

A Study and Research Report
On Developing
Indicators of Good Governance

Report of King Prajadhipok's Institute

To the

Office of National Economic and Social Development Board

Namelist of the Team of Researchers

Advisors

Prof.Dr.Borwornsak Uwanno	Secretary-General, King Prajadhipok's Institute
Assoc.Prof.Dr.Thotsaporn Sirisamphan	Deputy Secretary-General, King Prajadhipok's Institute
Prof.Robert Albritton	Specialist, King Prajadhipok's Institute
Assoc.Prof.Dr.Thawanrath Worathepputthiphong	Advisor, Ministry of Finance
Assoc.Prof.Dr.Palarp Sinhaseni	Institute of Health Research, Chulalongkorn University
Dr.Somrudi Nikrowatthanayingyong	Urban and Environment Director, Thailand Environment Institute

Researchers

Dr.Thawilwadee Bureekul	Director, Research and Development Office, King Prajadhipok's Institute (Project Manager)
Prof.Dr.Wanchai Watthansap	Director, Center for Peace and Governance, King Prajadhipok's Institute
Prof.Dr.Tin Prachyapruit	Faculty of Political Science, Chulalongkorn University
Prof.Dr.Pornsak Pongpaeo	Faculty of Political Science, Chulalongkorn University
Assoc.Prof.Dr.Patcharee Sirerot	Faculty of Political Science, Thammasat University
Assist.Prof.Dr.Amporn Thamroglak	Faculty of Political Science, Thammasat University
Assist.Prof.Dr.Manwipa Indrathat	Faculty of Economics, Kasetsart University
Ajarn Walaiporn Attanan	Faculty of Economics, Kasetsart University
Dr.Banchoed Singkaneti	Faculty of Law, Thammasat University

Fieldwork Researchers

Assist.Prof.Prachan Rakpong	Person in charge of data collection in the Northern Region
Assist.Prof.Thotsapol Sompong	Person in charge of data collection in the Northeastern Region
Dr.Butsabong Chaicharoenwatthana	Person in charge of data collection in the Southern Region
Assist.Prof.Thapawat Prom-In	Person in charge of data collection in the Central Plains Region

Research Assistants

Mr.Wisit Chutchawantipakorn	Research specialist, King Prajadhipok's Institute
Research assistants team	Researcher and Development Office, King Prajadhipok's Institute

Foreword

Good governance is a prerequisite to successful national development. Countries and international organizations the world over are unanimous in prescribing the principle of good governance as the substrate of best practice in the exercise of executive power. Many underlying principles of good governance have been discussed or proposed. But, to date, an overall, concrete proposal that systematically explains good governance has yet to be made, except for the indicators of certain principles. It is likewise for Thailand, which has never had a convincing scheme of the development and creation of indicators of good governance, one that is full-scale, empirical, theoretically-sound. Desiring to fill in the gap, the Office of the National Economic and Social Development Board asked King Prajadhipok's Institute to come up with one such study. It is our earnest hope that this response to the challenge will be a springboard for further discussion and improvement that eventually leads to wider dissemination and implementation.

The Institute wishes to express its gratitude to the Office of the National Economic and Social Development Board for its funding support for the project, the Supervisory Committee for its guidance, the research team and its assistants for their total dedication right up to the end. Our appreciation and thanks are also due the advisors to the project and the experts for invaluable insights and suggestions. These core personnel did much to steady the ship and brought it to the final completion. Last but not least, we give thanks to the public and government agencies and their officers who graciously gave permission and cooperation to the team to test the indicators and obtain necessary data.

Because of the time and budget constraints the project is subject to, this work will likely have some flaws, which hopefully will be forgivable. The Institute is more than glad to get any feedback for further improvement.

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Chapter 1

Introduction

1.1 Principles and Rationale

In the 1996-1997 period, the idea of good governance was introduced to Thai society by local and international non-governmental organizations and a number of concerned academics and thinkers. To these individuals and groups, good governance is the bedrock of sustainable development. To beef up their stance, they cite numerous problems and difficulties arising from cases of widespread bad practices wreaking costly havoc and having negative impact on the general society. They stress the urgency of revamping the old ways that were fraught with corrupt practices by suggesting the adoption of superior alternative strategies as a first step in convincing the public in all sectors of society of the merits of good governance. In due time, quiet movement is afoot to rally public support for it. The result has been a widespread positive response to the idea from the public sector and the civil society. There is general acceptance that good governance is distinguished by several key features: 1) performance and practices marked by principle and accountability to the public; 2) transparency that is open to inspection at various stages of decision-making; 3) public participation in the process of governance by joining in scrutinizing the performance of the administration and managing society à la civil society involvement, and; 4) society members showing healthy respect for mutual rights and freedom, individual duties, and rules and regulations obtaining in society. Presently, conscious efforts are being made to realize the principles in public sector performance under the national development plans and in the corporate sector and society as a whole.

Amidst the rapid changes, rules and criteria for social and national governance must be constantly readjusted to accord with the times. In modern society, each country follows some peculiar tradition of social and national governance, but all of them most likely share some common goals: peace and public wellbeing; economic, social and political stability; balanced and yet up-to-date national development which keeps the nation competitive in the world arena. Thailand has undergone numerous transformations, particularly those determining the new rules and codes of performance.

Nowhere is this more significant and highly symbolic than has been framed in the much-heralded Constitution of the Kingdom of Thailand, B.E.2540 (AD1997), or the so-called "People's Constitution," which came into effect on 11 October 1997. One essential principle preserved in the fundamental law is the proposed creation of good governance for the entire Thai society through emphasis on the greatest extent possible of public participation in the process of governmental decision-making, guaranteeing and protection for fundamental human rights, transparency in governmental administration which is accountable to the public on a greater scale. Consequently, the government sector in the new era of democratic aspirations will seek to realize 3 common goals:

1. Result-based performance The end result of governmental performance accrues to the public as service recipients. It is to be effected through upgrading and attaining quality service delivery that meets changing public needs and reporting its performance to the public. To display the transparency of its decision-making and performance mechanism, the government gives the citizens full access to official information, welcomes public opinion, and allows public participation in its operations, including giving priority to economizing, efficiency, and effectiveness. The management must strive for smart excellence while simultaneously showing responsibility for their actions, instead of sticking blindly to the rules and regulations and established ways of doing things as in the past.

2. Restructuring the government sector Priority is given to the State's core responsibilities, which include setting visionary policies, equal and fair enforcement of the statutes and codes, and independent organizations partaking in governance.

3. Multilateral management Those who have stakeholdership are allowed to participate in setting policies, decision-making or join in operations so as to ensure that public management and service delivery meet public or customer satisfactions. The new management style seeks to avoid monopolistic or centralized bureaucratic tendencies as in the past, which had largely been responsible for tardy government response to problems or cover-ups that smack of non-transparency to the public (Office of Civil Service Commission, 2001: 3-4).

Under the 8th National Development Plan, priority is given to the paradigm shift that stresses integrated development in which all parties in society are accorded equal

participation. The integrated action approach does not mean cooperation of all operating agencies involved only, but goes much deeper than that, intimately linking up with the conceptual framework for wellbeing that occurs directly as a result.

The idea of wellbeing, defined in terms of “tasks” and “competence,” is distinctly different from the mere ownership of goods and services. As Professor Zen (1985) notes, riding a bicycle differs from owning that bicycle. To ride a bicycle is the kind of task that a disabled person cannot engage in even though he owns the bicycle. The bicycle-riding activity alone creates a condition of wellbeing, while the fact of owning the bicycle does not.

Suppose that we want to promote a condition of wellbeing for the public by promoting the bicycle-riding activity. For our objective to be reached, we need to begin by building a track or path specifically for bicycles if we are to avoid the risk of any untoward accidents. Further, the citizens need fresh air if they are to enjoy the benefits, which compels us to solve the pollution problems first before the bicycle promotion can go ahead. Next, the citizens must be ready for the activity by having good health and sufficient leisure. The simple promotion of bicycle riding thus involves various dimensions of wellbeing simultaneously. Therefore, the condition of wellbeing that is defined in terms of “tasks” and “competence” is an integral concept that encompasses many dimensions and components that are inseparably connected to each other.

The translation into action and following up on evaluation of the results of the 8th National Development Plan that gives priority to public wellbeing involve all operating agencies. The more intense the participation, the better the public potential is realized, which is tantamount to the raising of public well-being. There are **7 components to the idea of wellbeing** that cover all dimensions of prosperous living (Nanak Khakhawani):

Component 1: Health and Nutrition, which can be further divided into 4 subcomponents: **longevity, freedom from illnesses, nutrition, and health services.**

Component 2: Education, which includes all the essentials of the **learning process, fundamental knowledge**, and various skills as well as access to **educational services** and **quality education.**

Component 3: Working Life. Given that the public will spend the majority of their lives involved with their jobs, consideration of the working environment is of paramount

concern. Quality working life is closely linked to **employment condition** and **satisfaction with wages** earned. This component also extends to cover such subcomponents as **child and women labour**, and **social security system**.

Component 4: Family Life. Familial relations have enormous impact on the condition of “wellbeing.” The structure and size of family largely determine the level of well-being of each member. A family characterized by **love** and **warmth** must be responsive to the **needs of each member** and **take good care of each member equally** and without discrimination.

Component 5: Economic Growth, Poverty, Income Distribution and Welfare. These factors are crucial to the attainment of the goal of wellbeing. Sustainable development therefore forms an essential component of wellbeing. The problems of extreme poverty and high levels of income disparity, reflect an “adverse state of living” in society. These matters must be taken into account and constitute the necessary component of the indicator of “wellbeing.”

Component 6: Ecology and Safety. The management of natural resources and the environment is essential to the creation of “wellbeing,” leading to sustainable development. This component comprises those aspects bearing on **accommodation ecology, environmental health, and safety of human life and property**, particularly **protection against crime**.

Component 7: Civil-State Relations. The promotion of good relations between the people and the State will lead to “wellbeing.” The promotion of public participation represents maximizing the wise use of human resources to full potential. It forms an instrument for raising the wellbeing level. This component includes those matters of **justice, human rights and political liberties** as well as **decentralization and governance**.

The 8th National Development Plan contains 6 major development strategies that cover all aspects of wellbeing, which are inseparable from one another. Chart 1 illustrates the interrelations among the 7 components of wellbeing and the 6 development strategies under the 8th National Development Plan. (Office of the National Economic and Social Development Board, 2002: ko 8-ko 10)

Since the introduction of the idea and proposed practice of good governance in society as a whole and under the National Development Plan framework, each agency

concerned has been monitoring its progress continually albeit disparately by focusing on areas under its responsibility only. The lack of an evaluation framework and indicators makes it difficult to determine precisely to what extent the agencies succeed in having good governance in place. This is especially important because the knowledge of the overall picture of good governance levels, as well as that of individual agencies, will make it possible to plan development and improvement actions for these agencies so that they can do their duties and provide services to the public efficiently and effectively. It therefore becomes imperative to conduct a study to determine the overall evaluation framework and develop indicators to measure impact or accomplishments that are the result of developing good governance programs that are clear and concrete, leading to maximum benefits in some future time.

The Office of the National Economic and Social Development Board itself is aware of the importance of having a good governance system working in Thailand. The 8th National Development Plan lays down the guidelines on the creation of good governance as part of the State development strategies. Under the plan, priority is given to the development of government bureaucratic efficiency, strengthening the civil society by encouraging all-out participation in development process, and promoting cordial relations between the government and popular sector to bring about combined effort for national development (Office of the Civil Service Commission, 1997).

The 9th National Economic and Social Development Plan still gives continuous importance to the creation of a good governance system by expanding the operating framework to cover all segments of society. They include good governance in the business sector, promotion and support given to the operations of various monitoring mechanisms established under the mandate of the 1997 Constitution, and popularly-erected monitoring mechanisms. In addition, it supports raising popular awareness of virtue, ethics, and moderation that forms the bedrock of the good governance edifice in Thai society (Office of the Civil Service Commission, 2001).

The past performance of government agencies followed the direction given under the National Development Plan in many ways, particularly government bureaucratic reform. The government bureaucratic reform plan covers such vital areas as the fiscal and legal systems, by aiming at raising their efficiency, transparency,

accountability, and turning them into a good instrument for supporting national development and strengthening communities and localities in conformity with the decentralization tack. Still, one cannot say for certain what major issues constitute good governance. The Office of the Civil Service Commission outlines 6 themes of good governance: the Rule of Law, the Principle of Ethics, the Principle of Transparency, the Principle of Participation, the Principle of Accountability, and the Principle of Value for Money (Efficiency). These principles are in accord with the 8th and 9th National Economic and Social Development Plans. In order to reach the goals of national development and to have an evaluation framework for good governance, the Office of the National Economic and Social Development Board commissioned King Prajadhipok's Institute to conduct a study on the key indicators of good governance, and the result of the study is expected to serve as a groundwork for further good governance development in this area.

1.2 Objectives

This study has the following three main objectives:

1.2.1 To determine the evaluation framework for good governance under civil-state development strategies outlined in the 8th National Economic and Social Development Plan and the good governance system under the 9th National Economic and Social Development Plan in both the public and private sectors;

1.2.2 To develop indicators of good governance under the 8th and 9th National Economic and Social Development Plans in both the public and private sectors, consisting of indicators based on the process and on the impact/accomplishments of operations;

1.2.3 To lay down the procedure for data collection necessary for determining indicators of good governance, covering both secondary and primary data, particularly qualitative data that have never before been collected and need to be obtained via the use of questionnaires, such that the indicators of good governance obtained deal with 3 basic areas.

1.3 The Scope of Study

The scope of the study extends over two dimensions:

1.3.1 The Scope of Operation

(1) **Build the conceptual framework for indicator development** that accords with the principles of good governance and guidelines outlined in the good governance strategies under the the 8th and 9th Plans. The framework will form the groundwork for determining the evaluation framework and indicator development afterwards;

(2) **Develop measurement indicator clusters for good governance** including the benchmarks for good governance in the public and private sectors. The indicators must have these features:

- Reflect the 6 principles of good governance (See the regulations of the Office of the Prime Minister concerning making the good governance system for the country and society, 1999) and the objectives of good governance development;

- Cover both quantitative and qualitative indicators that reflect the feelings and perceptions of persons/communities, being the vital data that identify public participation and satisfaction;

- Show results and contrasting pictures in both temporal and location dimensions (overall picture, regional level, provincial level) and be susceptible to continual development.

(3) **Make assessment questionnaires** to develop qualitative indicators that have yet to be supported by continual data collection, and the indicators must be capable of making measurement at location level;

(4) **Make recommendations for data collection** including both secondary and primary data obtained from the use of questionnaires in fieldwork survey and covering essential information on questionnaire distribution, guidelines on the compilation of results, and analysis of results that represent regional or provincial levels;

(5) **Produce a handbook on indicator making** that ranges over the principles and rationale for selecting variables or indicators, techniques for indicator development as well as the guidelines on making analysis;

(6) **Make an analytical commentary on good governance** when supporting data can be found at the moment, so as to test the indicators that have been developed after the conceptual framework and questionnaires mentioned in (2) and (3).

1.3.2 **The Scope of Location** Sample locations are determined for testing the questionnaires in the 5 regions (the North, the Northeast, the Central Plains, the South, and Bangkok and periphery), with at least two provinces selected from each region.

1.4 The Units of Measurement

This study has recourse to government agencies as its units of measurement, which may be either government or state enterprise agencies.

1.5 Definitions

In this study, practical definitions are given of the following important terms:

'Good governance' means '*administration that rests on some principle and seeks not to emphasize mere theoretical precepts, but rests on some work principle, which, when applied to the sphere of administration, will ensure that the optimum results will follow.*' This definition follows the regulations of the Office of the Prime Minister on the Creation of Good Governance in the Nation and Society, B.E. 2542 (1999 A.D.).

The Rule of Law means the legislation and predominance of regular and just law, and that the rights, freedom and equity of all members must be regulated and protected under the law (in the ordinary courts) and by the regular issuance and strict enforcement of rules and covenants as agreed.

The Principle of Ethics means the observance of righteousness, and encouragement given to people to seek self-development in order that the Thai people display such positive qualities of loyalty, sincerity, diligence, patience, and discipline, and engage in regular and honest occupations until these qualities become national traits.

The Principle of Transparency means all categories of conduct and actions that are the opposites, or near opposites, of corrupt practices. The term 'corruption' has hidden negative implications and horrors while 'transparency' connotes positive perceptions and joyous contentment.

The Principle of Participation means the creation of opportunities for public participation in politics and governance that entails decision-making in various affairs including community and national resource allocations that will most likely have impact on the lifestyle and livelihood of the people. It is to be achieved through sharing data,

giving opinion and views, consultation, joint planning, joint implementation, as well as direct controls by the people.

The Principle of Accountability means the awareness of one's rights and duties, awareness of one's accountability to society, showing concern for public issues and enthusiasm in solving those problems as well as having respect and tolerance for differences of opinion and the courage to face up to the good and disastrous consequences of one's actions.

The Principle of Value for Money (Efficiency) means the optimization of limited resources for all by launching campaigns to convince the Thai people of the value of economy and wise use of things, to produce goods and services that are competitive in the world arena, and to sustain and optimize natural resources through proper management and use of limited resources.

1.6 Conceptual Framework and The Method of Study

This research study stays within the regulatory framework of the Office of the Prime Minister on the Establishment of Good Governance in Government and Society, 1999, which lays down 6 basic principles of good governance: the Rule of Law, the Principle of Ethics, the Principle of Transparency, the Principle of Participation, the Principle of Accountability, and the Principle of Value for Money. These principles are in conformity with strategies outlined in the 8th and 9th National Economic and Social Development Plans. The study partly relies on the data obtained in making the study framework and relevant literature review.

The conceptual framework set the boundaries of study by confining itself to 6 major principles that are the major elements of good governance and contain 81 minor principles, as shown in the following figures:

Figure 1-1: Concepts of Good Governance

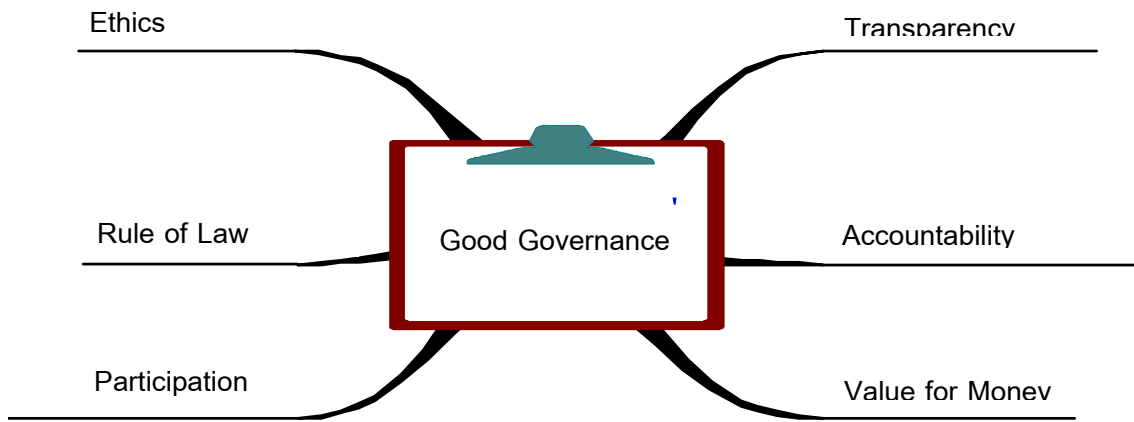


Figure 1-2: Rule of Law

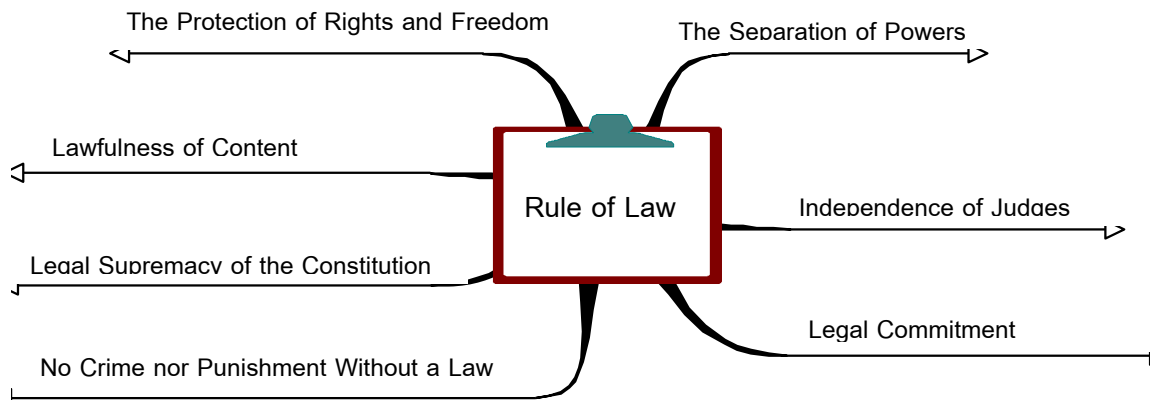


Figure 1-3: Ethics

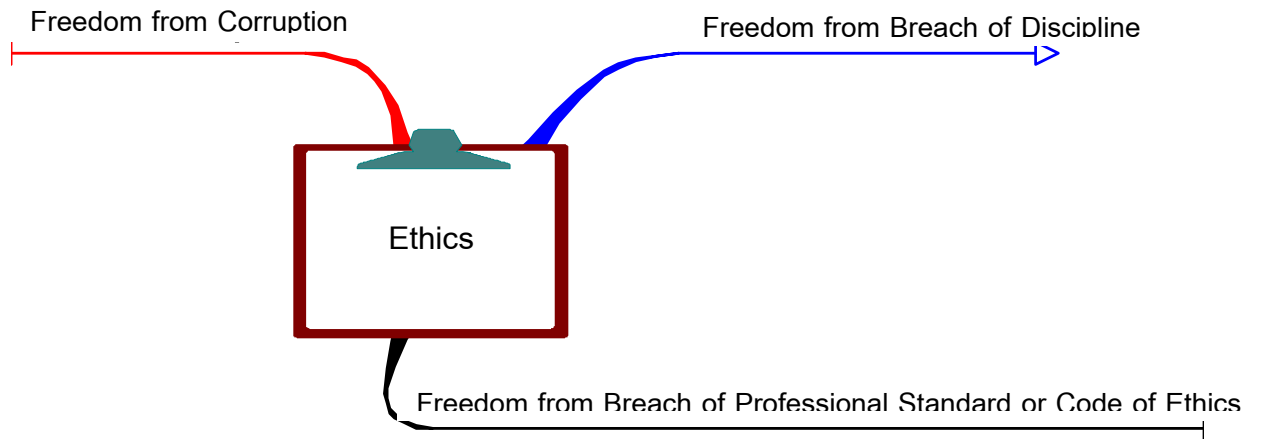


Figure 1-4: Transparency

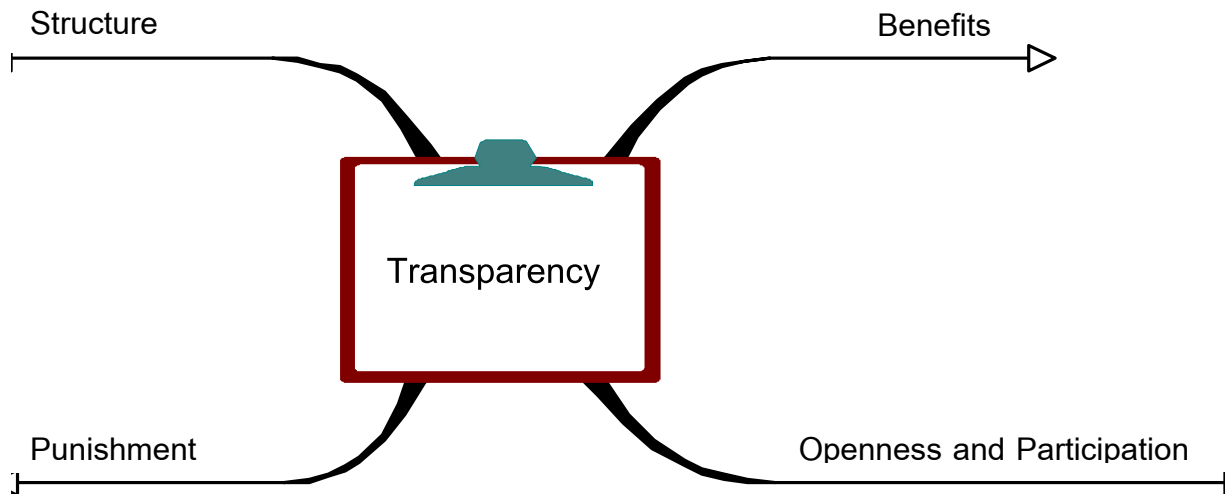


Figure 1-5: Participation

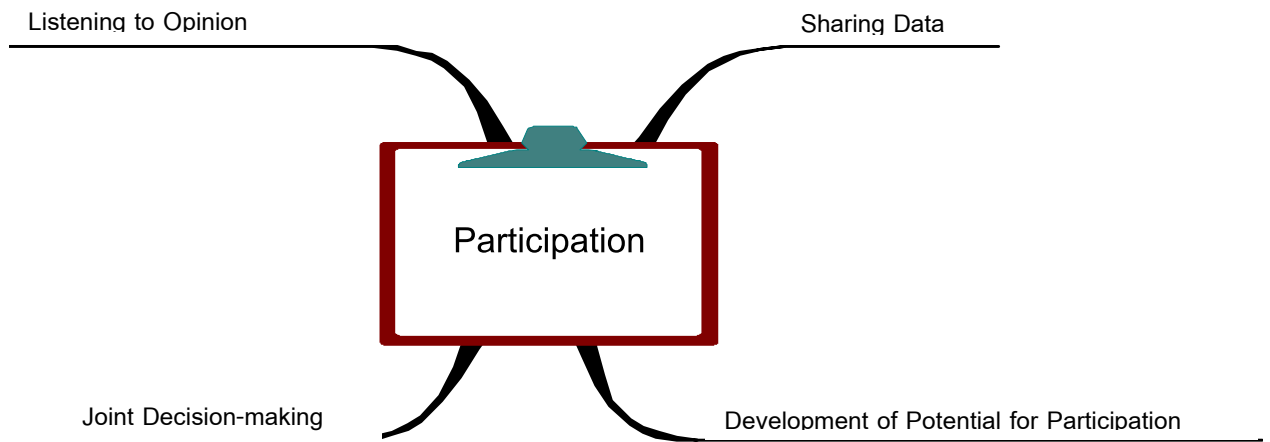


Figure 1-6: Accountability

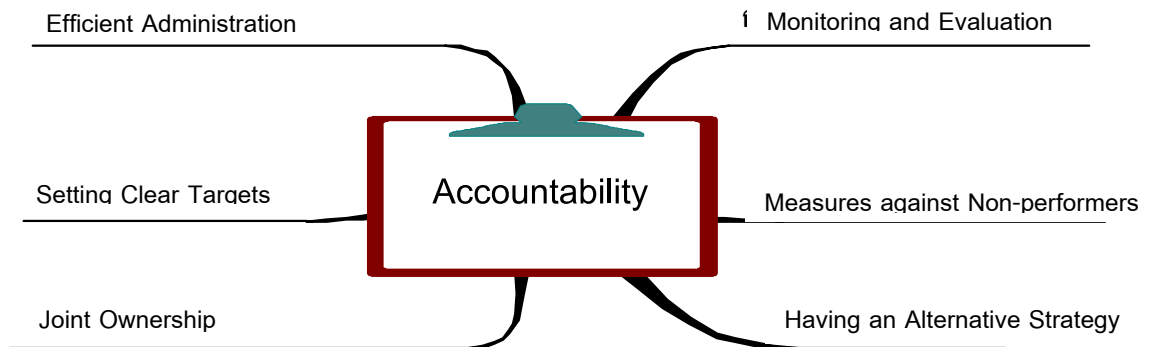
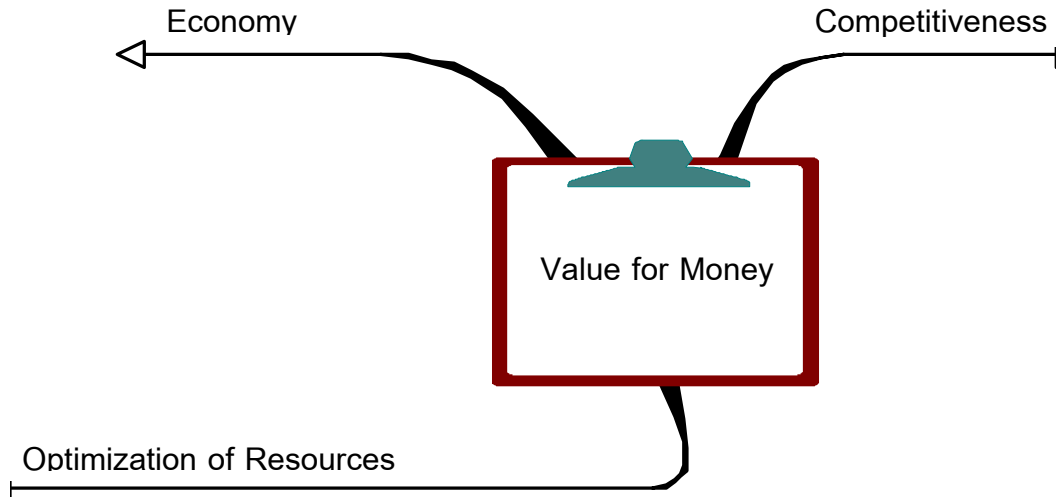


Figure 1-7: Value for Money (Efficiency)



1.7 The Stages of the Study

- This research study identifies key indicators of good governance under the following procedure:

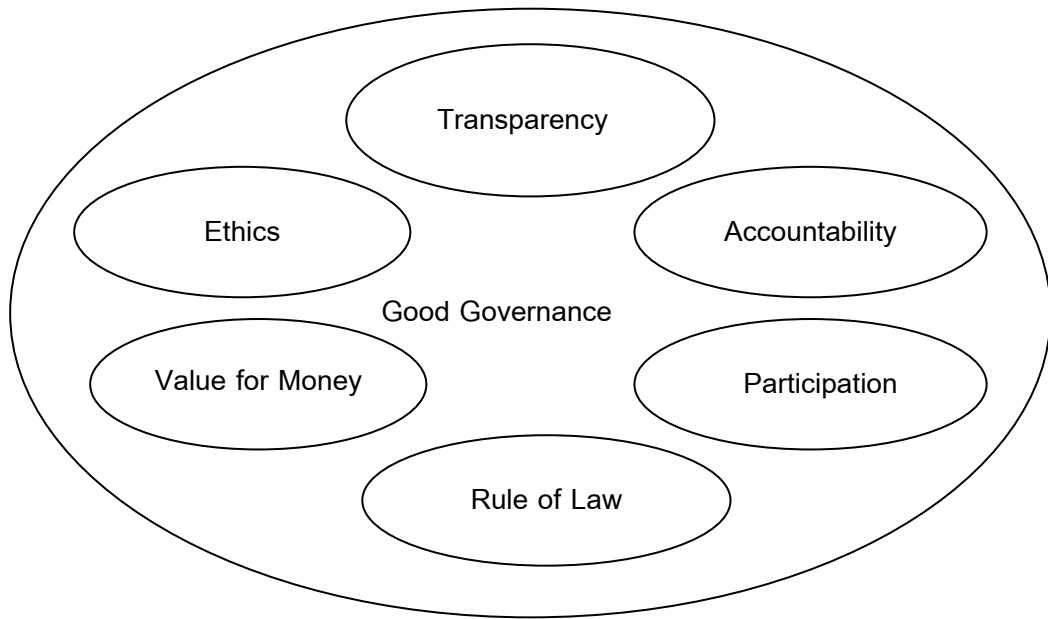
(1) Review the literature and concepts related to the philosophy and process of the 6 principles of good governance to deepen understanding of the approaches, development and meaning of good governance;

(2) Construct and develop indicators of good governance under the following procedure.

- The Determination of the 6 Core Factors

As this study follows the conceptual framework as defined in the 8th and 9th National Economic and Social Development Plans, the 6 core factors are cited as the main determinants of good governance. They are the Rule of Law, Ethics, Transparency, Participation, Accountability, and Value for Money (Efficiency).

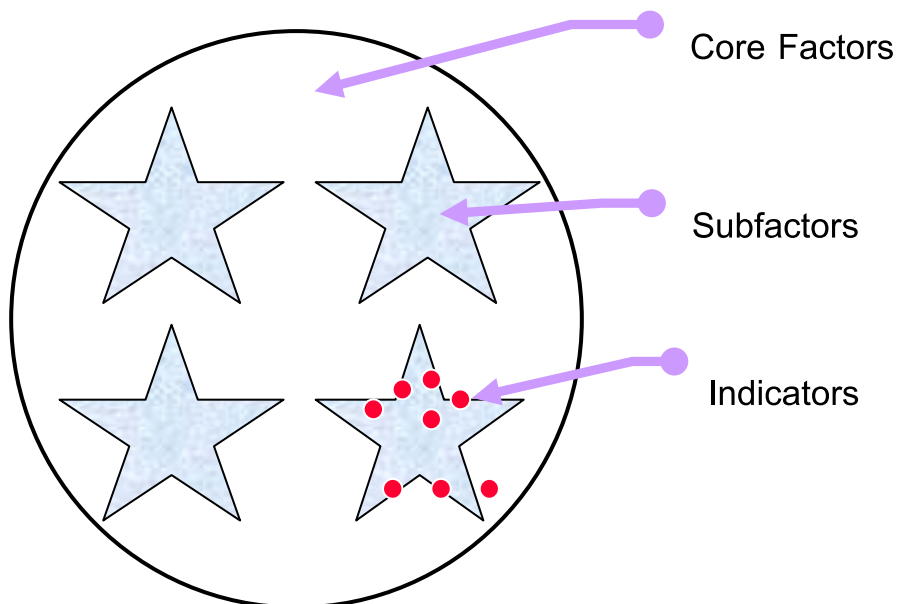
Figure 1-8: The Six core principles of good governance



Subfactors and Indicators

Each of the six core factors is operationalized, i.e. defined in terms of the operations that give concrete shape to the term. Next, subfactors are analyzed, based on available basic data in order to make plain how the subfactors are combined to make that factor. The subfactors are further developed to identify the core factors including variables that are required in collecting data.

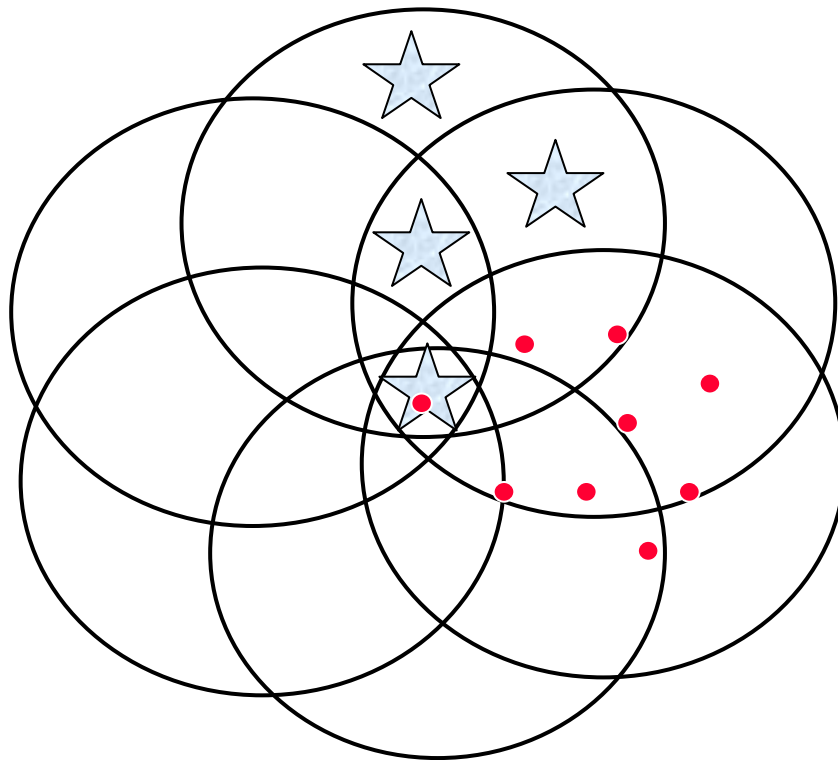
Figure 1-9: How the core factors are developed from subfactors



- The Determination of the Subfactors and Common Factor

When the data concerning the subfactors and indicators have been analyzed, all the subfactors and sub-indicators including the variables are reformulated to identify the common factor and the variation of each subfactor in order to determine significant relations and minimize repetitions in data collection.

Figure 1-10: The Determination of common indicators for the 6 core principles



- Indicators Grouping

In the last stage, the indicators are rearranged and grouped, leaving out the repetitions, to identify relevant indicators and variables to facilitate the next stages of data collection.

(3) **Test the instrument for data collection for indicators of good governance** and the existence of the data by using the indicators that have been developed to check the validity and accuracy of the questions in the pilot location, which is Saraburi Hospital, from May 2-3, 2002. Saraburi Hospital has 680 beds inside 15 buildings and a total number of 1,524 staff members. A government unit responsible for health care services, it accommodates customers in Saraburi and adjacent provinces. The research team relied on the data obtained to refine the indicators before subjecting them to further brainstorming, the result of which confirms the validity of most of the indicators.

(4) **Organize a brainstorming session of specialists for recommendations on formulating the indicators.** The meeting produced useful recommendations and consensus in determining relevant indices and executing the next stages. Held on May 28, 2002, it was composed of 24 participants from various agencies, e.g. The Office of the National Counter Corruption Commission, The Office of the Civil Service Commission, The Bureau of the Budget, and The Office of National Decentralization Committee.

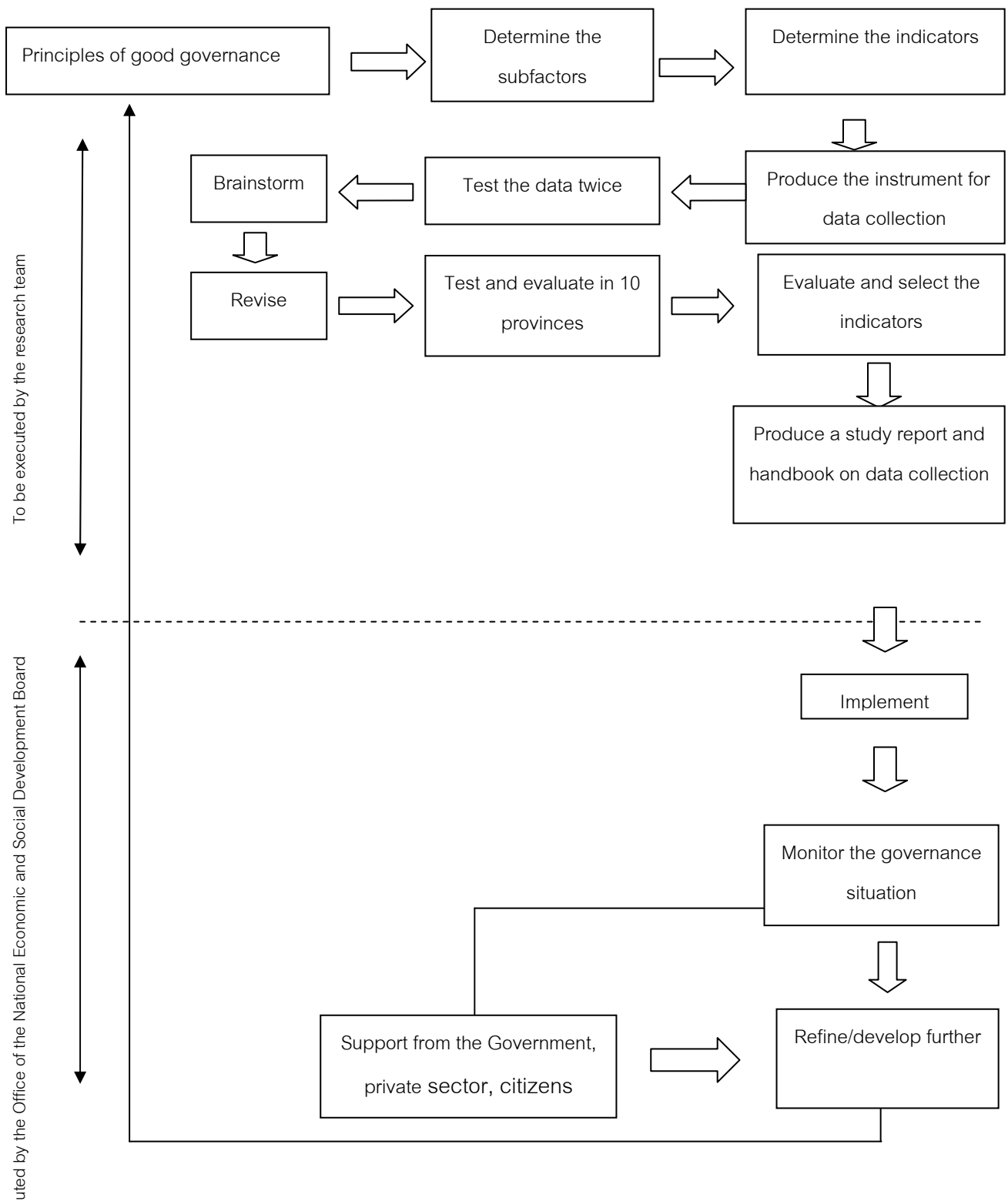
(5) **Prepare the instrument for data collection and conduct the data collection.** It was done through the refinement of the indicators and instrument for data collection, and conducting extensive field operations, using the questions that have been developed, in 10 target provinces: Chiang Mai, Lampang, Khon Kaen, Sakon Nakhon, Suphan Buri, Bangkok, Nonthaburi, Rayong, Pattani, and Songkhla. One target agency was selected, based on the dominant mission, from one province, the details of which appear in the section 1.8, 'Population and Sample Groups'. The data collected were then processed and reported in an initial analysis of good governance, which includes the analysis of the validity of each variable and the completeness and existence of the data collected.

(6) Produce a handbook on data collection and ranking of the indicators. The data collected in the target areas will form the basis for producing the handbook.

(7) Announce the results of the research study and sounding out the reactions and recommendations from specialists on the indicators and results of the research. It was held on September 16, 2002 at Sri Chulasab Building, Bangkok.

(8) Produce a complete report.

Figure 1-11: The framework of the study flow process.



1.8 Population and Sample Groups

The data collection was done with the help of questionnaires on the indicators of good governance. The research team collected data from 10 target agencies in 5 regions, consisting of Chiang Mai, Lampang, Khon Kaen, Sakon Nakhon, Suphan Buri, Bangkok, Nonthaburi, Rayong, Pattani, and Songkhla. The data collection is centered on two population groups: state officials and citizens who are customers.

Figure 1-12: The five regions and the ten provinces under study.



The statistical sampling made follows a simple method of sampling and employs the Yamane formula in computing the number of samples. The data were collected from one agency in each province. (The numbers of samples gathered from each agency appear in the chapter on creating the indicators and data collection.)

1.9 Project Management

King Prajadhipok's Institute

1.10 Duration of the Study

September 2001-September 2002.

1.11 Results expected from the study

1. To acquire the framework for the evaluation and the indicators of good governance for Thailand including standards of comparison following the guidelines suggested by the 8th and 9th National Development Plans.

2. To have a basic document on analyzing good governance under the framework of the indicators that have been developed.

3. To provide recommendations for developing the indicators of good governance.

4. The citizens and all parties concerned will be informed and aware of the importance of the promotion of good governance in Thailand.

Chapter 2

The Making of the Indicators and Data Collection

In this chapter, the procedure and process of making the indicators and data collection will be explained in detail step by step, beginning with the determination of the conceptual framework for indicator-making and the synthesis of those concepts into the core principles that form the backbone of measurement. From the core factors (principles) are derived the subfactors, which in turn are transformed into the questions used in on-site data collection. Further, the stages of data collection, differentiation of categories and numbers of target groups used in the collection will be discussed. The last section will give a succinct description of the evaluation.

2.1 The Conceptual Framework for Indicator-making

2.1.1 The Rule of Law

1. **The linking of the conceptual framework with the making of the indicators or criteria used, including the fundamental principles behind the choice of the Rule of Law.**

The Rule of Law is aimed to regulate State power. It seeks to prevent the arbitrary exercise of State power but instead promote the supremacy of the regular law. The ultimate meaning of the Rule of Law is that the ordinary law rather than arbitrary power, particularly State power, regulates the ordinary citizen's rights and liberty. Consequently, there are many different ways to make the subdivision of the Rule of Law, which will necessarily be based on the legal notions of each party. Here, the subdivision will follow the line adopted by the German practitioner of public law, Prof. Dr. Maunz (Maunz/Duerig/Herzog, 1989), who gives the following subdivisions of the Rule of Law: 1) The Separation of Powers, 2) The Guarantee of the Protection of Rights and Liberty, 3) The Lawfulness of the Judiciary and the Administration, 4) The Lawfulness of the Content, 5) The Independence of Judges, 6) "No Crime nor Punishment Without a Law", and 7) The Supremacy of the Constitution.

2. **The application of the fundamental principles of the Rule of Law to determine the indicators or criteria used.**

The seven fundamental principles of the Rule of Law are derived from the overall perspective one has on a state. In order to consider whether a particular state has the Rule of Law, one has to rely on the criteria for the evaluation. For instance, in order for a particular state to have the Rule of Law, the foremost pre-requisite is that there must be the separation of powers in that state as the separation of powers will lead to checks and balances operating between those separate functions of the state. Whenever a system of checks and balances is in place, there will be greater protection of the rights and liberty of the citizens.

From these fundamental principles of the Rule of Law, it is evident that each fundamental principle either is intended to monitor each of the powers of the state or seeks to safeguard any one of the powers. The following considerations apply to the operation of the principles.

(1) The Principle of the Separation of Powers requires the structural organization of government. Most states have the three main functions of government--legislative, executive, and judicial.

(2) The Principle of the Guarantee of the Protection of People's Rights and Liberty impose different requirements as per power as follows:

A. The legislative power, which, under the principle, can make or alter no laws that restrict the people's rights and liberty except where there is a stipulation made in the Constitution to that effect. The legislation of any law that restricts the people's rights and liberty must be in accordance with the principles as laid down in the Constitution.

B. The executive power, which, under the principle, can produce no action that aggrieves the people's rights and liberty except under some law, and even when there is a law granting the power to that effect, the action must be executed within reasonable bounds.

C. The judicial power, which, under the principle, can act to aggrieve the people's rights and liberty but a channel must be open to the people through which they can gain access to the judicial bodies to seek the redress of any wrong or the protection of their rights, and the legislature may correct any error or imbalance resulting from the

inadequate or contrary interpretation of the law as intended by the legislature by amending the law.

(3) The Principle of the Lawfulness of the Judiciary and the Administration sets out different requirements for the judicial bodies and the government bodies.

A. The judicial bodies. Under this principle, a judge can make judgement in a case only according to the letter of the law, thereby to effect equality under the law.

B. The government bodies. Under this principle, the action of the government officials in their dealings with the people must follow the procedure as prescribed by the law, thereby to effect equity and transparency to the people.

(4) The Principle of the Lawfulness of the Content sets out requirements for the law-making bodies, of which there are two, that is, the legislative and the executive. Under this principle, the character of the content of the laws that are to be enforced, particularly those affecting the people's rights, is described. For example, the law (or penalties) cannot be retrospective, and the law affecting human rights must contemplate only that which is reasonable.

(5) The Principle of the Independence of Judges seeks to protect the independence of the judiciary. Under the Rule of Law, the protection of the people's rights and liberty can be secured only where an impartial body exists which has the duty to review the actions of the state's organizations. In order for the judiciary to maintain genuine impartiality in the administration of justice, the Rule of Law seeks to guarantee the independence of judges.

(6) The Principle of the "No Crime nor Punishment Without a Law" sets out requirements for the actions of the government officials in making an arrest, imprisonment or prosecution of a person concerning any act of his, wherein the provisions of a law must clearly state to the effect that such an act is deemed a criminal offence, or else that person shall not be liable to an arrest or imprisonment.

(7) The Principle of the Supremacy of the Constitution sets out requirements for the legislature and the executive organizations wherein any legislation made by them must not be contrary to the Constitution, and any legislation that is contrary to the Constitution will be unenforceable.

From these seven sub-principles of the Rule of Law and their requirements for the various functions of government, it is evident that the Rule of Law dictates the supremacy of law over and above any arbitrary use of state powers. As the Rule of Law is considered to be part of the principle of good governance and this research study aims to identify the indicators of good governance that may be derived from applying the criteria created by this study in constructing the good governance structure, and if the good governance in the State is to be measured with respect to the Rule of Law, the seven sub-principles may be used a basis for making assessment. But if the measurement of the good governance of any particular government agency is to be made, the seven sub-principles under the Rule of Law cannot be cited as the criteria of measurement. As a result, if the Rule of Law is to be measured in any particular unit or agency, the seven sub-principles must be readjusted in conformity with the character of that agency. For this reason, the seven sub-principles of the Rule of Law have been adjusted from the macro-level application to the determination of indicators or criteria that suit the character of the agency, whose operating officials have the duty to observe the law. Most of these state agencies typically known as the state authorities are charged with the duty to observe or enforce the law. For this reason, the indicators or criteria used put emphasis on the sub-principles, which directly bind the state authorities under the third sub-principle, namely, the Principle of the Lawfulness of the Administration, or the principle of legal obligation of the administration. Nevertheless, the other sub-principles of the Rule of Law are adjusted to suit the character of the state authorities in the following manners:

(1) *The Principle of the Separation of Powers* The adjustment of this principle necessitates the raising of two questions: Is there a clear-cut separation of powers? Is the exercise of power by each side subject to monitoring?

(2) *The Principle of the Guarantee of the Protection of People's Rights and Liberty* The principle leads to the raising of questions about the protection of people's rights, the existence or otherwise of the rules and regulations that restrict people's rights, and considerations to be given to the principles surrounding people's rights as a result of the exercise of one's power.

(3) *The Principle of the Lawfulness of the State Authorities* This principle forms the cornerstone of the actions of all state authorities, particularly those state agencies which provide public service delivery. In monitoring the supposed actions of the state authorities in this case, the procedure is divided into three basic steps. The first step precedes the lawful actions of the state authorities. The second step deals with the deliberation taken by the authorities. The third step comes after the authorities finish their deliberation and inform the public of the result of the deliberation. In setting forth the Principle of the Rule of Law concerning the actions of the state authorities, consideration therefore must be given to the steps given above. In each of these steps, the kind of questions posed will be:

- a. For the step preceding the official actions, 6 questions will be raised, most of which are concerned with giving the public the right information, and informing them of their rights before dealing with the agency.
- b. For the step of taking the official actions, 13 questions will be asked, most of which are concerned with giving the public a chance to make clarification, giving various rights to the public, the content of orders, the criteria for making judgement, etc.
- c. For the step after the official actions, 7 questions will be raised, dealing with the extent of the amount of appeals or counterclaims made against the actions of the state authorities.

(4) *The Principle of the Lawfulness of the Content* When used in monitoring each organization, the principle seeks to discover whether the organization issues any rules or regulations that affect the people's rights and liberty, and if so, to discover whether the infringement is lawful or not.

(5) *The Principle of the Independence of Judges* As already said above, this principle seeks to protect the judges in their administration of justice; but when the principle itself is applied inside the state's organizations, the questions seek to discover whether, in case the authorities or commissions are required to pass judgement on certain matters, the authorities or commissions are granted enough independence in the matters.

(6) *The Principle of the “No Crime nor Punishment Without a Law”* When used in monitoring an agency, the principle seeks merely to discover whether the agency prosecutes a person under the law, or whether or not, and to what extent the law is being used retroactively to prosecute a person.

(7) *The Principle of the Supremacy of the Constitution* When applied to any agency, the questions seek to discover whether the agency issues any rules or regulations that are contrary to an enabling Act or law in the superior order.

The final observation concerning the criteria issued under the Rule of Law is related to its clauses that aim to protect the citizen's rights. In order to measure the observance of the Rule of Law practiced by various agencies, a distinction needs to be made between those agencies that render public service delivery and those agencies that do not do so. Only that group of agencies that provide public services will be bound by the Rule of Law much more than those agencies that do not provide public services.

From the fundamental principles of the Rule of Law as elucidated above, the researchers create the following indicators:

1. The agency clearly institutes the separation of powers.
2. The agency provides for the protection of the rights and liberty of its personnel and the people.
3. The agency maintains lawfulness by observing the laws, rules and regulations.
4. The laws, rules and regulations are lawful.
5. Those who are decision-makers of the agency have independence in performing their duties.
6. The rules of punishment enforced by the agency follow the legal principles.
7. The rules and regulations of the agency are not contrary to a higher-order law.

2.1.2 Ethics

In studying the features of ethics, the researchers arrive at the 3 main components of ethics: freedom from corruption, freedom from breach of discipline, and freedom from breach of professional standard and the code of ethics.

The component and indicator of ethics or desirable conduct that is free from corruption or conducive to a lesser degree of corruption. By corruption (*corrumpere*) is meant that conduct that is destined to ruin, destroy or transgress the bounds of ethics, ethical practice, and law. The perils of corruption are numerous and immeasurably injurious, and characterize the kind of conduct that has a hugely negative effect on good governance. Our assertion in this matter is supported by such statements as “Corruption is a skeleton in the closet” (D. Chapin and F. Sefton, 1977, 7), “Corruption anywhere threatens everybody everywhere” (D. Osborne, 1988, 1-2), and “Corruption doesn’t pay. It hurts everybody and anybody.”

The component and indicator of ethics or desirable conduct that is free from corruption or conducive to a lesser degree of corruption is based on consideration of the frequency, proportion, or percentage of at least 4 behavioural types (H. Finer, 1941, 335-350):

1. *The component of ethics or desirable conduct that is free from obvious failure to perform an act required by law (Nonfeasance), or of the conduct that exhibits a lesser degree of nonfeasance.* The indicators are based on consideration of frequency, proportion, or percentage of nonfeasance, e.g. non-violation of or abstention from breaking the law, and abstaining from dishonesty in performing one’s duty or barratry.

2. *The component of ethics or desirable conduct that is free from actions that are less than or do not measure up to that required by law (Malfeasance), or of the conduct that exhibits a lesser degree of malfeasance.* The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. performance that is inefficient or below par or sub-standard, failure to punish offenders by fining, and imprisoning alleged offenders lower than required by law.

3. *The component of ethics or desirable conduct that is free from actions that exceed the limits imposed by law (Overfeasance), or of the conduct that exhibits a lesser degree of overfeasance.* The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. abstaining from being above the law or setting up a kangaroo court to try people.

4. *The component of ethics or desirable conduct that is free from actions that, in conforming to the will of the law, resort to illegal means or improper performance of a lawful act (Misfeasance), or of the conduct that exhibits a lesser degree of misfeasance.* The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. abstaining from obtaining forced confessions by injuring the accused, and causing physical harm to persons who refuse to pay income taxes.

From these basic considerations of the Principle of Ethics with respect to corruption, the researchers arrive at the following indicators:

1. Nonfeasance (Failure to do a lawful act.);
2. Malfeasance (The doing of an unlawful act.);
3. Overfeasance (Overstepping a lawful act.);
4. Misfeasance (Wrongful performance of a lawful act.).

(References: H. Finer, "Administrative Responsibility in Democratic Government," *Public Administration Review*, Vol. 1 (Summer, 1941), pp. 335-350. See also F.A. Nigro and L.G. Nigro, *Modern Public Administration*, 6th Ed. (Manila: Cacho Hermanos, Inc., 1984), p. 11; G.E. Caiden, "What Really is Maladministration," *Public Administration Review*, Vol. 51, No. 6 (November-December 1991), p. 492, especially his concept "bureaupathologies" which covers 178 corrupt behaviours, ranging from A to X.)

The component and indicator of ethics or desirable conduct that is free from breach of discipline or conducive to a lesser degree of indiscipline. By discipline (consisting of *disciplina* or the instruction and learning, and *discipulus* or student or learner) is meant legal norms used in regulating the behaviour of officials and keeping them in line, and legal punishments meted out to transgressors, including behavioural control and self-punishment or censure or condemnation.

The component and indicator of ethics or desirable conduct that is free from breach of discipline or conducive to a lesser degree of indiscipline is based on consideration of frequency, proportion, or percentage of at least 4 behavioural types (Tin Prachyapruit, 65):

1. *The component and indicator of ethics or desirable conduct that is free from breach of discipline regarding jobs per se.* The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. performance of duties with integrity and equity, non-negligence of official duties, and legitimate actions or non-abstention from performing legitimate duties including the gravity of punishments endured, e.g. probation, salary cut, salary scale demotion, discharge, and dismissal.

2. *The component and indicator of ethics or desirable conduct that is free from breach of discipline regarding interpersonal relations, or of the conduct that exhibits a lesser degree of breach of discipline pertaining to interpersonal relations.* The indicators are based on frequency, proportion, or percentage of conduct to that effect, e.g. abstaining from showing disobedience to superiors, abstaining from quarrels with officials at the same level, and abstaining from venting one's spite on subordinates.

3. *The component and indicator of ethics or desirable conduct that is free from breach of discipline regarding personal affairs.* The indicators are based on frequency, proportion, or percentage of conduct to that effect, e.g. abstaining from drinking and drug-taking, abstaining from gambling, abstaining from committing rape or adultery, including the gravity of punishments endured.

4. *The component and indicator of ethics or desirable conduct that is free from breach of discipline regarding responsiveness to the public.* The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. abstaining from showing disrespects to the public; welcoming, receiving and serving members of the public who is doing business with the office, including the gravity of punishments meted out.

It should be noted that the components and indicators of ethics or desirable conduct that is free from corruption and breach of discipline as elucidated above constitute external control of the course of conduct of government officials, which has necessarily limited effectiveness. Despite all those good laws and disciplinary measures, it is still very difficult to effectively curb certain undesirable behaviours, just as they say, "You can't legislate human behaviour" (R.M. Green, 1994, 50). Furthermore, even if a special commission is appointed to watch over these undesirable behaviours closely, we still have no way to ensure that other watchdog groups will not commit the

offence themselves. The Roman satirist Juvenal warned a long time ago that '*Quis custodiet ipsos custodiet*' (Who will guard or watch the guardian or watcher?). The thrust of the cynical argument is that both the monitors and the monitored are equally liable to be involved in corruption or breach of discipline themselves. In this, we are reminded by the common saying, "We have found the enemies and they are all of us" (D. Osborne, an interview). For this reason, those responsible for the correction and improvement that will result in ethical and desirable behaviour recommend internal or self-control, which can be effected through the establishment of professional standard and code of ethics. It is hoped that the latter measure will prove more effective as it involves voluntariness, self-control, and freedom from external control. Instead of being controlled by other agencies or persons, government officials will control themselves and make judgement on the ethical question concerning certain problematic behaviours themselves. For instance, when faced with uncertainty as to whether a certain questionable behaviour is ethical or not, they may ask themselves these questions: Is the behaviour right or not? Is it just? Will anyone get into difficulty as a result of their action? How would they feel if their action were reported on the front page of the newspapers? Will they still have a good night sleep as a result of the action? Will the action definitely be scandalous? (Tin Prachyapruit, 218)

From these basic considerations of the Principle of Ethics with respect to breach of discipline, the researchers arrive at the following indicators:

1. Freedom from breach of discipline pertaining to jobs per se.
2. Freedom from breach of discipline pertaining to interpersonal relations.
3. Freedom from breach of discipline pertaining to personal affairs.
4. Freedom from breach of discipline pertaining to responsiveness to the public.
5. Composite severity of disciplinary actions as a result of breach of discipline.

(The indicators of the breach of discipline are taken from the following sources: the Civil Service Act, B.E. 2535 (1992 A.D.), particularly clauses 80-98; Tin Prachyapruit, *Efficiency of Thai Bureaucrats: From the Perspective of Administration, Law, Discipline,*

Professional Standards, and the Code of Ethics, 2002; and B.C. Muthayya and I Gnanakanna, *Developmental Personnel: A Psychosocial Study Across Three States in India*, Hyderabad: National Institute of Community Development, 1973, p. 42)

The component and indicator of ethics or desirable conduct that is free from breach of professional standard or code of ethics, or conducive to a lesser degree of the offence to that effect. By professionalism (*profiteria*) is meant a body of knowledge, expertise, and practice regarded by any group of people as valuable to themselves and society, who strive to gain public recognition for their code of ethics. The group of people may be called professionals who have expertise in their professions. Professionals are distinct from dilettanti and minions, who, not being professionals, are not quite expert at the supposed science and practice, and often have recourse to common sense as their work guidelines rather than relying on a sophisticated body of theoretical knowledge or professional standard.

According to G. Ritzer and H.M. Trice, there are 18 components of professionalism (Tin Prachyapruit, 1969, 11-12):

1. Full-time professional practice;
2. Educational planning by professional association;
3. Establishment of a professional association and legislation of professional capacity;
4. Possessing a professional code of ethics;
5. Systematic body of knowledge based on theoretical principles and having college education from bachelor degree level and upwards;
6. Social recognition;
7. Mastery of his profession;
8. Service delivery by professional standard;
9. Professional independence;
10. Receiving educational training geared at professional practice;
11. Support for one's professional practice, e.g. advisor or mentor;
12. Advance planning for entering into the profession;

13. Strong determination to gain entry into the labour market of the profession;
14. Professional enthusiasm;
15. Conduct in conformity with a professional code of ethics;
16. Loyalty and commitment to profession;
17. Seeing clearly into the future for professional practice; and
18. Professional progress.

It is to be noted that among the 18 traits of professionalism, Nos. 4 and 15 share the same component of a professional code of ethics. The researchers therefore agree to use the two components and indicators of the professional code of ethics to measure the virtue or desirable conduct proper to professionalism, which is explained below.

The researchers gave the meaning of the professional code of ethics as professional morality, that is, the central standards or criteria of the conduct of professionals, which consist of both prohibitions and permissions to perform certain actions. Our survey of available literature on the subject revealed up to 17 theories of professionalism, but the 17 theories may be boiled down to only 4 groups, which may be expressed in a succinct formula like this: 3R's + M. [The three R's are the initials of 'result' (or utility), 'relationships', and 'rule' (or regulations, promise, or religious precepts), and M stands for 'means'.] (Tin Prachyapruit, 1969, 83) This formula is to be understood as forming the virtue or desirable conduct that is free from the breach of professional standard and code of ethics. In addition, the 3R's + M formula is to form a basis for determining the indicators of behaviour to that effect.

The components and indicators of virtue or desirable conduct that is free from the breach of professional standard and code of ethics, or conducive to a lesser degree of wrongdoing to that effect consist of:

1. The component of virtue or desirable conduct as related to result or utility

In this component, a virtuous person, in doing his job, produces positive results or utility that benefits both himself and the common good. The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. an

absence of complaints about service delivery by government officials, and public satisfaction with the performance of government officials.

2. The component of virtue or desirable conduct as related to relationships In this component, a virtuous person maintains cordial relations with persons concerned including officials at the same level, his superiors or subordinates, and the general public. The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. an absence of conflict between one and officials of the three levels and with the public, which is to say that “a united front”, or group cohesion and positive interaction are well maintained, and which may include the fact that there are no poison pen letters doing the rounds because of an absence of conflict.

3. The component of virtue or desirable conduct as related to rules, regulations, promise or religious precepts In this component, a virtuous person observe official conventions, fulfill his promise, or follow the teachings or precepts of his religion. The indicators are based on consideration of frequency, proportion, or percentage of conduct to that effect, e.g. non-violation of official conventions, fulfilling his promise made to others, and following the teachings of his religion.

4. The component of virtue or desirable conduct as related to means In this component, a virtuous person follows the means, or procedure and steps as laid down by his office, over and above the outcome of the action. As they say, “Follow the procedure and the outcome will take care of itself”. In other words, the means is more important than the end. The indicators are based on consideration of frequency, proportion, and percentage of the job performance in accordance with the office procedure.

From these basic considerations of the Principle of Ethics pertaining to breach of professional standard and code of ethics, the researchers arrive at the following indicators:

1. Freedom from breach of professional standard and code of ethics as related to result or utility.
2. Freedom from breach of professional standard and code of ethics as related to relationship.

3. Freedom from breach of professional standard and code of ethics as related to rule or promise.

4. Freedom from breach of professional standard and code of ethics as related to means.

(The idea of the indicator of virtue with respect to breach of professional standard or code of ethics is taken from the following sources: G. Ritzer and H.M. Trice, *A Study of Personnel Manager* (New York: W.F. Humphrey Press Inc., 1969), No. 3, especially his concepts on the existence of code of ethics and its orientation; D.H. Rossenbloom and D.D. Goldman, *Public Administration: Understanding Management, Policies and Law in the Public Sector* 3rd ed. (New York: McGraw-Hill, 1993), ch.4; C.G. Christians et al., *Media Ethics* (New York: Longman, 1987); J. Coleman, "Rawls, Nozick and Educational Equality", (Xeroxed copy); O.M. Orun, *Equality and Efficiency: The Big Trade-off* (New York: Prentice-Hall, 1989; Tin Prachyapruit, *Undesirable Behaviours in the Bureaucracy and Bureaucrats and Their Solutions*. (C.S.C. Center for the Promotion of Ethics, 30 September 2001, 83-84; and Tin Prachyapruit, "Efficiency of Thai Bureaucrats: From the Perspective of Administration, Law, Discipline, Professional Standard, and Code of Ethics." 2002.)

Based on the above information, our team constructed a series of questionnaires. Previously, the measurement scale follows the three divisions of 'high', 'medium', and 'low', but later is changed into a dichotomy between 'yes' and 'no'. (We are in agreement with the secretary and member of the Committee for the Project to Study the Development of the Indicators of Good Governance who suggested that in applying the indicators of conduct that is free from breach of discipline, disciplinary actions should consist of 5 levels: probation, docking (salary cut), salary scale demotion, discharge, and dismissal. In future surveys, the amendment should be made, and the new measurement scale should be like this: 1) probation, 2) docking, 3) salary scale demotion, 4) discharge, and 5) dismissal.)

2.1.3 Transparency

By transparency (Pornsak Phongphaeo, 2002) is meant the condition that allows light to pass through so that the eyes can see objects behind (*The Royal Institute Dictionary B.E. 2525*, 550). An English-Thai dictionary gives the extended, figurative meaning of transparency as the quality of being obvious or evident (as of a claim, for example), and of being open (to viewing), upright or straightforward (as of a disposition, for example) (Tianchai lamworamate, 2537, 1710).

The literal sense of transparency has common and explicit validity, but in constructing the indicators of transparency, more consideration would have to be given to its constituent meanings before a fully-integrated picture can be achieved, particularly with respect to content validity, construct validity, and criterion validity.

Transparency and Corruption

Transparency is a component of honesty. Although transparency does not denote freedom from corruption, its existence forms one of the diametrical opposites of the state of corruption; the more transparency there is, the less corruption there will be including operating inefficiency. In other words, corrupt behaviour is more likely to be found in those agencies where a monopoly of authority (M) is the norm and much discretion (D) is evident, but the levels of accountability (A) and transparency (T) are marginal. The idea may be expressed formulaically thus:

$$C = M + D - A - T$$

by which C = Corruption;

M = Monopoly;

D = Discretion;

A = Accountability;

T = Transparency.

Corrupt practice is viewed in the negative light and implies certain hidden dangers. Those dangers stem from the lack of transparency that always attends the stranglehold of murky monopoly in which judgement is passed with little or no clear explanation. In this manner, transparency is one of those terms that produce positive and contented sensations. The more transparency there is, the lower the corruption rate is likely to be, and that affair that has high transparency tends to produce feelings of general contentment with the affair.

With respect to contentment, transparency has a positive connection with honesty, which translates into good conduct in deed, word, and thought. (Phra Dev Vedi, 310) Goodness flows from the wellspring of that transparency.

With respect to dangers or unwholesome courses of action, transparency is closely linked to inefficient behaviours of the officials in the agency. These behaviours anticipate such signs of degeneracy as 1) killing (destruction of life), 2) stealing (taking what is not given), 3) sexual misconduct, 4) false speech, 5) malicious speech, 6) harsh speech, 7) frivolous talk, 8) covetousness, 9) ill will, and 10) false view. (Phra Thepwethi, 2535)

Academic institutions that study corruption or misconduct in the official circles tend to use the concept of transparency as the indicator of corruption and inefficiency of the agencies. (www.transparency.com) This tendency is quite misleading as transparency is only one of the causes of corruption.

Corrupt Behaviours

Corruption is that behaviour displayed by those officials who abuse their authority by committing any covert act in order to secure personal gains. In the opposite direction, transparency is that behaviour that is plainly evident to all that they are committing the act to benefit the government agency or public good. (Robert Klitgaard, 2000) Corruption has existed in both state and private agencies, and has been with us since the ancient times when human society first started to take shape. In time, it has acquired more sophistication to conform with man's changing social circumstances.

The Forms of Corruption

Our studies led us to classify corruption in the official circle into 2 forms: *chorat* (embezzlement of private money) and *bangluang* (embezzlement of public money). (Phonsak Phongphaeo, 2544)

Chorat

This form of corruption is most prevalent as such acts as taking part of the money or benefits for personal gains, under-the-table payment (profiting from services rendered illegally); asking for money in exchange for benefits given; skimming off the designated price; making gains accruing from job performance; bribery; persuasion, holding up, malicious action, demand, extortion, and coercion for personal gains or the

gains of one's relatives and friends; and abusing, distortion, avoidance, and violation of rules and regulations.

Bangluang

This form of corruption is most prevalent as such acts as falsification of documents and evidence for unseemly gains; stealing or taking what one is not entitled to or permitted to have; abetting tax evasion both directly or indirectly; and resorting to violence, beating, injuring, threatening and attempted murder.

Transparency and Corruption

Transparency is not synonymous with freedom from corruption since corrupt behaviour tends to change its form and colour like chameleons. In other words, the subtlety of corruption necessitates the machinery of transparency to become increasingly more intricate. If transparency remains stagnant, a state of opacity or transparency lag will ensue. Transparency is therefore a relative matter, as is evidenced in the monitoring or evaluation processes in general.

A number of conditions are responsible for bringing about a greater amount of transparency lag. They are: 1) selective representation of time-specific universal principles or issues on the official agenda in order to justify their validity, commonly known as "policy corruption", 2) implementation of corrupt policies under a legal framework, called "flawless dishonesty" (as opposed to "honest mistake"), and 3) use of camouflage with the aid of innovative techniques, called "subtle dishonesty", in which no monitoring is possible despite apparent transparency. This condition calls for extraordinary measures of transparency to be devised and put in place. (Wutthipong Phriabchariyawat, 2545)

Transparency and Good Governance

Transparency is one component of good governance (Office of the Prime Minister, 2544), which comprises altogether the following components: 1) The Rule of Law, 2) The Principle of Ethics, 3) The Principle of Transparency, 4) The Principle of Participation, 5) The Principle of Accountability, and 6) The Principle of Value for Money (Efficiency).

As a measure and component of good governance, transparency has intimate inter-correlations with the other components and can be used to generate a large number of common indicators.

The Components and Indicators of Transparency

Transparency According to the findings of a study (Phonsak Phongphaeo, 2544), four variables have significant impact on transparency in general: 1) structure-based transparency, 2) benefits-based transparency, 3) punishment-based transparency, and 4) openness-based transparency.

The Ideological Construct of Transparency

According to the study on corruption indicators in Thai context, the four variables have significant eigence value, to be explained below (Phonsak Phongphaeo, 2544):

1. Structure-based Transparency

The sub-variables that make up this aspect of transparency consist of strong internal audit, e.g. scrutiny committee and investigating committee (.819), transparent and easily discernible work performance and administrative system (.790), public participation (.779), recruitment of new, capable staff based on merit system (.762), appointment of new scrutiny committee or agency (.704), and prudent financial and stock management practices (.685). The variance of the values is calculated at 57.540 percent.

2. Benefits-based Transparency

The sub-variables that make up this aspect of transparency consist of remunerations for jobs well done (.897), additional remunerations for efficient work (.885), special remunerations for loyal officers (.852), and salary scale that sufficiently meets the cost of living (.615). The variance of the values is calculated at 67.292 percent.

3. Punishment-based Transparency

The sub-variables that make up this aspect of transparency consist of an efficient monitoring and scrutiny system (.833), fair penal system for offenders (.831), strict punishment that fits the gravity of wrongs (.826), efficient prosecuting system against wrongdoers (.815), supervisors performing his duty in punishing corrupt culprits (.808), weaning corruption-prone perpetrators from the corrupt course of conduct (.805),

and swift course of justice (.805). The variance of the values is calculated at 60.810 percent.

4. Openness-based Transparency

The sub-variables that make up this aspect of transparency consist of the citizens being informed of the actions of the scrutiny committee (.834), the citizens and media participating in the procurement, concession granting, and issuance of laws, rules, and regulations (.870), the citizens, media and NGOs playing a greater role in supervising the administration through various means (.873), and scrutiny by external professional organizations (.570). The variance of the values is calculated at 68.195 percent.

The Indicators of Transparency

The following are a set of questionnaires or indicators of each transparency sub-variable, which can be either the indicators of system or the indicators of process (Phornsak Phongphaeo, 2544).

The range of values for each item may cover either “yes” or “no” only, or may be derived from weighing against the answers “yes” and “no” in varying proportions just as on the Thurstone Scale, but this could pose difficulties to implementation; otherwise, if the answers be made multiple, consideration must be given to unidimensionality, as on the Guttman Scale.

1. Structure-based Transparency

- 1.1 Transparent and easily discernible work performance and administrative system;
- 1.2 Strong internal audit system;
- 1.3 Streamlining the scrutiny agency in line with circumstances;
- 1.4 Public participation and awareness of the operation;
- 1.5 Prudent financial and stock management;
- 1.6 Recruitment of new, capable staff based on merit system.

2. Benefits-based Transparency

- 2.1 Remunerations for jobs well done;
- 2.2 Additional remunerations for efficient work;
- 2.3 Special remunerations for loyal personnel;

2.4 Salary scale or benefits that sufficiently meet the rising cost of living.

3. Punishment-based Transparency

3.1 Efficient prosecuting system against wrongdoers;

3.2 Efficient monitoring and scrutiny system;

3.3 Fair penal system for offenders;

3.4 Swift course of justice;

3.5 Strict punishment fitting the gravity of wrongs;

3.6 Supervisors performing his duty in punishing corrupt or inefficient culprits;

3.7 Deterring corruption-prone perpetrators or inefficient persons from the corrupt course of conduct and persuading them to improve themselves.

4. Openness-based Transparency

4.1 The citizens being informed of the actions of the scrutiny committee;

4.2 The citizens and media participating in the procurement, concession granting, and issuance of laws, rules, and regulations;

4.3 The citizens, media and NGOs playing a greater role in supervising the administration through various means;

4.4 Scrutinizing the agency by external professional organizations.

2.1.4 Participation

Public participation was first written into the 5th National Economic and Social Development Plan (B.E. 2525-2529), and the Government has reinforced this fact by making it an integral feature in the 8th and 9th National Economic and Social Development Plans. In the master plans, public participation is shown to form an essential element of good governance by providing opportunities and channels for the public to become involved and participants in decision-taking for national development (The Office of National Economic and Social Development Board, 2544:26). The word '*karn mee suan ruam*' (participation), however, does not appear as an entry in *The Royal Institute Dictionary* (<http://rirs3.royin.go.th/ridictionary/lookup.html.jan5>, 2002). Only the word '*ruam*' (to join) is given a definition as 'taking part in', as in *join in eating or*

sleeping, and 'become united', as in *join in spirit I join hands*. The term, however, has been variously given a definition by several academicians as follows:

'Public participation' means the distribution to the citizens of opportunities for political participation and governance that bears on decision-making processes in various matters including the allocation of community and national resources that impact on the lifestyle and living conditions of the citizens, which may be effected by providing information, sharing opinions, consultation, joint planning, joint actions including direct control by the citizens (King Prajadhipok's Institute, 2544).

'Public participation' means that the citizens be they individuals or groups have a consensus of opinion and enter into responsibility for undertaking development and changes in the directions desired by exploiting personal qualities such as capability and available resources at each step of the decision-making process of some particular activity either by themselves or through the agency of a people-based organization and done freely and with equality in order to achieve the change as desired (Kannikar Chomdee, 2524: 9, and Chaloeam Koedmoli, 2543: 3).

Participation is concerned with psychological and emotional involvement of a person in a group situation whereby action is provoked toward the attainment of the goal of the group including a sense of joint responsibility with the group (Niran Chongwutthiwet, 2527: 183). And there must be sufficient consensus to the extent that an initiative is begun for that purpose and there is therefore a group consciousness and determination that anticipate their coming together, resulting in group action via organizational agency. The organization is thus like the medium through which concerted action is taken to achieve the change desired (Aphonphan Chansawang, 2522: 19).

The participation of rural folks is a joint learning process for all parties and anticipates the laying of a firm foundation for evolving into local autonomy eventually. The starting point of public participation invariably begins when each person takes part out of concern for one's vested interests and out of personal interest in certain issues, e.g. building a reservoir for rainwater, education, and public health. The important point is that these activities must be related to the problems and aspirations of the locals (Saneh Chamarik, 2523: 29).

Other opinions on the meaning of participation in its broad and specific senses have been offered as follows:

(1) Participation is deliberation by the people on giving voluntary help to a certain public program that has been assumed will have a positive impact on national development but without the assumption that the people will have a hand in meddling with or critiquing the content of the program.

(2) Participation in its broader sense means making rural people aware of aid packages and responsiveness to development projects while supporting local initiatives.

(3) Participation in the context of rural development means engaging the people in decision-making processes, operating processes, and jointly benefiting from development plans in addition to the efforts to evaluate those projects.

(4) Public participation in development matters in its broad sense means the active participation of the people in the various processes of decision-making on those issues that have an impact on them.

(5) Participation in community affairs means that the people have both the rights and duties to participate in solving their problems, and must have more responsibilities for surveying and monitoring necessities for various matters, mobilization of local resources, and offering fresh recommendations on such things as the establishment and preservation of local organizations.

(6) Participation must be a vigorous process of operation, which means that the persons or groups involved in the process have developed initiatives and made efforts as well as displayed independence in implementing the initiatives.

(7) Participation is the management of attempts to increase the capability for controlling the resources and regulations in institutions under the existing circumstances in the society, and the operating group and its movement must not be subject to control or hampered by the resources and regulations.

Public participation is a two-way process of communication with the ultimate goal of facilitating optimum decision-making and gaining public approval. To achieve this goal, the process must provide information to the public and allows the public to

freely voice their opinion on the proposed project or state policy and to actively participate in problem-solving attempts in search of optimum solutions for everyone.

Three Components of Participation

1. Objectives or goals The invitation for the public to participate in a certain activity must declare a clear statement of objectives or goals concerning what it aims to achieve so that potential participants can make correct judgement as to whether or not they ought to participate.

2. Target activity The public must be notified of the type of activity concerning its form and nature so that potential participants can decide for themselves whether or not they ought to participate.

3. Target persons or group The invitation for the public to participate must identify who its target participants are expected to be. Nevertheless, the target group is generally already defined or limited by the supposed affair and the objectives of the participation.

Nevertheless, it may not be possible to carry out the process of public participation under all circumstances. Therefore, there should be some general guidelines on issues or circumstances that call for a process of public participation. These situations may require a process of public participation:

- ◆ Decisions will have an impact on certain persons more than others.
- ◆ Decisions will have an impact on their traditional or vested interests.
- ◆ Decisions will bear on some previous conflict.
- ◆ The necessity for soliciting support for the result of the decisions.

The fundamental conditions of public participation consist of (Chaloem Koedmoli, 2543: 2):

1. Liberty Participation must be voluntary and all forms of coercion are not considered to be participation.

2. Equality Those who participate in any activity must have the same rights as other participants.

3. Ability The people or target group must be capable of participating in the activity. What this means is that in certain activity, although

participants have the same freedom and equality, participation cannot occur if the complexity of the prescribed activity is beyond the abilities of the target group.

Accordingly, public participation can be undertaken for practically almost all activities of society, depending on interest and issues under consideration. **The fundamental conditions of public participation, however, prevail: liberty, equality, and ability.** Participation must also have objectives or goals, target activity, and target group if the process of public participation is to reach highest possible effectiveness.

This study defines the process of public participation as getting the people to become informed and involved in a decision-making process and an operational process for a project, and in so doing enhancing their ability to make meaningful and productive participation.

Levels of Participation

There are several methods of classifying levels of public participation, depending mostly on the objectives and thoroughness of the classification. For this study, our classification follows 4 levels of participation, beginning from keeping the public informed, which is relatively easy for large numbers of people can receive a large amount of information via such instruments as various forms of public relations, to the higher levels of participation, e.g. listening to public opinion, decision-making, planning, joint operation, joint benefits, control and monitoring, and deliberation on sanctioning the continuation or removal.

1. Giving information to the public This is the lowest and easiest method of communication between project planners and the people in order that the public is informed of the decisions of the planners. Opportunities for expressing opinion or involvement of any form are kept open, e.g. press conference, press release, exhibition, and producing newspapers to give information on various activities.

2. Listening to public opinion Going one level higher, this second level has the project planners inviting the people to express their opinion in order to gather more information and to get a clearer picture of the evaluation of the advantages and disadvantages, e.g. conducting public opinion polls to determine public reaction to the initiation of projects, and lecture meetings to brief the public about the various projects and solicit opinion from the audience as well as joint consultation.

3. Joint planning and decision-making Going one level higher than consultation, this level calls for a broader scope of participation, with joint responsibility for decision-making, project planning, and anticipating the consequences of project implementation. This level normally works well with complex and controversial matters, e.g. using a group of consultants who are experts in various related fields, using an arbitrator to resolve conflict, and negotiation to seek a compromise.

4. Development of potential for participation Developing public understanding is the highest level of participation. Those responsible for the project recognize the importance and advantages to be gained from public participation and therefore seek to optimize public participation and benefits by developing their capability of participation.

With the levels of public participation described above, the following indicators are determined:

1. Indicators of participation at public information level

1. Giving information to those outside the agency;
2. Types of information receivers;
3. Use of media for giving the information;
4. Frequency of information giving;
5. Channels of access to the information.

2. Indicators of participation at public opinion and consultation level

1. Listening to opinion from outside the agency;
2. Groups of people whose opinion is received by the agency;
3. Willingness to listen to opinion;
4. Attentiveness to listening to opinion;
5. Appreciation for listening to opinion;
6. Lapse for decision-making after listening to public opinion.

3. Indicators of participation at planning/decision-making level

1. Participating in planning and decision-making at various levels (policy, plan, project, activity);
2. Format of decision-making process;
3. Time dimension and decision-making;

4. Participants in decision-making;
5. Process of decision-making committee.

4. Developing capability for participation and creating understanding with the public

1. There are investments made by the agency;
2. There are activities to develop the people's capability to engage in participation.

2.1.5 Accountability

Certain guidelines have been devised to measure levels of accountability (Civil Service Commission, 2545). There are 6 important qualities of a system of accountability (an adaptation from Mark Samuel, 2000):

1. Clear Intention

Clear intention is the first important quality of a system of accountability: The organization must determine its goals and objectives of operation, setting a clear tone of corporate culture that outlines what it wants to achieve and when it wants to see the result.

2. Interlocking Ownership

With the goals all set, an announcement needs to be made to make everyone aware of and understand what is to be achieved and conditions on time as to when the result is expected to appear. Opportunities are to be open to everyone to 'own' the project and to jointly nurture this corporate culture so that everyone joins together to turn the goals into reality, to create an overall corporate identity.

3. Effective Execution

The success of the creation of the 'accountability' culture depends on the capability of the agency in creating an environment of understanding in the organization. The management gives support and recommendations, and makes decisions effectively while interdepartmental cooperation remains strong in the organization.

4. Relentless Attack against Dysfunctional Habits

Nowadays change is normal and inevitable, and yet every time there is any change, there will always be some form of resistance to it. The agency must put in place

a certain measure for dealing with change-resistant behaviours to clear the way for everyone to accept new thinking and technology much more easily.

5. Responsive Recovery

Another salient feature of an organization with strong accountability culture is responsive recovery whereby everyone in the organization is kept informed and updated on the planning activity and policy of the organization. Importantly, accurate and complete information is made available on an open and timely basis.

6. Ruthless Measuring of Results

The last feature of an 'accountable' organization is the consistent measuring of results. With the implementation of carefully-crafted plans, the organization needs to follow it up with periodic assessment and measuring to determine if the result reaches the work standard and quality benchmark. Any results that are found deficient or fall short of the standard must be promptly corrected while those results that achieve the highest standard must be singled out for praise and recommendation.

Features of Accountable Organization

An accountable organization possesses the following features:

1. Mutual Pact

In an accountable organization, a channel of communication is always open between the bosses and their subordinates about the goals and tasks that bind them in the present and in the future, and what the organization expects from that person so that he can work toward reaching the objectives, to which the organization and its directors must lend support. In the best scenario, a bilateral pact will be made that spells out their commitment to the tasks, expectations, and mutual support.

2. Sharing Information

The second feature of an accountable organization is free sharing of information and resources throughout the organization to level inequalities and ward off mutual suspicion; information flow is encouraged and no withholding of any information will be allowed. Apparently, senior management must open up first to show that they are willing to share authority.

3. Resolving Differences or Conflict

When differences occur in an office, the organization must move to tackle them without delay, not letting them get out of hand to the point of affecting the organization's operations and making it extremely difficult if not impossible to set them right later.

4. Giving Support and Direction

The operations of any organization will proceed smoothly and without any problem if the organization sets clear direction for operations and practitioners receive the necessary support in terms of, for example, resources required for successful operation of the assignment, and advice and direction from their superiors to guide and encourage them.

5. Focus More on Purpose than Position

The fifth feature of an accountable organization is recruiting people for work based on consideration of purpose or function of the office or organization. In other words, he should be chosen for his suitability for the job, rather than what position he occupies.

6. Work System and Training

There is a clear-cut work system in which each and every staff concerned can work together harmoniously and efficiently, with no evasion of duty or shifting responsibility. Staff training is a constant feature to enable the workers to perform their respective duties under the conceived work system right the first time and right every time. In this way, no time will be wasted and no resources squandered in a trial-and-error manner, which otherwise will be the case.

7. Clear Performance Factors

Periodic assessment of performance is made to determine the rate of progress or failure of operation. For this purpose, the organization must produce critical key success factors. The process of determination of key success factors should be open to all sides concerned to ensure no resistance and universal acceptance. There should easily be willing implementation as everyone is clear about the direction in which they are expected to go. Whenever possible, there should be openness and announcement to keep everyone informed.

8. Measures Against Non-Performers

Measures must be put in place to deal with malingerers or non-performers. The measures may range from holding talks, cautioning and request for self-improvement, until resorting to such extreme measures as pay freeze, docking, suspension or dismissal. The organization may also resort to social measures, e.g. peer pressure.

9. Fulfilling the Mission under the Agreement

That each staff member is made accountable to the organization for carrying out an assigned job under mutual agreement means that, in case he cannot or fails to carry out the job, he must promptly inform his colleagues and superior in the hope that the situation can be rectified in a timely manner.

10. Recognizing and Praising Staff Members

All accomplishments must be given proper recognition: praise and honour the team (but not the individual) for helping the organization to reach the set goals.

Indicators of Accountability

Based on the accountability studies above, the indicators of accountability may be divided into 6 categories:

1. Joint Ownership;
2. Clear Goals;
3. Efficient Administration;
4. Monitoring and Evaluation;
5. Measures Against Non-Performers;
6. Alternative Strategies.

2.1.6 Value for Money (Efficiency)

According to the 6 principles of service development and social engineering expounded in the regulations on good governance and social excellence issued by The Office of the Prime Minister, B.E. 2542, the Principle of the Value for Money is concerned with the management and use of limited resources to produce optimum benefits for all. The idea may be effected by a campaign to persuade Thai people to make economies, making the best use of possessions, producing goods and services that are competitive in world markets, and preserving and maintaining resources in its fertile state. The same

tract recommends the efficient and effective employment of people-centered strategies. In practical terms, standards for business transactions must be established in accordance with the spirit of the Official Information Act, B.E. 2540.

In 1999, The Office of the Civil Service Commission suggested the main components of the Principle of Value as being the satisfaction of the recipient with efficient and effective services in both quantity and quality, the successful completion of the project, and an economy of the budget.

Moreover, in the 8th National and Social Economic and Social Development Plan (B.E. 2540-2544, 1997-2001 A.D.), the Principle of Value is taken to mean the increase of efficiency and effectiveness in the public sector in regard to public administration and development management and various operations aimed at bringing benefits to the people.

Based on the public sector conception of strategy on the Principle of Value, the Principle of Value as propounded by The Civil Service Commission, and the Principle of Value in the 8th Development Plan, we may give a statement of sub-indicators #1.1-1.5, #2.1 and #2.3, which emphasize efficiency, effectiveness, operating and service standards, and the people's satisfaction.

Nevertheless, the three agencies fail to give any detail on the indicators that measure competitiveness. This is, however, counterbalanced by another source that defines a series of indicators of Thailand's competitiveness (Charuma Thatchakul, *An Analysis of Thailand's Competitiveness in the World Economy* Bangkok: Chulalongkorn University Press, 2541: 17-20). With respect to human resources and population potentials, the indicators purportedly are derived from the average working hours of labour forces, learning or education, income, etc. With respect to the state's capability, the main indicators are expenses, revenue, distribution of power, grafts and corruption, and certain ideas from Michael E. Porter (Porter, M.E., 1990). With respect to factors affecting industrial competitiveness, the factors used in determining the sub-indicators in this study are continuous resources development both in quantity and quality, costs that should be lowered when production and services expand (economy of scale), manufacturing factors that must be of quality and sufficient in producing services, productivity development by manufacturers that turn out new goods and services, good

strategies on production and management, and various forms of force majeure that affects competitive advantage. In addition, Government policy is likely to affect costs and competitiveness.

These indicators of competitiveness give rise to sub-indicators #1.1-1.5, #2.1-2.3, and #3.1-3.4. Therefore, there are 3 main indicators in our study of the Principle of Value, with the following sub-indicators:

1. Economy, whose sub-indicators are

- 1.1 Fitting workload and compensation for staff;
- 1.2 No conflict of interests;
- 1.3 Standard outputs or services;
- 1.4 Internal audit and financial statement;
- 1.5 Efficient use of money.

2. Optimum use of resources, whose sub-indicators are

- 2.1 Efficient use of resources;
- 2.2 Human resources development;
- 2.3 Performance-based compensation.

3. Competitiveness, whose sub-indicators are

- 3.1 Policy, plans, vision, mission, and goals;
- 3.2 Emphasis on service performance;
- 3.3 Evaluation of work performance;
- 3.4 Leadership of high-level executives.

All the ideas discussed above have been used by the researchers in determining the components of the 6 principles together with code numbers for ease in applying them as will be discussed afterwards.

2.2 Determination of the Components of the Indicators

Classification of the Components of Good Governance

Once the basic framework of the indicators of the 6 principles of good governance has been established, the researchers studied and created the sub-

components of the 6 principles as follows (with the assignment of code numbers for ease of comprehension and application):

1. Indicators of the Rule of Law

Table 2-1: Indicators of the Rule of Law

Main Components	Subcomponents
R 1. The agency clearly institutes the separation of powers.	R 101 Separation of powers.
R 2. The agency provides protection of rights and liberty for its personnel and the people.	R 102 Protection of rights and liberty.
R 3 The agency is bound by laws, rules and regulations.	R 301 Procedure prior to the enforcement of rules and regulations.
	R 302 Procedure for enforcing rules and regulations.
	R 303 Procedure after the enforcement of rules and regulations.
R4 The rules and regulations adopted by the agency are lawful.	R 401 Lawfulness of the rules and regulations of the agency.
R5 Decision-makers in the agency have independence in performing their duties.	R 501 Independence in performing one's duties.
R6 The penal laws adopted by the agency are lawful.	R 601 The penal laws adopted by the agency are lawful.
R7 The rules and regulations adopted by the agency do not come into conflict with higher laws.	R701 The rules and regulations adopted by the agency do not come into conflict with higher laws.

2. Indicators of the Principle of Ethics

Table 2-2: Indicators of the Principle of Ethics

Main Components	Subcomponents
E1 The agency is free from corruption.	E101 Failure to do a lawful act.
	E102 The doing of an unlawful act.
	E103 Overstepping a lawful act.
	E104 Wrongful performance of a lawful act.
E2 The agency is free from breach of discipline.	E201 Pertaining to job.
	E202 Pertaining to interpersonal relations.
	E203 Pertaining to personal affairs.
	E204 Pertaining to responsiveness to the public.
	E205 Disciplinary actions.
E3 The agency is free from breach of professional standard and code of ethics.	E301 Pertaining to outcome or utility.
	E302 Pertaining to relationships.
	E303 Pertaining to promise, conventions, regulations, or religious precepts.
	E304 Means (procedural action).

3. Indicators of the Principle of Transparency

Table 2-3: Indicators of the Principle of Transparency

Main Components	Subcomponents
T1 The agency has structure-based transparency.	T101 Internal audit system.
	T102 Easily-discernible work performance system.
	T103 Public participation.
	T104 Personnel administration based on merit system.
	T105 Streamlining scrutiny committees in line with the circumstances.
	T106 Strong accounting practice.
T2 The agency has benefits-based transparency.	T201 Remunerations for jobs well done.
	T202 Additional remunerations for efficient work.
	T203 Special remunerations for loyalty.
	T204 Sufficient salary scale.
T3 The agency has punishment-based transparency.	T301 Efficient monitoring and audit system.
	T302 Fair penal system.
	T303 Strict and rule-based punishment.
	T304 Efficient prosecuting system.
	T305 Supervisors imposing strict punishment.
	T306 Deterring corruption-prone perpetrators.
	T307 Swift course of justice.
T4 The agency has openness-based transparency.	T401 Citizens being informed of the actions of the scrutiny committee.
	T402 Citizens and media participating in procurement and concession granting.
	T403 Citizens, media and NGOs playing a greater role in supervising the administration.
	T404 External professional organizations joining in the scrutinizing process.

4. Indicators of the Principle of Participation

Table 2-4: Indicators of the Principle of Participation

Main Components	Subcomponents
P1 The agency gives information to the public.	P101 Giving information to those outside the agency.
	P102 Types of information receivers.
	P103 Use of media for giving the information.
	P104 Frequency of information giving.
	P105 Channels of access to the information.
P2 The agency listens to public opinion.	P201 Listening to opinion from outside the agency.
	P202 Groups of people whose opinion is received by the agency.
	P203 Willingness to listen to opinion.
	P204 Attentiveness to listening to opinion.
	P205 Appreciation for listening to opinion.
	P206 Lapse for decision-making after listening to public opinion.
P3 The agency allows joint planning and decision-making.	P301 Participation in planning and decision-making.
	P302 Decision-making process.
	P303 Time dimension and decision-making.
	P304 Participants in decision-making.
	P305 Process of decision-making committee.
P4 The agency develops the capability for participation.	P401 Development of the people's capability to engage in participation.

5. Indicators of the Principle of Accountability

Table 2-5: Indicators of the Principle of Accountability

Main Components	Subcomponents
A1 The agency creates joint ownership.	A101 The agency has a bilateral pact.
A2 The agency has clear goals.	A201 Clear policy and plans.
A3 The agency has efficient administration.	A301 Resources allocation.
	A302 Acceptance of change.
	A303 Cooperation and teamwork.
	A304 Managing conflict.
	A305 Internal communication.
	A306 Internal support.
	A307 Participation in decision-making.
	A308 Recognition of ability.
	A309 Trust (or faith).
	A310 Morale.
A4 The agency has a monitoring and evaluation system.	A401 Evaluation of work performance.
A5 The agency acts against non-performers.	A501 Measures against non-performers.
A6 The agency has alternative strategies.	A601 Alternative strategies.

6. Indicators of the Principle of Value for Money

Table 2-6: Indicators of the Principle of Value for Money

Main Components	Subcomponents
M1 The agency practises economy.	M101 Fitting workload and compensation for staff.
	M102 No conflict of interests.
	M103 Standard outputs or services.
	M104 Internal audit and financial statement.
	M105 Efficient use of money.

Main Components	Subcomponents
M2 The agency makes optimum use of resources.	M201 Efficient use of resources.
	M202 Human resources development.
	M203 Performance-based compensation.
M3 The agency has potential for competitiveness.	M301 Policy, plans, vision, mission, and goals.
	M302 Emphasis on service performance.
	M303 Evaluation of work performance.
	M304 Leadership of high-level executives.

2.3 Comparison of Components

The researchers studied the components of good governance under the framework of the six principles above and classified the main components and subcomponents of each principle. The results of the study are presented in the table below in order to find out the complexity and substitutability such that the subcomponents and indicators may be exploited conjointly. Under the table 2-7, the mark X indicates the presence of the subcomponents.

Table 2-7 Comparison of Components		Accountability	Ethics	Value for Money	Rule of Law	Transparency	Participation
Item	Subcomponents						
1	Clear goals	x		x		x	
2	Joint ownership	x				x	x
3	Efficient work	x		x			
4	Alternative strategies	x					
5	Measures against undesirable behaviours	x	x			x	
6	Monitoring and evaluation	x				x	
7	Mutual pact	x					
8	Sharing information	x				x	

Table 2-7 Comparison of Components		Accountability	Ethics	Value for Money	Rule of Law	Transparency	Participation
Item	Subcomponents						
9	Resolution of conflict	x					
10	Support for the direction of work	x					
11	Focus more on goal than position	x					
12	Operating and training system	x					
13	Explicit indicators of performance	x					
14	Measures against non-performers	x				x	
15	Fulfilling the mission statement	x				x	
16	Recognition and commending fellow workers	x				x	
17	Optimum use of resources	x		x		x	
18	Economy			x			
19	Competitiveness			x			
20	Separation of powers				X		
21	Protection of rights and liberty				X		
22	Lawfulness of content				X		
23	Lawfulness of the authorities	x	x		X	x	
24	Independence of the judges				X		
25	"No Crime nor Punishment Without a Law"				X		
26	The 'supreme law' status of the Constitution				X		
27	Giving information to the public	x				x	x
28	Listening to outside opinion	x				x	x
29	Joint consultation	x				x	x
30	Joint planning and decision-making	x				x	x
31	Joint operation	x				x	x

Item	Subcomponents	Table 2-7 Comparison of Components					
		Accountability	Ethics	Value for Money	Rule of Law	Transparency	Participation
32	Joint benefits	x				x	x
33	Participating in control, monitoring, evaluation	x				x	x
34	Participating in sanctioning the continuation/removal	x				x	x
35	Official procedure usage						x
36	Volunteering						x
37	Sufficient time						x
38	Incorporating every agency						x
39	Opening up avenues						x
40	Laws and regulations concerned						x
41	Intention						x
42	Benefits					x	
43	Remunerations for job well done	x				x	
44	Remunerations for efficient work	x				x	
45	Remunerations for loyalty	x				x	
46	Sufficient salary scale	x				x	
47	Punishment					x	
48	Efficient monitoring system					x	
49	Fair penal system	x				x	
50	Strict and rule-based punishment	x			x	x	
51	Efficient prosecuting system					x	
52	Supervisors imposing strict punishment on subordinates	x				x	
53	Deterring corruption-prone perpetrators					x	
54	Swift justice					x	

Item	Subcomponents	Table 2-7 Comparison of Components					
		Accountability	Ethics	Value for Money	Rule of Law	Transparency	Participation
55	Structural transparency					x	
56	Internal audit	x				x	
57	Discernible work system	x				x	
58	Public participation	x				x	x
59	Personnel management based on merit					x	
60	Monitoring or scrutiny committee every step of the way					x	
61	Strong accounting department					x	
62	Openness and participation					x	
63	Citizens informed of the actions of the scrutiny committee					x	x
64	Citizens and media involved in procurement and concession granting					x	
65	Citizens, media and NGOs joining in controlling the administration					x	x
66	Joint audit by external professional group					x	x
67	Freedom from corruption		x			x	
68	Observing the laws		x				
69	Freedom from the doing of an unlawful act		x				
70	Freedom from overstepping a lawful act		x				
71	Freedom from the wrongful performance of a lawful act		x				
72	Freedom from breach of discipline		x				
73	Freedom from breach of discipline regarding jobs		x				
74	Freedom from breach of discipline regarding interpersonal relations		x				

Table 2-7 Comparison of Components		Accountability	Ethics	Value for Money	Rule of Law	Transparency	Participation
Item	Subcomponents						
75	Freedom from breach of discipline regarding personal affairs		x				
76	Freedom from breach of discipline regarding public services		x				
77	Freedom from breach of professional standard and code of ethics		x				
78	Outcome or utility		x				
79	Freedom from breach of discipline regarding relationships		x				
80	Keeping promises, conventions, regulations, religious precepts		x				
81	Straightforward means (keeping to the procedure)		x				

2.4 Classification of Measurement Levels

The indicators developed in this study may be classified in a number of ways:

1. By indicators level: input, process, output, outcome, and impact;
2. By type of information: primary type (newly-collected information) and secondary type (regular, already-recorded information).

2.4.1 Rule of Law

Table 2-8: Classification of the Indicators of the Rule of Law

Main Indicators	Sub-indicators	Measurement Level	Type of Information
R 1. The agency clearly institutes the separation of powers.	R101 Separation of powers.	Process	Primary
R 2. The agency provides protection of rights and liberty for its personnel and the people.	R 201 Protection of rights and liberty.	Process	Primary
R 3 The agency is bound by laws, rules and regulations.	R 301 Procedure prior to the enforcement of rules and regulations.	Process	Primary
	R 302 Procedure for the enforcement of rules and regulations.	Process	Primary
	R 303 Procedure after the enforcement of rules and regulations.	Process	Primary
R4 The rules and regulations adopted by the agency are lawful.	R 401 The Lawfulness of the rules and regulations of the agency.	Process	Primary
R5 Decision-makers in the agency have independence in performing their duties.	R 501 Independence in performing one's duties.	Process	Primary
R6 The penal laws adopted by the agency are lawful.	R 601 The penal laws adopted by the agency are lawful.	Process	Primary
R7 The rules and regulations adopted by the agency do not	R701 The rules and regulations adopted by	Process	Primary

come into conflict with higher laws.	the agency do not come into conflict with higher laws.		
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2.4.2 Ethics

Table 2-9: Classification of the Indicators of Ethics

Main Indicators	Sub-indicators	Measurement Level	Type of Information
E1 The agency is free from corruption.	E101 Failure to do a lawful act.	Output	Secondary
	E102 The doing of an unlawful act.	Output	Secondary
	E103 Overstepping a lawful act.	Output	Secondary
	E104 Wrongful performance of a lawful act.	Output	Secondary
E2 The agency is free from breach of discipline.	E201 Pertaining to job.	Output	Secondary
	E202 Pertaining to interpersonal relations.	Output	Secondary
	E203 Pertaining to personal affairs.	Output	Secondary
	E204 Pertaining to responsiveness to the public.	Output	Secondary
	E205 Disciplinary actions.	Output	Secondary
E3 The agency is free from breach of professional standard and code of ethics.	E301 Outcome or utility.	Output	Secondary
	E302 Relationships.	Output	Secondary
	E303 Adherence to promise, conventions, regulations, or religious precepts.	Output	Secondary
	E304 Means (procedural action).	Output	Secondary

2.4.3 Transparency

Table 2-10 Classification of the Indicators of Transparency

Main Indicators	Sub-indicators	Measurement Level	Type of Information
T1 The agency has structure-based transparency.	T101 Internal audit.	Process	Primary
	T102 Discernible work performance structure.	Process	Primary
	T103 Public participation	Process	Primary
	T104 Personnel management based on merit system.	Process	Primary
	T105 Constant adjustment of scrutiny committees.	Process	Primary
	T106 Strong accounting system.	Process	Primary
T2 The agency has benefits-based transparency.	T201 Remunerations for jobs well done.	Output	Primary
	T202 Remunerations for efficient work.	Output	Primary
	T203 Remunerations for loyalty.	Output	Primary
	T204 Sufficient salary scale.	Output	Primary
T3 The agency has punishment-based transparency.	T301 Efficient monitoring and scrutiny system.	Output	Primary
	T302 Fair penal system.	Output	Primary
	T303 Strict, rule-based punishment.	Output	Primary
	T304 Efficient prosecuting system.	Process	Primary

Main Indicators	Sub-indicators	Measurement Level	Type of Information
	T305 Supervisors imposing strict punishment on subordinates.	Process	Primary
	T306 Deterring corruption-prone perpetrators.	Process	Primary
	T307 Swift course of justice.	Process	Primary
T4The agency has openness-based transparency.	T401 Citizens being informed of the actions of the scrutiny committee.	Process	Primary
	T402 Citizens and media participating in the procurement, hiring, and concession granting.	Process	Primary
	T403 Citizens, media and NGOs having a say in supervising the administration.	Process	Primary
	T404 Scrutinizing the agency by external professional organizations.	Process	Primary

2.4.4 Participation

Table 2-11: Classification of the Indicators of Participation

Main Indicators	Sub-indicators	Measurement Level	Type of Information
P1 The agency gives information to the public.	P101 Giving information to those outside the agency.	Process	Primary
	P102 Types of information receivers.	Process	Primary

Main Indicators	Sub-indicators	Measurement Level	Type of Information
	P103 Use of media for giving the information.	Process	Primary
	P104 Frequency of information giving.	Process	Primary
	P105 Channels of access to the information.	Process	Primary
P2 The agency listens to public opinion.	P201 Listening to opinion from outside the agency.	Process	Primary
	P202 Groups of people whose opinion is received by the agency.	Process	Primary
	P203 Willingness to listen to opinion.	Process	Primary
	P204 Attentiveness to listening to opinion.	Process	Primary
	P205 Appreciation for listening to opinion.	Process	Primary
	P206 Lapse for decision-making after listening to public opinion.	Process	Primary
P3 The agency allows joint planning and decision-making.	P301 The agency allows joint planning and decision-making.	Process	Primary
	P302 Decision-making process.	Process	Primary
	P303 Time dimension and decision-making.	Process	Primary
	P304 Participants in decision-making.	Process	Primary

Main Indicators	Sub-indicators	Measurement Level	Type of Information
	P305 Process of decision-making committee.	Process	Primary
P4 The agency develops the capability for participation.	P401 Development of the people's capability to engage in participation.	Process	Primary

2.4.5. Accountability

Table 2-12: Classification of the Indicators of Accountability

Main Indicators	Sub-indicators	Measurement Level	Type of Information
A1 The agency creates joint ownership.	A101The agency has a bilateral pact.	Output	Primary
A2 The agency has clear goals.	A201 Clear policy and plans.	Output	Primary
A3 The agency has efficient administration.	A301 Resources allocation.	Process	Primary
	A302 Acceptance of change.	Process	Primary
	A303 Cooperation and teamwork.	Process	Primary
	A304 Managing conflict.	Process	Primary
	A305 Internal communication.	Process	Primary
	A306 Internal support.	Process	Primary
	A307 Participation in decision-making.	Process	Primary

Main Indicators	Sub-indicators	Measurement Level	Type of Information
	A308 Recognition of ability.	Process	Primary
	A309 Trust (or faith).	Process	Primary
	A310 Morale.	Process	Primary
A4 The agency has a monitoring and evaluation system.	A401 Evaluation of work performance.	Output	Primary
A5 The agency acts against non-performers.	A501 Measures against non-performers.	Output	Primary
A6 The agency has alternative strategies.	A601 Alternative strategies.	Output	Primary

2.4.6. Value for Money

Table 2-13: Classification of the Indicators of Value for Money

Main Indicators	Sub-indicators	Measurement Level	Type of Information
M1 The agency practises economy.	M101 Fitting Workload and compensation for staff.	Output	Primary
	M102 No conflict of interests.	Process	Primary
	M103 Standard outputs or services.	Output	Primary
	M104 Internal audit and financial statement.	Output	Primary
	M105 Efficient use of money.	Output	Primary, Secondary
M2 The agency makes optimum use of resources.	M201 Efficient use of resources.	Output	Primary, Secondary
	M202 Human resources development.	Process	Primary

Main Indicators	Sub-indicators	Measurement Level	Type of Information
	M203 Performance-based compensation.	Output	Primary
M3 The agency has potential for competitiveness.	M301 Policy, plans, vision, mission, and goals.	Process	Secondary
	M302 Emphasis on service performance.	Output	Primary
	M303 Evaluation of work performance.	Output	Primary
	M304 Leadership of high-level executives.	Process	Primary

2.5 Conversion of the Indicators into Questions

After analyzing the components of the 6 principles into their main components and subcomponents, the next step involves a conversion of the indicators into questions for use in collecting the information. In this step, questionnaires are drawn up for data collection, based on consideration of three target groups: centralized information, information from officials as service providers, and information from the public as service recipients.

In the first group are questions set at agency level and designed to evaluate its organizational governance. The information to be collected has already been compiled up to a degree, and is gleaned from questioning those officials who perform related duties and therefore compile the information themselves or are in direct control of the information. Some sample posts include personnel management, legal officers, finance officers, accountants, general management, central division or secretariat officers, among others. The data may be gleaned by questioning several officials to ensure the completeness of the data gathered.

The second group is directed at operational staff to ascertain their attitudes and opinions on good governance.

The third group is directed at the public who are service recipients to ascertain the effectiveness of the operation and popular satisfaction at public service delivery by government units.

In converting the indicators into questions, each indicator may generate several questions, which are necessary so as to encompass the entire substance of the principle concerned, as shown in the table below.

Table 2-14: Conversion of the Indicators into Questions

1. Rule of Law

(N.B.: In the 'Respondent' column, the letter 'O' refers to officials; 'C' refers to information from central divisions, and 'P' refers to the public.)

Main Components	Subcomponents	Code	Question	Respondent
R 1. The agency clearly institutes the separation of powers.	R101 Separation of powers.	R10101	The agency clearly institutes the separation of powers among its departments.	C
		R10102	In exercising its power, each department is subject to monitoring.	C
R 2. The agency provides protection of rights and liberty for its personnel and the people.	R102 Protection of rights and liberty.	R20101	There is a system for the protection of the rights of the people and personnel as relating to the power and duties of the agency.	C
		R20102	The agency adopts laws or regulations that restrict the rights of the people or personnel.	C
		R20103	The agency recognizes equal rights of those who have dealings with the agency.	C

Main Components	Subcomponents	Code	Question	Response
R 3 The agency is bound by laws, rules and regulations.	R 301 Procedure prior to the enforcement of rules and regulations.	R30101	It is possible to gain access to information concerning the tasks and duties or operational procedure of the agency.	C
		R30102	The agency informs the people of their right to services provided by the agency.	C
		R30103	You know of the services provided by the agency.	P
		R30104	You know of the work procedure of the officials in providing you with services.	P
		R30105	You know of your right to the services provided by the agency.	P
	R 302 Procedure for enforcing rules and regulations.	R30201	The agency allows those affected by service provision to oppose or lodge protests.	C
		R30202	Before offering services or issuing orders to those who will be affected, the agency will listen to opinion from all sides.	C
		R30203	When necessary, those affected by the services or orders will be informed of their right to speak to lawyers or consultants.	C
		R30204	There is a schedule for completion of the services or issuing of orders.	C

Main Components	Subcomponents	Code	Question	Response
		R30205	The services or orders issued are completed within the time frame.	C
		R30206	The issuance of orders is accompanied by the recitation of related laws or regulations.	C
		R30207	In issuing orders, justifications or a defence will be cited.	C
		R30208	All services or orders issued are given on a basis of equality.	C
		R30209	All services or orders issued follow the guidelines given by the agency.	C
		R30210	All services or orders issued are given with fairness in mind in each case.	C
		R30211	You are given an opportunity to give information or facts to the officials before any action is taken.	P
		R30212	In your opinion, the actions of the officials are just.	P
	R 303 Procedure after the enforcement of rules and regulations.	R30301	In the past year, there had been protests or opposition to the services or orders issued.	C
		R30302	In the past year, there had been instances in which orders issued were revoked, withdrawn or changed.	C
		R30303	In the past year, there had been opposition to the higher office regarding the services or orders issued.	C

Main Components	Subcomponents	Code	Question	Response
		R30304	You know of the right to lodge a protest or appeal against unfair services.	P
		R30305	You used to lodge a protest, an appeal, or bring a prosecution against unfair services provided by the agency.	P
		R30306	You know of a schedule of the services given.	P
R4 The rules and regulations adopted by the agency are lawful.	R 401 Lawfulness of the rules and regulations of the agency.	R40101	The agency issues rules and regulations under the authority of a law.	C
		R40102	The rules and regulations restrict the rights of the people and personnel more than necessary.	C
R5 Decision-makers in the agency have independence in performing their duties.	R 501 Independence in performing one's duties.	R50101	The executive committee or those having the final say have independence.	C
		R50102	Protests can be made against the performance of the executive committee or those having the final say, who are found to be impartial.	C
R6 The penal laws adopted by the agency are lawful.	R 601 The penal laws adopted by the agency are lawful.	R60101	The agency makes some judgement, not prescribed by law, that is damaging to persons.	C
		R60102	The agency makes some judgement that is damaging to persons retroactively.	C

Main Components	Subcomponents	Code	Question	Respondent
R7 The rules and regulations adopted by the agency do not come into conflict with higher laws.	R701 The rules and regulations adopted by the agency do not come into conflict with higher laws.	R70101	The rules or regulations issued by the agency are contrary to some higher law.	C
	R701 The rules and regulations adopted by the agency do not come into conflict with higher laws.	R70102	Your agency has been opposed concerning the issuance of certain rules or regulations that are unlawful.	C

2. Ethics

Main Components	Subcomponents	Code	Questions	Respondent
E1 The agency is free from corruption.	E101 Failure to do a lawful act.	E10101	The law is broken blatantly, e.g. dishonesty in performing one's duty or barratry.	C
	E102 The doing of an unlawful act.	E10201	An unlawful act is done.	C
	E103 Overstepping a lawful act.	E10301	There is overstepping of a lawful act, e.g. acting above the law or setting up a kangaroo court.	C
	E104 Wrongful performance of a lawful act.	E10401	There is wrongful performance of a lawful act, e.g. obtaining forced confessions.	C
E2 The agency is free from breach of	E201 Pertaining to job.	E20101	There is a breach of discipline directly pertaining to job, e.g. non-performance of duties with integrity and equity, or negligence of official duties.	C

Main Components	Subcomponents	Code	Questions	Respondent
discipline.	E202 Pertaining to interpersonal relations.	E20201	There is a breach of discipline pertaining to interpersonal relations, e.g. showing disobedience to superiors.	C
	E203 Pertaining to personal affairs.	E20301	There is a breach of discipline pertaining to personal affairs, e.g. gambling and drug taking.	C
	E204 Pertaining to responsiveness to the public.	E20401	There is a breach of discipline pertaining to responsiveness to the public, e.g. causing inconvenience to the public.	C
	E205 Disciplinary actions.	E20501	Disciplinary actions are taken against officials/employees for an offence committed.	C
E3 The agency is free from breach of professional standard and code of ethics.	E301 Outcome or utility.	E30101	Public members lodge complaints against the agency, e.g. poor services, and public dissatisfaction with services provided by the agency.	C
	E302 Relationships.	E30201	The agency is fraught with disunity, e.g. conflict between officials at the same level, with those at higher or lower levels.	C
	E303 Adherence to promise, conventions, regulations, or religious precepts.	E30301	There are instances of a breach of professional standard/code of ethics (but not a breach of discipline), e.g. not following official conventions, breaking one's promise, or non-observance of religious precepts.	C

Main Components	Subcomponents	Code	Questions	Respondent
	E304 Means (procedural action).	E30401	There are instances of a breach of professional standard/code of ethics in regard to means or methods of operation, e.g. jumping the chain of command, or negligence of conventional practice as in abandoning moral obligations or going against corporate culture.	C

3. Transparency

Main Components	Subcomponents	Code	Question	Respondent
T1 The agency has structure-based transparency.	T101 Internal audit.	T10101	There is a strong internal audit system.	0
	T102 Discernible work performance structure.	T10201	The work performance and administrative structure is transparent and clearly discernible.	0
	T103 Public participation	T10301	There is a decent level of public participation in the operations of the agency.	0
	T104 Personnel management based on merit system.	T10401	New staff members are recruited with little or no favouritism.	0
			T10402	New recruits have better qualifications.

Main Components	Subcomponents	Code	Question	Response
	T105 Streamlining scrutiny committees in line with the circumstances.	T10501	Scrutiny committees are streamlined constantly in line with the circumstances.	0
	T106 Strong accounting practice.	T10601	There are prudent financial and stock management practices.	0
T2 The agency has benefits-based transparency.	T201 Remunerations for jobs well done.	T20101	There are remunerations for staff who get a job done.	0
	T202 Additional remunerations for efficient work.	T20201	There are remunerations for staff who are efficient at their jobs.	0
	T203 Special remunerations for loyalty.	T20301	There are remunerations for loyal personnel.	0
	T204 Sufficient salary scale.	T20401	There is a salary scale or compensation scheme that meets a rise in the cost of living.	0
T3 The agency has punishment-based transparency	T301 Efficient monitoring and audit system.	T30101	There is an efficient monitoring and audit system.	0
	T302 Fair penal system.	T30201	Your agency imposes a just punishment on offenders.	0
	T303 Strict and rule-based punishment.	T30301	Punishment is strict and fits the gravity of wrongs.	0

Main Components	Subcomponents	Code	Question	Response
	T304 Efficient prosecuting system.	T30401	There is a highly efficient prosecuting system.	0
	T305 Supervisors imposing strict punishment.	T30501	Supervisors punish dishonest culprits strictly.	0
		T30502	Supervisors punish inefficient workers stiffly.	0
	T306 Deterring corruption-prone perpetrators.	T30601	Efforts are made to deter corruption-prone perpetrators and encourage self-improvement.	0
	T307 Swift course of justice.	T30701	There is a swift course of justice.	0
T4 The agency has openness-based transparency.	T401 Citizens being informed of the actions of the scrutiny committee.	T40101	The citizens are informed of the actions of the scrutiny committee.	0
	T402 Citizens and media participating in procurement and concession granting.	T40201	The citizens and media participate in the procurement, granting of concessions, and the issuance of rules and regulations.	0
	T403 Citizens, media and NGOs playing a greater role in supervising the administration.	T40301	The citizens, media and NGOs play a greater role in supervising the administration.	0
	T404 External professional	T40401	The agency has recourse to professional organizations in monitoring	0

Main Components	Subcomponents	Code	Question	Response
	organizations joining in the scrutinizing process.		its operations.	

4. Participation

Main Components	Subcomponents	Code	Question	Response
P1 The agency gives information to the public.	P101 Giving information to those outside the agency.	P10101	The agency disseminates information on its tasks and services.	P
		P10102	In your opinion, the information given is accurate.	P
		P10103	In your opinion, the information given is complete.	P
	P102 Types of information receivers.	P10201	The agency gives information to government officials.	P
		P10202	The agency gives information to those directly affected.	P
		P10203	The agency gives information to the general public.	P
	P103 Use of media for giving the information.	P10301	The agency gives information via the media.	P
		P10302	The agency uses news agencies to spread information.	P
		P10303	The agency uses community leaders to spread information.	P
		P10304	The agency spreads information by posting notices.	P

Main Components	Subcomponents	Code	Question	Response
		P10305	The agency spreads information via radio.	P
		P10306	The agency spreads information via television.	P
		P10307	The agency spreads information via newspapers.	P
		P10308	The agency uses other media to spread information.	P
	P104 Frequency of information giving.	P10401	The agency only gives information infrequently.	P
		P10402	The agency gives information at intervals.	P
		P10403	The agency gives information on a daily basis and continuously.	P
	P105 Channels of access to the information.	P10501	The agency provides the people with channels of access to the information given by the agency.	P
		P10502	The agency provides the people with convenient channels of access to the information given by the agency.	P
		P10503	Accessing information given by the information is done at a cost.	P
		P10504	Those wishing to obtain information from must pay a high cost.	P
P2 The agency listens to public opinion.	P201 Listening to opinion from outside the agency.	P20101	The agency listens to opinion from outside the agency.	C

Main Components	Subcomponents	Code	Question	Response
		P20102	The agency listens to opinion and suggestions from external agencies.	P
		P20103	The opinions received by the agency are used to improve its operations.	P
	P202 Groups of people whose opinion is received by the agency.	P20201	The agency listens to opinion only from government authorities.	C
		P20202	The agency listens to opinion from those directly affected.	C
		P20203	The agency listens to opinion from the general public.	C
	P203 Willingness to listen to opinion.	P20301	The agency listens to opinion on order by superiors or as prescribed by law.	C
		P20302	The agency listens to opinion on request or as requested only.	C
		P20303	The agency listens to opinion at its own initiative, done on a regular basis.	C
	P204 Attentiveness to listening to opinion.	P20401	The officials at the lowest level are those receiving or listening to opinion.	C
		P20402	The officials at the middle level are those receiving or listening to opinion.	C
		P20403	The officials at the high level are those receiving or listening to opinion.	C
	P205 Appreciation for listening to opinion.	P20501	There are no responses to the opinions received.	C
		P20502	There are responses to the opinions received but they are not used in decision-making.	C

Main Components	Subcomponents	Code	Question	Response
		P20503	There are responses to the opinions received, which are then used in decision-making.	C
	P206 Lapse for decision-making after listening to public opinion.	P20601	When the agency must decide on matters that affect the people, the agency makes its decisions <u>before</u> giving information to the people.	C
		P20602	Once the information is given to the people, the decision is made immediately without first listening to public opinion before making a decision.	C
		P20603	When a decision has to be made that affects the people, information is then given to a sufficient number of the people and for a sufficiently long time so that the information has been circulating extensively.	C
P3 The agency allows joint planning and decision-making.	P301 Participation in planning and decision-making.	P30101	There is public participation in the planning and decision-making by the agency.	C
		P30102	There is public participation in decision-making at activity level.	C
		P30103	There is public participation in decision-making at project level.	C
		P30104	There is public participation in decision-making at planning level.	C
		P30105	There is public participation in decision-making at policy level.	C

Main Components	Subcomponents	Code	Question	Response
		P30106	You participate in the planning and decision-making by the agency.	P
	P302 Decision-making process.	P30201	The decision-making process is majority-based.	C
		P30202	The decision-making process is conducted by swaying and coercion.	C
		P30203	The decision-making process is based on consensus.	C
	P303 Time dimension and decision-making.	P30301	The decision-making time allowed is given post-haste.	C
		P30302	The decision-making time allowed is appropriate for the circumstances.	C
	P304 Participants in decision-making.	P30401	Decision-makers consist of government officials.	C
		P30402	Decision-makers consist of academics.	C
		P30403	Decision-makers consist of those directly affected.	C
		P30404	Decision-makers consist of NGOs.	C
		P30405	Decision-makers consist of the general public.	C
	P305 Process of decision-making committee.	P30501	The selection of the decision-making committee is by appointment by the powers-that-be.	C
		P30502	The selection of the decision-making committee is by nomination by stakeholders.	C

Main Components	Subcomponents	Code	Question	Response
P4 The agency develops the capability for participation.	P401 Development of the people's capability to engage in participation.	P40101	The agency does not give support to the development of the people's capability to engage in participation.	C
		P40102	The agency gives support to the development of public participation capability by ample budgetary allocations or equipment and supplies.	C

5. Accountability

Main Components	Subcomponents	Code	Question	Response
A1 The agency creates joint ownership.	A101 The agency has a bilateral pact.	A10101	Every time a job is delegated to you, you always make an effort to understand and agree with the objectives, goals, and expectations for doing the job.	O
		A10102	For each delegation, you will know of the expectations for doing the job.	
A2 The agency has clear goals.	A201 Clear policy and plans.	A20101	The corporate executives communicate with and inform everyone involved about the overall plan of the organization.	O
		A20102	The corporate executives communicate with and inform everyone involved about the operational plan.	O
		A20103	Your organization constantly sets milestones to be reached for its operations.	O
A3 The agency has efficient administration.	A301 Resources allocation.	A30101	The organization clearly sets the method and procedure for the allocation of resources.	O
	A302 Acceptance of change.	A30201	Officers are always willing to embrace innovations and new technologies.	O
		A30202	Your organization has measures against those resistant to changes.	O
	A303 Cooperation and teamwork.	A30301	Your team members give good cooperation for the operation.	O

Main Components	Subcomponents	Code	Question	Response
	A304 Managing conflict.	A30401	When there are problems involving conflict, the organization has a clear procedure and steps for resolving the differences.	<input type="radio"/>
		A30402	The organization carries out a follow-up evaluation of the results of the resolution of the conflict.	<input type="radio"/>
	A305 Internal communication.	A30501	Information on the organization is openly disseminated to the entire staff.	<input type="radio"/>
		A30502	The information disseminated is accurate, complete, and not distorted in any way.	<input type="radio"/>
	A306 Internal support.	A30601	Superiors give equal support to all members of the team.	<input type="radio"/>
		A30602	Members of each team in the organization can access and draw support from superiors equally.	<input type="radio"/>
	A307 Participation in decision-making.	A30701	Every staff member in the organization can express their opinion freely.	<input type="radio"/>
		A30702	All members can participate in the decision-making process in the organization.	<input type="radio"/>
	A308 Recognition of ability.	A30801	Outstanding outcome will be given proper organizational recognition.	<input type="radio"/>
	A309 Trust (or faith).	A30901	All officers can be sure that their colleague will work hard and produce creditable results.	<input type="radio"/>

Main Components	Subcomponents	Code	Question	Response
		A30902	All officers feel safe to talk or consult with one another every time there is a problem.	○
	A308 Recognition of ability.	A31001	Each staff member will receive a positive treatment at the successful completion of his job, and everyone will be treated equally (with no preferential treatment), e.g. pep talks and praises, in addition to material or monetary gains, which are not the only things given as rewards.	○
A4 The agency has a monitoring and evaluation system.	A401 Evaluation of work performance.	A40101	Your organization sets a clear standard of performance.	
		A40102	Your organization carries out a follow-up evaluation and takes measures against incompetent performance.	○
		A40103	Your organization develops indicators of work performance clearly.	○
		A40104	Before each operation, staff will know of certain indicators of work performance every time.	
A5 The agency acts against non-performers.	A501 Measures against non-performers.	A50101	Your organization has measures against non-performers.	○
A6 The agency has alternative	A601 Alternative strategies.	A60101	For its operations, your organization has alternative strategies in case of emergencies.	

Main Components	Subcomponents	Code	Question	Response
strategies.		A60102	All members of the organization understand and know of alternative strategies.	0

6. Value for Money

Main Components	Subcomponents	Code	Question	Response
M1 The agency practises economy.	M101 Fitting workload and compensation for staff.	M10101	The majority of staff in your organization work a full 7 hours and take a 1-hour break.	
		M10102	Compensation or remunerations (salary and others) received by the majority of staff in your organization are appropriate in relation to the quantity and quality of the workload.	0
	M102 No conflict of interests.	M10201	There were actions which benefit the agency as a whole, but are in conflict with your interest or that of the staff in your agency.	0

Main Components	Subcomponents	Code	Question	Response
	M103 Standard outputs or services.	M10301	The quantities of outputs and services produced by the agency are appropriate, compared with other agencies in the same category that employ the same level of staff, budget, and a similar scope of tasks and functions.	
		M10302	The value of outputs and services produced by the agency is appropriate, compared with other agencies in the same category that employ the same level of staff, budgets, and a similar scope of tasks and functions.	
		M10303	Every department in your agency produces outputs or services that are of equal value to the agency.	C
	M104 Internal audit and financial statement.	M10401	Your agency has an internal audit system.	C
		M10402	An internal audit system is employed regularly.	
		M10403	Your agency produces a financial statement.	C
		M10404	Your agency produces a financial statement regularly every year.	C
		M10405	Financial statements are publicized to the public.	C

Main Components	Subcomponents	Code	Question	Response
		M10406	A financial statement will be reported directly to an audit unit, high-level superiors, and units concerned only.	C
		M10407	There is prudent financial management. (This indicator is used jointly with T10601.)	C
	M105 Efficient use of money.	M10501	There were problems about spending efficiency (lower than budgetary appropriation, higher than budgetary appropriation, or misspending or misapplication of budget).	C
		M10502	When faced with a financial problem, only high-level superiors step in to solve the problem.	
		M10503	When faced with a financial problem, only the finance or fiscal department steps in to solve the problem.	C
		M10504	When faced with a financial problem, high-level superiors and the finance or fiscal department join together to solve the problem.	C
M2 The agency makes optimum	M201 Efficient use of resources.	M20101	There is clear workforce planning in the agency.	

Main Components	Subcomponents	Code	Question	Response	
use of resources.		M20102	The present staff number is sufficient for the workload.	O	
		M20103	The personnel have the appropriate knowledge, competence, and expertise for the jobs.	O	
		M20104	An accounting system is in place for stock control and achieving its economical use.	O	
		M20105	There is a systematic method and procedure for budget appropriation.	O	
		M20106	The actual expenses for public utilities at your agency are higher than the budgetary appropriation by the state.		
		M20107	Personnel are good at problem-solving and do their own decision-making.	O	
	M202 Human resources development.		M20201	Personnel are encouraged to have more training.	O
			M20202	Modern technologies and various kinds of up-to-date equipment are used to save cost.	O
			M20203	There is an outsourcing policy to enhance work efficiency.	O
	M203 Performance-based		M20301	The work performance of personnel meets the goals set.	O

Main Components	Subcomponents	Code	Question	Response
	compensation.	M20302	The work performance of the agency meets the goals set.	O
		M20303	An evaluation system for work performance is an integral part of management.	O
M3 The agency has potential for competitiveness.	M301 Policy, plans, vision, mission, and goals.	M30101	There is annual or agenda-based policy determination by management executives.	
		M30102	There is annual or agenda-based planning by management executives.	O
		M30103	Management executives communicate with personnel responsible on the overall plan of the agency.	O
		M30104	There is regular communication to enhance understanding of the overall plan.	O
		M30105	Operational plans are made to fit the organization structure.	O
		M30106	Communication is made with the units to enhance understanding of operational plans.	O
		M30107	Communication to enhance understanding of the operational plans is made regularly.	O
		M30108	There is a vision imposed (to set direction for what is to done next).	O

Main Components	Subcomponents	Code	Question	Response
		M30109	There are goals set for the agency.	
		M30110	There is a mission statement (of uppermost tasks to be done) for the agency.	O
		M30111	The vision, mission, and goals of the agency are disseminated and communicated to the personnel in the agency to create understanding.	O
		M30112	The vision, mission, and goals of the agency are disseminated to the general public.	O
		M30113	When faced with changing internal and external circumstances such as disasters, economic downturn, and personnel budget cut, your agency already has an alternative strategy in store to deal with the uncertainty.	O
		M30114	The vision, mission, and goals of the agency indicate that efforts are made to transform the productivity or management of the agency in the right directions, adding to the value and quality of its outcomes and services.	O

Main Components	Subcomponents	Code	Question	Response
		M30115	The vision, mission, and goals of the agency indicate that there is economizing of budget, workforce, equipment, etc.	
		M30116	The vision, mission, and goals of the agency indicate that efforts are made to achieve self-reliance, and less dependence on budget appropriations.	C
		M30117	The vision, mission, and goals of the agency indicate that the management always seeks best practices in its drive for excellence.	C
		M30118	The vision, mission, and goals of the agency indicate that preparations are made to meet unexpected situations or crises.	C
	M302 Emphasis on service performance.	M30201	In your agency, the standard of performance is clearly set.	
		M30202	The standard of performance is the result of cooperation by the staff in the organization.	O
		M30203	Your agency has staff who are responsible for customer relations.	
		M30204	Your organization has the customer consultant/complaints department.	O

Main Components	Subcomponents	Code	Question	Response
		M30205	All complaints are promptly dealt with.	○
		M30206	Only those complaints that have real urgency or will affect the majority of the people will be promptly dealt with.	○
		M30207	Only those complaints that affect important persons both in the line of work or in political circles will be promptly dealt with.	○
		M30208	There is a post-service follow-up in the form of consultations.	○
		M30209	Follow-up consultations are given regularly.	○
		M30210	Staff are willing and determined to make service delivery at all time and in every situation.	
		M30211	The agency posts a notice to announce the guidelines on using the services.	○
		M30212	The agency broadcasts the guidelines on using the services.	○
		M30213	Complaints are lodged against your agency concerning the high prices of products or services.	○
		M30214	In your opinion, the products or services are up to standard, convenient, and fast.	

Main Components	Subcomponents	Code	Question	Response
		M30215	In your opinion, service staff are willing and attentive in serving you.	
		M30216	This agency provides post-service follow-up through consultation or recommendation.	P
		M30217	Follow-up and consultation are given regularly.	P
		M30218	Follow-up and consultation are of practicable value.	P
		M30219	In your opinion, the prices of products or service rates set by this agency are appropriate, compared with the quantity and quality received.	P
		M30220	The agency has been given awards for its products, services or management excellence.	
		M30221	The agency has staff or operations dealing with customer relations.	C
		M30222	The agency has staff or operations that handle consultation or complaints.	C
		M30223	All complaints are promptly dealt with.	C
		M30224	Only those complaints that will affect the majority of the people will be promptly dealt with.	C

Main Components	Subcomponents	Code	Question	Response
		M30225	Only those complaints that affect important persons both in the line of work or in political circles will be promptly dealt with.	C
	M303 Evaluation of work performance.	M30301	There is a unit responsible for making an internal evaluation of work performance.	C
		M30302	Evaluation is done regularly every year.	C
		M30303	Evaluation results are publicized to the public.	
		M30304	Evaluation results are made known only to staff.	C
		M30305	Evaluation results are used to streamline the operations of the agency.	C
	M304 Leadership of high-level executives.	M30401	High-level executives play a role in bringing about development and changes (concerning operations, standard, practices, service quality) in the agency.	
		M30402	Executives are open to staff opinion.	O
		M30403	Executives are open to public opinion.	O

* NOTE: In the fifth column, 'O' refers to officers, 'c' refers to information obtained from central division, 'P' refers to the people.

2.6 Data Collection

This study relies on data gathered during fieldwork, using a set of questionnaires on the indicators of good governance designed by the research team (please see the Annex). The research team gathers data from 10 agencies in 5 regions: Chiang Mai, Lampang, Khon Kaen, Sakon Nakhon, Suphanburi, Bangkok, Nonthaburi, Rayong, Pattani, and Songkhla. The sample populations used consist of government officials and the public as service recipients.

Sample Groups Drawing

The thinking behind the determination of agencies for use in gathering data hinges on the framework for classifying government agencies into various categories of field operation, which are service group, security group, and economic group. Government agencies that are so identified are then chosen as target groups. The selections, by category, are: in Group 1 (for service), the researchers choose **provincial high schools** to represent the public sector for educational administration, and **provincial hospitals** to represent the public sector for social service; in Group 2 (for security), the researchers choose **district police stations** to represent the public sector for security since the police are a direct agent of law enforcement; in Group 3 (for economics), the researchers choose **provincial Government Savings Banks** since the agency serves large numbers of regional people and oversees the Village Fund as well, and **district agricultural departments**, which provide counselling services to farmers who represent the largest population group of the country to represent the public sector for economics.

Sample Size

The collection of data on the indicators of good governance in 10 provinces of the 5 regions is directed at two population groups: Group 1 comprising government officials, servants or employees who are chosen for the purpose; Group 2 comprising the people who use services of the agency in a one-day period. The population data form a basis for calculating sample groups by the Yamane formula (1967: 886) at 95 percent reliability quotient:

$$n = \frac{N}{1 + N (e)^2}$$

When

n is the number of samples (such as the number of samples randomly taken from the entire population),

N is the population (such as the total number of government officials in the agency, or people who use the services at the agency, which, in the case of a hospital, will be the people who seek medical services in a day),

e is standard deviation, which herein is .05 and 0.1

The researchers make the following table for use in conducting random sampling to facilitate the fieldwork survey:

Table 2-15: Calculation of sample groups at 95% reliability quotient (Yamane)

Population	Sample	Population	Sample
30	28	800	267
50	44	850	272
75	63	900	277
100	80	1,000	286
125	95	1,500	316
150	109	2,000	333
175	122	2,500	345
200	133	3,000	353
225	144	3,500	359
250	154	4,000	364
275	163	4,500	367
300	171	5,000	370
325	179	5,500	373
350	187	6,000	375
375	194	6,500	377
400	200	7,000	378
425	206	7,500	380
450	212	8,000	381
475	217	8,500	382

Population	Sample	Population	Sample
500	222	9,000	383
525	227	9,500	384
550	232	10,000	385
575	236	20,000	392
600	240	30,000	395
625	244	40,000	396
650	248	50,000	397
675	251	60,000	397
700	255	70,000	398
725	258	80,000	398
750	261	>=320,000	400

Based on the table above, the researchers proceed to study the 10 agencies and calculate sampling figures to give the outcome as shown in the table below:

Sampling Calculation

Table 2-16: Analysis of samples

Agency	Province	Category	Population	Sample
Hatyai Witthayalai School	Songkhla	Officials	191	129
		Pupils	3801	362
Pattani Hospital	Pattani	Officials	473	217
		People / day	749	261
Phanna Nikhom Agricultural Department	Sakon Nakhon	Officials	13	13
		All people	*	400

Agency	Province	Category	Population	Sample
Kaennakhon Witthayalai School	Khon Kaen	Officials	181	125
		Pupils	4218	365
Saraphi Agricultural Department	Chiang Mai	Officials	14	14
		All people	*	400
Provincial Police Station	Lampang	Officials	345	185
		People / day	120	92
Government Savings Bank, Suphan Buri Branch	Suphan Buri	Officials	21	21
		People / day	300	171
Government Savings Bank, Rayong Branch	Rayong	Officials	13	13
		People / day	500	222
Chana Songkhram Police Station	Bangkok	Officials	209	137
		People / day	110	86
Central Chest Hospital, Nonthaburi	Nonthaburi	Officials	122	93
		People / day	278	164
Total			11,631	3,472

Note: In the case of district agricultural departments, it is found that population groups who use the service do not actually come to the district office themselves, but services are provided at the farm site. For this reason, the entire population of farmers in that district are regarded as service recipients and thus the samples top the 400 figure, the highest value by the formula.

The research team interview officials and the public directly and do not leave the officials or the people to figure out the responses by themselves in order to ensure a complete representation of the information.



Figure 2-1: The 10 provinces in 5 regions under study

2.7 Tools of the Study

Questionnaires used in collecting data on the indicators of good governance are grouped into 3 sets by the research team. Each set covers the 6 components: 1. Rule of Law, 2. Ethics, 3. Transparency, 4. Participation, 5. Accountability, and 6. Value for Money.

Set 1: Organization-level questionnaire The objective is to evaluate corporate governance by gathering secondary data that are already recorded to a certain extent. The data are obtained by interviewing officials whose duties are related to the matter at hand, e.g. personnel officers, legal officers, finance officers and accountants, general administrators, officers attached to central divisions and the secretariat. Several persons may be interviewed in order to obtain a complete picture. Questions asked bear on the principles of Value for Money, Rule of Law, Ethics, and Participation.

Set 2: Operating officer-level questionnaire The objective is to evaluate the attitudes and opinions of officers concerning good governance. Questions asked bear on the principles of Transparency, Accountability, and Value for Money.

Set 3: People questionnaire The objective is to evaluate work performance and popular satisfaction with public service delivery by the government agency. Questions asked bear on the principles of Rule of Law, Participation, and Value for Money.

The three sets of questionnaires and their connection to the principles may be tabled as follows:

Table 2-17: The use of the tools to gather data as relating to the principles

	Officials	Central Division	People
Rule of Law		x	x
Ethics		x	
Transparency	x		
Participation		x	x
Accountability	x		
Value for Money	x	x	x

2.8 Data Processing

The data that are gathered, using the 3 sets of questionnaires, are reclassified and turned into a new configuration of data to make it easier to do calculation. The researchers will turn the data from each question into scores for each of the components by calculation before weighting them to determine their scores with respect to each indicator. Each indicator will be weighted differently, but eventually the criteria for weighted scoring will take the form: 0.0-1.0. The scale of values will be graded at 5 levels: the 0.00-0.20 range is the 'lowest' score, the 0.21-0.40 range is the 'low' score, the 0.41-0.60 range is the 'middle' score, the 0.61-0.80 range is the 'high' score, and the 0.81-1.00 range is the 'highest' score (see the calculation methods in the handbook on data collection).

For the Principle of Accountability, the researchers give the following explanation about each scoring level (Civil Service Commission, 2545) as follows:

The lowest level, called Entitlement Accountability, reveals a lack of accountability. At the Entitlement level, there is very low accountability. Staff are likely to have an attitude problem of the "It's not my job" variety. They pick up their paycheck but produce no performance of note. They do as they please, and do not care what may happen to the organization.

The low level, called Individual Accountability, reveals some accountability in each individual. At the Individual level, a staff member responsible for completing an assignment will proceed with the task at hand with little or no consideration of the impact or consequences of his action. The accountability is to himself only; he could not care less who else will be affected by his action. It is the "Everyone for themselves" variety (or so-called silo style).

The middle level, called Work Unit Accountability, reveals department-level accountability. At the Work Unit Accountability level, a noticeable level of accountability is apparent in the fact that team building is possible. Team success is deemed more important than individual success, and team members will pull together toward successful completion of the team task. Nevertheless, the teamwork is coordinated at the expense of or without due consideration of possible impact on other teams or the organization itself.

The high level, called Cross Functional Accountability, reveals accountability that reaches out to other departments as well. At the Cross-Functional Accountability level, supra-team consideration is normal. Still, there is an existing gap between different levels, e.g. operating officers and executives or policy matters.

The highest level, called Organizational Accountability, reveals accountability at organizational level. At the Organizational Accountability, total organizational teamwork is plainly evident. This type of organization is highly flexible and adapts itself well under all circumstances, making it a very efficient team.

Weighting of the Data

In weighting the data, the research team calculated an average score of each principle by averaging the scores of each sub-indicator. The process is repeated for the 4 principles, i.e. Ethics, Transparency, Accountability, and Value of Money.

The other two principles, Rule of Law and Participation, will be weighted differently as follows:

Since the focus of the Principle of the Rule of Law is lawfulness, the 3rd sub-principle of lawfulness will be weighted the most, at 4 times, and then all the scores of the indicator will be averaged. The sub-principles are:

8. The agency clearly institutes the separation of powers.
9. The agency provides for the protection of the rights and liberty of its personnel and the people.
10. The agency maintains lawfulness by observing the laws, rules and regulations.
11. The agency performs its duties under the laws, rules and regulations.
12. Those who are decision-makers of the agency have independence in performing their duties.
13. The agency does not impose punishment unless penal rules and regulations have been issued for the purpose.
14. The agency abides by the principle of operating under the highest rules and regulations.

All aspects of the Principle of Participation will be equally emphasized even though development of participation is still under-developed in Thailand, which therefore will be weighted the least. The first 3 sub-principles will be weighted by 3 parts each, and the 4th by 1 part, making a total of 10 parts. The sub-principles are:

1. Giving information to the public;
2. Listening to public opinion;
3. Joint planning and decision-making;
4. Development of participation.

In this chapter, the framework of the indicators is broken down into sub-indicators which form the body of questions used in the fieldwork survey. Elucidation is also given to clarify the method of sampling and data processing. The results of the study will be presented and analyzed in the next chapter.

Chapter 3

Summary and Recommendations

Good governance is a broad-based concept increasingly adopted by many countries and the international community which see it as one of the hallmarks of national development and political legitimacy. In Thailand, the declaration of the Constitution of the Kingdom of Thailand, 1997 gives, in both public and private organizations, a new birth of awareness of the importance of creating best practices based squarely on the idea. One of the cornerstones of the supreme law is the creation of a wide-ranging system of good governance in which public participation in the processes of national government is promoted, and human dignity and basic human rights are guaranteed and protected. Under the new constitutional mandate, the exercise of state power must be monitored to ensure that its performance is transparent and its officials are accountable for their actions. In addition, the principal strategies outlined in the 8th and 9th National Economic and Social Development Plans clearly state that good governance is integral to national development, which is in sync with the Regulations of the Office of the Prime Minister on Good Governance in Politics and Society, B.E. 2542 (1999).

As things stand, the employment of the idea of good governance is still in its infancy. There has yet to be a definite framework of ground rules for monitoring, evaluation and use of indicators for its measurement. Accordingly, the Office of the National Economic and Social Development Board commissioned King Prajadhipok's Institute to conduct a research survey, entitled "A Study to Develop Indicators of Good Governance," with the aim of developing and determining the framework for monitoring and evaluation of good governance practices in line with State development strategies under the 8th Development Plan and good governance practices under the 9th Development Plan in the public sector. The scope of the study covers indicators from a process perspective and indicators from a perspective of the impact/outcome of operation. It also tries to lay down the guidelines on data collection essential to the making and measurement of good governance in terms of both primary (fresh) and

secondary (regular) data through the use of questionnaires. The aim of the study therefore is the creation of a framework of thinking that accords with universal conceptions on good governance and recommendations on good governance practices under the 8th and 9th National Economic and Social Development Plans. It is also to serve as a reflection on the 6 principles of good governance as prescribed in the Regulations of the Office of the Prime Minister on Good Governance in Politics and Society, B.E. 2542 (1999). As a result, this study closely approximates the main ingredients of good governance as appearing in the above documents, which comprise The Rule of Law, Ethics, Transparency, Participation, Accountability, and Value for Money. The methods of research for the project started with a survey of literature and thinking on development of indicators, testing, and brainstorming to explore recommendations and opinions on indicators and ways to improve those indicators. Once crystallized, the framework of indicators was tested in fieldwork at 10 agencies that are picked from three work segments: economics, services, and security. Each of the 10 agencies represents 10 provinces differently nationwide. The population tested consist of the people as service recipients and government officials as service providers. When the gathering of data was completed, based on statistical sampling, the data were analyzed to test the indicators and outcomes of good governance at that agency as shown by the indicator-based analysis. A final session of brainstorming was organized to sound out reactions and recommendations on improving the contents and findings of the research before the final stage of writing up and producing the report was completed. Moreover, the researchers produce a handbook on its practical application for those interested in trying out the methodology at some agency for the benefit of that agency, which may be self-administering or evaluation by other external agencies. Hopefully, the courage and determination should pay off in the form of improved performance and governance that better responds to public needs. The research is slated to last from September 2001 to September 2002, a total of 12 months' study time.

3.1 Summary of the Study

Our study confirms a conviction that the 6 principles of good governance have strong validity that explains the definition of good governance. The following overview once again represents the breakdown of all the components and their diversification into further elements, all of which are central to all definitions of good governance.

The Principle of the Rule of Law consists of 7 sub-principles: 1. The separation of powers, 2. The protection of rights and liberty, 3. The lawfulness of authorities, 4. The agency performs its duties under the principle of the Lawfulness of the Content, 5. Those who are decision-makers of the agency have independence in performing their duties, 6. The agency abides by the tenet “No Crime nor Punishment Without a Law”, and 7. The agency abides by the principle of operating under the highest rules and regulations.

The Principle of Ethics consists of 3 sub-principles: 1. Freedom from corruption, 2. Freedom from breach of discipline, and 3. Freedom from breach of professional standard and the code of ethics.

The Principle of Transparency consists of 4 sub-principles: 1. Structure-based transparency, 2. Benefits-based transparency, 3. Punishment-based transparency, and 4. Openness-based transparency.

The Principle of Participation consists of 4 sub-principles: 1. Giving information to the public, 2. Listening to public opinion, 3. Joint planning and decision-making, and 4. Development of the capability for participation.

The Principle of Accountability consists of 6 sub-principles: 1. Joint ownership, 2. Clear goals, 3. Efficient administration, 4. Monitoring and evaluation, 5. Measures against non-performers, and 6. Alternative strategies.

The Principle of Value for Money consists of 3 sub-principles: 1. Economy, 2. Optimum use of resources, and 3. Competitiveness.

The 81 sub-principles gave rise to 246 questions of measurement, 39 of which are directed at the public recipients of the services, 99 are directed at officials who are service providers, and 108 are designed to gather secondary data on the agency's service performance and philosophy. These principles are interrelated in the sense that one principle follows from another. These indicators investigate the entire process, outcome and impact.

In analyzing the data, the researchers examined the scores for the sub-principles and main principles in order to total their respective scores, on a scale from 0 to 1. The results were exhibited as the total scores and in graph form for ease of comprehension.

The researchers arranged the scores in order, based on a scale of 5 score-ranges: 0.00-0.20 for the least or lowest value, 0.21-0.40 for small or low value, 0.41-0.60 for middle value, 0.61-0.80 for big or high value, and 0.81-1.00 for the most or highest value.

The overall picture resulting from the data analysis of the 10 agencies showed that transparency recorded the lowest score at 0.46 while the highest score at 0.81 came from the principles of the Rule of Law and Ethics. The principles of Participation, Accountability, and Value for Money had the total scores of 0.64, 0.65, and 0.64 respectively, all of which were in the high range.

The perplexing thing is that the principles of Ethics and Transparency were seemingly contradictory to each other. This is most probably due to the fact that for the principle of Ethics the data on corruption, breach of discipline, breach of professional standard and the code of ethics was defective; that is, they did not reflect the actual situation since probably not all the offences were recorded in the logbook. This is hardly surprising as Thailand still harbours the patronage system, which condones or tolerates corrupt practices and under which culprits generally go unpunished, all the more so when the agency maintains relatively small staff. On the other hand, when questioned about transparency as relating to structure, benefits, punishment, and openness, the officials admitted that problems still abound with respect to granting benefits and imposing punishment in practically all the agencies while the score for disclosure of information is rated very low. The unsatisfactory state of affairs shows that the agencies still lag far behind in observing this important principle, in spite of the recognition of its important status in the Constitution. The principle of Participation scored quite high for all agencies, with total scores at 0.60 and over. It should be noted that the agencies received a high score of 0.73 for listening to the people but the scores for giving information to the people and allowing public participation in decision-making fell behind in the vicinity of 0.60-0.62. Apparently, there is still much room for improvement

for the latter respects since public participation in the process of planning and decision-making can never reach an efficient level if the people do not have access to accurate and sufficient information in a timely manner.

For the principle of Accountability, it is found that the score for measures against non-performers remained at 0.40 (low) while the alternative strategies score was only 0.57 (in the middle range), which is consistent with the scores for the principle of Transparency as related to benefits and punishment. For the principle of Value for Money, the scores for optimum use of resources and competitiveness were quite high, at 0.69 and 0.67 respectively. The score for the economy principle was 0.56, which is in the middle range.

When the indicators were considered by field-operation or work group, of which there are three, it is found that the economic group, responsible for meeting the consumption needs of the people, had an average total score of 0.68 (SD=0.178) and the highest score of 0.98 for ethics, the highest of the lot. Perhaps, the best explanation for this phenomenon is that the sample agencies had small staff and therefore did not have a logbook to record punishment for ethical offences. If the data is accurate, this is a cause for rejoicing. In this group, the Transparency score was the lowest (in contrast to the other principles), or 0.45 (in the middle range) while the scores for the other principles in this group remained high.

The service group had an average total score of 0.66 (SD=0.127), which is very high. When the principles were examined, Transparency had a score of 0.45 (in the middle range) while the Rule of Law had the highest score of the group, at 0.84, followed by Ethics (0.70) and Value for Money (0.69). Participation and Accountability had scores of 0.65 and 0.66 respectively.

The security group had an average total score of 0.66 (SD=0.110), with Transparency being at the lowest end (0.51) and the Rule of Law being at the highest end of the group (0.85) while the other principles being in the range of 0.64-0.67, which is quite high.

When contrasted by principle, the security group rated highest for the Rule of Law score, which truly reflected the nature of the group category. In this group, the Ethics score was ranked at the lowest end but its Transparency score was slightly

higher than the other two groups. All these total scores truly reflected the composite nature of the organizations—corporate tasks and culture. It should be noted that all groups were beset with problems about transparency.

In this study, the secondary data derived from central divisions had also been tried out to check its effectiveness in measuring the overall picture of good governance of the country. It is found that they were ineffective against some principles, e.g. Accountability, as no such data were available. Primary data would have to be used instead. The principles of Participation and Transparency had partial use of secondary data but they did not reflect the whole picture of the situation. The same thing applied in the case of the Rule of Law in contrast to the principle of Ethics which made good use of secondary data. The principle of Value for Money had some use of secondary data except that they had to be synthesized and clarified, due to the fact that the data were quite inconsistent. Nevertheless, the researchers recommend that both secondary and primary data be used together. In addition, in-depth interviews and focus group sessions need to be conducted in order to gain an all-round synthesis of raw data for use in clarification of the outcomes of quantitative measurement. A more systematic data collection also needs to be made for use in subsequent analysis.

3.2 Recommendations

To fulfill the objectives of this study of good governance indicators, the researchers make the following recommendations for the improvement of indicators and possible use of the devices in policy formulation and management and administration.

3.2.1 Future Improvement of Indicators

The indicators proposed in this study have certain practicable applications at agency, work group, and overall levels. The researchers had broached and tested the broad idea of good governance with government officials as the hallmark and reflection of their agency, which was enthusiastically embraced. There is no doubt that the idea of good governance measurement can be applied equally well to other types of organizations such as independent organizations or local government agencies. Certain

indicators, however, need to be adjusted in line with the dominant mission of the agency that adopts the concept.

This is the first time that a device like this has ever been designed and proposed for actual adoption. Consequently, the testing of the indicators that had been done may not be adequate to determine the selection of appropriate indicators for various conditions. The researchers were aware of the huge number of questions and the diversity of answers to those questions right from the start, and therefore had made improvements and cut the number of questions down after the initial testing. The result was a considerably fewer number of questions that did not detract from the substance of the principles while the choices were made easier to answer and standardized to such an extent that they may be used much more readily in actual situations.

As this is a novel matter, much exploration needs to be done to strike a proper balance in applying the indicators. With the limited time and resources at our disposal, the researchers are of opinion that the indicators need to be continually improved in order to make it possible to apply them on a wider scale.

In the researchers' opinion, the use of secondary data to reflect good governance as a whole, if done exclusively, may distort the truth of the matter, particularly if there are not sufficient measures to check the accuracy of data collection and relevant data have not yet been recorded.

If and when the overall picture of good governance of an agency is to be studied, the researchers recommend that data collection must be made from the source agency through the use of statistical sampling, several methods of which may be used and different analytical units employed, e.g. agency sampling (as may be determined as to which statistical sampling may be most appropriate; a table of statistical sampling methods was presented in the handbook) may be done prior to second-round population sampling aimed at the agency. In this way, the overall picture may be adequately reflected in the study.

An effective study on good governance is most likely the result of combined qualitative and quantitative research operations. That is to say, interviews with those concerned, focus group sessions, and observations need to be included among the methods used, as the data derived from such composite compilation will be complete

and accurate enough to confirm the reliability of quantitative study and aid discussion of the outcomes of the study.

3.2.2 Application of the Indicators

The idea of good governance should be disseminated and put to practical use on an extensive scale both inside the country and abroad, in public and private agencies, corporations, and independent bodies. The six principles of transparency, accountability, the rule of law, ethics, participation, and value for money form the bedrock foundation on which a country operates its public service delivery competently, and minimizes work-related corrupt practices that can undermine the democratic progress of the country. In order for the idea to be taken and applied seriously, the researchers make the following proposals:

3.2.2.1 Policy-related Application

1. The National Economic and Social Development Board should propose to the Government that the indicators as presented here be included among the main policy points and be made known as widely as possible and applied seriously and concretely. The agencies may be required to make self-assessment on a yearly basis, and all government officials are required to undertake a training program on good governance.

2. The National Economic and Social Development Board should propose to the Government that good governance measurement for the entire country be made an annual event under a mandate in the National Economic and Social Development Plan. In this regard, the National Economic and Social Development Board in conjunction with King Prajadhipok's Institute, the Office of the Civil Service Commission, and the National Statistical Office should be appointed to carry out the evaluation process. The results of the evaluation should be publicized and the agency with the highest score should be rewarded, with perhaps special remunerations for officials.

3. The National Economic and Social Development Board should propose to the Government that budgetary appropriation be adequately provided for the measurement and evaluation program whether it is carried out as proposed above or to encourage intra-agency self-evaluation operations.

4. The good governance policy should be made a priority on the national agenda, to be publicized and implemented seriously and without delay. In this regard, government authorities nation-wide should re-orient themselves and have a rethink of their work performance, to be achieved by relearning, instruction, training and work evaluation in line with the new, normative philosophy of good governance.

5. To ensure that the good governance principle is given serious attention and implementation, the National Economic and Social Development Board should propose that the Government make policy formulation for government units to follow by making the good governance methodology part of the annual performance appraisals and promotions. The procedure will be in accord with the bureaucratic reform that the present (Thaksin) government and the Office of the Civil Service Commission have placed on the national agenda.

3.2.2.2 Administrative Application

1. The National Economic and Social Development Board must, in coordination with various government units concerned including the private sector, publicize the good governance and indicator idea on an extensive scale so that the citizens, particularly the body politic may understand and utilize the regulatory mechanisms and principles in monitoring government agencies.

2. Regarding education and training activities, the researchers recommend that the National Economic and Social Development Board, the Office of the Civil Service Commission, and King Prajadhipok's Institute in conjunction with academic institutions be entrusted with the task of providing relevant education and training as follows:

- develop a program of good governance training that can be put to classroom teaching at all levels of schools, universities and other academic institutions including those institutions that run high-level executive instructional programs.

- provide training and disseminate the idea and indicator applicability among agencies and units in the public and private sectors, private organizations, and local government units. The National Economic and Social Development Board in conjunction with King Prajadhipok's Institute shall be entrusted with the making of

handbooks and training-the-trainer programs that are aimed at those agencies and organizations.

3. The results derived from the Government's policy of annual third-party evaluation programs should, according to the researchers' recommendation, be integrated into the good governance framework and chart. The aim is to heighten awareness of the advantages of the idea and an increase in its implementation. Once again, the National Economic and Social Development Board in conjunction with King Prajadhipok's Institute and the Office of the Civil Service Commission should oversee the operation and the National Statistical Office is appointed to make the data synthesis and synchronization.

ANNEX

QUESTIONNAIRES

1. Questionnaires for central divisions of the agency.
2. Questionnaires for officials of the agency.
3. Questionnaires for the public who are service recipients of the agency.



Questionnaire for Central Divisions in the Agency
On Good Governance in Public Sector Agencies

Explanations

This questionnaire is prepared by King Prajadhipok's Institute (KPI) to survey data from organizations or agencies and comprises questions about finance, administration and disciplinary matters. The objective is to measure the efficiency and effectiveness of public service delivery by government agencies, an essential feature of their good governance record. Researchers and assistant researchers are required to conduct interviews with the target groups by following these guidelines:

1. This questionnaire is designed to draw data from unit, organization, or agency, being one complete set.
2. Interviewer will ask only questions on the questionnaire and mark (✓) in the space provided for the multi-choice question and fill in the response by interviewee for the fill-in question. Do not allow interviewee to make any mark himself as it is likely to result in confusion.
3. All questions should be answered for completeness of the final processing.

KPI herewith requests your cooperation in responding to this questionnaire.

Yours sincerely,

Dr. Thawilwadee Bureekul
Director, Research and Development Office,
King Prajadhipok's Institute

Introduction: Good morning (afternoon), Sir/Madam, I am from King Prajadhipok's Institute. I am here today to conduct a survey on evaluation of your agency's good governance record.

Part One: Basic Data on Your Organization

1. Basic Data

1.1 Name of
agency.....
.....

1.2 Affiliation.....
.....

1.3 Type of
agency.....
.....

1.4 Vision of
organization.....
.....
.....

1.5 Tasks.....
.....
.....

1.6 Mission.....
.....
.....

1.7 Budgetary appropriations for your agency, 1997-2001.

ปี	Budgetary Appropriations				Extrabudgetary Funds			
	Payments		Accruals		Payments		Accruals	
	(Baht)	(%)	(Baht)	(%)	(Baht)	(%)	(Baht)	(%)
1996								
1997								
1998								
1999								
2000								
2001								

1.8 Total workforce of your agency, 1997-2001

Year	Higher-level executives (persons)	Middle-level executives (persons)	Frontline Staff (persons)	Employees (persons)	Total (persons)
1996					
1997					
1998					
1999					
2000					
2001					

1.9 The amount of people who are service recipients.

Year	Service recipients (persons)	Others	Total (persons)
1996			
1997			
1998			
1999			
2000			
2001			

1.10 Please specify the products or services your agency produced in the past year,
with a total score of 100, reflecting value or interests.

Type of Products/Services	Score
1	
2	
3	
4	
5	
Total	100

2. Rule of Law

Item	Question	Answer		No answer	Note
		YES	NO		
2.1	Your agency clearly institutes the separation of powers among its departments.				
2.2	The exercise of power by each department is subject to monitoring.				
2.3	There is a system for the protection of the rights of the people and personnel as relating to the power and duties of the agency.				
2.4	The agency adopts laws or regulations that restrict the rights of the people or personnel.				
2.5	The agency recognizes equal rights of those who have dealings with the agency.				
2.6	It is possible to gain access to information concerning the tasks and duties or operational procedure of the agency.				
2.7	The agency informs the people of their right to services provided by the agency.				
2.8	The agency allows those affected by service provision to oppose or lodge protests.				
2.9	Before offering services or issuing orders to those who will be affected, the agency will listen to opinion from all sides.				
2.10	When necessary, those affected by the services or orders will be informed of their right to speak to lawyers or consultants.				
2.11	There is a schedule for completion of the services or issuing of orders.				
2.12	The services or orders issued are completed within the time frame.				
2.13	The issuance of orders is accompanied by the recitation of related laws or regulations.				

m	Question	Answer		No answer	Note
		YES	NO		
2.14	In issuing orders, justifications or a defence will be cited.				
2.15	All services or orders issued are given on a basis of equality.				
2.16	All services or orders issued follow the guidelines given by the agency.				
2.17	All services or orders issued are given with fairness in mind in each case.				
2.18	In the past year, there had been protests or opposition to the services or orders issued.				
2.19	In the past year, there had been instances in which orders issued were revoked, withdrawn or changed.				
2.20	In the past year, there had been opposition to the higher office regarding the services or orders issued.				
2.21	The agency issues rules and regulations under the authority of a law.				
2.22	The rules and regulations restrict the rights of the people and personnel more than necessary.				
2.23	The executive committee or those having the final say have independence.				
2.24	Protests can be made against the performance of the executive committee or those having the final say, who are found to be impartial.				
2.25	The agency makes some judgement, not prescribed by law, that is damaging to persons.				
2.26	The agency makes some judgement that is damaging to persons retroactively.				
2.27	The rules or regulations issued by the agency are contrary to some higher law.				
2.28	Your agency has been opposed concerning the issuance of certain rules or regulations that are unlawful.				

3. Ethics

m	Question	Answer		No answer	Note
		YES	NO		
3.1	The law is broken blatantly, e.g. dishonesty in performing one's duty or barratry.				
3.2	An unlawful act is done.				
3.3	There is overstepping of a lawful act, e.g. acting above the law or setting up a kangaroo court.				

m	Question	Answer		No answer	Note
		YES	NO		
3.4	There is wrongful performance of a lawful act, e.g. obtaining forced confessions.				
3.5	There is a breach of discipline directly pertaining to job, e.g. non-performance of duties with integrity and equity, or negligence of official duties.				
3.6	There is a breach of discipline pertaining to interpersonal relations, e.g. showing disobedience to superiors.				
3.7	There is a breach of discipline pertaining to personal affairs, e.g. gambling and drug taking.				
3.8	There is a breach of discipline pertaining to responsiveness to the public, e.g. causing inconvenience to the public.				
3.9	Disciplinary actions are taken against officials/employees for an offence committed.				
3.10	Public members lodge complaints against the agency, e.g. poor services, and public dissatisfaction with services provided by the agency.				
3.11	The agency is fraught with disunity, e.g. conflict between officials at the same level, with those at higher or lower levels.				
3.12	There are instances of a breach of professional standard/code of ethics (but not a breach of discipline), e.g. not following official conventions, breaking one's promise, or non-observance of religious precepts.				
3.13	There are instances of a breach of professional standard/code of ethics in regard to means or methods of operation, e.g. jumping the chain of command, or negligence of conventional practice as in abandoning moral obligations or going against corporate culture.				

4. Participation

Item	Question	Answer		No answer	Note
		YES	NO		
4.1	The agency listens to opinion from outside the agency.				
4.2	The agency listens to opinion only from government authorities.				
4.3	The agency listens to opinion from those directly affected.				
4.4	The agency listens to opinion from the general public.				
4.5	The agency listens to opinion on order by superiors or as prescribed by law.				
4.6	The agency listens to opinion on request or as requested only.				
4.7	The agency listens to opinion at its own initiative, done on a regular basis.				
4.8	The officials at the lowest level are those receiving or listening to opinion.				
4.9	The officials at the middle level are those receiving or listening to opinion.				
4.10	The officials at the high level are those receiving or listening to opinion.				
4.11	There are no responses to the opinions received.				
4.12	There are responses to the opinions received but they are not used in decision-making.				
4.13	There are responses to the opinions received, which are then used in decision-making.				
4.14	When the agency must decide on matters that affect the people, the agency makes its decisions <u>before</u> giving information to the people.				
4.15	Once the information is given to the people, the decision is made immediately without first listening to public opinion before making a decision.				
4.16	When a decision has to be made that affects the people, information is then given to a sufficient number of the people and for a sufficiently long time so that the information has been circulating extensively.				
4.17	There is public participation in the planning and decision-making by the agency.				
4.18	There is public participation in decision-making at activity level.				
4.19	There is public participation in decision-making at project level.				
4.20	There is public participation in decision-making at planning level.				
4.21	There is public participation in decision-making at policy level.				
4.22	The decision-making process is majority-based.				
4.23	The decision-making process is conducted by swaying and coercion.				
4.24	The decision-making process is based on consensus.				

Item	Question	Answer		No answer	Note
		YES	NO		
4.25	The decision-making time allowed is given post-haste.				
4.26	The decision-making time allowed is appropriate for the circumstances.				
4.27	Decision-makers consist of government officials.				
4.28	Decision-makers consist of academics.				
4.29	Decision-makers consist of those directly affected.				
4.30	Decision-makers consist of NGOs.				
4.31	Decision-makers consist of the general public.				
4.32	The selection of the decision-making committee is by appointment by the powers-that-be.				
4.33	The selection of the decision-making committee is by nomination by stakeholders.				
4.34	The agency does not give support to the development of the people's capability to engage in participation.				
4.35	The agency gives support to the development of public participation capability by ample budget allocations or equipment and supplies.				

5. Value for Money

Item	Question	Answer		No answer	Note
		YES	NO		
5.1	The quantities of outputs and services produced by the agency are appropriate, compared with other agencies in the same category that employ the same level of staff, budget, and a similar scope of tasks and functions.				
5.2	The value of outputs and services produced by the agency is appropriate, compared with other agencies in the same category that employ the same level of staff, budgets, and a similar scope of tasks and functions.				
5.3	Every department in your agency produces outputs or services that are of equal value to the agency.				
5.4	Your agency has an internal audit system.				
5.5	An internal audit system is employed regularly.				
5.6	Your agency produces a financial statement.				
5.7	Your agency produces a financial statement regularly every year.				
5.8	Financial statements are publicized to the public.				

Item	Question	Answer		No answer	Note
		YES	NO		
5.9	A financial statement will be reported directly to an audit unit, high-level superiors, and units concerned only.				
5.10	T10601 There is prudent financial management.				
5.11	There were problems about spending efficiency (lower than budgetary appropriation, higher than budgetary appropriation, or misspending or misapplication of budget).				
5.12	When faced with a financial problem, only high-level superiors step in to solve the problem.				
5.13	When faced with a financial problem, only the finance or fiscal department steps in to solve the problem.				
5.14	When faced with a financial problem, high-level superiors and the finance or fiscal department join together to solve the problem.				
5.15	The vision, mission, and goals of the agency indicate that there is economizing of budget, workforce, equipment, etc.				
5.16	The vision, mission, and goals of the agency indicate that efforts are made to achieve self-reliance, and less dependence on budget appropriations.				
5.17	The vision, mission, and goals of the agency indicate that the management always seeks best practices in its drive for excellence.				
5.18	The vision, mission, and goals of the agency indicate that preparations are made to meet unexpected situations or crises.				
5.19	Only those complaints that have real urgency or will affect the majority of the people will be promptly dealt with.				
5.20	Only those complaints that affect important persons both in the line of work or in political circles will be promptly dealt with.				
5.21	There is a unit responsible for making an internal evaluation of work performance.				
5.22	Evaluation is done regularly every year.				
5.23	Evaluation results are publicized to the public.				
5.24	Evaluation results are made known only to staff.				
5.25	Evaluation results are used to streamline the operations of the agency.				
5.26	The agency has been given awards for its products, services or management excellence.				
5.27	The agency has staff or operations dealing with customer relations.				

Item	Question	Answer		No answer	Note
		YES	NO		
5.28	The agency has staff or operations that handle consultation or complaints.				
5.29	All complaints are promptly dealt with.				

-----Thank you for your cooperation in answering the questionnaire-----



Questionnaire for Officials of the Agency
On Good Governance in Public Sector Agencies

Explanations

This questionnaire is prepared by King Prajadhipok's Institute (KPI) to survey opinions of officials in government organizations or agencies. The objective is to measure the efficiency and effectiveness of public service delivery by government agencies, an essential feature of their good governance record. Researchers and assistant researchers are required to conduct interviews with the target groups by following these guidelines:

1. Interviewer will ask only questions on the questionnaire and mark (✓) in the space provided for the multi-choice question and fill in the response by interviewee for the fill-in question. Do not allow interviewee to make any mark himself as it is likely to result in confusion.
2. All questions should be answered for completeness of the final processing.
3. After the end of the interview, the team leader is to check the correctness of everything.

KPI herewith requests your cooperation in responding to this questionnaire.

Yours sincerely,

Dr. Thawilwadee Bureekul
Director, Research and Development Office,
King Prajadhipok's Institute

Introduction: Good morning (afternoon), Sir/Madam, I am from King Prajadhipok's Institute. I am here today to conduct a survey on evaluation of your agency's good governance record.

Part One: Data about respondent.

1. Basic Data

- 1.1 Sex Female Male
- 1.2 Age Years
- 1.3 Education
- 1.4 Occupation
- 1.5 Agency.....
- 1.6 Affiliation.....
- 1.7 Position.....
- 1.8 Level.....
- 1.9 Period of employment.....
- 1.10 Monthly salary.....

Part Two: You are asked to make an assessment of the level of good governance of your agency on the following issues :

2. Transparency

Item	Question	Answer		No answer	Note
		YES	NO		
2.1	There is a strong internal audit system.				
2.2	The work performance and administrative structure is transparent and clearly discernible.				
2.3	There is a decent level of public participation in the operations of the agency.				
2.4	New staff members are recruited with little or no favouritism.				
2.5	New recruits have better qualifications.				
2.6	Scrutiny committees are streamlined constantly in line with the circumstances.				
2.7	There are prudent financial and stock management practices.				
2.8	There are remunerations for staff who get a job done.				
2.9	There are remunerations for staff who are efficient at their jobs.				
2.10	There are remunerations for loyal personnel.				
2.11	There is a salary scale or compensation scheme that meets a rise in the cost of living.				
2.12	There is an efficient monitoring and audit system.				

Item	Question	Answer		No answer	Note
		YES	NO		
2.13	Your agency imposes a just punishment on offenders.				
2.14	Punishment is strict and fits the gravity of wrongs.				
2.15	There is a highly efficient prosecuting system.				
2.16	Supervisors punish dishonest culprits strictly.				
2.17	Supervisors punish inefficient workers stiffly.				
2.18	Efforts are made to deter corruption-prone perpetrators and encourage self-improvement.				
2.19	There is a swift course of justice.				
2.20	The citizens are informed of the actions of the scrutiny committee.				
2.21	The citizens and media participate in the procurement, granting of concessions, and the issuance of rules and regulations.				
2.22	The citizens, media and NGOs play a greater role in supervising the administration.				
2.23	The agency has recourse to professional organizations in monitoring its operations.				

3. Accountability

Item	Question	Answer		No answer	Note
		YES	NO		
3.1	Every time a job is delegated to you, you always make an effort to understand and agree with the objectives, goals, and expectations for doing the job.				
3.2	For each delegation, you will know of the expectations for doing the job.				
3.3	The corporate executives communicate with and inform everyone involved about the overall plan of the organization.				
3.4	The corporate executives communicate with and inform everyone involved about the operational plan.				
3.5	Your organization constantly sets milestones to be reached for its operations.				
3.6	The organization clearly sets the method and procedure for the allocation of resources.				
3.7	Officers are always willing to embrace innovations and new technologies.				
3.8	Your organization has measures against those resistant to changes.				

Item	Question	Answer		No answer	Note
		YES	NO		
3.9	Your team members give good cooperation for the operation.				
3.10	When there are problems involving conflict, the organization has a clear procedure and steps for resolving the differences.				
3.11	The organization carries out a follow-up evaluation of the results of the resolution of the conflict.				
3.12	Information on the organization is openly disseminated to the entire staff.				
3.13	The information disseminated is accurate, complete, and not distorted in any way.				
3.14	Superiors give equal support to all members of the team.				
3.15	Members of each team in the organization can access and draw support from superiors equally.				
3.16	Every staff member in the organization can express their opinion freely.				
3.17	All members can participate in the decision-making process in the organization.				
3.18	Outstanding outcome will be given proper organizational recognition.				
3.19	All officers can be sure that their colleague will work hard and produce creditable results.				
3.20	All officers feel safe to talk or consult with one another every time there is a problem.				
3.21	Each staff member will receive a positive treatment at the successful completion of his job, and everyone will be treated equally (with no preferential treatment), e.g. pep talks and praises, in addition to material or monetary gains, which are not the only things given as rewards.				
3.22	Your organization sets a clear standard of performance.				
3.23	Your organization carries out a follow-up evaluation and takes measures against incompetent performance.				
3.24	Your organization develops indicators of work performance clearly.				
3.25	Before each operation, staff will know of certain indicators of work performance every time.				
3.26	Your organization has measures against non-performers.				
3.27	For its operations, your organization has alternative strategies in case of emergencies.				
3.28	All members of the organization understand and know of alternative strategies.				

4. Value for Money

Item	Question	Answer		No answer	Note
		YES	NO		
4.1	The majority of staff in your organization work a full 7 hours and take a 1-hour break.				
4.2	Compensation or remunerations (salary and others) received by the majority of staff in your organization are appropriate in relation to the quantity and quality of the workload.				
4.3	There were actions which benefit the agency as a whole, but are in conflict with your interest or that of the staff in your agency.				
4.4	There is clear workforce planning in the agency.				
4.5	The present staff number is sufficient for the workload.				
4.6	The personnel have the appropriate knowledge, competence, and expertise for the jobs.				
4.7	An accounting system is in place for stock control and achieving its economical use.				
4.8	There is a systematic method and procedure for budget appropriation.				
4.9	The actual expenses for public utilities at your agency are higher than the budgetary appropriation by the state.				
4.10	Personnel are good at problem-solving and do their own decision-making.				
4.11	Personnel are encouraged to have more training.				
4.12	Modern technologies and various kinds of up-to-date equipment are used to save cost.				
4.13	There is an outsourcing policy to enhance work efficiency.				
4.14	The work performance of personnel meets the goals set.				
4.15	The work performance of the agency meets the goals set.				
4.16	An evaluation system for work performance is an integral part of management.				
4.17	There is annual or agenda-based policy determination by management executives.				
4.18	There is annual or agenda-based planning by management executives.				
4.19	Management executives communicate with personnel responsible on the overall plan of the agency.				
4.20	There is regular communication to enhance understanding of the overall plan.				
4.21	Operational plans are made to fit the organization structure.				

Item	Question	Answer		No answer	Note
		YES	NO		
4.22	Communication is made with the units to enhance understanding of operational plans.				
4.23	Communication to enhance understanding of the operational plans is made regularly.				
4.24	There is a vision imposed (to set direction for what is to done next).				
4.25	There are goals set for the agency.				
4.26	There is a mission statement (of uppermost tasks to be done) for the agency.				
4.27	The vision, mission, and goals of the agency are disseminated and communicated to the personnel in the agency to create understanding.				
4.28	The vision, mission, and goals of the agency are disseminated to the general public.				
4.29	When faced with changing internal and external circumstances such as disasters, economic downturn, and personnel budget cut, your agency already has an alternative strategy in store to deal with the uncertainty.				
4.30	The vision, mission, and goals of the agency indicate that efforts are made to transform the productivity or management of the agency in the right directions, adding to the value and quality of its outcomes and services.				
4.31	In your agency, the standard of performance is clearly set.				
4.32	The standard of performance is the result of cooperation by the staff in the organization.				
4.33	Your agency has staff who are responsible for customer relations.				
4.34	Your organization has the customer consultant/complaints department.				
4.35	All complaints are promptly dealt with.				
4.36	Only those complaints that have real urgency or will affect the majority of the people will be promptly dealt with.				
4.37	Only those complaints that affect important persons both in the line of work or in political circles will be promptly dealt with.				
4.38	There is a post-service follow-up in the form of consultations.				
4.39	Follow-up consultations are given regularly.				
4.40	Staff are willing and determined to make service delivery at all time and in every situation.				
4.41	The agency posts a notice to announce the guidelines on using the services.				

Item	Question	Answer		No answer	Note
		YES	NO		
4.42	The agency broadcasts the guidelines on using the services.				
4.43	Complaints are lodged against your agency concerning the high prices of products or services.				
4.44	High-level executives play a role in bringing about development and changes (concerning operations, standard, practices, service quality) in the agency.				
4.45	Executives are open to staff opinion.				
4.46	Executives are open to public opinion.				

----- Thank you for your cooperation in answering the questionnaire -----



Questionnaire for the Public as Recipient of the Service Provided by the Agency
On Good Governance in Public Sector Agencies

Explanations

This questionnaire is prepared by King Prajadhipok's Institute (KPI) to survey opinions of the public who are the recipient of public service provided by government agencies . The objective is to measure the efficiency and effectiveness of public service delivery by government agencies, an essential feature of their good governance record. Researchers and assistant researchers are required to conduct interviews with the target groups by following these guidelines:

1. Interviewer will ask only questions on the questionnaire and mark (✓) in the space provided for the multi-choice question and fill in the response by interviewee for the fill-in question. Do not allow interviewee to make any mark himself as it is likely to result in confusion.
2. All questions should be answered for completeness of the final processing.
3. After the end of the interview, the team leader is to check the correctness of everything.

KPI herewith requests your cooperation in responding to this questionnaire.

Yours sincerely,

Dr. Thawilwadee Bureekul
Director, Research and Development Office,
King Prajadhipok's Institute

Introduction: Good morning (afternoon), Sir/Madam, I am from King Prajadhipok's Institute. I am here today to conduct a survey on evaluation of your agency's good governance record.

Part One: Basic Data

1. Gender Female Male
2. Age.....Years
3. Occupation
4. Highest education
5. Agency providing service
6. Your purpose for using service.....
7. Monthly income.....
8. Residence zone Tambon.....Amphoe (District).....
.....Province.....

Part Two: You are asked to make an assessment of the level of good governance of your agency on the following issues :

2. Rule of Law

Item	Question	Answer		No answer	Note
		YES	NO		
2.1	You know of the services provided by the agency.				
2.2	You know of the work procedure of the officials in providing you with services.				
2.3	You know of your right to the services provided by the agency.				
2.4	You are given an opportunity to give information or facts to the officials before any action is taken.				
2.5	In your opinion, the actions of the officials are just.				
2.6	You know of the right to lodge a protest or appeal against unfair services.				
2.7	You used to lodge a protest, an appeal, or bring a prosecution against unfair services provided by the agency.				
2.8	You participate in the formulation of service provision guidelines.				
2.9	You know of a schedule of the services given.				

3. Participation

Item	Question	Answer		No answer	Note
		YES	NO		
3.1	The agency disseminates information on its tasks and services.				
3.2	In your opinion, the information given is accurate.				
3.3	In your opinion, the information given is complete.				
3.4	The agency gives information to government officials.				
3.5	The agency gives information to those directly affected.				
3.6	The agency gives information to the general public.				
3.7	The agency gives information via the media.				
3.8	The agency uses news agencies to spread information.				
3.9	The agency uses community leaders to spread information.				
3.10	The agency spreads information by posting notices.				
3.11	The agency spreads information via radio.				
3.12	The agency spreads information via television.				
3.13	The agency spreads information via newspapers.				
3.14	The agency uses other media to spread information.				
3.15	The agency only gives information infrequently.				
3.16	The agency gives information at intervals.				
3.17	The agency gives information on a daily basis and continuously.				
3.18	The agency provides the people with channels of access to the information given by the agency.				
3.19	The agency provides the people with convenient channels of access to the information given by the agency.				
3.20	Accessing information given by the information is done at a cost.				
3.21	Those wishing to obtain information from must pay a high cost.				
3.22	The agency listens to opinion and suggestions from external agencies.				
3.23	The opinions received by the agency are used to improve its operations.				
3.24	You participate in the planning and decision-making by the agency.				

4. Value for Money

Item	Question	Answer		No answer	Note
		YES	NO		
4.1	In your opinion, the products or services are up to standard, convenient, and fast.				
4.2	In your opinion, service staff are willing and attentive in serving you.				
4.3	This agency provides post-service follow-up through consultation or recommendation.				
4.4	Follow-up and consultation are given regularly.				
4.5	Follow-up and consultation are of practicable value.				
4.6	In your opinion, the prices of products or service rates set by this agency are appropriate, compared with the quantity and quality received.				

----- Thank you for your cooperation in answering the questionnaire -----

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