in a journal. Out of the 80,000, on the average, they use around 65,000 per faculty member. This is the internal support by the institute. For the external research support, they get research grants or contracts from outside of the institute and every faculty member is required to obtain outside research support. It depends on the level of the faculty member, on the average, they bring in research grants of 200,000 baht per year per faculty member in 1994 and in 1997 they reduced to 139,000 baht and in 2001 reduced a little bit further to 131,000 baht. In 1994, at that time, we were very small, perhaps there was one champion that brought up number like that, but pretty much in the order of more than 100,000 to 200,000 baht is the range that we have in the last few years. Ok, so, for the total expense of the institute, the first number is the expense in million baht for everything, all expenses included. In 1994, the budget was 41 million baht that was how much we spent. In 1997, 1991 we spent one million bath and in 2001, 143 million baht. I think that last year, we just spent around 150 or 160 million baht. If you divide that number by equivalent number of full time students, we spent around 90,000 baht per year per student. For the expenses, we break down into various parts. Depreciation costs include buildings and equipment. The total is 17% of the total budget in 1997 and 13% in 2001. The national average is around 10-20%, wide range. And another part is the total salary, as a percentage of the total expense. We spend more in 1994 but it's reduced to 42 and 48% in 2001. Last year, we spent almost 49-50% total expense on salary. They included the salary for the faculty, for the staff, and also the expenses paid if we hired outside faculty member to teach some of the courses in the university. We want to keep this at 50% , so it is very close. As a precaution, we don't want to spend too much on this, because, otherwise, we will run into financial problem. Within this part of the salary, one part will go to the non-academic staff, which accounts for 14% of the total expense. It is about 34% paid to academic staff, which includes professors at various levels, instructors, assistants, invited lecturers, etc. One of the things that we have to pay is the utility fees in million baht. I want to explain this a little bit. SIIT is a self-supporting institute within Thammasat University. We don't receive any government budget. We have no budget from the government and no budget from the university itself. On the contrary, we have to pay to Thammasat university for what is called utility fees. Utility is vague but it includes some part of the electricity power costs. I think we share that. If we use maybe 2 million baht for electricity per year, we pay only 1 million baht to Thammasat. So, the other one million that isn't paid to Thammasat is also used for other utilities such as water usage, name of the university, and any other thing that is included here. This fee is collected 5% from the tuition fees that we collect, so it costs 7.6 million in 1994, in 1997 about 12 million baht in 1997 and 17 million baht in 2001. That's what we pay to Thammasat University. Current total assets that we have now stands more than 500 million baht. This assets include fixed assets and current assets. Current assets include the bank accounts and other investments. This is the current assets per total expense. I think I am not sure what this means... current assets per total expenses. That doesn't make sense to me, with these numbers.

Another is the fixed assets including buildings and equipment. The last figure is 91 thousand baht per student that we invested. I'm sorry I'm not sure what this means... 3% is not right, either. So, these are the statistics or the indicator that we collect every year. We've just finished the budget of 2002 fiscal year and it started in June and ended in May. It's now being audited by the external auditor. When it is finished, we'll summarize in this form to be part of QA process. This much, I like to present, from now I would like to ask if there's any ideas, comments, or questions on this. Ok, just one thing, I think everybody in here is already tired, right? So, why don't I just switch to the Thai language for easier communication.

**Participant:** It's okay, I can speak in English but I can understand Thai. I have a little question to ask about your data: What would be your income in terms of tuition fees?

**Dr. Pratya:** For tuition fees, we charge differently for each student. It depends on the number of credits they enroll for. On the average, they spend about 130,000 baht per year per, full time students, for two semesters. Some maybe pay more or less, depending on credits they register. That is for undergraduate students. For graduate students, it is about 150,000 baht per year per student. Thank you.

(After this portion, the discussion was taking place in Thai, mostly inaudible, till the end of the session)



มหาวิทยาลัยเทคโนโลยีสุรนารี

## **PARALLEL DISCUSSION ON “AUTONOMY : LEADERSHIP AND FOLLOWSHIP ISSUES”**

**Key Speaker:**

**Professor Dr. Kriangsak Charoenwongsak**

**CEO of Success Media Group and Director of the Institute of  
Future Study for Development, Bangkok, Thailand**

**Moderator:**

**Assist. Professor Dr. Arjuna Peter Chaiyasena**

**Suranaree University of Technology**



มหาวิทยาลัยเทคโนโลยีสุรนารี

**MC:** Introduction of the speaker (Inaudible): The speaker for this parallel session on “Leadership and Followership” is Professor Dr. Kriangsak Charoenwongsak, CEO of Success Media Group and Director of the Institute of Future Study for Development, Bangkok, Thailand. He is also Member of the National Economic and Social Development Advisory Board, Thailand. He received his Ph.D. in Economics from Monash University, Melburn, Australia. Interestingly, he is a prolific author as well as a deep and independent thinker who actively and intelligently participates in economic, social, and educational reforms in contemporary Thailand (Editors’ Note).

**Dr. Kriangsak:** Thank you sir, very much. I am very happy to welcome you to this session and understand that they would like me just to speak for a few minutes at the beginning on a preamble of some of things we will discuss together.

In this session, which I hope that we’ll be able to have a likely and useful discussion that can contribute to the issues of the leadership and followership on the autonomy of the university. Thank you for coming along. Because all of the audiences are very distinguished, I know that you all already have a wonderful conference throughout yesterday and today. I was very well briefed into what has gone through and I was given the documents of what has gone through before you come to the session.

So, what I would like to say for the first 20 minutes is to set the scene a little and we can spend the rest of more than an hour in our discussion. I would like to say this: We all come from various backgrounds, different countries and the experience of moving the university from a public university to autonomy, various issues have already been discussed in many case studies. So, I suppose we could bring all that together and cross-pollinate our ideas together so that we could bring out some rich results that can be useful in learning together. In a system of Thai universities, we are moving to that direction for sometimes now, I am privileged to be sitting as advisor in some of our Senate Committee on Education that passes a lot of laws concerning education.

So, I was able to see firsthand what’s happening in some of those laws that are trying to set legal entity to raise the possum for our public universities, so that it can become autonomous in a way suitable to their own. But broadly speaking, I would say that key issues that involve in bringing autonomy into fruition in a very helpful, effective way would also be the issue of leadership, and coming together, the fellowership. Leadership would be a variety of kinds of people involved in this issue. I would say that maybe those who are innovating policies and plans so that public university would move to autonomy would be obviously the government and the designated people in the government that would be involved in the leadership role.

We will discuss about this later on as to who are these people that we would like to see. The personnel from other educational institutions that are at the central

organizing kind of organization like the Ministry of University Affairs in Thailand, would be that kind of people. In the second category, it would be the personnel of the university that will include people like the administrators, President of the university and his team and other staffs in the university and people of the societies who are stakeholders who are involved, such as parents of students, academicians, NGOs, and so on. Those are key actors that will be involved in leadership and followership. Obviously, followership is involved with people in the university and people in the society at large that also have a stake to be involved in. I would like to set the scene by saying that the principles in leading universities to become autonomous need to be touched upon.

If we want to move the university into autonomy, we have to look at some key issues. Once we move the university into autonomy, the key issues would be 1. Quality - quality of education. 2. Efficiency and Effectiveness - efficiency in economic sense would be "how much money you are putting in and is it efficiently used". 3. Equity and Equality 4. the Issue of economic freedom. 5. How to Delegate the management of power and decentralize - some of the management should be leveled down to the level we would like to see. Community participation issue is included inside and outside of the university. And finally, the issue is the economic social demands. Are we responding to the market needs in economic demand? If the University is moving into autonomy, can we cope with all these? So, that would be the first issue that states the basic policy or educational act. We have seven issues to look upon. Another thing is the benefits that we will get from changing into autonomy, where all parties involved benefit. For example, when we move into autonomy, there will be those who gain and those who lose some. We have to be clear, for example, those with higher education are people who usually have much more private returns from education than those with less or much lower level of education. The question, therefore, is: If you have much more private return from university education than the social return the society get from you, who should pay for their tuition fees? Should it be the society at large which is being taxed to fund all your education? Or should tuition fees be highly subsidized like it had always been in many countries? Or should it be that the government subsidizes your fees partially up to the level that education at this level is contributing socially and that can be measured economically as well. And the rest can come up with some other ways. This issue should be very important because you would benefit from this education. So, who should pay?, how much the government should pay directly and indirectly. How much should individual learners and students should pay? How should we treat this fairly and properly. The third thing would be the framework. When we discuss this issue, we have to look whether there is short-term, medium-term, or long-term advantages.

Sometimes at the expensive long term consequences, we may just latch on the immediate benefits that we may get and the debate may go on about the immediate benefits, but we didn't look over all the scope of short, medium, and long term gains. So, I like to say that key issue in mind as later on we may



throw the floor open; that we can look at this and try to incorporate this; that maximum optimal gain of overall short, medium and long term gains will be considered as well. The fourth issue is our context issue. I assume that there will be a lot of Thai audiences here. That will come close to your heart. But I am sure that in many societies, when we move public universities into autonomy, it has to be done contextually by contextualizing the society. But societies are different. Sometimes we can't bring the university into a stereotype fashion where we do the same thing everywhere because we have our own context, our demographic situations, our educational demands, level of education, the development and direction that we are taking, the level of development, social demands, culture and things inherent in our society. And we can't just wholesale or imitate what other countries have done, and the issues such as participation from other stakeholders. Everyone involved needs to be engaged in this process, be it the government, education agencies, social sector, NGOs, people who are interested, and all stakeholders should be considered. That it is also a concern that we need to consider when we move autonomously.

We must set the principles at work in this way. If we can look at the role of leadership. May I say that possibly in terms of the government there would be a few things that I think the government need to be cleared in these sectors? First, the government must show leadership in clarifying its position: what they want to do. By being unclear like sometimes Thailand experiences, it makes the whole process difficult. So, the government should make their positions clear. Are they for it or not? How far are they for it? What do they mean by being 'for it'? The policy, the time frame, and the sequencing must be clear. Second, the government sector in leadership need to realize that setting strategy would be very helpful to follow those positions, that is, prioritization of what to do first and what is next, by weighting the issues which are not equally weighted. Sometimes putting equal weight may not be the most helpful thing. When we put more weight on other factors, they need to be clarified. What are the weighting that are being put and what are the approaches that are optimal in different time frames, in different time periods and the faces of autonomous engagement. What is the most strategic optimal way and also coherent with the situations in our country like in Thailand. We were definitely facing an economic crisis in 1997 and consequently the government's ability to finance education is a big concern. And therefore, those come into play with the economic situation of the country. Now, if our economy is getting better, if the situation changes, we will have to interact a strategy with the context of our national situations as well.

Third, we need to set some clear criteria that would be useful concerning autonomy of the university. How are we setting the budget? How much are we subsidized? How far are we going to allow them autonomy of generating their own revenues? How to evaluate the new scenes in the university which is making people apprehensive? How to evaluate your staff, your professors, your lecturers. Are you going to provide the social welfare for your staff which used to be in the public university and very well taken care of? Those issues have to be clearly set. Fourth, we need to look at the supportive system. As we are

shifting the university from a public university into a university which is autonomous, there must be a supportive system developed to ease the movements toward the goal.

These are, for example, database, research works that also indicate where else in the world, what people are doing, and what they have found, so that we don't have to repeat the same things or the same mistakes. We can learn from those research works and data that we collect from around the world. These are supportive systems that I'm sure the government who is taking the leadership should really do. Every university has to research and reinvent what they should do all the time. Central organizations of the government should really make things available and ease the transition by giving us all those data and research supports, consultations, and experts that can help. They will be very useful. Development of our own management expertise, staff development, and all the teaching staff, and other kind of staff have to be improved. Maybe the government can do some of that, for example, the issue of budget: How much? Make it clear so that they can consequently plan what else they can top up. How much is the government really going to put it in, maybe to make it easier and less resistant. How much budget can they put down as an endowment funds? Even for the public universities that are already there, they still need a huge endowment fund. Things like that need to be discussed. That is called "leadership" the government should set. Also, the time period in piloting some projects so that we don't have to make a mistake at the same time in all universities. Fifth, the criteria to assess the operations should also be set very clearly. What are the indicators for being autonomous? What's the meaning? Because the words can be endless. They can mean a lot of things for different people. What does it mean by being autonomous?: It means effectiveness, efficiency, transparency, participation, and equity. Sixth, public relations are necessary. Because people resist changes, we need to clarify to the people who are involved and all of the stakeholders. If we don't do it, we may fail at the very beginning. So, I think that is the task of really being public relations-oriented leadership on the part of the government.

So, I think the university should fight, on their own, all the hurdles all the resistance and problems they may have to face. If the government takes the clear leadership, it may set scenes for the entire country properly. The job may be much easier for each university. If the government helps the university to set a good scene in public relations, it would ease everything. Another issue involves "looking for solutions" for things that are challenging and problems that have emerged during this period of autonomy. So, if the government can take leadership on that, it will help. For example, the common issue is: How can the poor enter the university when the tuition fee is on the rise? That issue needs to be worked upon. We need to help them so that they can enter the university and learn. Do we set some scholarships? What are the systems for the rich to subsidize the poor? How can the university handle it so that every university is autonomous and can still admit some poor students into the system? These are the main issues, for examples.

Also, what about the rural area? And what about the commercialization of education or becoming educational enterprising so much that we become a profit-making organization beyond the balance factor of trying to make an institution a center of learning, a place where we generate, accumulate, and disseminate body of knowledge. Universities also have many many fields of study that are slowly diminishing because they are not marketable in the modern day market. How can we cope with some of those fields that can disappear in time? The government should set a good leadership and policy so that the university which is struggling to survive can retain some of its non-marketable fields and stay alive on their own. This is essential for national development.

Then, we come to the sector of the university itself, which in my opinion, now the government can take its part in leadership. First, the university could do something that can be helpful so that they can make the high level of understanding about what autonomy is. When they give out the meaning of being autonomous accurately, precisely, and comprehensively in coverage, people would have no misunderstanding about it. Second, the university has to set its own vision and strategy that can take them through short and long run. So, they can be able to assess all knowledge about their opportunities and threats, they can evaluate and shift their plans along the way in time. As they go on moving in phases in autonomy. Third, the university should build a good teamwork that will reform things because every university already has some history that they are already being operated upon.

Now, moving to something else. They will need to have a team effort in reforming and moving the university to where it wanted to be. Going there can have many kinds of people involved: the university council, the professors, the representatives from the Ministry of the University's Affairs, people from inside of the university and people who are stakeholders in the local community. This could be a team that helps look at these issues taking leadership together in moving the entire situation. Once the universities become autonomous before their budget is catered, they may not be in tune with how to raise or generate more revenues from the private sector. A university used to be a place that didn't need to do it. How do we engage in private sectors? How do we move into a business-like fashion? How can we generate income from our research autonomously so that we can really build more income from the line of the tasks that are being done here? We can also look at the issue of efficient use of the limitation of resources, the issue of participation, and the issue of transparencies. Especially when we move into autonomy, how do we ensure the public that things going on there are transparent? How can you ensure your academics without fear of the public? Issue of decentralization, for example. Fourth, this involves reforming the University Council. How can we make sure that the University Council is giving policy and can evaluate the performance of those in the executive position? We also need to look at the leadership issue in the university, at how

the executives are performing their work. And another issue is recruitment, bringing in professionals who can run the university. Sometimes, this is not always clear. What kind of professionals? We need to be able to understand academic world efficiently. Can they make it efficiently? Management is not coming by easily in time. Those are leadership aspects that are needed to figure out and set the process running. We also need to look at the issue of organizational culture - when working as a group for a long time. We set in concrete some culture that is hard to change. How do we reform this culture?

In Thai society, like in many Asian societies, it is difficult to be merit-oriented. The merit system is hard to be able to function. You can still whisper to your friends what you want. So how can you be sure when you move to autonomy and you could be fair about the merit system? How could you still be fair enough to make people feel secure so that the resistance will melt away. Then, the issue of personnel development in the university. When the government set the universities free. They really have to be on their own. They need to be redeveloped and retrained. They will need to change their outlook and perspective. They used to be civil servants. Now, they need to make their students a little bit more like their clients. With that perspective or mindset, can anything be transformed? How can we change the perspective so that we can persuade one another? How can we get out of the civil servant system that has central commands? How can we head the university into a right path where it has all quality and standards and where it is sufficient and efficient to run itself in the long run? How can we set up a reward system, recognition system, advancement of the career path, interests that are being catered for? For example, how do we develop knowledge and capabilities of our staff? Functioning and adjusting along the way. Can we not adjust once and stay there for 15 years and not changing it? How can we gradually adjust along the way? This is because things are changing all the time. What about the research work, the issue of leadership? For example, how can the research quality enrich or bridge the private sector that need to be coming in more readily? Economy in this part of the world can especially contribute many things to research so that research can give advancements back to the industry. We have to pioneer all that area.

Society at large is a third sector, they can take some leadership by offering ideas, creative critiques, and solutions to problems. They could follow issues here and evaluate and they could keep things accountable. These are what leadership can do. The other side of the coin is followership. I suppose if we have only leaders but not followers, we will have all sheep but no Indians. We have to learn to be good followers. If everyone wants to be a leader then nothing can be done. People in the university are really hard to lead, aren't they? Everyone is independent and they want to do their own things. You need to be a superman to be an executive here to really lead these people. We need to learn to follow. What does it mean to be a good follower? Let's take a look.

They need to be well informed, before they speak they need to be well

informed and know what they are talking about. Otherwise, we will be talking at different wave lengths. Because of lack of information, we keep criticizing things that aren't real and aren't there. And they would misinform the public, or reject the ideas or different terms which means different things because they don't care to find out the real information and clarify themselves from the right source of information that is credible.

I would say that the issue of followership mean you have to find out before you speak. You know what you are talking about. You know the real information, gather all information properly, understand your regulations, legal proceedings, and the trend for the future. So, you know what is the function of the university in the world of the future. Can we continue the same old ways and resist the changes when the society is in need of the engine of growth through the brain engine of the university? If the university is not functioning properly, would the society be disappointed by us? Have they studied what is going to be the future of Thailand in the world before they are able to raise their opinion in a way which is not well informed?

Second, they can participate and participate constructively as good followers. They can critique so that we are mindful of what we are missing or we're not aware of. Good followers critique, they don't just follow the order. They can critique, they can disagree, they can give their own opinions, and they can take different perspectives from those who take the leadership. But their critiques and perspective must be useful and must be helpful and it must be fair.

Third, people who take followership should be people who are still learning and developing skills to sufficiently face what they are being brought into. For example, those who haven't published their publications or in a process of publishing their own works won't survive in this autonomy. Surely, they must change their mode of thinking, start seriously doing research publishing. Once you have published, you will survive.

These are the things that they need to be pushed into as followers of the new system are going. Other adjustments that need to be done also are: if you don't have the tenure, with the contract, how can you secure yourself, your job or career, or how can you protect yourself from losing your job or being trapped in your own work. Again, all these adjustments have to be taken care of. For the people sector, the society at large, I guess they could be involved as followers by participating, offering opinions, critiquing, giving ideas, supervising and keeping the university honest and accountable. That's a very good thing. Being good followers, they could continue to be good listeners and well informed. They need to receive information so that they are up in their time in their offer of critiquing and giving opinions, and not saying things that are old, way back many months ago. They also need to understand where the society is going, and be cooperative in unifying our approach so that we could bring the university into a place where we could do well for our society at large.

I have already set the scene for everyone. Now, I would like to throw the floor open for all of us to express our opinions and to bring about issues you want to say. I guess that there are three panels. The other two are concentrating on a couple issues. They are doing the issues of finance, budget, and human resources. Why not we try to focus on the issue that they are not dealing with. We'll focus on our issues in our situation. With this in mind, may I now invite any of you. If you want to express anything, please go ahead.

**Participant (Dr. Kritsana):** Sir, first, I think your discussion is quite practical in the real world, really. And I think being leaders and followers are equally difficult in a Thai university system. I would say the main problem is we are academics once or in parallel. You are also an executive and administrator, you got the problem. I don't know whether the administration task of the university is better for the academics or someone else that is the question really. I mean sometimes we think about our academic background. We have to retain the quality of our research work. Still, we have to administrate and followers are our colleagues that put more pressure on us. So, I don't know. One point I would like to point out is who would be the dream administrator of the university. This is, I mean, for the last two days we have listened to different people speaking on the quality and qualifications of the university's administrators. But in reality, do these people exist to run the university in the most efficient way? One more thing I would like to put in is about the university council. We've heard many University Councils are just a rubber stamp. Our University Council is not like that. Our University Council has a strong and good academic background and a lot of knowledge and expertise. So, the reforming of the University's Council at least for SUT is impossible because we already have things running according to the SUT Act. So, we seem to have no chance on that. This is the agenda I would like to put into the discussion. Thank you very much.

Dr. Kriangsak: This is an excellent question that I think should be commended for highlighting very very practical and real issues involved. If I may summarize in the open discussion for you to put your opinion in and as always add other information in this, number 1 is the issue of dream administrators of the university. Let me say that angels are very good to paint the features so that we know what they look like but we don't have them around. So, we may point out all the qualifications of all the dream administrators, they are probably Superman with capital S. They have to be good at every thing, so perfectly run this imperfect university. But I think it is always useful to have some very ideal composition of the kind of people we want in mind. If you can try to find the people with highest composite index of all those indicators and go and near possible of that so you can get the people to run it and see your ideal running things near to the point of being perfect.

But don't be disappointed if you can't find that one exists. When I was at a Graduation Ceremony of my son at one of the top universities in USA, I realized the contrasting characteristics of the two Presidents of the university.

One, I think, from social science and the other one from computer science. You can see the two, during this period, are so different. I can tell you from the inside of this that even if they are the top administrators of the top university of the world, I don't think they are perfect, either. I have analyzed fairly and see that the two don't have wings. They have things that they can't do, too. So, that is the case in the top universities with big endowments, big good faculty. That is very difficult to find. Students have to compete in. Other universities wouldn't have a chance to match and therefore if they are not perfect, let's not deceive ourselves that we could find the dream administrator. But I would say let's keep those good indicators even if we want to be more scientific, put the weighting scale there, create some composite index for your university that fits your local context because you will have different schemes for your university in the sector that you are in and agree to your criteria and your composite index. Then when in your recruitment and head-hunting search for your President of the university, try to find him in the scientific method so you can get the nearest one to being superman. That's my first point. The second thing is that, in the modern day university, usually, you have the first person in charge who is the ambassador of the university to the outside world. So, as the President, he would probably not be sitting in his office a great deal. In the modern day, and particularly in a period of when the university is moving into autonomy, he would be contacting many people like the business people to bring them into the science park, bring them into the industrial research project of the university. He'll be dining and wining with all these people. He will be very savvy with his ability to draw in the funding. Probably the second one in charge would be the one who runs all these happenings, the whole affair inside.

So, probably you have to look at the phasing of your university, at what stage your university is in, whether your university recruits the right man in charge or not. Anyway you can comment more on that. If he's a professor, could he still produce research while he's running a university. I have a good friend who is a President at the ANU, Vice Chancellor of the ANU is an economist, a well-known economist. And I ask him: How can you still publish while you are the President or a Vice Chancellor? He said he does it on the weekends. Writing papers on the weekends, that's the only time. So, I guess you need some academics there to set the tone, otherwise it will become a business enterprise if he has no academic leaning at all. That means he really has to spend his time on researching, somewhat set a role model and also run the university in an efficient way. You may have some opinion on that and the University's Council you just mentioned. I guess that there is no way in the world that one can run away from a system of balancing the three powers. In the democratic society, you have executive power, legislative power, and judicial power. These three powers have to be combined into one, otherwise you will have dictatorship and it's dangerous because you have no checks and balances of one another. You can not balance the power. So, in the university, my humble opinion to you is that the executive branch which is the President of the university can't be the Chairman of the Council which dish out all of the university's regulations or the legislative work of the university. Otherwise, the President will set his own

rules and he'll execute it himself. Then, you won't be able to have the judicial power to judge the situation with the executive. So, I think you have to divide these three powers up in a neat way that is cooperative in the checks and balances system. In this way, I would just offer an initial thought for the open floor discussions. Please put in the thoughts. Would you like to speak on the microphone so that everyone can hear you? And also mention your name as well, so that everyone will know you.

**Participant:** My name is Peter Chaiyasena, I'm Director of Center for International Affairs at the Suranaree University. I think that one of the pre-eminent paradigms of Thai management is that the leader has to be "kon geng" (Thai = a smart person with so many talents) and has to be very good. He has to be omni-competent. That's the word I made up or somebody else made up which means, "You know god is omni-potent, omni means all and potent means powerful". But President or even the Director has to be omni-competent, he has to be able to do everything. I have a feeling that the more we become realistic about a Rector or President being human and not an angel, the faster we can get along with life. Because, I think, I know if we make a personal SWOT analysis of Strengths, Weaknesses, Opportunities, and Threats, we know what we are weak at. I'm very bad at telling people where they should go to do something, I'm very bad at that. So, I get someone who can do that for me. And so, that way you build up a team that can do various things that you can't do. And I think the fact that for somebody who is good at research would do research alone is past. Now, you have to do it as a team. Why not in administration? That means the person up there doesn't have to know how to do a lot of things in order to become President. That's one thing Drucker had said in his book: *Toward Management Challenges for the 21<sup>st</sup> Century*. He said that you don't have to be everything but in fact your secretary will probably know much more about life than you do. In the university, however, what do you do? You guide the ship, you don't worry about the engine of the ship. You guide it and you tell where it's going to. Thank you.

**Dr. Kriangsak:** That's an excellent point: Teamwork in a nutshell is that you are omni-competent because your team is putting in some of the skills you don't have. As a team, you are able to manage it. So, you are omni-competent as a team, not just as one person. So, that is a very good point. The key or the implication, therefore, is very clear, it lies in choosing your team so that they will compliment you rather than imitating your strengths. And the weaknesses of leadership is that you always gather around people who look like you. They behave or act like you, think like you, have the same abilities as you do, because you have mutual appreciation for the same thing. Therefore, you never stare at the people around you who are different from you who you are in need desperately so that you can put in your own team, in a strong and coherent way. And I guess that is the art of leadership: You are able to recognize your own strengths and weaknesses, and cover your weaknesses and shines your strengths, and let your team supercede you at the things or in the areas you can't do.



Would any one else throw in an opinion at some point? This could really be the answer to our discussion on the issue of being academic. When you are executing, you still need to do some academic works so that your staff will understand when you press them to publish, otherwise they won't because you don't publish yourself. They don't understand how busy we are. My friend who's the President that publishes his works still supervises his doctoral students on weekends. So, when you are at the top and you do all these things, the staff can't argue. That's something very tough but you have to do. You have your teamwork now, stop your weaknesses and combine a team. Maybe you care to talk about it if the university won't let you choose your own team. They put people around you somehow just for tradition and you can't lead them. You have the President put all the people around you and not helping you. What would you do? Let me toss another question to keep you thinking and bounce back your opinions. Should the person who runs the university be more or less very strong in management? If you put the tip on the scale, academic and management components, should he be more management, with not so much academics but some appreciation for the academics, but very strong management? Or should he be a strong full professor? For example, he had done a lot of publications and a lot of academics work and then has some apt for management. Which one would you go for in the university that's autonomous and why?

**Participant** (Dr. Tavee Lertpanyavit, SUT Rector): I don't have the answer but I have another question. Since in Thai university system, somehow someone has to be the President. So my question is: How can we prepare our future leadership by the President. In fact, someone may want to become the President someday. But how can we create some kind of an opportunity or training courses to prepare him. Of course, it's not guaranteed that after he had gone through those courses, he would become a President. Nobody guarantees that. Here is my question. Do you have any suggestions on that? I have mentioned earlier that someone will be or have to be our President.

**Dr. Kriangsak:** Let me put it this way. Is leadership born? Can you cultivate it or grow it? The answer actually very much comes from two camps: One is you are genetically made for it. That is, hugely, of course, you can learn along the way too. The other camp says it is all environmentally engineered up through your exposure and other things. Is leadership from birth or training? If you think it is basically intrinsic with a person, you can set criteria and look out for a person like that and bring them in. And then you train him a little bit more, just a tiny bit. The training components depend on what philosophy he believes in. If you think he can be trained, you might start a program here at Suranaree University of Technology called the MUA degree: Master of University Administration. It is named after MBA, like a business that can be trained. So, why don't you have an MUA degree training those people who want to be the university administrator in the future, specifically, pass all the arts and all the accumulated experiences, then train them for the whole Thailand? This would be the point that we can send out good administrators for universities all over

Thailand. So, if you think you can train them, why not put the package together of what are the areas needed, use all the veteran persons, executives of universities who are retired, brainstorm together, come up with some curriculum, draw some of the guidelines, what are the courses needed, what are the areas that needed to be strengthened so that you can put in a training program. It could be a year. Send those who want to become university administrators here. Just like the Board of Directors training at the Securities and Stocks Exchange of Thailand. So, they know what they are doing. Send them here, train them somewhat. I just believe in training. I don't think that they are genetically DNA coded for being the kind of people who are going to run the university. I think it is trainable, of course, by the exposure to many things in their lifetime. They know how to take leadership because they have a lot of composite that came from their life experiences that will allow them to exercise leadership, hence come natural to them like their second instinct. Those people who find them at the end of the tunnel, at the beginning of the tunnel, at the beginning of the process, will probably expose to a lot of things. Hence, you discover them ready-made products. No need to train so much.

Maybe you can train by putting the qualifications of those who can enter. Go through the program, train them the right way, then mentor them and coach them. I would say that is an important thing all MBA schools are missing. When I was speaking at Harvard MBA School recently, I ask Harvard students who go to business school point blank: How many graduates from Harvard Business School are successful businessmen? That's very interesting, of course, because I never get a straight answer. You know why. My suspicion is this: A lot of them are not successful at the highest level even though they are well trained by top brains, top opportunity, top exposure with brand name that is marketable. But why they are not successful as businessmen. I think they lack mentoring and coaching. That is my own suspicion, not proven yet but I am just offering an idea. Why? Because nobody guides them and coaches them and helps them. The system of coaching is still a system that we miss. Our Ph.D. program is basically a coaching program if we do it right. But we do \*only academic coaching so that they are trained to be a researcher or an academic. But what about those people in the executive position? They also need coaching. They just can't own the university, sing and swim on their own. They didn't know what to do. They need coaching. Maybe we should put them on some kind of trainee mode for a little while grooming them up to be a successor when you know way ahead. When we take a look at the system of some institutions that survive over a hundred years, they all have some similarities in nature. I enjoy studying patterns and analyzing what make them tick. I have looked at organizations that lasted for 100 years, 200 years. What are the things that make them last and continue to sustain very well? What kind of leadership that causes this succession? Very clear that the succession path is not by accident, it is created, the avenue for succession has to be created. That should not be taken by surprise too much. And they will be well-trained to assume the position later on. Anyway, I put my bits in and you can feel free. Go ahead.

**Participant (Dr. Kritsana):** I think when you want to become more specific, you should add the university of technology also because this is our expertise. You mentioned the reforming of the University Council and you also mentioned the KPI. Could you please suggest some KPI to measure the performance of the University's Council? I'm myself the Vice Rector for Planning, and the Secretary of the University's Council of SUT.

**Dr. Kriangsak:** That is excellent! The composition of people in your Council has to change. When we were civil servants, public universities in Thailand were not autonomous. At that time, certain things were carried out for you by other people and organizations. Now you have to do it yourself. Obviously, for instance: financing. In the past, you were just sitting there like a hippo waiting for a budget to put into your mouth, then you closed your mouth to eat. But now you have to go out and search for your own resources, look for your own financial sources as well. So, before that you didn't have to put in a lot of finance guys who know how to generate funding to help the Rector to know what to do. You may need to put in some more business people, more finance guys. The key, therefore, to doing your KPI is first of all to create a composition of your Council in the right composition with all kinds of variety sufficient for the task. How do we know what we need? We just look at the tasks that we need to do - the challenges that we are facing when the university is being autonomous, and the future of society you are trying to serve and put the right kind of people in your Council. Fight for it, if your legislation does not allow it, reform it, change it, so that you can put the right people in your Board: The right kind of people, the right type of people. Not only the right kind of people but also equal representation. The problem with equal representation, however, is that you need to have the flexibility of having more guys in certain kind of phase in your university's life in your foundational period, in your growing period, in your mature period.

The kind of Council should be reflected on differently. It can not be set in concrete. You know... two from this kind, one from this kind, all the time. It may not help your Board if you do that. With some criteria clearly set, you move on from there to look at some contributions these people should make. When they sit there, they shouldn't be just sitting there and unprepared. I can tell you from my experience, when I sat on the Board of one higher education institution, we didn't usually know what's going on in the university. Basically, it is the President or the Rector who prepares things and rubber-stamps all the time. Not because we don't want to get involved but because we don't have enough input in order to intelligently offer some opinion that is valuable. We need to have some kind of orientation both in terms of distance orientation: Sending them materials, briefing, so that they are up to date with what's happening, feeding information to them at every crucial juncture, crucial issue you want them to contribute in decision making. Put all those things in so that a person who sits there is able to contribute from the wide perspective and could intelligently assess the situation and offer something valuable and updated. He should be able to interact with the issues that you have at the executive level. My feeling is that many times, the University Council becomes

a rubber stamp because we make them so by design intentionally or unintentionally, they are probably so tired already through life experiences that they don't want to be very provocative. In a University Council, when you want to move ahead in the threshold of new pioneering ground, you need people with some action which are still active. But should we choose people who contributed a lot in the past? Not of the future or not of the present. They are already so senior that they don't want to rock the boat. They are so conservative by their age, they are not risk taking anymore. Then you or your university need to tread a new territory and venture into something adventurous. So, when you have a composition of your Board with people who are so senior fully, it is surely that your Board can't move and you cannot do anything, you would just be running and maintaining the system grinding the old path. That is clear. So, your composition of all demographics, all varieties is important. Then, you should design your KPI to measure the expertise that is to contribute. And if the KPI comes out in a balanced way and when everybody contributes sufficiently, you will bring about the result of your objective that you have designed, and your visions will be crafted for the university. So, I would put it into principle that I think this should be the design of KPI to fit in with our University Council members. In fact, all of them should look different from the KPI, because they come from a different expertise. If they sit there as an economist to help you make sure that what you are doing is in economic sense. They should be measured by the KPI differently from someone else who is also sitting there, for the expertise and social understanding that they are concerned about the community and they are concerned about the impact on the civil society. For all those who are contributing on other bases, I should be saying that we should devise innovatively, which, I don't think is being done this way anyway, but innovatively to fit the person. Just like you go to a shop to buy your jacket. If you buy a ready made, it would fit you well. But if you are measured and buy it tailor-made, it would fit you exactly. So, the key is you should tailor your Council men properly. I don't want to turn into two dimensional or two ways talk. You can go on this way too if you like. Go head.

**Participant (Dr. Arajuna):** I think one thing that continues from what Dr. Kritsana has said is mentoring. It is so important not only in business but also in the context of the University Board or Council, mentoring director, for example. And one of the things that I was thinking is that many times I think in Thai society or in Thai administration when somebody has a "loog nong" (subordinate), and he is very "keng" (smart or clever). Their head would start to feel very uncomfortable. And the thing that Drucker said at one point: It's a very good sign when you have people who are trying to saw your chair from under you because that means you have good people under there. The second thing about the structure of the Board, I really think that the structure of the University Board in Thailand is not really reflected of the stakeholders. I think SUT came pretty far but not far enough. Why don't we have a student representative in the Board because students are the most critical stakeholders? Whenever we have a student representative, there's also a diversity of wealth because they are also in the Students' Academic Senate to help tell them what's going on. I think probably the problem is we don't want to hear what's going on. This topic has

never been debated in SUT until it is brought up right now. And then the second thing is personnel. Perhaps, should a personnel representative be in the University Council or representative from the staff? But the real question I have is: How do we know where people are going? A leader is supposed to know where. How does one know? Everybody said, "Look at the vision, the plan, the national plan". I was one of the few that read the plan laid down by the National Planning Commission. And then look at the MUA plan, now the SUT plan. Everything dumps there, but if a Rector would know where we are going. How does one know or does that come from above or from inside? That's the mythical thing. Thank you.

**Dr. Kriangsak:** I think you've raised some very interesting points. I would consider strength of a leader is somebody able to find someone that's better than him in some area, so he shouldn't feel insecure. He should be able to make use of those people who are better than you. You don't have to be best in every area before you become Rector of the university. The key is to recognize strengths in other people. Otherwise, why do you want to hire him to be your associate, anyway, if he is not as good as you? Make sure that he's better than you in some area. Let him be able to do his best as a team. So, the strength and security of a leader is important. He shows security by giving room for others and not afraid to use people who are stronger. Then that's point number 1 and another point that you just raised is: There should be a University Council that allows student representative to sit on the Council, precisely, just to hear what's happening in the crowd. Maybe we have to put up with the news they have created. But it is very good news because some of the thing we don't want to hear is real. We need to hear.

**Participant (Dr. Mendosa, Philippines):** I come from the Asian Institute of Management. We've been autonomous for the last 35 years. I thought it might help if I talk a little bit about our experiences in how to help the leader. We have two Boards, one is called the Board of Trustees, it is composed of the representatives of the two universities that set us up and these representatives went to the business community from whom we get the money and appoint them to the Board also. So, we have three Christian brothers who are educators and three Jesuits who are educators and five businessmen who run large companies who made decision for us. We really have two leaders: the President and the Chairman of the Board of Trustee. We have been fortunate in picking out the visionary type of Chairman of the Board. He has led the Board of Trustees to set policies for us to keep us afloat. On the other hand, we also decided that we needed them because we are an Asian Institute of Management. We need a Board of Governors who would advise us essentially in 3 things: What are the problems of managers in Asia?; What are the opportunities for the development or setting up programs to develop managers in various fields? To open the door for us, we have chosen about 20 governors from different countries in Asia. For example, when I was the President of AIM, I had one governor from Thailand, Mr. Buncha Lumsum. He's still around, he's a very bright visionary man. We also had the owner of Seiko and the founder of Sony. We also had people from Indonesia. We also had one of the Board

members from Caltex in Indonesia which exports a billion barrel of oil per year. He was Chairman of Caltex. We also had governor of Central Bank from Malaysia. He was also the brother-in-law of Mahathir who married his younger sister. It was this kind of men we picked in order to give us advice. This is the opportunity that we take advantages of. These people make the President able to see a lot more than he knew. The President would look at the rest of Asia and ask about the problems that management may face. For example, after 6-7 years of our existence, we put up a new Masters Program in management because our governor told us to do so. He said that two years MBA is too long, we have a lot of managers who are practicing managers and need to know a lot more than they do today, so, why not set up a Master's Program that will last for only one year, we can afford to send them to you for one year, and it will do you good. So, we set the Masters Program in management. Also, some of the governors said government managers need to be developed, why don't you design a program that takes 5 years to do research, and a Master's Program that develops managers. So, we have those two Boards. One is a decision making Board, the other is an advisory Board. They introduce us to various opportunities. For example, Mr. Bancha Lumsum introduced us to people in Chulalongkorn, Thammasat, and NIDA, so we can get together and talk about how to develop our faculty together. We found it very useful and perhaps some of the universities here can see that is useful, too.

**Dr. Kriangsak:** That is a tremendous contribution, Dr. Mendosa. That is a very good example you have given. You mentioned the two Boards. That was an excellent idea in the light of your university of management which is Asian. It can't just be Philippino-based Board alone, which I guess it would be a decision making Board which have to run the nuts and bolts of it. But you also have an Advisory Board. So you have all the important information about Asia, and you would have a kind of a consultation board that would fit in for your name. So, I think it was an example that can be adapted. Maybe the university here could have an Advisory Board that comes from various sectors of the society and represent the objective of the university more. They may be reflecting on the kind of things you are teaching as well as the faculty and the departments you are having, and so on.

**Participant (Dr. Dalisay, Philippines):** I'm from the University of the Philippines. Just like to add in relation to what Peter brought up earlier. We have the Board of Regents, now composed of 12 people but among these members are a student regent who is chosen by the students themselves and a faculty regents chosen by the faculty. Soon, if our Charter gets approved, we'll get a staff regent to represent non-teaching staff. Since we are a fairly large university and the university system, we feel that representation of these sectors is very important in terms of not only inseminating but also curing, securing their approval for the university's policies which are potentially controversial. So, no one can say that they will not listen to or react to what you want because they have a representative on the Board. Of course, it doesn't guarantee that the students will resist and the staff will not resist measures that the Board ultimately agree upon.

But it provides a forum for democratic consultation. They are treated just like any other Board members: they have offices and staff support for a year or two as long as they are regents. They are very much honored like other regents. In relation to what you've raised earlier about the President of the university, our President no longer sits as Chair of the Board of Regents. He or she as the case may be. We haven't had a female President yet but maybe soon. The President of the university is always the Vice Chairman and the Chairman is always by law the Chairperson of the Commission on Higher Education. So, there's always someone else who oversees the operation of the university besides from the President of the university. Of course, many people are still unhappy about this and want more representation of the Board. In fact, they wanted something like the University Senate where they would have a truly proportional representation but many of us resist that because at some point there will be too much democracy and we can't get anything done anymore. Even the position of a staff regent sometimes was hotly contested by the senior faculty who felt especially the inclusion of somebody such as a clerk would be an insult to them. If academic matters were going to be discussed, they felt that it was like letting the elderly run the hospital. But we reasoned that it was just one out of thirteen members of the Board and that the benefit would outweigh the costs. So, that is our experience.

**Dr. Kriangsak:** Sir, thank you very much for your contribution. While waiting for many of you who may want to contribute some more, I just want to come back to the point mentioned earlier that we haven't touched: "Where are we going as the vision of the university?" I think that point has been left without clear answer and discussion. I think the university should articulate in the long term clearly in line with the specialty and uniqueness that they enjoy. They can't just be very much generalized in the areas that they can do, they must be unique by taking stocks of what they have and what they can contribute best that no one else can do in our country. The mission we have is distinctively different from others. Hopefully, it will shape some of our vision and our contribution so that it can be set clearly, and in the long term, when the time frame is specified where we are ending and how we measure when we get there. While casting that kind of vision, I think you'll be able to reflect all the future decision making like the departments, the schools in the university, realize where you are going and where the unique niche can be, you will be able to create your own plan in line or dovetail with the university's plan. That will affect multitudes of the university decision making, such as sending staff to be trained to get a Ph.D., the specific field they should go for, who would supervise their dissertation, and which university they should go to. They would get a good degree that fits the quota prescribed by the Ministry of University Affairs. How many Ph.D. graduates you need to have, the kind of Ph.D. you really want, and the special kind of specialty that you really want. That is one example of hundreds of things when you set your vision clearly. The vision is, nevertheless, vague and almost not useful for setting the direction for the rest of the entire university personnel to move ahead. It has to be clear and well supported by good reasons, evidence, research, missions, objectives, etc. Once you do that, the university will make a huge difference in the long run.

Otherwise, it would become just a mediocre university similar to other universities. No one will really specialize in anything that's contributing to the society uniquely.

So, my feeling is that we really need a long-term plan as the university upgrading and contribution don't come up over night. We need to have a long term conscious planning. And to get there, I suppose, you need to build various scenarios of what are the alternatives scenarios where your vision can land, and then debate among those scenarios. Like SUT here, you occupies a unique position in Thailand. You should ask yourselves: What should you do?, What are the scenarios? In 15-20 years from now, where do you want to be? Create alternative scenarios and debate among the various ones to choose which model you are taking and move toward that goal with more focussed efforts. By doing just that, the university is not only moving, it is also moving with clear focus and contributes something to the society that expect you to do it and cannot do without you.

**Participant:** May I talk again? May I share my experience? When we started off our institutions, what we wanted to do was to bring MBA of Harvard Business School to teach in Asia. We spent a lot of money sending people over there instead of teaching them in Asia. For the first ten years, we saw ourselves almost purely a teaching institution. So, our strategy was to be a teaching institution. The research we did was to support our teaching. We wrote cases that we could use in the classroom. If it wasn't useful in the classroom, we wouldn't do it. Later on, as we looked at the problems of the Asian countries, we realized that there were many things in Asia that Harvard School didn't teach, and that Asians needed to be taught. One of the things was the development management, the development of managers for the government and NGOs. So we had to do research in order to develop new programs. That shifted our research from purely case to looking at problems of development and the kind of management needed. Beyond that, in the last 15 years, we have decided that instead of teaching what was developed and taught in the west, we must do more research on management in Asia. We then took a look at the management that the Japanese have developed. Some of them have been different from the management developed in the west. It would revolutionize management. Now, as a matter of fact, Harvard Business School and American universities sent many researchers here to find out how Asians manage: How do the Nanyang Chinese manage?, how do Indians manage?, how do Malaysians manage? All have different kinds of management. And so, again, our strategy has shifted and our research is now focuses on Asian management: What is done and what is best for Asian management in Asia? Here, I think you will see how strategies of one institution have shifted over time to ascertain and serve the need of society.

**Dr. Kriansak:** That is an excellent point! You've touched on a very important point. I agree with you that institutions in different parts of the world should be true to their location. Nobody should do the research for us. We should do research for our own unique setting. The principles could be applicable.

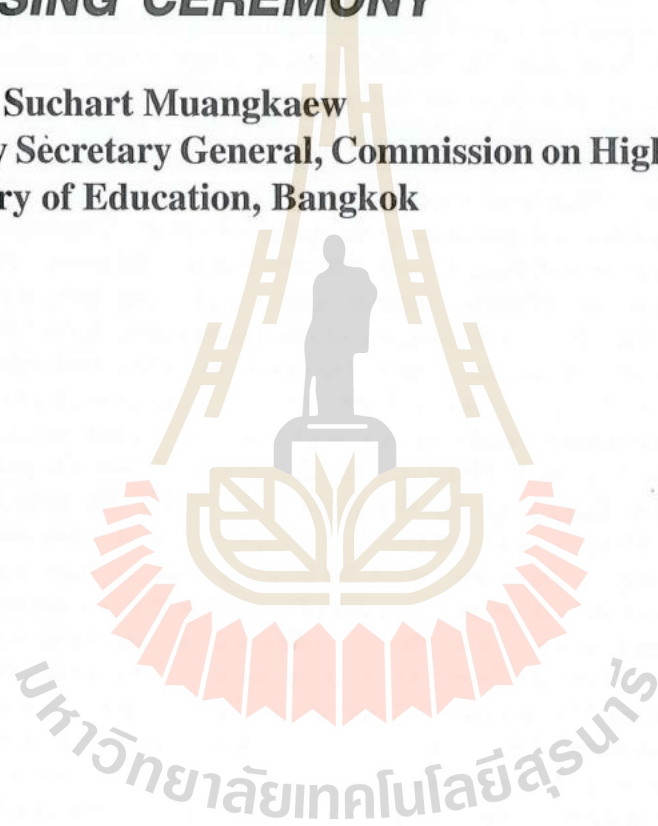


Cross-pollination should be useful. But we still need to work hard on our soil. We, Asians, have certain socio-economic cultural contexts that surely make our management style have flavor, maybe different from the US. Hence, straightforward teaching from Harvard Business School can't be adapted directly and quickly if the students are not intelligent enough to adapt themselves. So, more teachings that are grounded in Asia like what you are doing would be a welcome contribution, and it would make your institution very unique and able to have strengths. I think the principle here is the same. If we are in Thailand or other countries like Japan, Indonesia, there are some unique settings that we are there to serve the society, and find out the complex mosaic of all the components of our society to match with our uniqueness so that we can train the right kind of people that we really want. So, it would be 8more effective. You also mentioned about the teaching component and research component of a university. I really don't see that any university can be good at teaching without a strong research base because the research is what make your teaching alive and very relevant. So, a good university can't help but teach what it has discovered to generate knowledge. A teaching university must come back and do strong research. Here, they will find that their teachings and what they teach cannot go on anymore without very clear findings in order to add new dimension to the class and make the learning meaningful. So, sometimes I see people argue that some universities are research-based and some are teaching-based. I think they are misnomers, just different emphasis of the pendulum. I guess, we need to do both and do both well to be a university that is worthy of its name. So, I think what you said is excellent and we should be very adaptive. We need to adapt to a unique role. Why do we exist if we are just a duplicate form of a thousand of other universities. Why should we exist and be worth existing anyway? I haven't heard much from all of you but my time is almost up. I've been setting my watch ahead of time so that they would tell me before my time is up and I suspect that my time is right at 3 o' clock.

Anyway, today we have said a lot of things and touched on a lot of good issues I opened a can of worms in the beginning and set the scene as they wanted me to do. I tried to say something that would produce a parameter for the discussion. And you have kindly contributed by asking questions. I have noticed that we touched upon a huge number of issues of significance. In this room, we have a lot of people, not only practitioners, very thoughtful practitioners who are thinking people and provide a cutting edge that needed to be discussed. If we have more time, I am certain that we can continue this discussion until the end of the night. And we will find a lot of enlightenment in our discussion. I am sure we could find head ways concerning autonomy, leadership, and followship issues. Actually, those boxes are prepared and really tried to get you to discuss so that we can comprehensively cover them. But in the end, I left it out and just meant the floor to be open for interacting on many other points. Anyway, our time is limited. Once again, I would like to say how much I appreciate your contributions and the wonderful time we had with the audience like this. I hope what we said will be meaningful enough, it would have some repercussions for those who read our proceedings. Thank you very much, thank you for coming.

## **CLOSING CEREMONY**

**By Dr. Suchart Muangkaew  
Deputy Secretary General, Commission on Higher Education,  
Ministry of Education, Bangkok**



**Recapitulations:****By Assist. Prof. Dr. Arjuna Peter Chaiyasena**

May I report to you just a little bit in this conference. It will be just a very few minutes. If anyone of you feels that it should be augmented, please let me know. I should add more. We had the opening ceremony yesterday at 9 o'clock in the morning, with His Excellency, Pongphol Adireksarn, presiding over. He gave us a perspective of being autonomy and key elements to help us fulfill and mandate a higher education institution. He talked about the times of great changes. The time of paradigm changes, which supply side education will be augmented by the demand side of education. He also talked about the quality of graduates at a national point of view. He said that probably autonomy is the key that will get us there. After that, Dr. Wichit Srisa-an came to the podium and talked about autonomy and how to make it work. He talked about the principles, independence, and accountability; and set a stage for further discussion. After that, about 11 in the morning, we have speakers from Indonesia, Philippines, Thailand and Vietnam. From what we learned, in Indonesia, the condition of autonomy is quite diverse. Therefore, the autonomous university will choose to join the new future. However, because Indonesia is so diverse, all different cultures, and social strata, they are being very careful. That is the status in Indonesia. In the Philippines, however, there is still great academic autonomy, in a sense of conscience. They look upon their people in representing the government. However, there are also physical and finance issues that still need to deal with and apparently today the Senate in the Philippines has opened up that debate for the discussion. From Thailand, the representative was Dr. Krissanapong, President of KMUTT. He talked about the transition from being a state university to a government's university to autonomous university. I think the most memorable part of his remark is climbing up the hills or the mountains of difficulty. I think that's what he talked about and I think that it is very true. He also talked about the transition, how invincible it would be. Then, the Vietnamese speaker informed us of the progress of autonomy in Vietnam. The next session was about the governance issue which we had 4 distinct speakers. One is a very experienced moderator. I will just summarize a few sentences that we spoke on external and internal accountability. We talked about transparency, internal and external governance. We talked about transparency and accountability. One thing that Mr. Abhisit Vejjachiva, a politician, said was a definite thing that the government needs to be definite to support autonomy, autonomous university. Otherwise, the university will not dare to come out. The rest of the session focused on the stakeholders. Stakeholders were various, they would be in the Board and the Board will be advising the Rector or the Chief Executive Officer of the university. So, governance would summarize the whole situation because they can make or break the whole issue. We took a break in the evening and came back in the morning for quality of education and basically again, autonomy is no excuse for low quality but autonomy will stir quality and bring quality in a lot more quickly. Quality is cheaper in the long run. That's what many people talked about. We have experiences from Australia, Japan, and Thailand. In Thailand, we had more focus on case studies. And more cautions, If we really go on

autonomous (university), what is the price of the education? Would it be affordable? The next statement with the strategic issues, a fancy word to cover anything that we didn't cover in the three sessions and really there were a lot of discussions. Dr. Charas was one of the panelists who presented issues involving leadership being crucial. He mentioned not only leadership but resources also and then culture. Autonomy means change and to change a culture as well. In the afternoon, after another good lunch, we then had three groups. We broke up happily and populated. The first group was the group concerning leadership, Dr. Kriangsak explained principles just to get our juices going, consideration as well as benefits. Who is benefiting from autonomy? Is anyone benefiting? Think of those terms. We also think about short term, medium term, and long term considerations. Then, the context, in the national context, where the nationalism fits in. How can it become Thai? We also talked about the government and Thai society in terms of leadership and followership, in terms of governments' role of leadership that determine where the country is going. Where are the universities' roles, to follow and lead? What is the government supposed to do and where to go. And we talked about followership only briefly. They talked about how leadership and followership are quite difficult in Thai context and, I think, in any context. If everyone were leaders, no one would be followers and what would happen then? But then we had opened a floor, the question was "Is there any ideal administration"? This person is an administrator and he's wondering when we will find an ideal administrator with an angel wings and everything. Then we basically discussed that and found that administrators are people. Likewise, Dr. Kriangsak talked about top Rectors and top universities in the world. He felt that they were still humans and weak. I think that is a good point to remember and we decided to conclude that the leader should know his strengths and weaknesses. They should form a team to help augment his/her side. It can be her as well. Next, we talked about a University Council, its role, its composition. Is it working and how to maximize? Where do you want the university to go? Will the whole university help you to get there? Then, leadership: Is it made or formed? If it is formed, then we have nothing to do but to look for natural born leaders. If it is trained, then we need to train. He suggested an MUA degree, which stands for Master of University Administration. He suggested that it is something that all administrators should go and get trained in the curriculum what should be trained. But even with that training, it is not enough because you need mentoring. Mentoring means that the person comes back to work and get nurtured. He also talked about long standing companies, successions, and histories. I noticed a Catholic church that stands for over 200 years, that is how they do succession. They really care about succession. You may ask the Pope. Then, you have the idea of two Boards in the Philippines, AIM with two Boards. One Board is to make decisions and one Board to find opportunities, to advise where they should go. The fourth question was how do we know where we are going? And it suggested that we should talk about. The leader doesn't know where they are going. How does he know? Through Boards, through people who wish well, through State, where do they want to go. The second group was the budget and financial group. We start the picture flowing with the financial records of SIIT. As a way of moderator, our moderator came from there. More than 50% of the

budget is salary. The higher the salary, there is much more spending on libraries and computers and it costs more per student than other students. There's also research budget for each faculty member. All finances come from tuition fees and external research funds. The question discussed is, "Should there be accounting charged internally?" between various departments. Must they change departments? How does the government allocate the money per head student for outcome base? How should money be located internally per fees for our department? How do we get the money? How can one use the government's fund without being subject to such tight regulations? These are universal questions and the transcriptions of the tape will be done and I will add that to our proceedings. Our third and last group was human resources issue. We discussed change and personnel administrations, salary scale, and social honors like royal decorations. What about them in autonomy? What about freedom to move and transfer to other universities? Do we really have to be bonded for three times amount the time we spend in another country to study? That scholarship bondage: Is it very attractive? Job security: What about people in transition? Some people are civil servants, some people are employees. We need a fair term of references. We need transparent KPI, key performance indicator, and fair evaluation. New comers seems to have heavier loads. We need to know how to help accommodate staff. Should autonomous universities have a standardized salary scale? About evaluation, can we expect that they will be fair but independent? Also, protective devices, do we have channels that people can voice their complaints? The abuse or maltreatment, who do we turn to? These are the issues we have deliberated on and then we took a coffee break and now we're here right at the beginning of the closing ceremony. Before we go on to the closing ceremony, would there be any comments at all? Just very short comments that we have to say, (and) that I missed some point. No comments? Thank you. Now the closing time for our conference.

### **Closing Ceremony**

**MC:** Mr. Suchart Muangkaew, would you be so kind to come to the center of the stage, please. Thank you. Mr. Suchart Muangkaew is the Deputy Director-General of the Commission on Higher Education, Ministry of Education in Bangkok. But first, may I invite SUT Rector, Dr. Tavee Lertpanyavit, to say a few words before the closing ceremony.

### **Short Closing Remarks**

**By Assist. Prof. Dr. Tavee Lertpanyavit  
Rector, Suranaree University of Technology**

### **Ladies and gentlemen.**

It was just yesterday, when we gathered here to begin this international conference on University Autonomy: Making It Work. During the intervening time, we had discussed and debated about various aspects of university autonomy and its implications. Personally, as a Rector of an autonomous university, SUT, I feel that this conference had been fruitful and successful.

I, myself, have learned a lot of from distinguished speakers and fellow participants. There's a new confidence that we are going to succeed. Obviously, we are in transition to autonomy. We will be aiming at climbing the mountain of struggles and difficulties. I feel confident that when we join hands, we will arrive at autonomy in our own special ways. I hope that you have found your stay and your conference at SUT enjoyable and pleasant. I hope you have a nice trip back home.

**MC:** Thank you, Mr. Rector, for those warm remarks. May I now invite you Dr. Suchart Muangkaew, to present the closing address, thank you.

### **Closing Address**

**By Dr. Suchart Muangkaew**

**Deputy Secretary General, Commission on Higher Education ,  
Ministry of Education, Bangkok**

### **Distinguished participants, ladies and gentlemen.**

It is my great honor and privilege to be with you and present the closing address of this International Conference on University Autonomy: Making It Work. I understand that it has been intensive with case studies and experiences from several experts and distinguished speakers and participants from different countries. I hope the sharing of experiences from Indonesia, Australia, Japan, Philippines, Thailand, and Vietnam proves to be enlightening. I understand that autonomy is in different states and in different forms in all these countries. Nevertheless, the university can stand on its own, its tuition and plans and execution. It means that a university can operate its own organizational structures, subject to the constraints of time, space, and society. Of course, in a sense, autonomy varies all over the regions, depending on where and when and how. I would like to compare a university to a human. A human is born, so is the university. Children have much energy and excitements, so do universities in their early years. Yet, they are dependent on their parents to take care of, just as our governments care for many of our universities. But there comes a time, for human beings, that childhood ends and turbulent adolescence years begin. I wonder if our universities in the region are in that phase of life. Autonomy is a sign of strength and unstoppable growth. How many of us can recall a rebellious yacht with a smile, dreams, and realities, and not knowing what to do with them? We can smile for we realize the ultimate goal of adolescence and responsible adulthood to be productive and valuable members of the society. This is not an ultimate goal of the university to fulfill its role as valuable institution in the society. How can it do that by the university autonomy? Thus, it is our journey into a responsible university adulthood. This is life on the road to autonomy. I'm sure that the parallel between the university and human life can be explored much more extensively than it can be in this short time. So, let us continue our journey. Today has been a time of reflection and consideration of our journey to autonomy, from dependence to independence and finally to inter-independence. Here I'm thinking of Stephen Covey's book: *The 7 Habits of Highly Effective People*, in which he describes independence as an ability to stand on one's own and interdependence as the ability to work as a team.

University can't exist in a vacuum, but they need to cooperate and work with others if they are independent, if they are self-reliant. Finally, I would like to encourage all of you to begin to think autonomously. As an individual, how many of us exploit the power within ourselves .to decide, to fail, to succeed as a human being. How many of us govern ourselves with the care that we do to govern others? How many of us are trustworthy with our time, with our money, and resources? How many of us can work with others to accomplish objectives? Ladies and gentlemen, as you all know, at present, we find that the environment has changed rapidly like the economy, social affairs, knowledge and technology. This change has some impacts on our university system. In order to meet increasing demands of our society. So, we need to improve our system and respond to the market demands and social demands appropriately. To be the leader of society and to make autonomy work in the university would involve everyone making efforts. We need to become autonomous ourselves. The university is as autonomous as its members. Thus, the closing of this conference is really an invitation to begin our journey. I would like to congratulate Suranaree University of Technology on its 13<sup>th</sup> anniversary. It is appropriate time to host this conference concerning university autonomy, which began 13 years ago at SUT and has developed quite a lot during its teenage years. I would like to thank the sponsor organizations, distinguished participants from abroad, and everyone who made this conference a great success. I hope you will return to Thailand again. With this remark, I hereby declare this conference on University Autonomy: Making It Work close. Thank you very much.





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However, we apologize for any omissions, errors, or inaccuracies of the transcription and translation that still remain, in both English and Thai versions, due to various unexpected reasons: abrupt end of the recording, non-audibility of the tape recording, different accents of some non-native speakers of English, and our inability to grasp the spellings of some proper names mentioned by the speakers. We alone take the responsibility for these problems.

Last but not least, we would like to deeply thank H.E. Mr. Pongpol Adireksarn, Minister of Education, for his inspiring opening remarks, Professor Dr. Wichit Srisa-an, SUT Founding Rector for his thought-provoking and original keynote speech, all the distinguished speakers, panelists, participants from various countries, such as Australia, Indonesia, Japan, The Philippines, Thailand, Vietnam; Organizing Committee, co-hosts (AUAP, MUA, SEAMEO-RIHED, ASAIHL), for their assistance and contributions, and finally SUT faculty and staff who made the Conference a successful and memorable event, without whom the Conference would have been impossible. We really do appreciate your great contributions and will always keep you all in our heart and everlasting memory.

**The Editors**

## Appendix I

### SOME THOUGHTS ON AUTONOMY: GOOD GOVERNANCE\*

By Sippanondha Ketudat

Chairman, Dhurakijpundit University Council

Chairman, Thaksin University Council

#### 1. Introduction

May I, first of all, join all of us here to congratulate Suranaree University of Technology for the outstanding achievement over the past thirteen years. Although quite young in age, its autonomy, academic freedom, social responsibility and governance provide a good model for many Thai universities in drafting their new bills under higher education reform now on its way of implementation.

In Thailand, there are five interdependent strategies for reform, namely,

- 1) **Organization structure and management reform,**
- 2) **Financing allocation reform for quality improvement,**
- 3) **Expanding, providing equitable access and admission reform,**
- 4) **Reform of teaching, learning and research, and**
- 5) **Teachers and personnel development reform.**

#### 2. Organization Structure and Management Reform: Autonomy

Although all aspects are important, but due to time limit, and considering relevance to our Conference, I shall discuss only on the first point, namely, organization structure and management.

Under the reform for Thailand, the state specifies policy, plan and targets. The state oversees policy, quality and standards, utilizing financing allocation as a means for leverage. The state encourages private sectors, local authorities and business to participate in higher education.

At the institutional level, each university is free to have its own internal organization structure and management. A university is encouraged to reform the system of searching and appointing its president, deans, and key personnel. Mobilization of resource and collaborating network among institutions and others are outlined.

For comparison, let me touch briefly on the subject in the international arena. In order to assure that a university achieves desired goals, three basic concepts must be carefully considered. These are autonomy, academic freedom, and social responsibility. These concepts have been widely and deeply discussed by the International Association of Universities, UNESCO and by many papers of this Conference. To put these concepts into actual implementation, university governance system must be designed and carried out in accordance with the historical and cultural background.

\* Panel Discussion paper presented at the International Conference to Celebrate 13<sup>th</sup> Founding Anniversary of Suranaree University of Technology on "University Autonomy: Making It Work" held at Suranaree University of Technology, 28-31 July 2003.

When we compare the reform in Thailand with international concepts, what I have described so far may seem to those abroad that a Thai university has less autonomy and academic freedom than university in other society but the Thai university system has almost full marks on social responsibilities. One can understand this situation if one consider the Thai university system in its historical perspective.

Over a century ago, a few Thai higher vocational institutions were established to train civil servants in medicine, engineering, law and administration. These institutions were amalgamated into Chulalongkorn University in 1917. Only a few decades ago, many universities, both public and private, were established. Now universities and higher education institutes in Thailand have a total number of over 800 campuses all over the country that produce academic, professionals, technicians, and others for economic, social and political sectors. Furthermore, those with upper secondary education certificates and lower secondary education with experience can enter in one of the two open universities. Indeed, the system now caters to lifelong education.

With so many types of universities and higher education institutions, the governing systems are different but good governance applies to all.

A university is a large multi-objective social organization nurtured by the society and serves the society through its academic and professional staff to train future generations to serve the society by utilizing effective teaching, learning and research. The university roles should not only be responsive to the needs, but also be proactive towards the wellbeing, and be the conscience of the society

In order to carry out the multi-objective tasks of a large social organization, one has to consider major tasks to be performed, who are to do these tasks and how. Or conversely, who or what group and what types of persons are to be responsible for what tasks. In general, there are groups of people involved but some could be amalgamated together. These are as follows:

(A) Those Within University Proper. Although there are many types of universities, I shall discuss briefly on the autonomous ones.

(1) Owner (s), Benefactors and/or Those deeply committed to the cause of the university. They provide roles and philosophy of the university. Their major responsibility is to provide funding, particularly major capital funding. They also approve financial statements. They elect among themselves or a trustworthy outsider as chairman. They are similar to shareholders of a business organization. Key to success is a sense of ownership and commitment

to the cause of the university. They are, in general, lay people with a noble cause and not for profit business. Group (1) reports annually to the government and the public.

The issues in a public university: Who are they? How are they selected?

(2) University Council, or Board of Trustees, or Board of Governors or Board of Directors. These members are professionals and academics with broad experience in a variety of specialized fields of interests. They are appointed by group (1). In many cases, government sends a few people to be member of group (2). The number of group (2) may range between 20-40. The chairman of group (1) is normally the chairman of group (2). The responsibility is to oversee the whole operation starting from approving strategies, policies, plans, budget, rules and regulation; review financial statement; appoint President, Deans and key personnel. Key to success is the devoted board with no self-directed vested interests. They meet in general 4 times per year. In many cases, group (1) and (2) are merged together.

The key issues: What are their detailed duties and responsibilities? How many? How are they selected or elected?

(3) Executive Committee. They are composed of 5-10 members of group (2). The chairman of group (1) and (2) may be chairman here of the vice-chairman of (2) is the chairman of group (3). Their major duties and responsibilities are delegated from those of group (2). They meet once or twice a month to review and approve those issues delegated by group (2). The president is the secretary. Keys to success are the overseeing role, the working relationship between the chairman, the major fund providers, and the president. There are too many nitty-gritty issues involved here to list.

(4) President and Management Committee (s). The president is the chief executive officer. He represents the university to the outside world. He prepares and drafts strategies, policy, plan, budget funding, and staffing for group (3). He also recommends appointment of deans and professors to group (3). He appoints the rest of the staff. He prepares the annual report. Key to success is the president as a top academic and a professional with leadership qualities.

The issues: How are they searched? How are they selected?

(5) Academics and Professionals. They are teachers-researchers in their fields of interest. The roles of the senior ones are to help steering the junior one and students in learning and research. The professionals help to support faculty members. They all work effectively, efficiently with quality. They recommend improvements on activity of concern to the administrators, deans and president.

The issues here are straight forward: How they are recruited and promoted?

(6) Students, Parents and the Public. They are the clientele of the university. Students are selected, admitted by standards and criteria established by the professors, deans and administrators in accordance with policies and goals of the university. Here the government can set broad goals and provide financial incentives to university for specific admission criteria. This group (6) now provides some way of evaluation and feedback in the performance of group(5) to these in group(4).

(B) Those outside University

(1) The Commission for Higher Education. Under the National Education Act of B.E. 2542 (1999), revised in B.E. 2545 (2002). The Commission for Higher Education is responsible for proposing to the Ministry of Education policies, National Development Plan, and standards for higher education in line with the inspection; and evaluation of the provision of higher education, taking into consideration academic freedom and excellence of degree-level institutions in accordance with the law on the establishment of each institution and other relevant laws.

(2) Office for National Education Standards and Quality Assurance. Under the National Education Act, the Office has been established to carry out external quality assurance. Over the past two years, these activities have been carried out on a few thousand institutions both at the basic and higher education levels with success.

After outlining the organization structure and management reform, let us assess an overview and sum up on this reform with reference to autonomy. A long-term historical perspective would show that a university in Thailand is definitely more autonomous, but not to the level of most universities in the western society. However, universities in Thailand are responsive to the needs of the government and the society.

### 3. Organization Structure and Management Reform: Good Governance

Good governance in a university must assure relevance, efficient and effective management with quality output in teaching learning and research. Participation of key persons as well as able clientele involved is necessary. Another important ingredient for good governance is accountability.

Let us analyze the structure and management reform of the university against each of the components of good governance and see how the university performs.

If financial resources allocation is designed to be consistent with the National Development Plan as articulated by the Commission for Higher Education, and if financing mechanism is effective to quality improvement, quality and relevance to the society should be an improvement. In addition, so far the Office for National Education Standards and Quality Assurance is performing well. All universities now have established internal mechanism to have self-assessment review to submit the report to council and for external

assessment. But there are many ifs and issues that need to be solved and agreed upon.

As far as efficiency goes, several good private universities perform better than many government universities as seen by leadership quality of the presidents. Several private universities recruit more effective and efficient presidents. This is mainly because regulations and rules in private universities are much more flexible and designed for the purpose of teaching and/or research and/or services to the community whereas those of government universities are rigid and designed for all government offices and relatively out of date.

In the private university, where there is an executive committee that meets regularly to oversee and offer close counsel to the president, decisions and actions are carried out quite effectively and efficiently. With close counsel, the president is accountable to the committee and to the council.

Although each unit and each account are audited, universities are now working in consolidated financial report, to assure financial and accounting transparency.

Overall, it can be said that universities are moving in the right direction towards good governance.



## **Appendix II**

### **UNIVERSITY AUTONOMY: STRATEGIC ISSUES.**

**Charas Suwanwela**

**Presented at the 13<sup>th</sup> Anniversary of**

**Suranaree University of Technology, 30 th July, 2003**

First of all, I would like to thank the Organizer of this important event and the Suranaree University of Technology for the honor and privilege given to me in inviting me to participate as a panelist. I would also like to congratulate the Organizer for selecting the topic of University Autonomy: Making It Work, which is very important and timely, because universities in Thailand are at present in a transitional period to have more autonomy. Suranaree University of Technology should be proud of being the leader in this development.

From my experiences as a professional staff member, a dean, a president of both semi- autonomous and fully autonomous universities in the past as well as a Board chairperson of both types of universities at present, strategies to make it work are numerous and must be selected to suit divergent and dynamic situations. Many components are essential and I shall address a number of them.

1. The most important aspect is Leadership. For an autonomous university to work successfully, it needs leadership. Top administrators must possess many essential qualities, attributes and competencies, namely vision, courage, tactfulness, morality and other qualities. Besides, a university is a unique set-up where quality and productivity depends on the brain of faculty-members. Thus, participatory leadership is, in my opinion, the suitable style. Ability to motivate, mobilize and create in internal strength within the institution for the cause of the university is essential. Leaders must possess broadmindedness, selflessness, sense of purpose, sense of proportion, sense of justice, integrity, and kindness, which are to be cultivated and expressed in order to command the respect of colleagues. The diversified and dynamic situations also require adaptability and flexibility, as well as ability to deal with different situations and personalities.

An autonomous university also needs support from outside. The president must therefore command respect of persons and agencies outside the university, and of the society in general. Contacts and connections are helpful. Good human relations require certain competencies and attitude.

To select and recruit an appropriate person to be the president of a university is therefore a most important task and a strategic point for success. Uncertainty usually prevails. Ron Richard once said that leadership is a combination of trait and training. Some are born with the tendency, but many aspects must be built. Past experiences and performances are helpful, but opportunity for nurturing and learning by doing can make a difference.

2. Resources can be the second strategic issue. Universities are constantly faced with limited resources, namely financial, human and technical. Changes and



opportunities pose as continued challenges that require more resources. Universities in Thailand in Particular are in crisis from prolonged deficiency.

There are also limited sources of resources. Government's budget is limited and the share for higher education cannot be increased. People and families of many prospective students are not willing to pay. Many meritorious students are poor and cannot afford to pay. If equity in higher education is to be maintained, tuition fee can not be substantially increased and scholarships should be provided. Alumni and society at large do not have the culture of donation to university. So far there is inadequate active solicitation for donation to a university.

If one examines the university budget, large proportion is spent on recurring expenses. There is little money left for development and for policy-directed activities.

Thus a vicious cycle that leads to inefficiency prevails in university administration. For university autonomy to work, one must be able to break out from this cycle. Funding possibilities must be tackled, while preserving the integrity of the institution. Efficient administration that can take full benefits out of the limited resources must be established. Personnel management system, intellectual property management, and even physical facility management must be revamped. Adequate amount of endowment fund is a dream, which can hardly come true.

Since knowledge and wisdom is the basic commodity of a university, human resources are the most crucial element. Recruitment, development, deployment, and conducive environment are important steps. An incentive system that supports effectiveness, quality and efficiency may vary according to prevailing culture and institutional memory.

3. Good Governance is often overlooked, and has become a blind spot. It can be a pivoting factor for success or failure. Perhaps it is one of the most important elements to tackle in dealing with the issue of university autonomy. Autonomy must be accompanied by responsibility and accountability.

Personally, I am very much interested in this issue. My last book which came out last month is entitled: "A Blind Spot on the Way to Good Governance: Roles of the Board of Civil Agencies". Universities, even private ones, are certainly responsible to the public, since a substantial part deals with public goods. Undoubtedly, if university autonomy is going to work, good governance is essential. For my Thai friends, more information can be obtained from the book, since the limited time here would allow me to mention only certain points.

In my book, sets of principles of objectives of good governance are described. It must lead the organization to accomplishing its missions and goals, to efficiency in management, to sound and rational judgment of accountability, to transparency, and to honesty. Participatory management is now a day a key to

quality and efficiency. Distributed authorities and a balance of power with checking and auditing system would ensure more rational decisions.

Good governance can be considered at various levels, but I shall concentrate at the highest level of the university administration, that is at the university council or board and its interface with top administration.

An organization, in our case a university, is accountable to its owners, which can be the State or the public. By-laws provide the overarching purposes, rules and principles. The president of the university is the top administrator representing the university and is responsible for its activities. Leadership is provided. The board or council which is a group of selected persons provides another layer of governance. Proper roles and functioning of the council is essential for system of good governance. Interaction between these two layers is a delicate matter. Stewardship is a way to synergize the abilities of the top administrators and the overseeing council. To have good governance, one-plus-one should result in more than two. Unfortunately, it more often results in less than two, or even less than one.

There can be six regular functions of the council as follows:

1. Provide direction, policy and balance for the university's activities,
2. Set rules and regulations,
3. Make major decisions,
4. Oversee the soundness of the operations,
5. Oversee and audit the finance and performance, and
6. Promote the causes of the university.

For modern management, which John Carver called "New Governance", proactive approaches, rigorous and powerful deliberation, as well as output orientation should be required of the council.

Proper functioning of the university council requires adequate preparation of the council meetings with adequate information and proper analysis. There are rooms for improvement of competencies and behaviors of council members. I would not hesitate to say that there is yet a long way for the council of Thai universities to reach the optimal functioning. At many places, it is merely rubber-stamping. Collaboration between the president and the council to make irrational decisions is not unheard of. It may be presumptuous to say that university autonomy without good governance could be dangerous.

4. Structure and Operating System of the University may need to be designed or changed in order to make autonomy work, that is to be effective and efficient. To give an example, decentralization, distribution of power, and sharing of responsibility should be clear and appropriate for effective and efficient operations, especially for large institutions. Management of diversity is required instead of a management by commonality. A single common rule is often not suitable for diversified settings. Management capacity at peripheral

units must be adequately developed to accept the decentralized authority. Another example is the rigid vertical structure of faculties and departments, with ill-defined and non-functioning horizontal mechanism for coordination, which creates serious barriers for new academic advances and for solving societal problems.

#### 5. Culture and Attitude must be developed to fit autonomy.

Presidents of some universities in Thailand are open-minded and have invited external evaluation, the results of which help in the improvement of the management. At some others, evaluation and criticism has led to frustration and documentation is apparently alien to Thai culture or at least not a traditional practice at Thai universities. It must be developed in order to make university autonomy work.

The culture of academic freedom, open debate, tolerance to differences in opinions and ideas, as well as democratic principle of majority rule with protection of minority opinion, is basic to an academic community. Evidence-based views should prevail over personal prejudices. An effective university must be able to build this strong culture.

An autonomous university at present cannot stand alone as an ivory tower. Outward looking attitude with good cooperation with other sectors in the society is necessary for its survival. Effective mechanisms for cooperation and collaboration with business and industrial sectors not only can bring in fund, but can also improve relevance of university's activities. Link with the world of works is also beneficial. The role of university in the development of education system as a whole would broaden the contribution to society, and thus societal support. A change in attitude of university administration and personnel would create more opportunity for the institution, and contribute to its effectiveness.

In conclusion, institutional autonomy and academic freedom are the basic values essential for a university. Autonomy in administration and finance contributes to its efficiency and the ability to cope with expanded challenges. Effective leadership, proper management of resources, and appropriate structure of the university are needed for an autonomous university to work. Good governance is a deciding factor towards success or failure. In a long run, certain culture and attitude must be developed for its sustainability. Strategies for the development of these elements are ways to make it work. Diversity and dynamism must also be considered.

## University Autonomy : Making It Work

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