

CHAPTER II

LITERATURE REVIEW



This chapter presents the synthesis of the literature review of theory, concepts, and issues related to the topic of this research. The literature review has been conducted relying on published works and accredited internet sources. Moreover, it is also based on unpublished works, particularly regarding the AUN, acquired directly from the AUN.

2.1 Theory and Concepts

This section includes theory and concepts related to the topic of this research. Since regional cooperation and regional integration underlie the focus of this study, regional integration theory is taken into account as a ground theory. The concepts of region, regionalism, and regionalization relate to this topic. This theory and these concepts must be explored for a more comprehensive understanding in theoretical terms which can lead to a theoretically-based analysis.

2.1.1 Regional Integration Theory

The rise of regional integration processes in the post World War II period in Europe and many regions has simultaneously raised interest in, and the development of, this political phenomenon in theoretical terms. Since regional integration theory has been extensively studied and discussed, a wide range of definitions and modalities have been given. Significantly, defining the concept of integration is an ongoing process and there has yet to be an agreed upon universal definition or single, concrete viewpoint. According to Deutsch, what matters in regional integration is community building. It is more of a final condition, rather than a process, the attainment of a sense of community amongst a population within the same territory. Therefore, communication is significant in Deutsch's perception of regional integration, as evidenced by the hypothesis in his work that the intensity of international community can be measured using the quantity of transnational

communication between the countries within that community (Deutsch, 1953). Nye agrees that integration is a condition which makes a group of people accept the commitment to, and agreement on, mutual benefits which is a process in community building (Nye, 1968: 7 cited in Suvanajata, 1997: 22-23). According to Hass, regional integration theory is concerned with explanations on how and why states cease to be wholly sovereign, how and why they voluntarily mingle, merge, and mix with their neighbors, so as to lose the factual attributes of sovereignty while acquiring new techniques for resolving conflict between themselves (Hass, 1979: 607-646). Integration in terms of Lindburg's perception of it means that integration is a process of making a structure of collective commitment according to the agreement and satisfaction of all member countries (Lindburg, 1971: 54 cited in Suvanajata, 1997: 25). The definition and perception of the nature of regional integration is varied and has yet to reach a static point up to the present. Duffy and Feld summarize these different perspectives in a broad sense: that regional integration theory evolved into a cornucopia of explanations for the development of governmental institutions which seemed to go beyond the nation state (Duffy and Feld, 1980: 497).

When speaking of regional integration theory, one must take into consideration the different viewpoints on "integration" which involve many schools of thought, since its process covers a variety of concepts and, so too, theoretical frameworks. Some influential, conventional mainstream theorizing approaches which are often referred to in this field are: *federalism*, *transactionalism*, *functionalism*, and *neofunctionalism*. *Federalism* is a form of integrating system that unites several states into one country. There must be a legal limitation on the decentralization of political power under a constitution. Examples of federalism are the United States of America and Australia. One might say that regional integration theory evolved from federalism, if one considers that a federalist approach had been accepted as prior aim of European integration. *Transactionalism* is different from federalism in terms of its form. Instead of depending on law or institutions, a significant element of transactionalism is a sense of community among people. As explained by recognized transactionalist Karl Deutsch, his concern is with the conditions of a community,

whereby communication is important in creating a sense of community. In these terms, integration can be quantitatively measured through the capacity of transnational communication (Deutsh, 1953). *Functionalism* attempts to improve common economic and social problems by establishing a mono-functional organization which is believed to give spill-over effects. Experienced in both World Wars, David Mitrany, an early functionalist, gave his hypothesis on the resolution to transnational conflicts: through more interaction in a particular sector, layers of sovereignty can be removed (Mitrany, 1948: 350-363). Moreover, social and economic problems which overwhelm the abilities of one nation can also be solved. *Neofunctionalism* is based on the functionalist principle of spill-over effects which will result in an ever-widening circle of social and economic integration. However, this raised a question, according to Ernst B. Hass, who argued that functionalism has less political involvement in its process. This led to the main difference with neofunctionalism, which places an emphasis on politics in the regional integration process, particularly the establishment of supranational institutions, unlike functionalism which is merely a loose structure of integration (Hass cited in Duffy and Feld, 1980: 500-505).

In summary, different school of thought created unique approaches which make regional integration theory embody extensive definitions and concepts. In a general sense, at the core of regional integration theory is an effort to give explanations for the intensification of relations among nation states which has become a current global political phenomenon. Yet, regional integration experiences in the globalization era still cannot be theoretically defined using a single approach. Over the past decades, issues regarding regional integration theory have been discussed and reproduced and/or with some different perspectives e.g. regionalization in global governance, the obsolescence of regional integration theory (Duffy and Feld, 1980: 497-521), etc. As long as attempts at regional integration remain ongoing, discussions and studies on its theory and the development discourse of its process will still be discussed, on and on, ad infinitum.

2.1.2 Region, Regionalism, and Regionalization

To gain a more comprehensive understanding of regional cooperation and regional integration, fundamental terms like region, regionalism, and regionalization are studied. The various views which are expressed in previous studies of regional cooperation and integration reveal that what these terms denote changes according to context. It is from this 'flexibility' in definition that confusion derives. Apart from giving a scope of definitions, the definitions which are most appropriate to the context of this research are formed and provided in this section.

Region

"The word region stems from Latin 'regio', which denotes "direction, point of the compass", but later develops by association with 'regere', to direct or rule. Region was defined as the territory controlled by a regent and his regiment, so it should not come as a big surprise that a region had indeterminate boundaries. While this points at a potential essence of 'region', it is impossible to assert any original meaning to the concept as its particular connotations have varied greatly over history and across different cultural contexts.

What, then, is a region? It's a simple question, yet one that defies a simple answer (United Nation University, 2010 : online)."

In accordance with the statement above, the meanings of region are available in a myriad of connotations but one might have difficulty in giving a simple answer to the question of what a region is. Notwithstanding abundant definitions that scholars have drawn in theoretical terms, 'region' has neither a single definition nor an exact territory. The more research and studies are conducted regarding regions, the more theories and concepts abound.

In general, the term 'region' involves a geographical sense but the perception of its territory can belong to manifold typologies. Relying on the broadest distinctions involves dividing into region by geography and region by construction. This means apart from regions which have emerged historically according to geographical features like physical barriers which line the borders of different states, regions can also be bounded by different constructed approaches e.g. physiographic regions, paleogeographic regions, natural resource regions, religious regions, political regions, etc.

Region by geography was perhaps the most familiar understanding of the term, before the rise of regionalization and globalization. Common perception of a region was related to an area within one nation's territory, for instance, a Northern region, Southern region, etc. This concept is also termed a 'micro region', which is defined as a territorial area that is smaller than the state to which it belongs, but larger than a municipality e.g. provinces, districts, etc. Thus, region from this perspective can be conceptualized as a large area of land excluding the capital city (Oxford Advanced Learner's Dictionary).

Speaking of region in contemporary international politics can refer to a region as constructed. Region in the 'constructivist' approach was suggested by Hettne (cited in Tarling, 2010: 6): regions come to life as we talk and think about them. In other words, regions have been invented. One may find this idea a parallel of the concept of imagined community (Anderson, 2006). Region referred to in international organization is also known as 'macro region' or referring to the world's regions. For instance, in the World Health Organization (WHO), member states are grouped into 6 geographical regions: Africa, the Americas, the Eastern Mediterranean, Europe, South-East Asia, and the Western Pacific (World Health Organization, 2010 : online). Through the expansion of regionalization in the globalization era, increased regionalization in political-security (state-led), economic (market-led), and other issues has led to the active role of governments and non-national agents in processes of regionalization. Thus, region in contemporary

international politics frequently refers to an agency basis which is usually rooted in historical communalities e.g. proximity, homogeneity. The establishment of economic agents like a free trade area or common markets (NAFTA, AFTA, and etc.) exemplifies the distinction we can make between regions on an agency basis (Beerkens, 2004: 29).

In summary, through the enlargement of transnational cooperation and linkages between countries, the notion of 'region' has become more varied and flexible. It may be sensible to define the term contingent on perspective and how it is conceptualized in each context. For clarification of the meaning of the term 'region' used in this research, the region of "Southeast Asia" involves a political agency basis, since it refers to the collection of ten ASEAN member states.

Regionalism

Regionalism usually connotes a body of ideology, as its suffix (-ism) suggests (Frost, 2008: 15). Regionalism is used as a theoretical term which could lead to political movement and intellectual trends which emphasize the aim of regional integration.

Although regionalism has manifested itself in the international system particularly in the post Cold War period, it is not a new concept. In the historical archives of several parts of the world, military alliances and trade agreements are a familiar scenario. Analogous experiences are mentioned as existing since Greek times, around 200-300 B.C. It is believed that they laid the foundation for the more complex structure of the present European Union (EU) (Oranee, 2000: 1).

In terms of contemporary trends of regionalism, the first wave was observed to have proliferated in the 1930s. During the 1950s and 1960s, regionalism was embraced in Europe as a strategy to enhance the region's security and stability but enthusiasm for regional integration declined in the late 1960s. In the early 1970s,

regionalism ceased to function because its ambitious strategy was found to have limited impacts, and the progress of globalization had started to gain global attention. Regionalism was revitalized following an intensification in Europe in the mid 1980s which laid out the contemporary trend of global governance. This return of regionalism, addressed in recent studies as 'new regionalism', has now become one important trend in contemporary international relations (Schulz et al, 2001: 1). This chronology conforms to Hettne, as he asserts that old regionalism was created in the bipolar world whilst new regionalism originated in the more pluralistic conditions of the post-Cold War era, where there is a greater possibility for spontaneous development (Pulmujoki, 2001: 2). This revitalized regionalism weaves linkages across countries in many spheres, which has caused a multiplication of transnational organizations in a number of fields. As mentioned by Lombaerde, regarding new regionalism:

“Although the process of regional integration that emerged after the Second World War were emphasized mostly on economics, but it has become perspicuous that regional integration can be seen as a multidimensional process. With the so-called “new regionalism” wave, the regional integration process implies not only economics but also politics, diplomacy, security, culture, and etc (Hettne, 1999 cited in Lombaerde, 2006: 9).”

In summary, regionalism is used in theoretical terms to refer to the body of an ideology which could form political movement. It influences the expansion of a political unit by increasing transnational cooperation in several fields, particularly amongst groups of adjacent countries. Many approaches have been used when studying regionalism. Observing the development of regionalism up to the present in a regional entity, more than one approach might be necessary. The revitalization of regionalism, the so-called “new regionalism”, is often found in recent research since it has become a vivid feature in international relations in recent decades.

Regionalization

“Regionalization is a process, integration is its fruit (Frost, 2008: 14)”.

As stated above, regionalization is often referred to as a process whereby regional integration is emphasized. Such processes enhance cooperation within a geographical space towards integration in various fields e.g. security, economy, culture. Among various fields of cooperation, economic cooperation is often emphasized in the regionalization process. Andrew Hurrell (1995) defined regionalization as a process of connecting between borders, which includes the transference of products, services, capital, technology, information, human resources, etc. This process emphasizes the roles of market and economic actors among interdependent states within a region, based on a significant scheme which is a trade agreement. However, the field of cooperation has been broadened, particularly since the 1980s. Schulz et al. concluded in their study on regionalization:

“Ranging over nearly all the important ‘world’ regions in the global-system today – Europe, the Middle East, West Africa, Southern Africa, Caucasia and Central Asia, South Asia, the Caribbean, Southeast Asia, East Asia, North and finally South America – this study emphasizes that regionalization is an unevenly developing, heterogeneous, pluralistic and multidimensional phenomenon, but nevertheless global (Shulz et al, 1999: 2),”

Regionalization has most obviously proliferated in Europe, but now it has also become a truly global phenomenon. Amidst the globalization era, where attempts at enlarging and intensifying relations between countries are still in the making, the growth of regionalization through the enlargement and intensification of a region still actively proceeds. Parallel concepts like globalism and regionalism are both trends which are closely intertwined with global governance. Regionalization has been viewed at the regional level as a strategy to create stability in a region and to gain more bargaining power when it comes to the global arena. Thus, regionalization shows dynamism at the sub-global, or in other words, regional level.

Overall, regionalization connotes a process of building a network within a region which directly involves the governmental level e.g. foreign policy, security issues. Therefore, if the state and people in a given geographic location deny the necessity of such a network, attempts at regionalization will undoubtedly be useless.

Through recourse to the theoretical literature regarding these correlatives: region, regionalism, regionalization, and regional integration, one might have difficulty in offering concise and solid explanations of them. Being terms which are much debated and have extensive ideological overtones, they may cause discomfort to those who try to define them, since their meanings are subjective and varied. Nevertheless, the following sentence is an effort to generally sum up the connection between these terms in a concise way, as they relate to this research: If regionalism is defined in the sense of being an ideology or theoretical concept, of which regional integration is the goal, regionalization refers to the process of making it so.

2.2 Background Literature

2.2.1 Higher Education Cooperation in Southeast Asia

The development of higher learning levels in Southeast Asia is the result of direct and indirect influence from the West. According to the historical backgrounds of Southeast Asian countries, most of their systems have their roots in non-Asian systems e.g. French, Dutch, Spanish, and British. Thus, they operate in very different administrative and political contexts (Beerens, 2004: 29-40). Realizing the significance of higher education and its contribution to economic and social development at large, there was a rapid expansion of higher education institutions, especially after the struggle for political independence and national reconstruction of many former colonies. Following the increase of international cooperation, particularly after World War II, new initiatives on higher education cooperation at both the inter-university level and inter-governmental level have been created. Global cooperation on higher education e.g. UNESCO and the International Association of

Universities (Hayden, 1967) has had a strong influence on higher education development in Southeast Asia.

Chronologically, major initiatives and cooperation on higher education that have involved Southeast Asian countries can be traced back to 1956 when the Association of Southeast Asian Institutions of Higher Learning (ASAIHL) was founded. The ASAIHL is a non-government organization comprising 110 member universities from 8 states within the region and 42 member universities from Japan, Australia, New Zealand, the USA, Canada and Sweden. ASAIHL provides a forum for, and assistance to, member institutions for the development of cooperative arrangements on specific projects and relationships with regional and international bodies. UNESCO also pushes forward some initiatives on higher education cooperation through its regional office, the “Asia and Pacific Regional Bureau for Education”. In 1961, the UNESCO office was established in Bangkok as the Asian Regional Office for Primary and Compulsory Education and it was expanded to cover all levels of education.

An early initiative on education at the inter-governmental level was the establishment of the Southeast Asian Ministers of Education Organization (SEAMEO) in 1965 (ASEAN Secretariat, 2010 : online). SEAMEO aimed to promote cooperation in education, science and culture in the Southeast Asian region. In achieving this aim, specialized institutions were formed as Regional Centres under the SEAMEO network, one of which focuses on higher education and development and is known as the Regional Institute of Higher Education and Development (RIHED). RIHED was conceived jointly by UNESCO and the International Association of Universities (IAU) in collaboration with the Ford Foundation in 1959 but it began to officially operate under the umbrella of SEAMEO in 1992. Part of the vision of SEAMEO, RIHED was to be a catalyst in higher education with an emphasis on management and administration. Its aim was to play a significant role in the enrichment and reform of higher education by conducting training, workshops, seminars, conferences, and research, as well as in the dissemination of information

(RIHED, 2010 : online). In 1993, 'University Mobility in Asia and the Pacific' (UMAP) was established with the aim of achieving enhanced international understanding through increasing the mobility of university students and staff from institutions in the Asia-Pacific region. UMAP is a voluntary association of government and non-government representatives of the higher education (university) sector in the region (UMAP, 2010 : online). In 1995, the Association of Universities of Asia and the Pacific (AUAP) was established by representatives of universities from the Asia-Pacific region. Its primary purpose was to provide the means to strengthen the capacity of member institutions which would lead to well being, community, human resources development, socioeconomic development, and peace. Regular membership and associate members of AUAP (as of 27 November 2009) include 209 institutions from 19 countries within the region.

At the ASEAN level, one of ASEAN's aspirations for education cooperation can be seen through the formation of the ASEAN Education Task Force in 1977. Notable ASEAN cooperation in the field of education was made in the 1980s under the ASEAN Development Education Project (ADEP) with financial assistance from Australia (ASEAN Secretariat, 2010 : online). Nevertheless, the focus of early initiatives was not on higher education in particular. In terms of ASEAN cooperation on higher education, the most notable case was the initiative to establish an "ASEAN University" which later developed into the collaborative network known as the ASEAN University Network established in 1995.

2.2.2 Regional Cooperation in Southeast Asia: The Establishment of the Association of Southeast Asian Nations (ASEAN)

During the pre-formation years of ASEAN, there were earlier attempts by Southeast Asian countries to form regional organizations (Pollard, 1970: 244) e.g. the Southeast Asia Treaty Organization (SEATO) from 1954 to 1977, the Association of Southeast Asia (ASA) from 1961-1967, etc. The flaws in these previous organizations were taken into account in order to protect the new regional cooperation attempt,

ASEAN, from encountering similar problems. For instance, member countries are limited to merely being countries within the region, and the structure of the organization was adapted to be more loose and flexible (Pitsanu, 1997: liv-lv). ASEAN started with a common vision among its five founding member countries: Indonesia, Malaysia, the Philippines, Singapore and Thailand, to enhance the political stability and prosperity of the region. As declared on August 8th, 1967 in “The ASEAN Declaration” (Bangkok Declaration”), ASEAN was established with the following aims and purposes (ASEAN Secretariat, 2010 : online):

1. To accelerate economic growth, social progress and cultural development in the region through joint endeavors in the spirit of equality and partnership in order to strengthen the foundation for a prosperous and peaceful community of South-East Asian Nations;
2. To promote regional peace and stability through abiding respect for justice and the rule of law in the relationship among countries of the region and adherence to the principles of the United Nations Charter;
3. To promote active collaboration and mutual assistance on matters of common interest in the economic, social, cultural, technical, scientific and administrative fields;
4. To provide assistance to each other in the form of training and research facilities in the educational, professional, technical and administrative spheres;
5. To collaborate more effectively for the greater utilization of their agriculture and industries, the expansion of their trade, including the study of the problems of international commodity trade, the improvement of transportation and communications facilities and the raising of the living standards of their peoples;
6. To promote South-East Asian studies;
7. To maintain close and beneficial cooperation with existing international and regional organizations with similar aims and purposes, and explore all avenues for even closer cooperation among themselves.

These aims eventually came to be shared by ten Southeast Asian nations when Brunei Darussalam joined in 1984, Viet Nam in 1995, Lao PDR and Myanmar in 1997, and Cambodia in 1999. The addition of these new members from Southeast Asian countries made the present number of ASEAN member states to be 10 in total. Although in the early days of ASEAN some skepticism over its efficiency was expressed (Hill, 1978: 569-575) and questions about Southeast Asia and its regional status were raised (Xuto, 1973: 13-15), after a four decade journey ASEAN has shown to the world that it has been an active regional body in Southeast Asia up to the present.

In order to strengthen the consolidation of ASEAN countries, the ASEAN Leaders agreed to establish the ASEAN community on a shared vision of ASEAN as a concert of Southeast Asian nations, outward-looking, living in peace, stability and prosperity, bonded together in partnership in dynamic development and in a community of caring societies, to be achieved by 2020 (ASEAN Secretariat, 2010 : online). The agreement was legally announced in the Declaration of ASEAN Concord II at the 9th ASEAN Summit in Bali in 2003. To affirm their strong commitment to this initiative, the Leaders agreed to accelerate the establishment of an ASEAN Community from 2020 to 2015 at the 12th ASEAN Summit in January 2007. The Acceleration of the Establishment of an ASEAN Community by 2015 was signed in the Cebu Declaration. The ASEAN Community comprises three pillars: ASEAN Political-Security Community (APSC), ASEAN Economic Community (AEC), and ASEAN Socio-Cultural Community (ASCC). It is undeniable that all three pillars interact and intertwine. A blueprint in each field, the APSC Blueprint, AEC Blueprint, and ASCC Blueprint, were created to be used as guidelines for the further implementation of ASEAN countries and related ASEAN bodies.



2.2.3 ASEAN Cooperation on Education

When the trend of “new regionalism” started to become apparent in the region, the concept of spill-over effects motivated ASEAN cooperation to occur in several spheres, one of which is education. On the route to community building, education has been one of ASEAN’s focuses to secure political and economic stability against big power rivalry. Education is viewed as a mechanism for creating a knowledge-based society and enhancing the competitiveness of ASEAN member countries. Hence, regional cooperation in education should be emphasized since, as suggested by De Jesus et al.:

“Regional cooperation in education can lead to more material benefits by pooling together the best R & D researchers for the common benefit of the member countries of the region can give ASEAN corporations a hand in this competitive world” (De Jesus et al, 1991: 17).

Furthermore, education is also seen as an important vehicle for increasing ASEAN consciousness and sense of belonging to the ASEAN community. Thus, it is a significant tool to embed the “we feeling” by providing a deeper understanding of history, languages, culture, and common values amongst all ASEAN countries. Taking communal perception of the population into account, a significant factor in the process of regional integration is education. This concept was mentioned by Severino, former Secretary General of ASEAN:

“Underlying all this would be the expansion of the scope of perceived common interests, common interests in peace and stability, in regional economic integration, and cooperation for common purpose. This would require the patient and long term endeavor of education, both of the public at large and of children in their formative years” (Severino, 2008: 110).

Although several points of the declared purposes for ASEAN’s establishment (inclusive of aims number 1, 3, 4, and 6 in the Bangkok Declaration) indicated the intention for education cooperation, there had yet to be any concrete

cooperation on education a decade after ASEAN's establishment. It was only after the 1980s when material ASEAN cooperation on education became more visible. In 1977, the ASEAN Education Task Force was formed to study problems and necessities in the educational aspect of ASEAN countries. Recommendations on academic cooperation among ASEAN countries were given from these baseline studies (Srisa-Arn, 1977: 2). The task force was comprised of representatives who specialized in education from ASEAN countries (not over two representatives from each country).

Realizing the significance of education to future development, cooperation on education has been placed at the core of ASEAN's development process towards ASEAN Community. In recognition that the contribution by SEAMEO to regional cooperation on education preceded ASEAN's establishment, ASEAN's cooperation on education prioritized its mission in collaboration with SEAMEO. At the 11th ASEAN Summit in December 2005, ASEAN leaders agreed on the ASEAN Education Ministers' decision to convene the ASEAN Education Ministers' Meetings (ASED) annually. Four priorities in ASEAN cooperation on education were addressed by the ASEAN Education Ministers:

- a. Promoting ASEAN awareness among ASEAN citizens, particularly youth;
- b. Strengthening ASEAN identity through education;
- c. Building ASEAN human resources in the field of education; and
- d. Strengthening ASEAN University Networking. To this end, various projects and activities have been/ are being developed/ organized to fulfill the directives.

At the ministerial level, planning is done by ASED and the implementation of the programs and activities initiated is carried out by the ASEAN Senior Officials on Education (SOM-ED) which then reports to ASED. SOM-ED also oversees cooperation on higher education, which is coordinated by the AUN as mentioned in the ASCC Blueprint (ASEAN Secretariat, 2007 : online):

“V. Promote education networking in various levels of educational institutions and continue university networking and enhance and support student and staff exchanges and professional interactions including creating research clusters among ASEAN institutions of higher learning, in close collaboration with the Southeast Asia Ministers of Education Organization (SEAMEO) and the ASEAN University Network (AUN)”.

Figure 3 shows the structure of ASEAN Cooperation on Education.

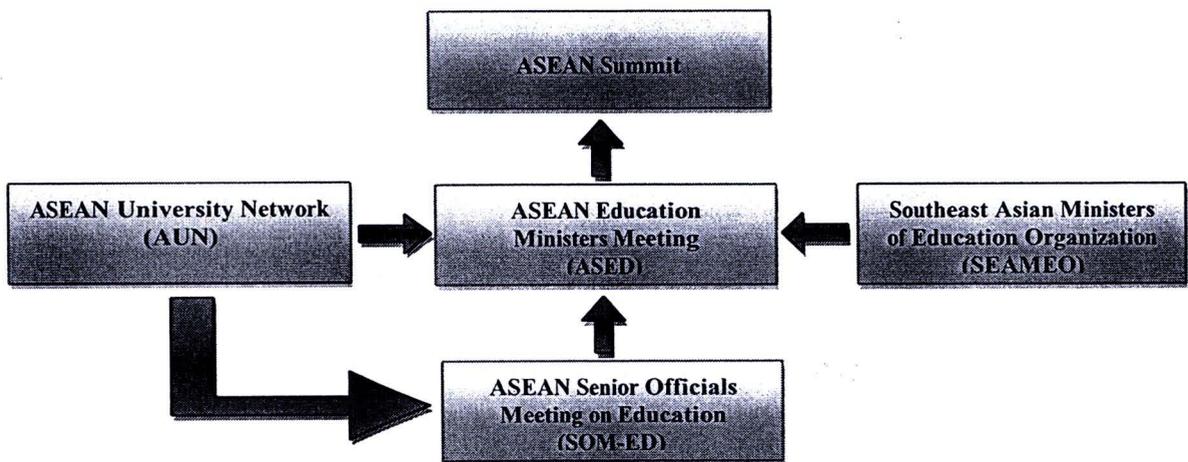


Figure 3: Structure of ASEAN Cooperation on Education
(ASEAN University Network, 2007: 33 (with minor changes))

To strengthen the relationship of ASEAN countries following ASEAN’s aim to become more integrated, the private sector and non-government stakeholders made inroads into collective regional consciousness (Abad, 2010 : online). In this research, the ASEAN University Network was chosen as a case study of an autonomous organization aiming to promote regional integration through human resource development, specifically by cooperation on higher education.

2.2.4 ASEAN Cooperation on Higher Education: The Establishment of the ASEAN University Network (AUN)

Realizing the significance of encouraging unity not only among governments but also among the diverse populations of states, cooperation on the people-to-people aspect has been emphasized. Underlying the perspective that the socio-cultural pillar is the foundation which permeates all three pillars of the ASEAN Community, human resource development has been stressed as a means of enhancing the competitiveness of individual member-states, as well as ASEAN as a region. The aspiration to create a mechanism to link ASEAN's higher education institutions and enhance academic cooperation at the higher education level was added in the initiative of ASEAN's Function Cooperation on Education.

The primary initiative for ASEAN cooperation on higher education was born at the first meeting of the ASEAN Ministers of Education in 1977, when the concept of an 'ASEAN University' was raised, but it was not developed until 1992. Although there was ASEAN cooperation in the field of education in the 1980s, e.g. the ASEAN Development Education Project (ADEP) (which is a joint project of the Governments of ASEAN and the Australian Government), it did not place an emphasis on higher education in particular (Beerkens, 2006: 45). Hence, the issue of strengthening the existing network of higher education institutions in the region and ultimately establishing an ASEAN University was raised again by the ASEAN leaders at the fourth ASEAN Summit in 1992. It was decided that ASEAN should help hasten the solidarity and development of a regional identity through the promotion of human resources development by considering ways to further strengthen the existing network of the leading universities and higher education institutions in ASEAN countries. On this occasion, a study regarding the possibility of this matter was conducted and reported at the first meeting of the ASEAN subcommittee on Education (ASCOE). It was suggested that establishing the ASEAN University should be done on a phase-by-phase basis. The subcommittee agreed upon the initial phase of an ASEAN University establishment by forming a network of degree-granting institutions in the region in a

pilot phase. At the second ASCOE meeting in 1994, a draft charter for the ASEAN University Network was prepared for its establishment in the following year.

In November 1995, the initiative was implemented in the form of the AUN, with the aim of ultimately establishing an ASEAN University based on this expanded network. The AUN's work is governed by its Charter and principles outlined in the Memorandum of Agreement. The AUN was officially established by the signing of the AUN Charter by the Ministers responsible for Higher Education from ASEAN countries. Moreover, the "Agreement on the Establishment of the ASEAN University Network" was signed by presidents, rectors, and vice-Chancellors of founding member universities. The signing of the agreement and the charter mandated the structure of the AUN.

- **The AUN's Structure**

As stated in the AUN Charter, the organizational structure of the AUN comprises three interrelated working levels: the policy level (AUN Board of Trustees), the implementing level (participating universities in ASEAN member countries), and a coordinating and monitoring agency (AUN secretariat).

The structure of the AUN and its connections are shown in figure 4.

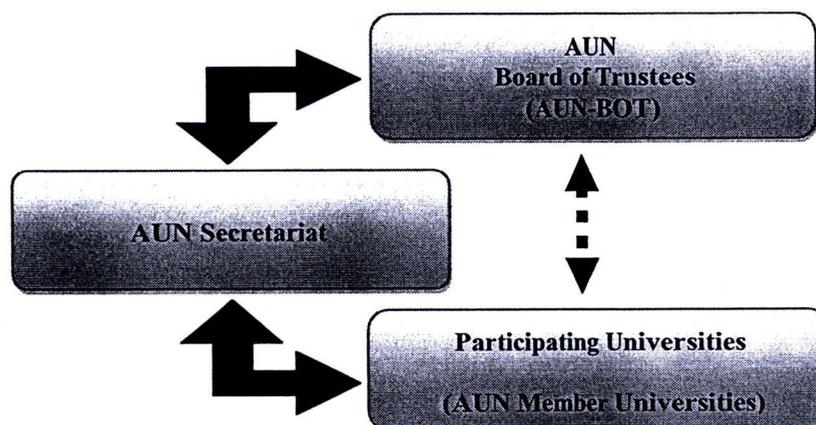


Figure 4: Structure of the AUN

AUN Board of Trustees (AUN BOT)

The AUN BOT is the policy making level which comprises one representative from each of the ASEAN Member Countries as designated by their respective governments and the Secretary-General of ASEAN, the Chairman of SOM-ED, and the Executive Director of the AUN, as *ex-officio* members. The AUN BOT was originally organized twice a year but the new AUN Charter mandated the meeting to be once a year since July 2010. The AUN BOT meeting is organized by ASEAN countries, rotating in alphabetical order, through the facilitation of the AUN Secretariat in association with the participating university of the particular country in charge of organization. The main function of AUN BOT is to formulate policies for the operation of the network, to approve proposals for projects, to appoint the Executive Director and staff of the AUN Secretariat, and to conduct the periodic review and evaluation of on-going projects and activities.

Participating Universities (AUN Member Universities)

The Participating Universities implement the activities of the AUN. After 14 years since its establishment, there are now 26 member universities from 10 ASEAN Member Countries (as of September 2010)³. The current AUN participating universities are:

- Universiti Brunei Darussalam, Brunei Darussalam
- Royal University of Phnom Penh, Cambodia
- Royal University of Law and Economics, Cambodia
- Universitas Gadjah Mada, Indonesia
- Universitas Indonesia, Indonesia
- Institut Teknologi Bandung, Indonesia
- Universitas Airlangga, Indonesia
- National University of Laos, Lao PDR

³ There are 13 founding AUN member universities from the 7 ASEAN countries in 1995.

- University of Malaya, Malaysia
- Universiti Sains Malaysia, Malaysia
- Universiti Kabangsaan Malaysia, Malaysia
- Universiti Putra Malaysia, Malaysia
- Institute of Economics, Myanmar
- University of Yangon, Myanmar
- De La Salle University, The Philippines
- University of the Philippines, The Philippines
- Anteneo de Manilay University, The Philippines
- National University of Singapore, Singapore
- Nanyang Technological University, Singapore
- Singapore Management University, Singapore
- Chulalongkorn University, Thailand
- Burapha University, Thailand
- Chiangmai University, Thailand
- Mahidol University, Thailand
- Vietnam National University, Hanoi, Viet Nam
- Vietnam National University, Ho Chi Minh, Viet Nam.

AUN Secretariat

The AUN Secretariat plans, organizes, co-ordinates, monitors and evaluates AUN activities. Since the AUN is a self-sustaining organization, it proposes and develops ideas for sourcing and generating funds for the operation of a self-reliant and self-sustaining AUN. Working under the umbrella of ASEAN, the AUN Secretariat collaborates with the ASEAN Secretariat regarding implementation and funding. Periodically, it assesses accomplishments following its plan. The office of the AUN Secretariat is based in Chulalongkorn University, Thailand. Based on the AUN Secretariat profile (as of June 2010), inclusive of an AUN executive director and an AUN deputy executive director, there are 13 staff members (AUN, 2010: 48).

- **The AUN's Objectives**

In this part, the objectives of establishing the AUN set by ASEAN, the objectives stated by the AUN in the Agreement on the Establishment of the ASEAN University Network, and the AUN objectives declared in the Charter of the ASEAN University Network were studied. Comparison and consideration of the objectives from these official documents pertaining to the AUN's establishment markedly show their coherence and/or distinction. Furthermore, the AUN's accordance with these objectives in its implementation can also be assessed after learning these objectives.

As stated by ASEAN, the AUN was established to serve as an ASEAN mechanism to (ASEAN Secretariat, 2010 : online):

- a. Promote co-operation among ASEAN scholars, academics, and scientists;
- b. Develop academic and professional human resource in the region;
- c. Promote information dissemination among the ASEAN academic community;
- d. Enhance the awareness of regional identity and the sense of 'ASEANness' among members.

As declared in the Agreement on the Establishment of the ASEAN University Network, the AUN shall have the following objectives (ASEAN Secretariat, 2010 : online):

1. Promote cooperation and solidarity among professionals, academics, scientists, and scholars in the region;
2. Develop academic and professional human resources in the region; and,
3. Promote information dissemination including electronic networking of libraries, exchanges and sharing of appropriate information among the members of the academic community, policy makers, students and other relevant users.

As stated in article 2 of the AUN charter, the objectives of the AUN are as follows (ASEAN Secretariat, 1995: 8):

“The general objective of the AUN is to strengthen the existing network of cooperation among universities in ASEAN by promoting collaborative study and research programs on the priority areas identified by ASEAN. The specific objectives are to promote cooperation and solidarity among scientists and scholars in the ASEAN Member Countries; to develop academic and professional human resources in the region; and to produce and transmit scientific and scholarly knowledge and information to achieve ASEAN goals.”

Comparison of the objectives from various official documents pertaining to the AUN’s establishment will markedly show its accordance with these objectives in its implementation and thus must be taken into account when considering whether the AUN is able to realize its stated goals. Furthermore, the coherence and/or distinction of the objectives should be observed. The AUN serves objectives set by ASEAN, yet the point of “ASEANness” enhancement is not explicitly mentioned in its objectives. This fact inspired this field research to assess the impacts of the AUN’s efforts to improve ASEAN consciousness amongst the participants in its activities.

- **The AUN’s Activities**

In pursuit of its objectives, the AUN provides interdisciplinary activities related to human resources development. The AUN’s activities can be initiated by various actors: member universities, the AUN Secretariat, ASEAN Secretariat. In addition to these actors, the Dialogue Partner can also propose activities. Requests are put on the agenda for the BOT to consider.

In terms of the AUN’s framework for implementation, the initial strategic focus of the AUN built on factors identified by ASEAN as helping facilitate regional cooperation in development. Those objectives are (AUN, 2010 : online):

- i. Southeast Asian studies interdisciplinary academic programmes and the availability of academic degrees in these fields of study in at least one major university in each of the member states;
- ii. ASEAN MA and PhD programmes to be undertaken as cooperative regional academic programmes, each involving courses offered by institutions of higher education in more than one member state;
- iii. ASEAN regional research projects to be undertaken jointly by scientists/scholars of more than one member state; and
- iv. ASEAN Visiting Professors programmes to enable academics from one member state to lecture for a given period of time at an institution of higher education in another member state.

These priorities identified by ASEAN, and the objectives of the AUN made upon its establishment, have led to four key areas of implementation:

- A. Student and faculty exchanges
- B. ASEAN studies
- C. Information networking
- D. Collaborative research

As more activities emerged following the early years of the AUN, the activities were expanded to six categories (Supachai, 2000: 19):

- A. ASEAN Studies Program
- B. Student and Faculty Exchange Program
- C. Scholarship for study at ASEAN universities
- D. Information Networking among ASEAN universities
- E. Collaborative Research
- F. Executive Development Program



Details of these activities can be summarized as follows.

ASEAN Studies Program

“The ASEAN Studies Programme is perceived as the main device to help enhance awareness, solidarity and identity in the region (Supachai, 2000: 20).”

For developing this program, a workshop and survey on ASEAN Curriculum was organized with the objective of creating an ASEAN Sourcebook to be utilized as a reference for an ASEAN curriculum for all ASEAN countries. It is hoped that the ASEAN Studies Program developed by the AUN can be applied to the curricula of all ASEAN member countries. The Sourcebook, in a CD-ROM format, has been distributed to all AUN member universities.

Student and Faculty Exchange Program

The activities in this program allow students as well as faculty to participate in an exchange with another AUN member university. For instance, the annual AUN Education Forum and Speaker Contest offers a stage for participants to gain more understanding on ASEAN through lectures, presentations, and cultural activities which aim to enhance ASEAN spirit. ASEAN Distinguished Professors Program provides an opportunity for faculty to make an academic visit to another ASEAN university. The Student Exchange Program allows at least a one-semester exchange of undergraduate students under the mutual agreement of a home university and host university.

Scholarship for study at ASEAN universities

This activity enables students from an AUN member university to study in an AUN member university under the conditions of the scholarships offered by particular universities e.g. tuition fee waiver, accommodation, allowance, airfare, etc.

Information networking among ASEAN universities

The objective of this initiative is to enhance the information networking among ASEAN universities. It was hoped that through the AUN's website, which comprises links to member universities' website, there would be a foundation for a virtual university, particularly with an ASEAN studies program.

Collaborative Research

This activity focuses on the generation of knowledge and expertise in any fields to strengthen ASEAN universities and to promote research collaboration among universities. This program also includes: exchange of faculty, staff, graduate students, and research publications.

ASEAN Executive Development Program

The general aim of this program is to educate and train executives who are well aware of Asian environment, culture and character in order to anticipate trends in world changes and the global economy.

Apart from the mentioned categories, another activity in the field of Business Administration is the AUN Graduate Business/Economics Programme Network (AGBEP). Its activities include a staff exchange and research database, an annual symposium, and a journal of ASEAN business and economic research.

At present, beside intra-ASEAN activities, there are also activities in collaboration with ASEAN-Dialogue Partners e.g. ASEAN-China, ASEAN-EU, ASEAN-Japan, ASEAN-Republic of Korea. Examples of these activities are: China-AUN Scholarship, ASEAN-European Engineering Exchange (ASE), ASEAN Sub-network of Higher Engineering Education for Development (SEED-NET), ASEAN-Korea Academic Exchange Program.

Generally, from studying the AUN's activities in its early years, they involve a disciplinary nature and are mainly aimed at exchange and joint curriculum development. A recent emphasized initiative is AUN Quality Assurance which has the ultimate goal of harmonizing the educational systems and standards of universities in ASEAN (Beerkin, 1993: 3). Some more investigation into the progress of the AUN on its implementation is described in the section "Role and Progress of the AUN towards Regional Integration" in this chapter.

2.2.5 AUN's Youth Activities for Youth Development towards ASEAN Integration

Realizing that human resource development leads to sustainable development, youth development has been emphasized as a strong foundation for further development. Asia is, and will continue to be, the region where most of the world's youth reside, according to the United Nation.

Statistics of regional distribution of youth population in 1950 and the projection of youth population in 2050 is shown in figure 5.

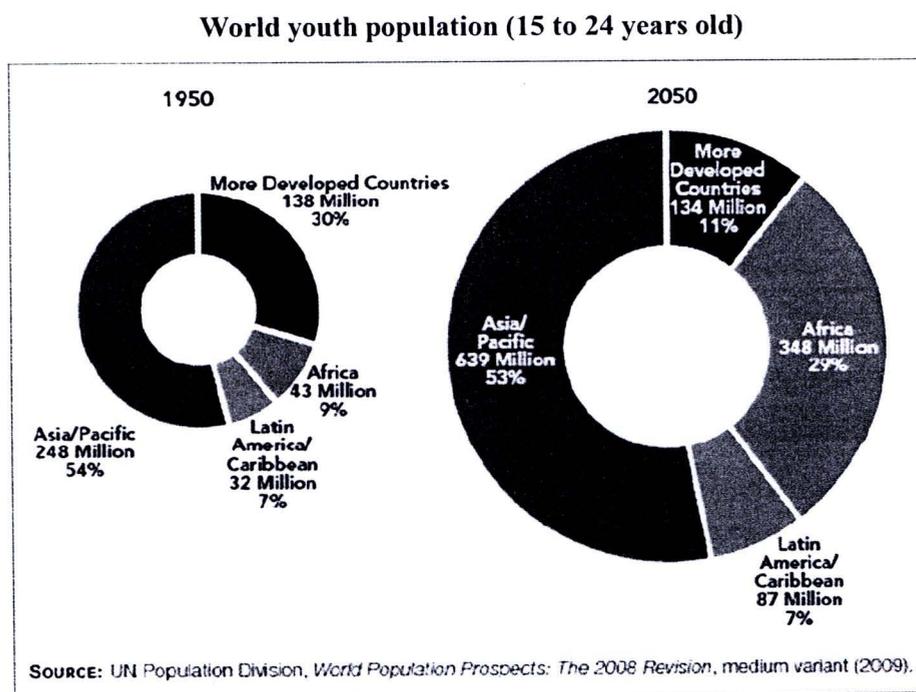


Figure 5: World youth population projection to 2050

From figure 5, it is clearly indicated that youth populations at their highest percentages are found residing in Asia and the highest percentage of global

youths in the next four decades is projected to remain in Asia. Human resource development for this group of the population is of global concern, as stated by the UN:

“This very large group will arrive at working age with a right to expect gainful employment, adequate health care, and the ability to raise a family with an appropriate living standard if they so choose. Before those things can come about, they must have had access to sufficient education and training so that they can take part in building their country’s society and economy (Population Reference Bureau, 2010 : online).”

Understanding the significance of youth, youth development in Asia has been emphasized and taken as a necessary issue of development for each country, with the ultimate aim of benefitting the country, region, and the world.

In Southeast Asia, when it comes to regional cooperation and the attempt to create ASEAN Community, ASEAN sees the significance of youth as those who will reap the benefits of ASEAN integration, while some will become future leaders. Through encouraging a strong sense of community amongst youth, it will help lay a strong foundation for regional solidarity and consolidation for the establishment of ASEAN Community. Thus, the key role of youth in helping create ASEAN community has been stressed and cooperative efforts in youth development towards ASEAN integration have grown. Investigating the implementation of the AUN, many programs were initiated to encourage people-to-people networking and increase ASEAN attitudes and awareness particularly among youth. Their shared experiences can create an ASEAN bond towards the region and also among participants from ASEAN countries. It is expected that these youth activities will help foster a greater ASEAN integration. The implementation of AUN programs which encourage youth development are namely Youth Cultural Forum, student exchange programs, student conferences, etc.

Considering recent AUN youth activities, the ASEAN University Youth Summit 2008 was held during 15-16 September 2008 with the collaboration of the Thai Foreign Ministry and the AUN. It enabled students from ASEAN countries to

share ideas and create a joint statement as the output of this summit, to be presented to the ASEAN leaders at the 14th ASEAN Summit in Thailand on the 28 February, 2009. Another example is the second ASEAN University Youth Summit 2009 held in Hua Hin, Thailand. The activity was a cooperative project between the Ministry of Foreign Affairs of Thailand and the AUN. In this activity, youth participants from 10 ASEAN countries gathered to discuss, express, and exchange their views under the theme “Empowerment through Education”. As an output of this activity, a joint statement on ASEAN Youth was tabled at the 15th ASEAN Summit in Thailand.

In this research, empirical data collection is conducted with youth participants from three recent AUN youth activities: the Japan-ASEAN Student Conference, the 8th ASEAN Youth Cultural Forum, and the 8th International College Student Exchange Program. The details of these programs and rationale for their selection are described in Chapter 3.

2.3 Role and Progress of the AUN towards ASEAN Integration

In search of the role and progress of the AUN towards regional integration, the literature review was conducted based on documents regarding the development of a strategic framework and policy, and updated information on the implementation of the AUN. Data acquisition in this section was obtained from both published and unpublished documents of the AUN, including the official website of the AUN.

The details of these developments are elaborated below.

2.3.1 The Role of the AUN towards ASEAN Integration

Education is seen to hold a significant role in building regional community. In particular, it is viewed as a mechanism to promote a deeper sense of regional consciousness which establishes a strong foundation for regional integration. Initially, the AUN was established to lay a strong structure for establishing an

ASEAN University, as described in the objectives of the AUN establishment by ASEAN. This ultimate goal was also emphasized in the Agreement of AUN Establishment and the Charter of the AUN signed upon its establishment in 1995. After two years of the AUN's establishment, the role of the AUN was once again highlighted as evidenced by section V of the Hanoi Plan of Action (HPA) signed in 1997 (ASEAN Secretariat, 2010 : online).

V. PROMOTE HUMAN RESOURCE DEVELOPMENT

5.1 Strengthen the ASEAN University Network and move forward the process of transforming it into the ASEAN University

In the early years of the AUN's establishment, when newer members had just become a part of ASEAN, the AUN's roles towards ASEAN Community were the continuation of its current mechanisms for regional collaboration and the enhancement of the capacities of newer ASEAN member countries, while the establishment of an ASEAN University was still kept in sight.

In 2005, the ASEAN Education Ministers met and raised the notion of transforming the AUN into an ASEAN University. The AUN was then tasked with exploring the feasibility of an ASEAN University establishment by being mindful of duplication or competition with existing programs by AUN member universities and the practicality of establishing a full-fledged campus. Thus, an Ad Hoc Task Force under the AUN member universities was appointed to work with a one year time frame or until the ASEAN decision makers accepted the recommendations of the Task Force. The Task Force suggested that the establishment of the ASEAN University should be done on a phase-by-phase basis. The pilot phase was a three year period when a program focusing on ASEAN's issues would be developed by a team of experts. It was decided that the program should be at the post-graduate level (MA and Ph.D) which would provide a forum to discuss and suggest solutions to key issues of ASEAN in a multi-disciplinary perspective. It should be based on 50 percent classroom and 50 percent virtual learning. Moreover, the credit transfer for students from AUN member universities must be ensured, so that students could receive

credits from this program. The coordination of this program should be the responsibility of the AUN Secretariat while the funding for a pilot phase should be requested from the ASEAN Secretariat (AUN, 2008: 49-50).

At the 19th AUN-BOT meeting in June 2006, it was pointed out that the AUN-BOT would agree to the pilot phase implementation by starting at the Master's Degree level and enlargement of the program would rely on its success from the pilot phase. However, a view on the necessity of establishing an ASEAN University was raised for reconsideration by the ASEAN leaders. Thus, during this time the roles of the AUN were, as tasked by SOM-ED, working out the modalities that would focus on strengthening the existing network of higher education institutions, ensuring mutual recognition of academic degrees and qualifications of ASEAN Studies programs, and promoting ASEAN Studies programs which draw on the strengths of different universities in ASEAN member countries. At the 20th AUN-BOT meeting in November 2006, it was reaffirmed that establishing a physical campus for an ASEAN University was not necessary. Instead, the AUN should, as suggested by SOM-ED, focus on strengthening the network of existing programs and collaborative linkages among member universities (AUN, 2008: 50-51).

Through nearly fifteen years of the AUN's operations towards regional integration, the focus and direction of the AUN was periodically adapted to be suitable to ASEAN aspirations in its planning and also to be practical in its implementation. Hence, the dynamic of the AUN's roles towards regional integration are observable in its course of development from its initial stage to the present. The roles of the AUN have now become more static regarding the aspect of strengthening the existing network of learning universities and institutions of higher learning. An initiative reflecting its prior prime role in laying a foundation for the ASEAN University is reflected in the implementation of the MA in ASEAN Studies at Asia-Europe Institute (AEI), University of Malaya. The initiative on ASEAN Studies was perceived as primary mechanism to enhance ASEAN awareness and identity in the region. It is interesting that the success of this program, if it succeeds, lies upon

whether the AUN is able to draw on the strength of its member institutions to expand as a network of ensured, mutually-granted degrees, particularly in ASEAN Studies, which would link to a stage that is very close to its initial objective and original vision.

As defined by the AUN, the development of its role and progress is generally demonstrated in term of its planning and implementation. A brief introduction to the AUN, as declared on the official AUN website is (AUN Secretariat, 2010 : online):

“A Network of ASEAN collaboration in higher education. The ASEAN University Network (AUN) is an autonomous organization, established under an umbrella of ASEAN and the mandate of Ministers responsible for higher education in ASEAN countries, dealing with the promotion of human resource development in the field of higher education within ASEAN and with its dialogue partners, namely Japan, Korea, China, India, Russia and the EU.”

The implication which lies beneath this general statement is the AUN’s current standpoint in terms of its roles and progress. Its current primary focus is on the promotion of human resource development in the field of higher education. What could be seen as a significant change is that apart from its original attempt at regionalization upon its establishment, the AUN has also now shown its attempt at globalizing human resources through more implementation with dialogue partners.

2.3.2 Progress on Planning and Implementation of the AUN

Following the agreement of the ASEAN leaders in 2007 to accelerate the establishment of an ASEAN Community by 2015, many sectors serving the mechanism of ASEAN integration must be adapted to their strategic plan. The AUN as a mechanism to encourage ASEAN awareness and human resource development must also adapt itself to better serve the new ASEAN commitment. In this regard, the AUN made progress in terms of its planning when a “Workshop on Strategic

Directions towards ASEAN Community 2015” was arranged by the AUN in November 2007. There, SWOT analysis of the AUN was conducted and future strategies of the AUN were discussed in order to formulate a strategic framework towards creating an ASEAN Community by 2015. Despite the formulation of a strategic framework for the period 2008-2015, periodic reviews are required to be undertaken to add new priorities when necessary. The key objectives and strategies in the framework as summarized by the AUN Secretariat were divided into four main priorities (AUN Secretariat, 2008: 58-59): investing in people, narrowing the development gap, narrowing the digital divide, and promoting deeper regional awareness.

For present development, according to the AUN annual report (2009-2010)⁴, it was found that the key objectives of the AUN had increased from its initial stage. Studying the progress on planning and implementation of the AUN at present, based on the AUN’s updated progress report and other related documents, some development can be found. For instance, there are 10 key objectives indicated in the AUN Secretariat Strategies Plan for 2010-2014, and the key results area has now been expanded to six key result areas.

The table below shows the present aims of the AUN, its key objectives, and progress.

⁴ See details in Appendix D.

Table 1: The AUN's aims, key objectives, and progress 2009/2010

Source: AUN Annual Report 2009/2010 (with some minor changes), page 44-45

AIMS	OBJECTIVES	PROGRESS 2009/2010
1. To ensure delivery of high quality AUN programmes, projects and activities	1. Ensuring and promoting the strong commitment of participants and key stakeholders	5 Key stakeholders actively participated in the programs and activities during 2009-2010 -22 member universities -520 students -850 academic staff -5 dialogue partners; China, the European Union, the Republic of Korea, Japan, the United States -Government Bodies and ASEAN Secretariat
	2. Ensuring delivery of key project results	6 Key Results Areas -Academic Exchange -Cultural and Non-academic Programme -Training -System and Mechanism of Higher Education -Programme/Course Development -Dialogue or the Exchange of Ideas&Views
2. To meet the challenges of collaborative research work and capacity building in ASEAN	3. Improving AUN database	Currently, the AUN Database has been in an accumulating process and it has been targeted for completion in 2011 by pooling the list of AUN area experts and other relevant resources.
	4. Promoting new collaborative research	N/A
	5. Achieving successful capacity building activities in the interests of ASEAN	3 Series of AUN QA Training were conducted in CLV countries. 1 Initiated Training on Intellectual Property&Innovation was successfully implemented in Spain.

AIMS	OBJECTIVES	PROGRESS 2009/2010
3. To expand the network's collaborative partners with primary interests in cooperation with universities in ASEAN	6. Delivering new collaborative initiatives with new dialogue partners	Current 4 Dialogue Partners are: -The European Union -China -The Republic of Korea -Japan Started cooperation between ASEAN&U.S.
	7. Investigating new sub-network initiatives	Sub-network on AUN Human Rights Education already set up in February 2010 in order to serve and support the promotion of human rights in ASEAN.
4. To seek new funding sources for the operation of AUN activities	8. Locating new funding sources for the long-term implementation of AUN activities	Japan Foundation has granted 14,000 USD to support AUN initiatives on the University Social Responsibilities and Sustainability (USR&S) Programme. 2 Local private sectors in Thailand namely, PTT Exploration and Production Public Company Limited, and Thai Beverage Company Limited provided the financial support for AUN Activities in the amount of 5,000 USD
5. To improve the managerial aspect of the network's programmes, projects and activities	9. Delivering improvements in staff performance	AUN Secretariat conducted an in-house training every 3 months; topics included in the trainings were Project's Thinking and Planning, Immediate Problem Solving and Strategic Planning.
	10. Delivering improvements in the core business processes of the Secretariat	The AUN Secretariat has developed a new model approach and workshop technology for AUN meetings and conferences. This is to encourage and increase an active participation from Member Universities which is geared toward concrete outcomes.

Overall, comparing the planning and implementation of the AUN from AUN documents created prior to and upon its establishment up to the present, the AUN as of today has shown dynamism and changes in its role, direction, and progress towards ASEAN integration to a great degree. Being one of the mechanisms which provides assistance and support towards achieving regional goals, the AUN has been shown to play a part to some extent. The intensity of its impact towards the establishment of ASEAN integration will rely on the future direction of the AUN and how it addresses its role in serving the ASEAN Community from the present onwards.

In terms of implementation, this must be assessed by measuring the impacts of the AUN's activities that is, whether the activities implemented by the AUN can, as they are supposed to, enhance ASEAN consciousness. Hence, empirical data collection was conducted using youth participants who engaged in AUN activities by giving them a pre-test and a post-test, before and after participating in the activities, in order to assess their attitudes and awareness about ASEAN. The questions given relate to fundamental knowledge regarding ASEAN. The field research involved observation, interviews, and a questionnaire. More details on the research methodology are elaborated in Chapter 3.

