


**EVALUATIVE CRITERIA FOR GOOD GOVERNANCE OF LOCAL
GOVERNMENTS ACCORDING TO THE VIEWPOINT OF
LOCAL GOVERNMENT EXECUTIVES**

Supatra Assavasukee

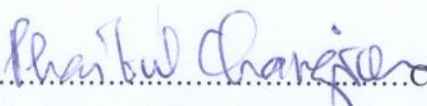
**A Dissertation Submitted in Partial
Fulfillment of the Requirements for the Degree of
Doctor of Philosophy (Development Administration)
School of Public Administration
National Institute of Development Administration
2014**


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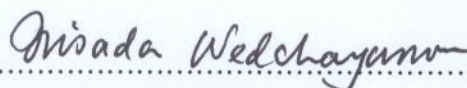
Associate Professor..........Major Advisor
(Achakorn Wongpreedee, Ph.D.)

The Examining Committee Approved This Dissertation Submitted in Partial
Fulfillment of the Requirements for the Degree of Doctor of Philosophy (Development
Administration).

Professor..........Committee Chairperson
(Phaibul Changrien, Ph.D.)

Associate Professor..........Committee
(Achakorn Wongpreedee, Ph.D.)

Instructor..........Committee
(Nuttakrit Powintara, Ph.D.)

Professor.....Dean
(Nisada Wedchayanon, Ph.D.)

December 2014

ABSTRACT

Title of Dissertation	Evaluative Criteria for Good Governance of Local Governments According to the Viewpoint of Local Government Executives
Author	Ms. Supatra Assavasukee
Degree	Doctor of Philosophy (Development Administration)
Year	2014

This study covers new ground in the evaluative criteria for good governance by local governments. Commonly, such evaluative criteria would be set by the central state. It is a true top-down process. The evaluative criteria, on the other hand, from a bottom-up approach, that is, from the viewpoint of local governments, are rarely found. Therefore, this study will discuss on the evaluative criteria for the good governance of local governments according to the viewpoint of local government executives. Such criteria will center on six principles set forth in Thailand's 2003 Royal Decree on the Principles and Methods of Good Governance. The study applies theory-based approaches to establish evaluative criteria for good governance.

This study is expected to achieve the following research objectives: 1) to obtain applicable and practical evaluative criteria of good governance for Thailand's local governments according to the viewpoint of local government executives centered on the 6 principles set forth in the 2003 Royal Decree; 2) to gain rating scales (standards) for those criteria; 3) to attain the actual rating scales of those criteria; and 4) to identify the evaluative criteria that are critical problems in the current local governments in Thailand, thereby realizing true success or failure in order to further good governance improvement.

Conducted by qualitative and quantitative research methods, the population of this study encompasses 3 types of local administrative organizations (LAOs), the Office of the Decentralization to Local Government Organization Committee (ODLOC), and academics.

The Delphi technique is used for the qualitative research method. In conducting in-depth interviews with the ODLOC and LAOs, included were the

Chairman and 3 directors from all types of Directors, 9 local government executives from Provincial Administrative Organizations (PAOs), and municipalities and Sub-district Administrative Organizations (SAOs). From the total of 7,851 LAOs, the questionnaires were delivered to 64 executives of the PAOs, 329 executives of the municipalities, and 360 executives of the SAOs. Using the quantitative research method, survey by questionnaires was carried out for officers and local citizens in 64 PAOs, 329 municipalities, and 360 SAOs.

The major findings of the study are 18 evaluative criteria of good governance for Thailand's local governments according to the viewpoint of local government executives. These 18 criteria are centered on 6 principles set forth in the 2003 Royal Decree, where each principle represents 3 criteria. For the rule of law principle the bottom-up approach presents criteria in term of legal code and Local Development Plans that require a circular letter, and no complaint and objection filing. Ethics principle under consequence, virtue and duty theory gives results in determining the standards of good governance, providing training to build ethics and integrity, and applying pay for agreed goals. Regarding transparency principle under transparency theory, the results are disclosure of all kinds of information to the public via determined communication, and internal control system and an independent auditor are required. Participation principle under the fairness and competence approach has multi-channels through public hearings and so on, proven records of the participant list and their signature in attending local planning, and a need to have a transparent system to elect committees within defined qualifications. The accountability principle under the goal, process, and outcome approach emphasizes job assignments, a traceability and system trail, and an annual survey report by the audit unit or outsource agent as proof of public satisfaction. Last, the value for money principle under the 3 Es focuses on setting and spending the fiscal budget and procurement process, having a one-stop service for its efficiency, and having a policy for training courses and job rotation.

The study also acquires the 1-to-5 rating scales, Likert-type scales, for each criterion. The scale level 5 represents "Most Important" to level 1 of "Not Important". The rating scales called "standard" resulted mostly in level 5. Only 2 criteria were at level 4 but those gained as "actual" most still were at level of 5, and then 4. Some were at level 3 and a few at level 2 and 1.

ACKNOWLEDGEMENTS

Study and learning new things are among my favorite activities. I, however, did not pursue a Ph.D. despite the scholarship availability right after finishing my master degree because of my drive for career achievement. What changed my momentum for obtaining a Ph.D. was my involvement in one of the senatorial sub-committees. The other was that “uncertainty is certain” in the businesses that I have been engaged in—many times undertaking mergers and acquisitions. Furthering my studies at the doctoral level, especially in public administration, would enhance my insight additionally on the public side. I could either continue in the business arena as it is my competence or be a lecturer or counselor if I wished to alter my career path.

It is an immense challenge to study while working and travelling much at the same time. Without the inspiration, encouragement, support and guidance given by so many persons I would not have come to finish this academic journey. Therefore, I am indebted with all my gratitude and thankfulness to all of them.

First of all my heart-felt gratitude goes to Professor Dr. Sombat Thamrongthanyawong, who advised me on the dissertation layout and content. Associate Professor Dr. Juree Vichit-Vadakan was my inspiration in exchanging the bird-eye views within the class. Professor Dr. Voradej Chandarasorn, Associate Professor Dr. Polapat Buracom, Assistant Professor Dr. Kasemsarn Chotchakornpant, and Assistant Professor Dr. Achakorn Wongpreedee assisted me in selecting appropriate methodology. My special gratitude goes to all of my professors, my fellow classmates, and those who helped me with the data collection and collaboration.

Lastly, it is my family that supported and strengthened me during the discouraging times and my busy workload. And the utmost person for me is God, who is all and in all as “I can do all things in Him who empowers me.”

Supatra Assavasukee

November 2014

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ABBREVIATIONS

Abbreviations	Equivalence
APEC	Asian Pacific Economic Corporation
BMA	Bangkok Metropolitan Administration
CEO	Chief Executive Officer
CV	Coefficient of Variation
DLA	Department of Local Administration
DLOC	Decentralization to Local Government Organization Committee
ETE	Estimate-talk-Estimate
GG	Good Governance
HDI	Human Development Index
IMF	International Monetary Fund
JUG	Joined-up government
LAO	Local Administration Organizations
LGA	Local Government Administration
MOE	Ministry Of Education
MOI	Ministry Of Interior
NACC	National Anti-Corruption Commission
NCSDDB	National Economic and Social Development Board
NPM	New Public Management
OAG	Office of the Auditor General
OCSC	Office of Civil Service Commission
ODLOC	Office of the Decentralization to Local Government Organization Committee
OPM	Office of the Prime Minister
PAO	Provincial Administrative Organization

SAO	Sub-district Administrative Organization
SD	Standard Deviation
SID	Senior Independent Director
TAO	Tambon Administration Organization
TDRI	Thailand's Development Research Institute
UNDP	United Nations Development Programme
UNIFEM	United Nations Fund for Women

CHAPTER 1

INTRODUCTION

Good governance plays an important role in achieving social and economic development. It is very much interlinked with institutionalized values such as democracy, observance of human rights, and greater efficiency and effectiveness within the public sector (Agere, 2000). It is broadly explicit as the manner in which power is exercised in the management of both public and private sectors. The central government and local governments are obviously expected to not only promote good governance but also abide by its principles laid out in the Royal Decree on Criteria and Procedures for Good Governance as a role model. Private corporations, likewise, have codes of conduct pertaining to good governance to comply with.

How then is such a performance of good governance measured given its feedback for further improvement? A good yardstick must be set up for systematic evaluation. Therefore, there must be criteria to evaluate the performance of good governance.

1.1 Background

1.1.1 Local Governments and Good Governance

For Thailand, good governance (GG) refers to good administration and management, particularly in the public sector. Good governance originally being noted as the establishment of the Maxwell School, the Syracuse Unit (N.Y.) in 1910, its interpretation has the origin in the policies of the World Bank and the International Monetary Fund (IMF). The World Bank stated the condition that any developing countries that acquire a financial loan must reform their government in accordance with the good governance principles of the bank. Due to the 1997 economic crisis, the Thai government was economically devastated and needed urgent financial assistance from the World Bank and the IMF. Therefore, in consultation with the bank the Thai

government collaborated on a plan to reform Thai bureaucracy as a necessary condition for the recovery of the Thai economy.

During the same period the new 1997 Constitution also was promulgated and governance principles and values were then incorporated. Meanwhile, at the end of the 1990s Thailand's Development Research Institute (TDRI) was requested by the Chuan II government to propose a plan for "good governance." The proposal was developed into an Order of the Office of the Prime Minister of 1999 on "building good governance and society of August 10th, 1999", and eventually into a Royal Decree on Criteria and Procedures for Good Governance, B.E. 2546 (2003) during the Thaksin I government (Bowornwathana Bidhya, 2008). The Royal Decree is comprised of 10 purposes, for instance, participation, transparency, efficiency, and decentralization. Further, according to this decree, good governance consists of managing and promoting Thai society in accordance with six principles: 1) the legal principle (laws must be up to date and fair, and accepted by society); 2) the merit principle (honest, sincerity, hard work, tolerance, discipline); 3) the transparency principle (mutual trust, transparency of government agencies, freedom and access of government information by the public, and the creation of processes allowing the people to check the accountability of the government); 4) the participation principle (encourage people's participation in major decisions of the country, public inquiry, public hearing, and opinion polls); 5) the accountability principle (awareness of one's duties and rights, having a sense of social responsibility, concern for the country's problems, respect for differences of opinion, and the courage to assume responsibilities from one's action; and 6) the economy principle (use of resources for maximum return, encourage Thais to economize, produce high-quality goods and services that are globally competitive, and maintain sustainable development of natural resources).

Another act that is closely related to the Royal Decree on Good Governance 2003 was the Public Administration Act (No.5) 2002, which specifies government agencies to work in accordance with good governance. It purposely ensures that the operations of the Public Administration carry out citizens' benefits, result-based management, decentralization of missions, resources for local administrative units, and empowerment in decision making. Regulations and methods were embodied in

the Royal Decree on Good Governance 2003 for implementing the act throughout all government agencies, including the local governments.

Thailand has three systems of state administrative structure: central administration, local administration, and local autonomy (termed in this study “local governments or local authorities” and under the State Administration Act of 1991). First, the central administration system includes the cabinet, ministries, and departments. Second, the local administration system (known in terms of de-concentration) is composed of provinces and districts and is under the control of the Ministry of Interior (MOI). To have aggregate control, the central ministries have branch offices at provincial halls and district offices, and encourage the use of their officials to these branches. Last, the local autonomy system is a combination of the dual system of local administration and local autonomy.

Thailand has historically been influenced by the decentralization concept from the time of King Prajadhipok, Rama VII, under the House of Chakri. However, the materialization of the decentralization era in Thailand did not commence until Constitution B.E. 2540 (1997 Constitution) mandated extensive and comprehensive provisions for local governments. The Decentralization Act B.E. 2542 (1999) then followed and provided a more concrete framework for the decentralization process. Since the enforcement of the Decentralization Act, Thailand has passed through the sluggishness of decentralization from the central government to the local government administrations (LGAs): formal presence in terms of Provincial Administration Organizations (PAOs), Thesanban (municipalities), Tambon Administration Organizations (TAOs), and 2 special types, the Bangkok Metropolitan Administration and the city of Pattaya.

The decentralization scheme did bring about material changes in Thailand’s local society. Elections for local governments reflect the real population distribution and at the same time reflect citizens’ expectations regarding the Local Administration Organizations’ (LAOs) roles, operations, and performance. Demand for good governance has been increasing. Some of the rationalizations behind such demands are as follows: 1) corruption was a reason for coup d’états and political crises; 2) citizens’ demands for transparency, accountability, and the right to participate in public policy; and 3) citizens’ concern about the quality public services and their

continually rising costs (Orapin Sopchokchai, 1997). Therefore, good governance implemented and conducted by the LGs is another important facet in valuing the presence of local governments.

Local governments and good governance are inseparable. Local governments are accountable for their good governance not only via the Royal Decree on Good Governance 2003 and the Public Administration Act (No.5) 2002, but also for their local citizens. The evaluative criteria, thus, come to play an important role in realizing and acknowledging the local governments' performance of good governance. Moreover, there are very few studies on such criteria based on the six principles embodied in the 2003 Royal Decree on the Principles and Methods of Good Governance. Only King Prajadhipok's Institute (King Prajadhipok's Institute, 2002) has researched the key indicators for evaluating LAOs based on those six principles of good governance. The Department of Local Administration (DLA) as the direct institute for LAOs has 30 evaluative criteria but only a minority covers the six principles. The criteria also are established by the institutes, by hired agencies, or academics. This is considered a "top-down" approach.

Reckoning how important the criteria are in issuing good evaluation results, the author would like to build evaluative criteria of good governance for local governments according to the viewpoint of local government executives. It is a bottom-up approach and the criteria are based on six principles of good governance as set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance.

1.2 Statement of the Problem

Irrespective of the stage of economic growth in Thailand, the development of the role of local bodies has been progressively increasing over the years. Additionally, the 1997 economic crisis and recent social crisis have provided a good lesson and brought to realization the significance of the application of the sufficiency economy which will ultimately usher the country into sustainable development and the well-being of people at the local and even community level. Accordingly, the 1997 constitution, the 1999 Decentralization Act, the 1999 regulation of the office of the

Prime Minister on Good Governance, the 2003 Royal Decree on the Principles and Methods of Good Governance, and all others related to the local governments envisioned a more decentralized and participatory structure in which government institutions at all levels would operate in a more transparent, accountable, and responsive fashion (Dillinger, 1994).

From a number of studies of researchers and academics, including media reports, there is empirical evidence of a crisis in good governance practice of some LAOs. Publically known, decentralization in itself may cast doubt about good governance as it leads to more prevalence of local corruption. In recent years, Thailand's political climate has become tense and, occasionally, violent, partly due to cases and allegations of corruption. The issue of governmental legitimacy has also been raised. There have been a high number of concerns of possible corruption in the government's fiscal budget spending. Similarly, there have been complaints of corruption against local governments released by the National Anti-Corruption Commission (NACC) of Thailand. Most complaints concern petty corruption, improper methods of procurement, overvaluation of projects, and many others. The main source of corruption in Thailand is known as “money politics,” a term that refers to the flow of money within the political scene.¹ Confirmation is given by the Transparency International Global Corruption Barometer 2013, according to which public officials and civil servants are the most corrupt as perceived by Thai citizens.

A report of the Business Anti-Corruption Portal also revealed common practices within Thailand's polity, such as vote-buying and the purchasing of posts. The general view by the public was that 25% of household respondents viewed the government's efforts to fight corruption as ineffective, 18% of the citizens surveyed had seen a bribe paid in the past 12 months. Surprisingly, the behavior of Thais changed negatively as reported in a September 2011 article by the Bangkok Post, which indicated that 64% of Thai corruption was acceptable behavior if it benefited the country or themselves in one way or another according to an ABAC poll. Additionally, a serious alarm came from 70% of the young population that shared the

¹2013 Business Anti-Corruption Portal.

same opinion. The practicality and reality of the government's anti-corruption measures are, thus, viewed by many pessimistically.

This problem of corruption has been around for a long time in Thailand and is rooted deeply in the culture of the society (Pasuk Phongpichit, 2003) and has corroding effects on economic growth. As a consequence of corruption, a tremendous amount of money is lost from the implementation of projects and elections. In other words, more is lost from preventing it, fighting against it, and stopping it. Being corruption free is, however, necessary in pursuit of a better future or even a reality of good governance. The quality of governance in countries is considered an important element in separating successful developers from unsuccessful ones (World Bank, 1997).

Although decentralization is not a panacea, a balance of centralization and decentralization is indispensable. Practically, limitations are inherent as not all government functions can be decentralized. It requires a strong will of the central government to lay out a justified and transparent framework in re-allocating responsibility and resources and to build the local governments' capacity at the very early stages. Mutual reinforcement of decentralization, de-concentration, and local governance are explicit.

Regarding clear-cut functions and duties, ministries and state enterprises take much of the responsibility for local governments, leaving only the task of operations and maintenance to the LAOs. As a consequence, it is difficult for local citizens to take hold of the local governments accountable for any specific function. Thus, dispute over roles, responsibility, and even accountability are common.

Dominant control by the central government obviously still remains. Resource allocation tends to be geared toward political interests of the central government rather than local effective demand. A high proportion of collected and redistributed revenue has been rested with the central government by an objective claim to avoid the abuse of power at the local level. This approach, nonetheless, can bring about failure because minimal authority is delegated to the local government where autonomy and accountability do not really exist.

United Nation Economic and Commission for Asia and the Pacific (UNESCAP, 2014) gives importance to participation in good governance and "such

participation could be either direct or through legitimate intermediate institutions or representatives.” The institute added also that “participation needs to be informed and organized, and provide freedom of association and expression and an organized civil society.”

One of the major aims of the political reforms contained in the 1997 Constitution was to escalate the participation level of the Thai people in economy and politics, and to assure their human as well as civic rights. Decentralization is aimed, on one hand, to issue in effectiveness of poverty reduction as one of the key performances, and on other hand, to enhance the responsiveness of policy-making. Consequentially, local governments are expected to implement poverty policy through mutual community participation and social inclusion.

Even though a number of LAOs have established a good mechanism for community participation in their voicing, community needs and demands, joint planning and decision-making, a statistical amount of poverty nationwide still exists, and the aim of poverty reduction has remained difficult to reach. According to a report from the World Bank (2013), 88 percent of 5.4 million poor people in Thailand live in rural areas. The poverty persists although poverty was reduced to 13.2% in 2011 from its peak of 42.6% in 2000 due to the 1997 crisis. Thailand's economic growth has not been shared equally, especially, the in the north and northeast. The Gini coefficient, a measurement of income inequality, has been stagnant at approximately 0.45 for the last two decades. Another report from the United Nations Development Programme (UNDP) of 2013 indicates that Thailand's Human Development Index (HDI) for 2012 was 0.690. However, the HDI fell to 0.543, a loss of 21.3 percent as a result of the inequality. Therefore, these reports display that the existence of poverty and inequality in Thailand is rather high.

As a result, people or community participation has yet much to be improved in terms of local governance. Good governance requires external orientation and involvement of politicians, public servants, organizations, institutions, and all the citizens in the society, as Pierre and Peters (2000: 7) explained: “governance with the involvement of society in the process of governing.” They continued to argue that “these new perspectives on government—its changing role in society and its changing capacity to pursue collective interests under severe external and internal constraints—are at the heart of governance.”

In the book of Van der Waldt (2004) transparency is defined as “decisions taken and their enforcement are done in a manner that follows rules and regulations. It also denotes that “information is freely available and directly accessible to those that will be affected by such decisions and their enforcement, and that enough information is provided and that it is provided in easily-understandable forms and media.”

The local citizens complain of knowing nothing or of the “littleness” of the policies, budget allocations, implementations or evaluations of the central or local governments. Communication and public relations from authorities are lacking or are insufficient. Accessibility to information and documents is also limited to the public or local citizens. Budgets from the central governments are prone to be allocated to the unneeded locals or to the unnecessary means. All of this casts doubt on the clarity of true transparency.

The preceding stated problems—corruption, indiscretion of duty between the central government and local governments that causes disputation of accountability, insufficiency of civil participation, and lack of transparency—affirm the sluggishness of good governance in the local governments in practice.

1.3 Research Questions and Objectives

1.3.1 Research Objectives

Interorganizational relations serve evaluative criteria, on one end, and good governance of local governments, on the other. Therefore, the study aims to achieve the following objectives:

- 1) To obtain applicable and practical evaluative criteria of good governance for Thailand’s local governments according to the viewpoint of local government executives that contribute to the improvement and attainment of the 6 principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance
- 2) To gain a rating scale for each evaluative criterion of good governance for local governments according to the viewpoint of local government executives

3) To attain an actual rating scale (reality) for those evaluative criteria of good governance in the current implementation of local governments in Thailand

4) To identify the evaluative criteria of good governance that are critical problems in the current local governments in Thailand, thereby realizing true success or failure (problems) in order to further the improvement of Thailand's local governments

1.3.2 Research Questions

The study addresses the following research questions to correspond to the foregoing research objectives:

1) What are the evaluative criteria of good governance for Thailand's local governments according to the viewpoint of local government executives that contribute to the improvement and attainment of the 6 principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance?

2) What is the rating scale for each evaluative criterion of good governance for local governments according to the viewpoint of local government executives?

3) What is the actual rating scale (reality) of those evaluative criteria of good governance in the current implementation of local governments in Thailand?

4) Which evaluative criteria of good governance are critical problems in the current local governments in Thailand?

Basically, the traditional approach to set up evaluative criteria is from top-down—policy makers and/or evaluators. This study however discusses evaluative criteria from a bottom-up approach. Such an approach comes from the viewpoint of the local government executives, who are the policy implementers. These research questions are, thus, fashioned to serve the bottom-up demand, which is a relatively unexplored phenomenon. Such questions are structured in a logical pattern of what-why-how as far as interorganizational relations are concerned. In reference to the abovementioned research questions, question 1 asks what the evaluative criteria of good governance are and how they develop in a broader context. Questions 2 and 3 provide a rating scale for each evaluative criterion and its actual rating scale as in practical reality, respectively. Question 4 searches for the evaluative criteria of good

governance that are critical problems in the current local governments in Thailand and addresses the practical implications for the improvement of good governance in Thailand's local governments in its decentralization.

These research objectives and questions were the guiding pillars in conducting the literature review, in the research design and method, and for the data collection and analysis.

1.4 Significance of the Study

A touching speech—"Thailand is again at a crossroads. We have a task ahead of us to rebuild the country's governance. Failure to do this can, and will have, devastating consequences for our future as a nation." (Anand Panyarachun, 2013) — was given by former Prime Minister Anand Panyarachun. The former Prime Minister continued to state the following:

In doing so, they must focus on real substance that will change attitudes, behavior and culture, not just "form." Good governance is crucial to better management of human and capital resources, and to greater efficiency and balanced and sustainable growth and development (2013).

He gave a constructive recommendation: that three pillars must be laid to build good governance at the national level. First, government must respond to, and serve, the real needs of the people. This level is the topmost importance and is a must. Secondly, there must be an open and transparent decision-making process in place. And lastly, there is a need for a system of checks and balances, based on accountability and active participatory roles for private individuals and civil society. All must realize that rebuilding our country's governance must take place at all levels and it is the duty of every citizen. However, good governance requires leaders to be rooted and grounded in the values of integrity, accountability and performance. Therefore, this reinforced the author's desire to conduct this study.

To grasp fully the significance of any study, time is the proof. Each study, however, has its own significance. As for searching and narrowing down the research topic, a researcher should pay attention to certain criteria: personal interest, the background of the researcher, the technical competence of the researcher, professional significance, career development, appropriate scope, and accessibility (Mauch and Park, 2003; Glatthorn and Joyner, 2005). The author does have a personal interest in attaining practical criteria that can be successfully applied in evaluating good governance in the local governments. This interest resulted in the dissertation topic and contributes to the study's potential significance, both theoretically and practically.

1.4.1 Considerations for Topic Selection

Although the author has been working as a top management in the business sector, public service is another mode of value that the author has contributed to the society and country. The study not only serves the author's personal interest but also extends the author's secondary career development. As an associate judge and one of the mediators, the author considers advancing in the public policy field and deems that local governments are the essential base. Local government decentralization is the key prerequisite for facilitating sustainable development and promoting good governance, and for promoting democracy, pluralism, and dynamism in the society (Miller, 2002). With effective management of local affairs, local government decentralization is also poverty solutions for local problems according to local conditions. Similarly, good governance results in efficiency, effectiveness, result-oriented performance, participation, accountability, transparency, and openness. To know how good the good governance in local governments is, the proper evaluative criteria must be acquired.

The value of any research lies in not only generating new and reliable knowledge but also deepening and widening the researcher's experience. This study is expected to provide some advancement in public management.

1.4.2 Significance of Theoretical Perspectives

The study aims to provide attainably theoretical perspectives. First, it relates the key performance indicator, as here are the evaluative criteria, to the performance

of good governance. Secondly, it potentially bridges the gap of evaluators and those being evaluated, hence providing empirical testing of the models and modifying those models in the context of regulations of good governance evaluation. Thirdly, it is expected to enhance future research by offering better evaluative criteria for the good governance of local governments or even for the central government and other organizations. Last, it may lead to future research of other types of evaluative criteria so as to other viable approaches.

1.4.3 Significance for Policy and Implementations

In contributing to policy and implementations, there are two keys—good governance and local government decentralization. Here the policy maker is the central government and the implementers are the local governments.

First, the decentralization policy maker and the local governments-implementers can come up with hybrid criteria to use in evaluation. This may cause a two-way access to criteria establishment. In this way, both will be satisfied and the implementers will be assessed by the criteria.

Secondly, this study aims to acquire applicable and practicable evaluative criteria for all six principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance. Little research has been carried out to develop relevant criteria or key indicators for all of these six principles. In Thailand, only King Prajadhipok's Institute has done such research to come up with the key indicators of good governance which are in accord with the 8th and 9th National Economic and Social Development Plans.

Thirdly, it is expected that the findings in this study will carry generalized meaning not only for other organizations in Thailand, including the central government, but also those in other countries.

Fourthly, the findings in this study may shed light on existing problems or improvement of unsatisfactory conditions. It may bring about the self-improvement of each local government and administrative reform or reform in local government decentralization from the central government.

Lastly, the findings in this study may help the citizens participate in filing complaints or providing feed-back for the performed good governance of the local

governments, either to the local governments for their self-improvement or directly to the central government for administrative reform.

1.5 Scope of the Study

The scope of a study in general informs the reader of its intentions and the why, what, where, when and how of such study. It refers to the parameters in which the study will be operating in. A clearly-defined scope assists the researcher in completing the research within a limited time and with the available resources, and to remind the researcher that the method of investigation should be centered on attempting to solve the problem within the provided scope. The scope of the study is generally contingent on the nature of the research questions, the availability of the data and the research time frame, and the availability of resources (Mauch and Park, 2003).

This study focuses on the “evaluative criteria for good governance of local governments according to the viewpoint of local government executives.” The constituents of this study, in brief, are 1) the applicable and practical evaluative criteria of good governance for Thailand’s local governments; 2) a rating scale for each evaluative criterion of good governance; 3) an actual rating scale of those evaluative criteria of good governance; and 4) the evaluative criteria of good governance that are critical problems in the current local governments in Thailand. The theory-based approach is employed to acquire evaluative indicators and then the criteria. Each principle of good governance has its own applicable theory or approach.

Conducted using qualitative and quantitative research methods, the population of this study covers both the organizational level, namely, Local Administrative Organizations (LAOs) and the Office of the Decentralization to Local Government Organization Committee (ODLOC), and the professional level, the academics.

The Delphi technique is employed for the qualitative research method. The in-depth interviews with the Decentralization to Local Government Organization Committee (DLOC) and LAOs include the Chairman and 3 directors from all types of Directors, and 9 local government executives from Provincial Administrative Organizations (PAOs), municipalities and Subdistrict Administrative Organizations

(SAOs), and one academic. Four regions of Thailand were covered for focus group interview, with 6 participants in each group composed of 2 executives from PAOs and 2 from municipalities and 2 from SAOs. Survey, from the aggregate of 7,851 LAOs questionnaires were delivered to 64 executives of PAOs, 329 executives of municipalities, and 360 executives of SAOs.

In the quantitative research method, survey by questionnaire was carried out for officers and local citizens in 64 PAOs, 329 municipalities, and 360 SAOs.

After obtaining the total 18 evaluative criteria, the study also obtained both the rating scales (defined as “standard”) and actual rating scales (defined as “actual”) of the criteria. The means (\bar{x}) were calculated to compare the level of importance between the acquired standard and actual rating scales. The gap in those means can lead to the identification of the criteria that are critical problems in the current local governments in Thailand, thereby realizing the true success or problems of good governance in order to further improvement.

1.6 Limitations

The better measure of good governance is based upon its process, implementation, and outcome. The evaluative criteria of good governance for local governments in view of local government executives are rarely measured. This valued information can be useful in the perspective of administration development and public management.

The evaluative criteria developed in this study are limited to “end points” or output criteria. The questions constructed are not intended to supply information on why the results were revealed as they were. The information developed may provide helpful indications for evaluative criteria. Determining the reasons for the outcomes requires additional evaluation and assessment that are outside the scope of this study.

1.7 Definitions of Terms

The study takes local government organizations as the targets. Relevant technical terms or jargon are used and the key terms are defined to provide a common understanding for the purpose of the study.

Table 1.1 Definition of Terms

Terms	Definitions	Sources
Evaluation Criteria	Systematic assessment of something or someone that is worth, merit or significance by comparing criteria against a set of standards of studied object and give a value result for further action or decision making	Author's Compilation
Evaluative Criteria	A yardstick, measuring or scoring scale to evaluate alternatives. They are standards and a basis for comparison, and fundamental elements by which we judge or upon which a high-quality decision may be based.	Author's Compilation
Good Governance	One of basic levels of public administration. In this study 3 types of local administrative organizations are covered: 1) the Provincial Administration Organization, which covers all areas in the province; 2) Municipalities, urban areas with a crowded population and level development; and 3) Sub-district Administration Organization whose jurisdiction is over the area of a particular sub-district outside the boundaries of municipalities.	Author's Compilation
Local Administration	A form of public administration within a given state as a lower tier of administrative authorities than the central government or national government. Each local government has its delegated powers and authorities to act within legislation or directives of the higher level of government. To be further explained in the literature review in Chapter 2.	Author's Compilation

Table 1.1 (Continued)

Terms	Definitions	Sources
Local Government	Systematic standard measures established to evaluate the degree of achievement or value in regard to the aim and objectives and results of any such action and/or implementation that has been completed, and which alternative solutions, proposals or individuals are able to meet expectations or objectives through direct comparisons of their success, failures, and trade-offs. They are used to accommodate the estimated impact of each alternative on each objective. More will be defined in the literature review in Chapter 2.	Author's Compilation
Local Government Executive	The mental attitude that determines a person's opinions or judgments of things, matters, or persons. A person at a high level within a local administration who has both executive and administrative power and authority over the local administrative organization, and is responsible for the local administration and manages and conducts affairs of such organization	Author's Compilation
Viewpoint	The set of formal and informal rules, structures, and processes with which public institutions exercise power over the decisions of implementation and no implementation, conduct public affairs, and manage public resources	Author's Compilation

CHAPTER 2

LITERATURE REVIEW

This chapter covers the relevant literature concerning the concepts, theories, and approaches on local government, good governance, and evaluative criteria. The literature is classified, analyzed, and criticized and concurrently theoretical and practical aspects are reviewed. Any literature gap in relation to the topical area is also identified. Multi-discipline theories are tentatively proposed and elaborated, and last a conceptual framework is presented for analysis.

2.1 Literature on Local Government

The term “government can be found in different sources and can be used as a synonym for governance. According to the Oxford English Dictionary (Government, 2011a) “A government is the system by which a state or community is governed.” In a narrow term, Bealey (1999) refers it to as the particular executive in control of a state at a given time while in the American English of Oxford English Dictionary (Government, 2011b) it refers to the larger system by which any state is organized.

Principally, a government constitutes legislators, administrators, and arbitrators. It is the means by which state policy is enforced and the mechanism for determining the policy of the state. Most governments exercise executive, legislative (legislature), and judicial (judiciary) powers and split or combine them in various ways (Government, 2014). Political forms at the national level determine the powers exercised at the subnational levels, for instance autocracy, democracy, fascism, monarchy, oligarchy, plutocracy, theocracy, and totalitarianism.

Local government is one of the forms² of public administration. In most contexts it exists as the lowest tier of administration within a given state. It is a divergent term that refers to the offices at state level, which are termed the central government, or national government, or federal government, or supranational government, that govern institutions between states. The institutions of local government vary from country to country. Frequently, the terminology varies even though similar arrangements of institutions exist. The common names for local government entities also vary between countries, including province, region, department, county, prefecture, district, city, township, town, borough, parish, municipality, shire, and village.

Basically, local governments are given authority to act within delegated powers based upon the legislation or directives of the higher level of government. In unitary states, local government practically is classified as the second or third tier of government, often with greater powers than higher-level administrative divisions, whereas in federal states, local government generally comprises the third or fourth tier of government.

In its relationship with central government, local government plays a role in the political systems. Since the nineteenth century two bases upon which such relationships have been formulated have been emphasized. Firstly, based on the partnership of free democratic institutions, local government has been considered important to the encouragement of political education and participation, and the basis upon which services could be provided to the needs of the local. Secondly, local government has been seen as rational from an administrative point of view, as it allows for the efficient provision of public services at the point of service needed under the direction of the center (McLean and McMillan, 2013). And thirdly, local government is delegated within a legitimate authority to manage, administrate, and regulate its local resources, services, and operations.

²A form of government, or form of state governance, refers to the set of political systems and institutions that make up the organization of a specific government.

2.1.1 Definition of Local Government

Local government is a product of devolution as a dimension of decentralization (Havenga, 2002). Hence, the definition of local government varies according to various dimensions and points of view.

Olowu (1988: 12) stresses the national structure and characteristics of local government approaches in the definition of local government. He denotes the following:

One approach, which is usually adopted in comparative studies, is to regard all such national structures below the central government as local government. A second approach is more circumspect in that local governments are identified by certain defining characteristics. These characteristics usually focus on the following five attributes: legal personality, specified powers to perform a range of functions, substantial budgetary and staffing autonomy subject to limited central control, effective citizen participation and localness. These are regarded as essential to distinguish it from all other forms of local institutions and also ensure its organization effectiveness.

The first approach is a rather brief definition. Many attributes of local government are subject to it. For the second approach, even five characteristics are accounted for. They are not legitimate attributes for distinguishing a form of local government. Most countries of developed countries still lack effective citizen participation or budget autonomy, and staffing is not fully enforced, for instance.

From a legal point of view, Robson (1937: 574) defines local government as follows:

In general, local government may be said to involve the conception of a territorial non-sovereign community possessing the legal right and the necessary organization to regulate its own affairs. This, in turn, pre-supposes the existence of a local authority with power to act

independent of external control as well as the participation of the local community in the administration of its own affairs.

On the other hand, Gomme (1987: 1-2), referring to the authority dimension, defines local government as follows:

Local government is that part of the whole government of a nation or state which is administered by authorities subordinate to the state authority, but elected independently of control by the state authority, but elected independently of control by state authority, by qualified persons resident, or having property in certain localities, which localities have been formed by communities having common interests and common history.

The emphasis of independence of control by Robson and Gomme may impose limitations on the authority and administration. Local governments are relatively under central government control due to the division of responsibilities for services. The World Bank (1989a: 88) and Heymans and Totemeyer (1988: 6) indicated some preconditions to determine the relationships between central and local government: “1) the need and urge for a strong system of local government in a democratic political environment; 2) allowance for local government to play a vital role as a full partner in regional and national development; 3) a fair division of financial resources between central, regional and local bodies; 4) a fair division of human resources between central and local government; 5) formal and effective checks and balances between central and local government; 6) full and adequate consultation and a regular flow of accurate information at and between all levels; 7) full participation of each citizen, irrespective of race and gender at all levels of administration and government, providing extension of democracy to all spheres of government; 8) political and social harmony; 9) defined legal relations between different levels of government and the ability for local pressure on central government to change legislation; 10) trust and honesty as basic principles of government; and 11) openness to innovation”.

Marshall (1965) provides real features of local government by identifying three distinct characteristics: 1) operation in a restricted geographical area within a nation or state; 2) local election or selection; and 3) the enjoyment of a measure of autonomy.

Meyer (1978: 10) defines local government based on democratic essence as follows:

Local democratic governing units within the unitary democratic system of this country, which are subordinate members of the government vested with prescribed, controlled governmental powers and sources of income to render specific local services and to develop, control and regulate the geographic, social and economic environment of defined local area.

Meyer's (1978) definition is weakened by the element of local government existing without being democratic. However, if there is a restructuring of Marshall's characteristics following Meyer's definition, local government is a government institution with limited legislative power and authority that operates within clearly defined geographical and legal jurisdiction within a nation or state. Such authority is to enact legislation within the defined jurisdiction and the enjoyment of a measure of autonomy. Therefore, the definition includes the characteristics and purpose of local government. Supported by the detailed definition from the Business Dictionary, local government is "an administrative body for a small geographic area, such as a city, town, county, or state. A local government will typically only have control over their specific geographical region, and cannot pass or enforce laws that will affect a wider area. Local governments can elect officials, enact taxes, and do many other things that a national government would do, just on a smaller scale".

2.1.2 Purpose and Role of Local Government

Haas (2012) presents the purpose of local government as stipulated in the Local Government Act 2002 (LGA 2002) of New Zealand: “to enable democratic local decision-making and action by, and on behalf of, communities; and promote the social, economic, environmental, and cultural well-being of communities, in the present and for the future.” On the other hand, Australia’s Authorized Version No. 110 of Local Government Act 1989 (No. 11 of 1989 the amendments as at 1 January 2012) stated that the purpose of local government is “to provide a system under which Councils perform the functions and exercise the powers conferred by or under this Act and any other Act for the peace, order and good government of their municipal districts.” The Local Government Acts of the two nearby countries emphasize the purpose of local government differently. One weighs local decision-making and action and the other functions and powers, respectively. However, New Zealand has put together the purpose and role of local government to have significant impacts on overall well-being by working with others to achieve these goals.

Haque (2012) summarizes the two-fold purposes of local government—administration and representation at local levels—by stating that they are to 1) supply goods and services; and 2) represent and involve the masses in locating particular public needs and objectively understanding how these needs can be met. How these two purposes are connected depends upon how local government is defined, how role and structure are established, authority and power are granted, and how values and democracy are recognized. It is best then to touch on the role of local government.

Local governments deliver services to meet the needs of their citizens, and help create the kind of communities and futures their citizens want (McKinlay, 2010). To regard local government as primarily a service delivery organization has been standard in most countries. However, what is a challenge today is not the “service” in a local government context but “governance” that goes beyond simply a functional perspective as a traditional housekeeping function of providing local infrastructure, social and healthcare, and services to property. It includes the local and external role of representation, advocacy, and most of all leadership. It is a move from a democratic to a consumerist model that provides community leadership and work with local communities in order to determine their demand, needs, and preferred

futures, as well as how best to realize them. It is a big move from the “top-down” to the “bottom-down” approach.

2.1.3 Nature and Characteristics of Local Government

Local Government can be regarded as a grass roots level government. It has direct contact and a legitimate relationship with the local people, union council, community committee, Town committee and city Government in everyday affairs. With its nature, local Government is a mechanism and engine of government that manages and administers the local affairs of people at an important local level.

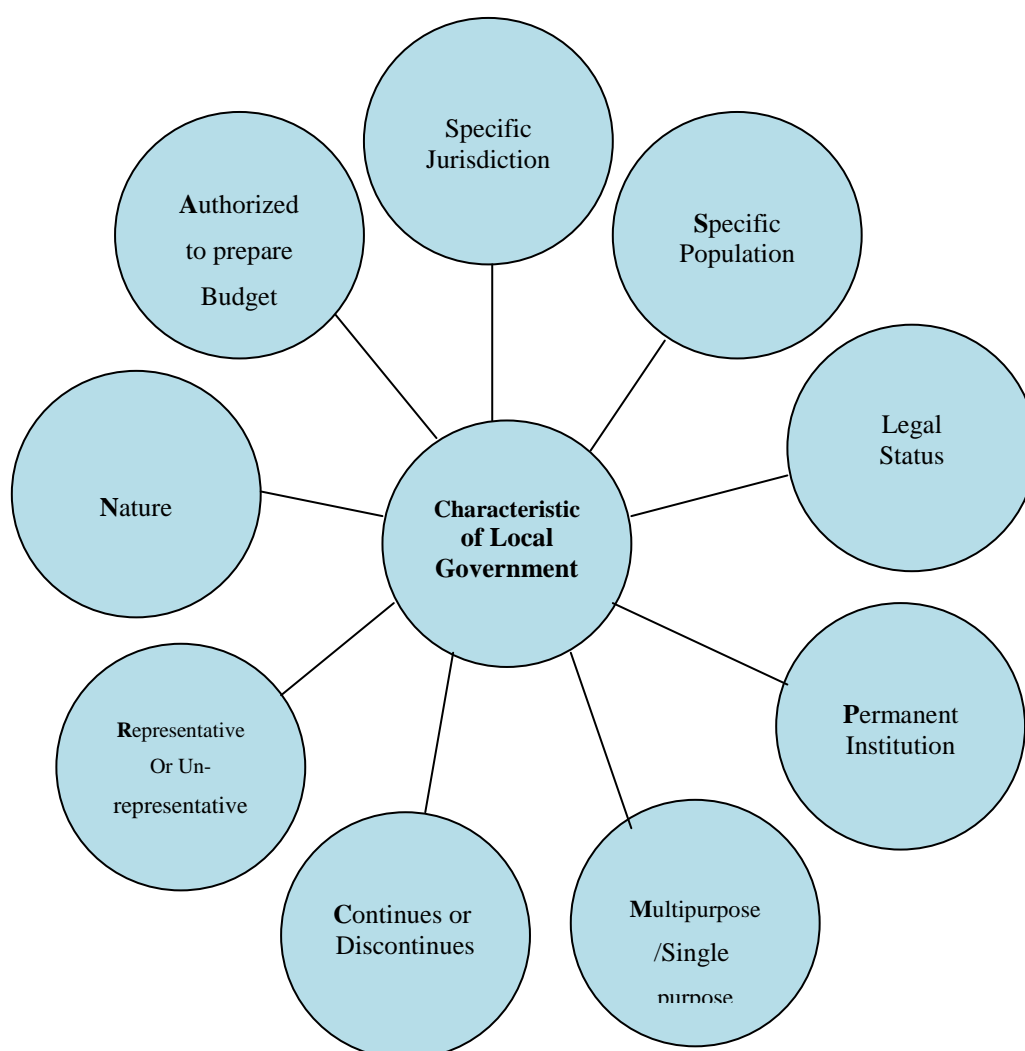


Figure 2.1 Characteristic of Local Government

Source: Yusufzai, 2010.

Some of the essential characteristics of local government are described in Figure 2.1. In addition, the author also puts forth the relevant application to each specific characteristic of local government for clarity purposes.

Explanation of each characteristic can be clearly seen in Table 2.1 as follows:

Table 2.1 Explanation of Characteristics of Local Government and Its Application

Characteristic	Explanation	Application
Specific Jurisdiction	Possessing own jurisdiction, boundaries, area or territory, where services and facilities are provided	PAO with its jurisdiction that does not overlap with municipality and SAO
Specific Population	Possessing own specific population where its status is exhibited and to whom services are provided	Citizens are registered within their resident area, defined area and population.
Legal Status	Right to sue and be sued by an ordinary citizen, an institute, central government, other LAOs, or a corporate entity	Legality is imposed by Act.
Permanent Institution	Such institution being in the form of the chairman, council, and staff, in which local problems are managed and dealt with	Each LAO has constituents for local committee.
Multipurpose or Single/Specific Purpose Body	Multipurpose: the local government has diversified responsibilities performing multiple tasks. Single/specific purpose: the local government only has one function to perform.	Public activities such as providing healthcare, fire services, and road maintenance, managing schools, and regulatory responsibilities Good sample for USA

Table 2.1 (Continued)

Characteristic	Explanation	Application
		to avoid over lapping and chaos (e.g., school boards in the United States)
Continues or Discontinues	Continues or discontinues organization depending on the political structure of the country Relying on the context of each country	New legislation Zone may discontinue one LAO.
Nature Representative or Unrepresentative	Local elected officials are local representatives but unrepresentatives are appointed.	Five types of LAOs in Thailand demand election. The scope of decision- making authority is inhered.
Authorized to prepare Budget	Ability to collect taxes and determine a budget in accordance to resource allocation in its locality	Local taxes are eligible for local budget.

Source: Yusufzai, 2010; Columbia Electronic Encyclopedia, 6th ed., 2012.

While the characteristics and systems of local government of France and Great Britain have become models for much of the rest of the world, most countries have those of a complex system. Therefore, what characteristics are appropriated for each country depends not only on the nature of local government itself, but also on legislation, culture, political and social context to cover the areas of local government authority, including public schools, local highways, municipal services, some aspects of social welfare and public order, the factors of readiness of LAOs and the people, level of knowledge and apprehension, as well as its leadership.

2.1.4 Types of Local Governments

Different countries have different types of local government. There is also the significant distinction between the types of local representative and non-representative bodies. The local representative bodies are elected with full authority and with full decision making whereas the non-representative bodies are assigned by the central government. Therefore, the locally elected will have no independent governing authority. Most types of local government have a comparative structure with an elected central council, such as the department heads and the executive director. Good sample models of three local government types are the French, British, and United States systems. By means of the centrally-appointed prefect of the department to the municipality, non-representative bodies in France have clear lines of authority from the ministry of the interior. The prefect, as a channel of centralization with wide authority to overrule local councils and supervise local expenditures, becomes both the chief executive of the department and the representative of the central bureaucracy; whereas municipality has a locally elected mayor and municipal council. This system is replicated throughout Europe and in former French colonies.

The British system is the most representative of the major types of local government for most of her former colonies, including the United States. Compared to other systems, it has less central government interference and greater local budgetary authority, as autonomy is given through elected councils on the county and sub-county levels. However, reform in 1986 restricted powers of most and abolished six major county governments. Instead of a strong executive, an extensive committee system is utilized for supervising the administration of public services.

The United States, though following the general principles of the British system except for a strong executive, has county as first-tier geographic division of a state. Incorporated municipalities have most of the local power. The relationship of local government and the state is a complex shared authority but there are carefully-defined areas of legal competence. Despite fearing losing some degree of local control, local governments have to rely on state and federal funding.

2.1.5 Local Government, Decentralization, and Local Governance

Local government and decentralization, although they are closely interrelated, are not synonymous. Miller (2002) refers decentralization to “the transfer of state/national responsibilities or functions from central government to sub-national levels of government, or from central agencies/offices to regional bodies or branch offices, or to non-governmental organizations or private concerns”. Local government often represents the highest form of decentralization, such as devolution, but this is not always so. Local government may represent some forms of decentralization, whereas decentralization may not have to take any form of some types of local government. Furthermore, different models of local government may represent different forms of decentralization. The relationship of the two, thus, does not always harmonize.

Most countries, especially in the developing world, have the unrealistic values regarding decentralization where local governments operate as merely agents of central government. They are confined to influencing decision-making, exercising their legal powers, to employ staff, and to having less control with respect to financing. This explicitly expresses deconcentration rather than devolution. Advocates of decentralization anticipate local self-management where local government has a distinct sphere of government, with its own clearly-defined range of functions and autonomy that is subject to clearly defined procedures for the local and national interest, and well-being.

Further development of public reform, known as new public management, achieves not merely decentralized local government but also local governance. Miller (2002) defines “local governance” as the processes through which public choice is determined, policies are formulated and decisions are made and executed at the local level, and the roles and relationships between the various stakeholders which make up the society. In addition, Miller refers to it as “the exercise of political, economic and administrative authority to manage local affairs.” Local governance is used as a cross-practice approach to promote local development. It emphasizes the importance of civic engagement and utilizing local government’s “capacity and resources to deliver effective economic and social policies that promote human development and manage the public services that citizens expect.” It includes “capacity strengthening of

national and local authorities to undertake participatory planning processes, assessment and adoption of effective service delivery systems” as identified by United Nations Development Programme (UNDP, 1997a).

Sound local governance brings in the trust of the citizens toward local government as trust is an important element for the democratic polity. This trust reinforces citizens’ confidence in the local government for they will willingly give support and accept the authority.

Trust is increased even more when good governance is practiced by local government in its LAO. Good governance is thus reviewed next.

2.2 Literature on Good Governance

2.2.1 Genesis of Good Governance

“Governance” has been a prominent subject in public administration for more than 20 years. Both regime theory and governance theory eminently attempted to respond to the modern transformation of states and sub-governments. Government in the postmodern state operates at multiple levels of the supranational, international, trans-governmental and transnational, and has more interdependence and power sharing. Therefore, currently public administration as governance is the best description of the management of the transformed or postmodern state (Sorensen, 2004).

The word “governance” was first used by Harlan Cleveland (1972: 13). alternately to the phrase public administration around mid-1970. Provocatively, he expressed his thought that “what the people want is less government and more governance” What he emphasized is on governance where he put together cluster of concepts of governance as follows:

The organizations that get things done will no longer be hierarchical pyramids with most of the real control at the top. They will be systems—interlaced webs of tension in which control is loose, power diffused, and centers of decision plural. “Decision-making” will become an increasingly intricate process of multilateral brokerage both

inside and outside the organization which thinks it has the responsibility for making, or at least announcing, the decision. Because organizations will be horizontal, the way they are governed is likely to be more collegial, consensual, and consultative. The bigger the problems to be tackled, the more real power is diffused and the larger the number of persons who can exercise it—if they work at it.

Cleveland attempted to distinguish public and private organizations with his conception of governance. He viewed that “these new style public-private horizontal systems will be led by a new breed of man and women. I call them Public Executives, people who manage public responsibilities whether in ‘public’ or ‘private’ organizations” (Cleveland, 1972: 14). Furthermore, he argued that “public ethics are in the hearts and minds of individual Public Executives, and the ultimate court of appeals from their judgments is some surrogate for people-in-general” (Cleveland, 1972: 117). The public executives’ moral responsibility covers the four rudimentary principles of senses of welfare, equity, achievement and participating.

Thereafter, the popularity of the word governance soared with vague definitions to some and clarity to others. Few understood governance with the implications of anti-bureaucratic, anti-governmental and pro-market values that have insufficient value added. However, with concept of entrepreneurs, governance was seen as the answer, the grand theory, to replace public administration (Frederickson, 2004).

Lynn, Heinrich, and Hill embrace governance in their framework with a synthesis of empirical research literature, and such a framework has been applied by many leading scholars in public administration. Governance in this context covers the management of nongovernmental institutions and organizations, and their policies or actions, which bring the same effect to citizens as that of state agencies. On one hand, it refers to the internal day-to-day management of an agency or organization, and the management of the extended state, on the other. Three part definitions of governance in public administration are formed for what it means by Frederickson (2004): “first, interjurisdictional governance is policy-area specific formalized or voluntary patterns of interorganizational or interjurisdictional cooperation; second, third-party governance

extends the functions of the state by exporting them by contract to policy-area specific nonprofit, for-profit or sub-governmental third parties; and third, public nongovernmental governance accounts for those activities of nongovernmental organizations that bear on the interests of citizens in the same way as governmental agencies .”

New Public Management (NPM) appeared in the 1980s at the time when governments attempted to provide service delivery and public policy through a wide range of private and non-profit actors (Klijn, 2012). It collectively became prominent in the notion of privatization, internal markets, competitive tendering, and performance management whose origin was the Anglo-Saxon heartland. The time of a mixed economy of provision and decentralization emerged to bring in state and public service improvements. The emergence of the governance wave arose at the same time as a new concern for governance in the Western world (Pierre and Peters, 2000). Concerns about corruption, exploitation of monopoly power, the surge in salaries of executives and board members, and environmental devastation were raised in the private sector, while evident corruption, dishonest, immoral and unethical practices get worse in the public sector. Citizens kept losing trust and hope in their governments.

Professor Bidhya Bowornwathana (2008) gives six postulated interpretations or prototypes of governance in terms of their sources, characteristics, problems, and implications. One remarkable interpretation is “governance as good governance,” which originated from the policies of international organizations, especially the World Bank and the International Monetary Fund (IMF). The term “good governance” first appeared in the World Bank’s 1989 report title: Sub-Saharan Africa: From Crisis to Sustainable Growth. Such organizations claim that the lack of good governance drives the developing countries into economic disorder and social turmoil. The World Bank then required the borrowers of any Third World or developing country to reform their government to be in line with the good governance principles of the World Bank. Pierre and Peters (2000) provided reasons for the emergence of the need for good governance as follows: the financial crisis of the state, the ideological shift towards the market, globalization, failure of the state, emergence of NPM, social change and increasing complexities, new sources of governance, and legacy of traditional political

authority. Additionally, the paradigm shifts that accelerated calls for good governance world-wide are “traditional public administration” to “NPM,” “big government” to “small government”, “top-down approach” to “bottom-up approach”, 'economic growth model' to “human needs approach.” A good illustration is displayed in Figure 2.2.

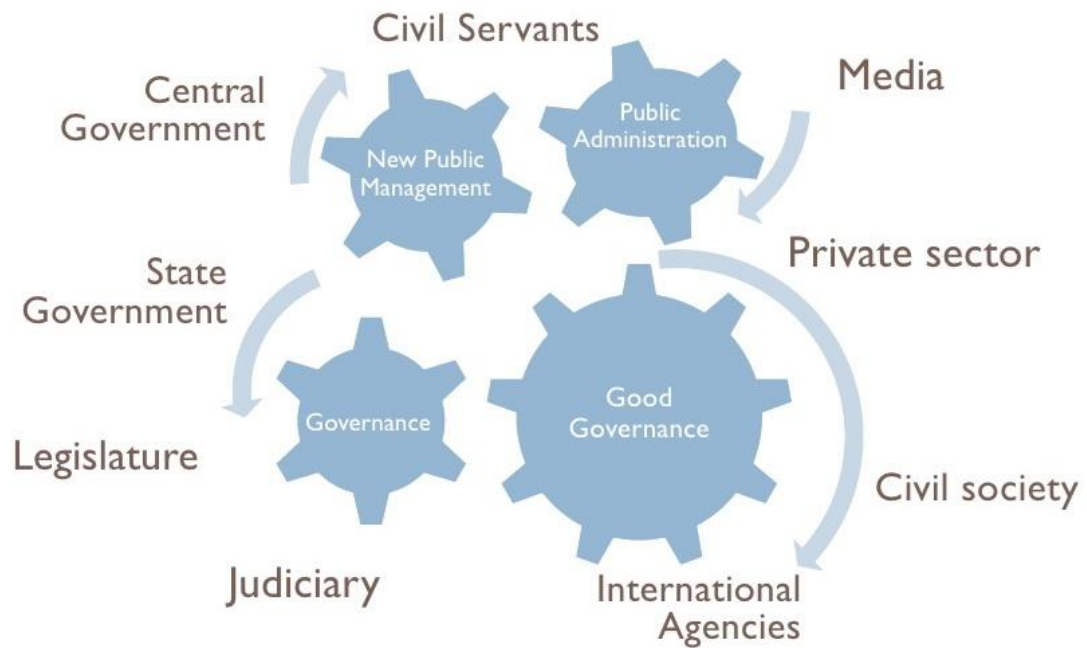


Figure 2.2 Evolution of Good Governance

Source: Renukumar, 2010: 3.

Contributing to Strong, Sustainable Communities

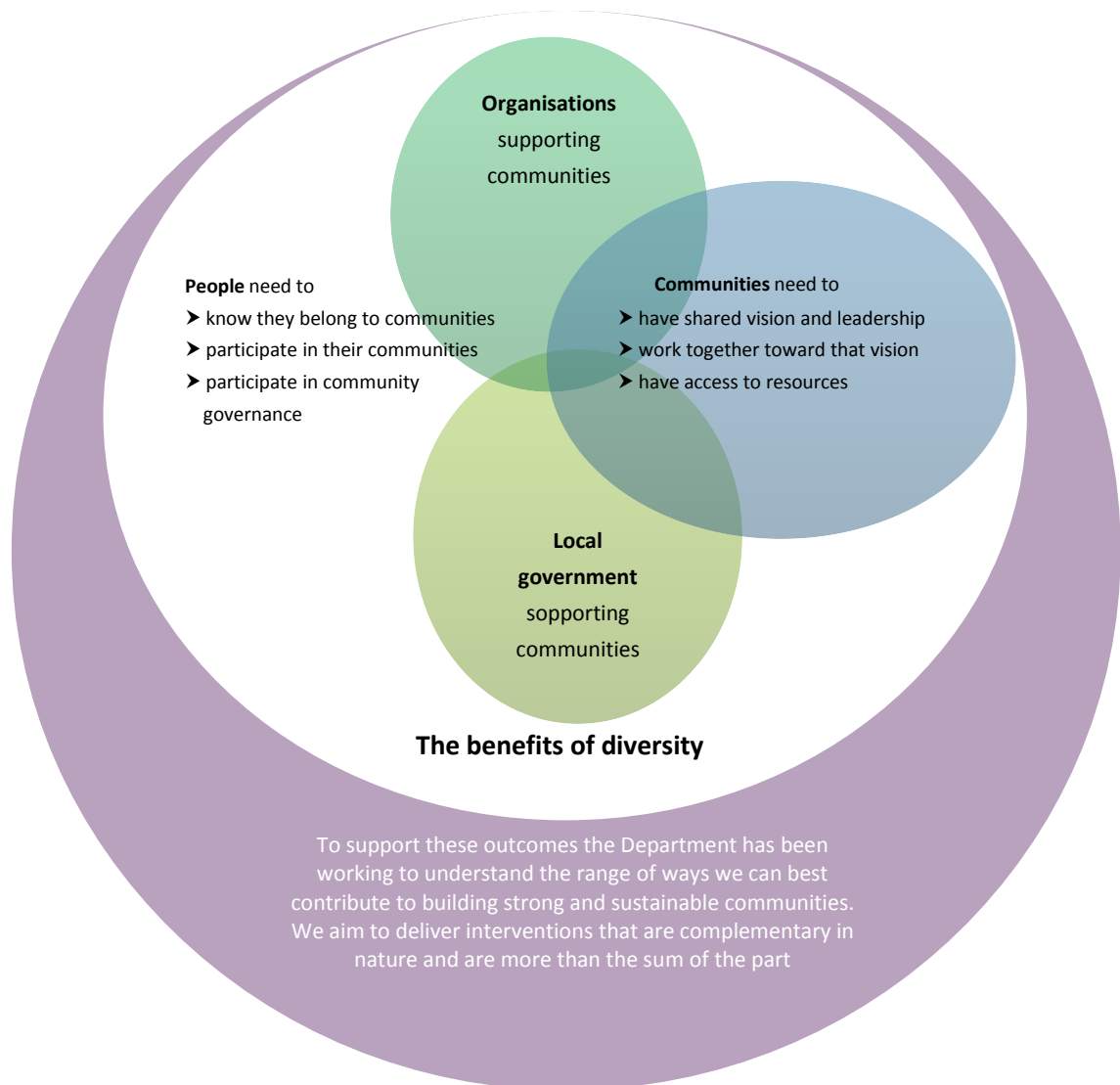


Figure 2.3 Building Good Governance

Source: Haque, 2012.

Therefore, good governance demands more than just a good government where many stakeholders are involved: citizens (as individuals), voluntary sector, business, media, high levels of government, parliament, international levels, and local government, in so far as their relations oblige in governing a society. Good governance has a constituent character as explained by Haque (2012) in Figure 2.3. The more the three circles keep on expanding the more individuals, communities, and

organizations link with the local government in concentric circles. Where demand is increased, the valuable supply of services and its accessibility are expected to be achieved by the local government. In conclusion, by means of transparent executive and management exercises, local government expresses its rightful responsible to society in the utilization of public resources for the happiness and well-being of citizens as a whole.

2.2.2 Definitions of Good Governance

Good governance has been clouded by different and various definitions and understanding of what it actually means. Most, however, define it as promoting it. It provides a sense of “good” and “quality” governance, providing that it “has been associated with democracy and good civil rights, with transparency, with the rule of law, and with efficient public services” (The World Bank Group, 2013). Collective definitions of good governance are put forth in Table 2.2 from selected multilaterals by separating them into the international development community concept and academic concept.

The former group of international development community concepts compiles good governance with various characteristics: rule of law, transparency, accountability, participation, public sector reform, private economy, and civil society. On the other hand, the latter group of academic concepts encompasses good governance with the system theory of organizations, the coordinated function of the state within its environment, the institutional perspective of democratic government with an efficient and accountable bureaucracy, change in the role of the government regarding the political institutions’ impact and the consequences of this development, shared responsibilities of the government with private and voluntary sectors, and the interactive process of organizations’ exchange resources to achieve common goals.

Table 2.2 Definitions of Good Governance from Selected Multilaterals

	International Development Community Concept
World Bank	<p>Good governance is epitomized by predictable, open and enlightened policy making; a bureaucracy imbued with a professional ethos; an executive arm of government accountable for its actions; and a strong civil society participating in public affairs; and all behaving under the rule of law.</p> <p>Source: World Bank 1994: Governance: The World Bank's Experience.</p> <p>Mechanisms for assuring good governance have three key elements: Internal rules and restraints (for example, internal accounting and auditing systems, independence of the judiciary and the central bank, civil service and budgeting rules); "Voice" and partnership (for example, public-private deliberation councils, and service delivery surveys to solicit client feedback); and Competition (for example, competitive social service delivery, private participation in infrastructure, alternative dispute resolution mechanisms, and outright privatization of certain market-driven activities).</p> <p>Source: World Development Report 1997, The State in a Changing World, World Bank's annual Report</p>
United Nations	<p>"In the community of nations, governance is considered 'good' and 'democratic' to the degree in which a country's institutions and processes are transparent. Its institutions refer to such bodies as parliament and its various ministries. Its</p>

Table 2.2 (Continued)

	International Development Community Concept
United Nations Development Programme (UNDP)	<p>processes include such key activities as elections and legal procedures, which must be seen to be free of corruption and accountable to the people. A country's success in achieving this standard has become a key measure of its credibility and respect in the world.</p>
	<p>Good governance promotes equity, participation, pluralism, transparency, accountability and the rule of law, in a manner that is effective, efficient and enduring. In translating these principles into practice, we see the holding of free, fair and frequent elections, representative legislatures that make laws and provide oversight, and an independent judiciary to interpret those laws.</p>
	<p>The greatest threats to good governance come from corruption, violence and poverty, all of which undermine transparency, security, participation and fundamental freedoms.”</p>
	<p>Source: UN website, “Governance”</p>
	<p>Good governance is, among other things, participatory, transparent and accountable. It is also effective and equitable. And it promotes the rule of law. Good governance ensures that political, social and economic priorities are based on broad consensus in society and that the voices of the poorest and the most vulnerable are heard in decision-making over the allocation of development resources.</p>

Table 2.2 (Continued)

	International Development Community Concept
	<p>Source: Governance for sustainable human development, Director Management Development and Governance Division Bureau for Policy and Programme Support, New York, January 1997</p>
	<p>“Good governance refers to governing systems which are capable, responsive, inclusive, and transparent. All countries, developed and developing, need to work continuously towards better governance.</p> <p>Good, or democratic governance as we call it at UNDP, entails meaningful and inclusive political participation. Improving governance should include more people having more of a say in the decisions which shape their lives.”</p>
	<p>Source: Remarks by Helen Clark, Administrator of the United Nations Development Programme, at the Fourth United Nations Conference on the Least Developed Countries High Level Interactive Thematic Debate on Good Governance at All Levels, Istanbul, 11 May 2011</p>
<p>United Nations Fund for Women (UNIFEM)</p>	<p>Good governance is therefore a subset of governance, wherein public resources and problems are managed effectively, efficiently and in response to critical needs of society. Effective democratic forms of governance rely on public participation, accountability and transparency.</p> <p>Source: UNIFEM 2005, Engendering Economic Governance, http://www.gender-budgets.org/en/ev-66617-201-1-DO_TOPIC.html</p>

Table 2.2 (Continued)

	International Development Community Concept
International Monetary Fund (IMF)	<p>“Good governance is important for countries at all stages of development. ... Our approach is to concentrate on those aspects of good governance that are most closely related to our surveillance over macroeconomic policies—namely, the transparency of government accounts, the effectiveness of public resource management, and the stability and transparency of the economic and regulatory environment for private sector activity” (Michel Camdessus, IMF Managing Director, Address to the United Nations Economic and Social Council, 2 July 1997).</p> <p>“The IMF is primarily concerned with macro-economic stability, external viability, and orderly economic growth in member countries. The contribution that the IMF can make to good governance (including the avoidance of corrupt practices) through its policy advice and, where relevant, technical assistance, arises principally in two spheres:</p> <ol style="list-style-type: none"> 1) improving the management of public resources through reforms covering public sector institutions (e.g., the treasury, central bank, public enterprises, civil service, and the official statistics function), including administrative procedures (e.g., expenditure control, budget management, and revenue collection); and 2) supporting the development and maintenance of a transparent and stable economic and regulatory environment conducive to efficient private sector activities (e.g., price systems, exchange and trade regimes, and banking systems and their related regulations).” <p>Source: IMF, Good Governance: The IMF’s Role 1997), p. iv, 3.</p>

Table 2.2 (Continued)

	International Development Community Concept
Organization for Economic Cooperation and Development (OECD)	<p>Good governance encompasses the role of public authorities in establishing the environment in which economic operators function and in determining the distribution of benefits as well as the relationship between the ruler and the ruled.</p> <p>Source: OECD (www.oecd.org/dac/)</p> <p>“In its work on public governance, the OECD focuses in particular on the principal elements of good governance, namely:</p> <p>Accountability: government is able and willing to show the extent to which its actions and decisions are consistent with clearly-defined and agreed-upon objectives.</p> <p>Transparency: government actions, decisions and decision-making processes are open to an appropriate level of scrutiny by others parts of government, civil society and, in some instances, outside institutions and governments</p> <p>Efficiency and effectiveness: government strives to produce quality public outputs, including services delivered to citizens, at the best cost, and ensures that outputs meet the original intentions of policymakers.</p> <p>Responsiveness: government has the capacity and flexibility to respond rapidly to societal changes, takes into account the expectations of civil society in identifying the general public interest, and is willing to critically re-examine the role of government.</p>

Table 2.2 (Continued)

	International Development Community Concept
	<p>Forward vision: government is able to anticipate future problems and issues based on current data and trends and develop policies that take into account future costs and anticipated changes (e.g. demographic, economic, environmental, etc.).</p> <p>Rule of law: government enforces equally transparent laws, regulations and codes.”</p> <p>Source: OECD, Directorate for Public Governance and Territorial Development, “Principal Elements of Good Governance”</p>
European Commission	<p>“Governance means rules, processes and behavior that affect the way in which powers are exercised at European level, particularly as regards openness, participation, accountability, effectiveness and coherence. ... Five principles underpin good governance and the changes proposed in this White Paper: openness, participation, accountability, effectiveness and coherence. Each principle is important for establishing more democratic governance. They underpin democracy and the rule of law in the Member States, but they apply to all levels of government—global, European, national, regional and local.”</p> <p>Source: EC, ‘European Governance: A White Paper’, Brussels, 25 July 2001, fn. 1 on p. 8, p. 10 (sic)</p>
European Bank for Reconstruction and Development	<p>The term “good governance” is not in wide use in EBRD documents. Chapter 10 of the 2010 Annual Report deals with “Governance and Accountability”, which refers to “good corporate governance” in EBRD’s activities (i.e., “All</p>

Table 2.2 (Continued)

	International Development Community Concept
(EBRD)	<p>operations, programmes, strategies and policies are scrutinized by independent evaluation, which ensures accountability and allows lessons to be learned”). Founding documents of the EBRD highlight several issues commonly associated with good governance (“multiparty democracy, the rule of law, respect for human rights, and market economics”), but do not use the term.</p> <p>Source: EBRD, Annual Report, 2010: Securing the Recovery 2010: 64.</p>
Asian Development Bank (ADB)	<p>“Among the many definitions of ‘governance’ that exist, the one that appears the most appropriate from the viewpoint of the Bank is ‘the manner in which power is exercised in the management of a country’s economic and social resources for development,’³... Although policy aspects are important for development, the Bank’s concept of good governance focuses essentially on the ingredients for effective management. In other words, irrespective of the precise set of economic policies that find favor with a government, good governance is required to ensure that those policies have their desired effect. In essence, it concerns norms of behavior that help ensure that governments actually deliver to their citizens what they say they will deliver. In formulating an analytical framework for addressing governance issues, the Bank prefers</p>

³Webster’s New Universal Unabridged Dictionary (London: Dorset & Baber, 1979).

Table 2.2 (Continued)

	International Development Community Concept
	<p>to draw a distinction between, on the one hand, elements of good governance and, on the other, the specific areas of action (e.g., public sector management) in which they could be promoted or their existence enhanced. In line with this reasoning, and building upon the approach of the World Bank, the Bank has identified four basic elements of good governance: 1) accountability; 2) participation; 3) predictability; and 4) transparency.”</p> <p>Source: ADB, Governance: Sound Economic Management, 1995: 3, 4, 8.</p>
Inter-American Development Bank (IADB)	<p>The term “good governance” is not in wide use in IADB documents, although documents highlight several issues commonly associated with good governance (accountability, transparency, democracy, institutional development). It is not highlighted explicitly, for instance, among the five institutional priorities approved by the Board of Governors in 2010 “to sharpen [its] effectiveness as a development partner in the region: 1) Social Policy for Equity and Productivity; 2) Infrastructure for Competitiveness and Social Welfare; 3) Institutions for Growth and Social Welfare; 4) Competitive Regional and Global International Integration; and 5) Protecting the Environment, Respond to Climate Change, Promote Renewable Energy, and Ensuring Food Security.”</p> <p>Source: IADB, Development Effectiveness Overview , 2010:</p>

Table 2.2 (Continued)

	International Development Community Concept
African Development Bank	<p>“Good governance is defined in several ways. According to the 2000 Bank Group Policy on Good Governance, governance is ‘a process referring to the manner in which power is exercised in the management of the affairs of a nation, and its relations with other nations’ (p. 2). The policy identifies the key elements of good governance as: accountability, transparency, participation, combating corruption, and the promotion of an enabling legal and judicial framework.”</p> <p>Source: ADB, Governance Strategic Directions and Action Plan Gap 2008-2012 (2008: 15). Academic Concept</p>
Pierre and Peters	<p>“The new governance does indeed represent something new and different compared to traditional systems of government at the same time as basic rational or the <i>raison d’être</i> of the state to promote and pursue the collective interest. The new governance, we retire, does not mean the end or decline of the state but transformation and adaptation to the state to the society it is currently embedded in” (Pierre and Peters. 1989)</p>
Hirst	<p>Good governance as “creating an effective political framework conducive to private economic action-stable regimes, rule of law, efficient state administration adapted to the roles that governments can actually perform, and a strong civil society independent of the state.”</p> <p>Source: Paul Hirst, Democracy and Governance, in Pierre ed., 14.</p>

Table 2.2 (Continued)

	International Development Community Concept
Leftwich	“Good governance is identified into three strands: system, political, and administrative. The systemic use of governance covers the distribution of both internal and external political and economic power. The political use of governance refers to 'a state enjoying both legitimacy and authority, derived from democratic mandate.' The administrative use refers to: an efficient, open accountable and audited public service which has the bureaucratic competence to help design and implement appropriate policies and manage whatever public sector there is” (Leftwich, 1993).
Stoker	“Governance described by using five propositions: 1) governance refers to a complex set of institutions and actors that are dawn from but also beyond government; 2) governance identifies the blurring of boundaries and responsibilities for tackling social and economic issues; 3) governance identifies the power dependence involved in the relationships between institutions involved in collective action; 4) governance is about autonomous self-governing networks of actors; 5) governance recognizes the capacity to get things done which does not rest on the power of government to command or use its authority. It sees government as able to use new tools and techniques to steer and guide” (Stoker, 1998).
Bovaird and Löffler	Good governance is the set of formal and informal rules, structures and processes which define the ways in which individuals and organizations can exercise power over the decisions (by other stakeholders) which affect their welfare and quality of life. (Bovaird and Loeffler, 2002).

Source: Gisselquist, 2012: 6-8.

2.2.3 Global Participation

Since the emergence of the term “governance” as a consequence of the crisis that broke out in Sub-Saharan Africa in 1989, the World Bank has required the reform of development mechanisms in countries which asked for assistance from the Bank in the areas specified: the processes which those with political power use to administer and manage the social and economic resources of the country; and the capability of those in power to plan and implement policy and to improve administration. The reform of the political structure however was left aside (Orapin Sopchokchai, 1997: 4).

Even “good governance” has assumed the status of mantra for donor agencies as well as donor countries,” as noted by Nanda (2006: 269), Hyden commented that development partners provide a transparent disclosure as an integral part of their *modus operandi* in channeling direct budget support to partner governments.

The United Nations Development Programme (UNDP) is another growing international consensus that stands at the forefront for good governance and sustainable human development by believing that developing the capacity for good governance can be—and should be—the primary way to eliminate poverty. The UNDP later continued to inflate the meaning of good governance in a contrast notion by defining what bad governance is. Orapin Sopchokchai (1997) indicated that bad governance can result in failures to provide good and efficient public services by the government; failures to manage the fiscal and the budget problems of the country; and failures to prevent bureaucratic and political corruption. “It is now more or less accepted that good governance means ensuring public participation, honesty, transparency, accountability, political legitimacy; fair legal framework, predictability, efficiency and effectiveness” (Orapin Sopchokchai, 1997: 7–8).

The proponents of the good governance schema view that its impacts are worthwhile to the economy, growth, social, morality, ethics, and development. Former United Nations Secretary-General Kofi Annan supported the idea that “good governance is perhaps the single most important factor in eradicating poverty and promoting development” (UN, 1998).

Opponents of the good governance schema, on the other side, raise doubt on criteria, conditions, and the models of so-called democracy. Andrews (2008: 380) proposed a strong view “prevailing models of government effectiveness are like

telling developing countries that the way to develop is to become developed;”, and that of Pritchett and Woolcock (2004): “the ‘one-way-best model’ of governance ignores institutional variation across well-governed states.” Emphasis on development, especially on economic growth, may raise new questions about economic growth having more weight than the quality of governance.

Joseph Stiglitz (2002) stated that "Unfortunately, we have no world government, accountable to the people of every country, to oversee the globalization process in a fashion comparable to the way national governments guided the nationalization process. Instead, we have a system that might be called global governance without global government, one in which a few institutions—the World Bank, the IMF, the WTO - and a few players—the finance, commerce and trade ministries, closely linked to certain financial and commercial interests - dominate the scene, but in which many of those affected by their decisions are left almost voiceless". Therefore, participation is needed, not only horizontally from the civil representatives of international organizations, but also vertically from members with a higher degree of participation and influential power.

2.2.4 Good Governance - Beyond New Public Management (NPM)

New Public Management (NPM) refers to a cluster of ideas and practices that seek to use private-sector normative models and business approaches in the public sector (Kowit Kangsanon, 2011). In a simpler notion, it is claimed to be a better operation of government, like running a business along with performance orientation, economy and efficiency, and a target of bureaucracy reform. It is a significant shift of paradigm for the roles of government and public administration. Governance or good governance, on the other hand, embraces a new and soft approach to governing of both internal and external orientation by involving significant roles of politicians and public servants, regardless of central government or local government in relating to all in other groups, organizations, and institutions in society. It corresponds to Pierre and Peters' (2000: 7) characterization: "governance with the involvement of society in the process of governing."

Six major characteristics of governance proposed by Eliassen and Sitter (2008: 106-110) are applicable also to good governance. They are:

1) Involvement of a broader set of policy instruments. In a set of policy tools and processes of governing, governance encompasses not only the actions of the government, but also the involvement of all varieties of institutions, actors, and practices. Therefore, based upon this practicality, good governance goes beyond government that exercises traditional hierarchical control, legislation, formal authority and control and beyond NPM, which emphasizes reorganization, regulation and deregulation, contracts, and incentives for internal productivity and efficiency and external public entrepreneurship attainment.

2) Blurring boundaries between the public, private, and voluntary sector. Under the normative rationality of governance, contracting out has to engage all the mentioned parties. Contrarily, the NPM defines the boundary connection between the public and private sector by way of tender given to private companies to have direct public service provision.

3) Involvement of several levels of government and mutual power-dependence. Governance involves coordination and cooperation between several levels of government. This structural transformation can appear in different patterns and processes reflecting a fundamental shift of the nature of public administration from traditionally-centralized bureaucratic control towards more polycentric forms and decentralized structures.

4) Holistic approach to governing for comprehensive direction and control. Governance focuses on central coordination and mutual power-dependence in achieving its policy direction and holistic goals, while NPM systems rely more on traditional public administration or Weberian bureaucratic methods and tools of hierarchical authority structures, centralized control, clear lines of authority and accountability, well-defined contractual relationships, and regulatory bodies.

5) Reliance on autonomous networks. Governance in the concept of Pollitt and Bouckaert (2000: 67) must work as joined-up government (JUG) as a current wave in horizontal approaches. In governance, the policy-making of government is shared across networks of institutions and stake-holding groups, which is far beyond the NPM focused on contracting out. This provides a relatively autonomous form of direct command and control of government authority. JUG aims to eliminate or at least reduce contradictions or conflicts and confusions between

different policies, better utilize public resources through duplication, and improve the flow of good ideas and co-operation between different stakeholders, in particular policy or cross-policy sectors.

6) Oriented toward flexibility and innovation for regulation inside government. Based on the NPM experiences and the truth that governance reforms still need a proliferation of inspective and control mechanisms, governance proponents critically ask how to develop more flexible regulatory regimes, while maintaining and enhancing accountability and transparency (Hood, 2000; James, 2000).

In summary, both NPM and governance should not be separate sets of public-sector reforms but rather be more serially and developmentally connected to each other. Good governance intends to influence political transformation and administrative development for better changes in public institutions, better public services delivered, and better public sector reforms.

2.2.5 Principles of Good Governance

Principles, sometimes known as “characteristics,” are a solid and strong foundation for supporting good governance. It is crucial to know why principles are important. Even good governance needs principles to govern. A good point was rendered by Alpa (1994)—that principles should be of fundamental value and understood by users as the essential characteristics of the system and reflect the system's designed purpose. The boards and those that develop governance systems will be able to choose the most appropriate which serve the specific needs of their organization in due time by these principles.

The UNDP (1997a) gave nine important characteristics of good governance.

1) Participation: Participation is a legitimate right of all men and women to voice their decision-making, whether directly or indirectly, or through legitimate intermediate institutions which represent their interests. It is a process influenced by key stakeholders in policy-making, prioritizing issues, accessibility to public goods and services, and resource allocation, whose ultimate process would promote information exchange and transparency in decision-making processes and increase the overall governance and economic efficiency of development activities. It is built upon freedom of association and speech, as well as capabilities to participate

constructively. There are three elements or “pillars” of public involvement: 1) public access to information; 2) public participation in decision-making processes; and 3) public access to justice or to judicial and administrative redress.

2) Rule of Law: Legal frameworks—laws, regulations, and codes of conduct—should be fair and enforced impartially, particularly the laws on human rights. Weak governance appears where there is disconnection between institutions within the broader governance environment.

3) Transparency: Free flow of information is a true building of transparency. Sufficient information provides understanding and monitoring upon processes and institutions. Therefore, it supports these processes to be scrutinized by other government institutions, civil society, and external institutions. This kind of transparency promotes openness of government action, decision-making processes, and consultative processes among the public sector and all stakeholders.

Corruption would be hindered by a lack of transparency. Corruption is both a cause and effect of bad governance. The form of corruption can appear into two broad categories: state capture and administrative corruption. State capture takes place when a framework of laws and rules has been distorted through illegal and non-transparent ways for base gain where administrative corruption comes out of distortion of the implementation of these laws and policies.

4) Responsiveness: Institutions and processes try to serve all stakeholders within a reasonable time frame.

5) Consensus Orientation: The theory of consensus and consensus decision-making gives rise to good governance in order to arrive of what is in the best interest of the group and, where possible, policies and procedures.

6) Equity: All men and women have opportunities to improve or maintain their well-being

7) Effectiveness and Efficiency: Processes and institutions produce results that meet needs while making the best use of resources. This principle promotes efficient public delivery systems and quality public outputs.

8) Accountability: All decision-makers, whether in the government, the private sector, or civil society organizations are accountable to the public, as well as to institutional stakeholders. The degree of accountability differs and depends on

the decision made to internal or external organizations. The core of the principle of accountability is information sharing and transparency, which should be promoted by governance structures. Absence of information accessibility would deter accountability achievement.

9) Strategic Vision: Leaders and the public have a long-term perspective of what is needed for the development, where understanding of the historical, cultural and social complexities is needed.

In the Good governance Handbook of Bullivant et al. (2012), they contributed nine principles of good governance as follows:

1) Entity: An organization is a legal entity and has limited liability. As a corporate body, it owes duties of compliances and responsibilities. The authorized director is accountable to the compliances.

2) Accountability: Accountability is known as the “controlling mind” for being readily identifiable to those dealings with the organization. Those that act as the controllers are acknowledged as “directors” and known collectively as a board and have the legal authority to enter into the justified engagements on the organization’s behalf, are jointly liable for the control of the business, and whose accountability is laid upon them as a corporate body. They oversee all stakeholder interests and thus are bound with their duties, conduct, and accountability. Importantly, the ability to distinguish between those that are and are not accountable to the organization must obtain.

3) Stakeholders: All stakeholders must be considered, both those that are apparent and not immediately apparent. They are: owners of the enterprise, investors, customers or clients, beneficiaries, creditors and bankers, regulators. Regulators have an important role to ensure that stakeholders’ interests are well taken care of and how well the organization is governed.

4) Governance and Management: Directors as the controlling mind of the organization and the guardian of stakeholders’ interests need to separate their role from management, which has the duties of the enterprise’s day-to-day operation.

5) The board and Constructive Challenge: As a board, directors must hold fast to the interests of the organization and of all stakeholders. Therefore, relevant information must be on-hand prior to the advice and decisions that are posed. Testing such decisions through a process of constructive challenge to test ideas,

beliefs, facts and recommendations is needed. Without such testing, decisions may be altered.

6) Delegation and Reservation: Delegation and reservation are a system in which the boards have governance responsibility, whether decisions are reserved to themselves or delegated elsewhere—most to management, then to sub-committees, advisors, partners or through other controlled means. Practically, delegated advice or decisions may derive directly or indirectly from committees.

7) Openness and Transparency: Organizations are obliged to meet legal and compliance requirements. Decisions and conduct must be open to public scrutiny and in a notion of transparent manner, and should be auditable and explainable. Openness and transparency are essential components of building trust, privately and publicly.

Nolan has a view of openness: “Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands” (The Nolan Committee, 1995).

8) Board Supports: There are components to support the board’s various roles and systems: directors, executive directors, non-executives, chief executive, chair, board secretary, senior independent director. The model is appropriate for the organization that comprises of different individuals who take different roles and different role is accountable to deliver good governance with its principles.

9) Knowing the Organization and the Market: All of the actors and, especially, the boards are obliged to know and understand the internal and external environment—their organization and the market in which the organization operates. They need to assure that relevant compliances are being met, and that the organization remains fit to its opportunities and risks. Thus, each actor is able to anticipate the outcome of different alternatives.

The United Nations Fund for Women (UNIFEM) presented a broad conceptual framework for six components of good governance, whether in political or economic decision-making, which includes (UNIFEM, 2005):

1) Leaders/Decision Makers: Women are supported to be equipped with leadership training in relation to economic decision-making.

2) Constituencies: Women shall have active and empowered constituencies in order to exercise their basic human rights and shall have sufficient and relevant information in order to develop a clear agenda.

3) An Agenda: Women leaders shall focus on agreed agenda and earn technical understanding of the issues.

4) Institutions: Through a democratic political system, the institutions of governance must be subject to public scrutiny and accountability.

5) Information: Access to information and the ability to appropriately use "good" information are fundamental for decision makers to render good decisions.

6) Accountability Processes: In order to enable constituencies to hold the accountability of leaders and the government, it is necessary to acquire institutionalized monitoring and accountability mechanisms.

From the perspective of the OECD⁴ there are incremental principles that diverge from others but some are similar:

1) Technical and Managerial Competence: Although this competence may be less constraint due to the better accessibility to education, the development of skills is an ongoing requirement.

2) Organizational Capacity: For a strong leader and state power with political will and personal will, the quality of an organization can be developed combining the utilization of the personnel's skills and competence.

3) The Rule of Law: The rule of law refers to the institutional process of setting, interpreting, and implementing laws and other regulations. Therefore, the government's decisions must be founded upon the law that public and private sectors, including individuals, are protected from arbitrary decisions. A government that is free from distortionary incentives, whether in the form of corruption, nepotism, patronage, or the influence of interest groups, will obtain reliability and stability. This principle must be strictly adhered to.

⁴OECD programme on Public Management and Governance (PUMA)

4) Accountability: Accountability is a key to ensure the use of appropriate power in accordance with the public interest. It requires clarity about the accountability to hold for— who and whom (individuals, civil servants, politicians, organizations or institutes) and what matters, decisions, and performance. Accountability can be both an end to represent democratic values as well as a means towards the development of more efficient and effective organizations.

Formal reporting requirements and external scrutiny, such as an independent audit office and ombudsmen, can strengthen accountability. Many OECD countries are strengthening accountability through a greater focus on accountability for performance as opposed to limiting accountability to the regularity of decisions.

5) Transparency and Open Information Systems: Practicing this principle allows the external reviewers and the general public to verify performance and compliance with the law.

6) Participation: Participation is the means by which the government can obtain and have access to important information about the needs and priorities of individuals, and communities and private businesses. The government will then be in a better position to make good decisions, and these decisions will enjoy more support once taken.

In Thailand the Office of the Prime Minister has set six fundamental principles of good governance on the Establishment of Good Governance in Government and Society 1999 (B.E. 2542). They include the following (King Prajadhipok's Institute, 2002):

1) 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.

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

3) 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.

4) 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 an 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 control by the people.

5) 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.

6) 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.

While there may not be direct links between democracy and each principle of good governance, inevitably the rule of law, accountability, transparency, and participation are reinforced by democracy, and all are factors in support of democratic quality. Arriving at good governance will lead to a number of positive consequences, for instance: obtaining trust in the organization, getting good decisions for good policies, people seeing value in their work, close connection of the board with members and stakeholders, financial stability, promoting equity and sustainable development, and building a strong nation.

2.3 Literature on Evaluative Criteria

2.3.1 Definition of Evaluative Criteria

Definitions of these two words, “evaluative criteria,” are rare. However, there are definitions of separated words “evaluation” and “criteria” or two words of “evaluation criteria.” Evaluation refers to “a critical appraisal or assessment; a judgment of the value, worth, character, or effectiveness of something; measurement of progress” (Evaluation, 2003). From ICAP (2010), evaluation “offers a way to determine whether an initiative has been worthwhile in terms of delivering what was intended and expected.” Evaluation can systematically determine worth, significance and even merit of a subject by using a governed set of standards as criteria.

There is no certain definition of the meaning of “criteria” as a concept in evaluation. It is often found mixed with concepts as standards, benchmarks or indicators. Criteria are most used as a synonym to standards, but are not mutually exclusive. Their definitions are focused on capturing the application of the concepts rather than giving a more theoretically-embedded definition. This means among other things that the definition of standards and criteria, respectively, are not mutually exclusive, but on the other hand it identifies various functions, levels of details, etc. that are relevant for practical application and exercise of the concepts (The Danish Evaluation Institute, 2004).

The term “criteria” is a plural form of criterion, which means “a principle or standard by which something may be judged or decided,” (Criterion, 2014a) and it also means “a standard, rule, or test on which a judgment or decision can be based” (Criterion, 2014b). Criteria are standards set out before a study, implementation, or review.

InvestorWords (2014) defines “evaluation criteria” as “standard measures established to evaluate the degree to which alternative solutions, proposals, or individuals are able to meet expectations or objectives through direct comparison of their strengths, weaknesses and trade-offs.” Evaluation criteria are the factors used to determine which of several competing proposals and subjects would best meet the needs.

2.3.2 Relationship of Indicators and Evaluative Criteria

Evaluation involves interrogating information from monitoring and other sources to find out and explain the effects of the interventions (Anheier, 2004). It extracts net effects from gross effects. Indicators play an important role as a major source of information where evaluations are based. They are used at the different evaluation stages in correlation with the established criteria as the yard-sticks. The more defined an indicator, the less confusion or complication there is in evaluation for any disputation. Good indicators inherit characteristics of 1) validity for the accurate measure of a behavior, practice, or task; 2) reliability for consistent measurability over time and by different observers; 3) precision in its operational definition in clear terms; 4) measurability in terms of quantification by using available tools and methods; 5) timeliness in providing a measurement at time intervals relevant and appropriate in terms of goals and activities. Inevitably, some indicators may not lead to quantification but rather qualification where evaluative criteria will define what to measure. In this case, evidence of documentations, and observations or interviews took place by the evaluators.

2.3.3 Why Effective Evaluative Criteria Are Needed

Evaluation can assess any aim, realizable concept, proposal, or any alternative to assist an organization, program, project or any other intervention or initiative in decision-making, in ascertaining the degree of achievement or value in regard to the aim and objectives and results of any such action, implementation, or performance that has been completed. The primary purpose of evaluation from Wilson, Tufo and Norman (2008), “in addition to gaining insight into prior or existing initiatives, is to enable reflection and assist in the identification of future change, and other purposes are to 1) measure the program’s outcomes and impact; 2) inform future program planning and design; 3) provide important internal lessons for those conducting programs; 4) ensure transparency and accountability; and 5) provide broader lessons about good practice.”

In the case of governance evaluations, the involvement of several stakeholders in the assessment process enables the local authority, including relevant stakeholders, to take action in order to deal with the governance weaknesses identified by the evaluative criteria, whether they derive from within its own organization, its

mismanagement of relations with external stakeholders, or the poor management of other local organizations. Effective evaluative criteria are needed because, first, they offer all potential yardsticks a fair and equitable method of having their proposal, activities, or performance reviewed, considered, and assessed as a potential solution in a consistent and similar manner. Second, they provide a reliable method for competent yardsticks and proposals in ranking to select the best value.

2.3.4 Establishing Evaluative Criteria

In establishing evaluation criteria it is crucial to clearly identify the factors relevant to the selected subject, then prioritize or weight the factors according their importance in satisfying the needs in the assessments.

The characteristics of effective evaluative criteria are as follows⁵:

- 1) Clear – not subject to multiple interpretations, not ambiguous
- 2) Relative – all key elements of the project requirements must relate to the requirement definition and be covered by evaluation criteria
- 3) Discriminating – separate best, average and weaker proposals
- 4) Non-discriminatory – fair and reasonable
- 5) Realistic – given the nature or value of the contract
- 6) Measurable – must have distinguishing importance
- 7) Economical – use of the criteria should not consume an unreasonable amount of time or resources
- 8) Justifiable – make sense and can be justified on common sense, technical and legal basis; mandatory and heavily weighted criteria must be justified

Weights are encouraged to be applied as they reflect the relative importance of each of the evaluation criteria. Establishment of a scoring method and worksheets provide a standard approach to scoring which will assist in eliminating some of the personal bias and take some of the arbitrariness out of scoring. Therefore, it is essential to establish a good working definition for each range of scores.

⁵Establishing Effective Evaluation Criteria and an Effective Scoring Method, North Carolina, Office of Information Technology Services, Statewide Information Technology Procurement Office.

The Office of Information Technology Services of North Carolina (2008) suggests the criteria be rated based on a scale of 1-100:

- 0 – 60 points Unsatisfactory – Requirements essentially not met
- 61– 75 points Satisfactory – Minimally meets requirements
- 76 – 90 points Good – Meets most requirements
- 91– 100 points Excellent – Substantially exceeds requirements

2.3.5 Benefits of Criterion-Based Evaluation

It is true that there is no right or wrong or, even, best evaluative criteria but the most appropriate evaluative criteria for assessments which meet the set goals. Applied from what Wiggins and McTighe (2012) attempted to use, Module J, in identifying evaluative criteria for assessments, there are benefits of well-defined criteria used to monitor evaluative judgments on activities, proposals, implementations and performance, making a judgment-based process as 1) law-abiding; 2) responsive to conditions; 3) consistency; and 4) defensibility, regardless of any principle of good governance or who the evaluator is. Good governance assessments may take different forms. Government organizations including LAOs may start with self-assessments. Greater reliability for such assessments is gained from external assessments by the higher authority or the central government. However, there are higher pressures towards greater transparency in all sectors to drive the use of a new generation of evaluative criteria of good governance to assess its performance with all local actors.

However, if governance is highly political, the question arises concerning the assessments of “governance quality” or “governance performance.” Even though evaluation is a key part of the NPM agenda, governments advocating NPM are less enthusiastic about evaluating their overall good governance in the central government as well as local governments. Therefore, the drive for efficacy of evaluative criteria of good governance for systemic evaluation and benchmarking continues, especially for the local governments according to the viewpoint of local government executives.

2.3.6 Evaluative Criteria of Good Governance

Good study and research on developing indicators of good governance can be obtained from King Prajadhipok’s Institute. Although the research is purposely reported to the Office of National Economic and Social Development Board, it is

applicable for use as evaluative criteria of good governance for local governments. The study breaks the six principles, namely the rule of Law, ethics, transparency, participation, accountability, and value for money (efficiency), into sub-factors. The sub-factors determine the indicators which are derived from the questionnaire distribution (see Figure 2.4). The valuable indicators for each principle are as follows (King Prajadhipok's Institute, 2002):

1) Rule of Law

- (1) There is a separation of powers.
- (2) There is protection of the rights and liberty of personnel and the people.
- (3) Maintaining lawfulness by observing the laws, rules, and regulations.
- (4) The laws, rules, and regulations are lawful.
- (5) Independence of decision-makers in performing their duties
- (6) The rules of punishment enforced follow the legal principles.
- (7) The rules and regulations are not contrary to a higher-order law.

2) Ethics

- (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

Government officials or bureaucrats are regarded as professional⁶ and are expected to have desirable conduct that is free from breach of professional

⁶A professional is a person that has knowledge, expertise, and practice in his or her profession, and is regarded by any group of people as valuable to themselves and society, that strive to gain public recognition for their code of ethics.

standard or code of ethics or conducive to a lesser degree of the offence to that effect. Therefore, to be more practicable the evaluative criteria of good governance are proposed as an absence of complaint in duty, an absence of conflict between one and officials, non-violation of professional standards or codes of ethics, and job performance in accordance with office procedures.

3) Transparency

(1) Transparent and easily discernible work performance and administrative system

(2) Strong internal audit system

(3) Public participation and awareness of the operation

(4) Prudent financial and stock management

(5) Recruitment of new, capable staff based on merit system

(6) Remunerations for jobs well done

(7) Efficient monitoring and scrutiny system

(8) Fair penal system and strict punishment fitting the gravity of wrongs

(9) The citizens are informed of the actions of the scrutiny committee.

(10) The citizens and media participate in the procurement, concession granting, and issuance of laws, rules, and regulations.

4) Participation

(1) Giving information by using appropriate media

(2) Available channels of access to the information

(3) Participants in decision-making

(4) Process of decision-making committee

(5) There are activities to develop the people's capability to engage in participation.

5) Accountability

(1) Joint Ownership

(2) Clear Goals

(3) Efficient Administration

(4) Monitoring and Evaluation

(5) Measures Against Non-Performers

(6) Alternative Strategy

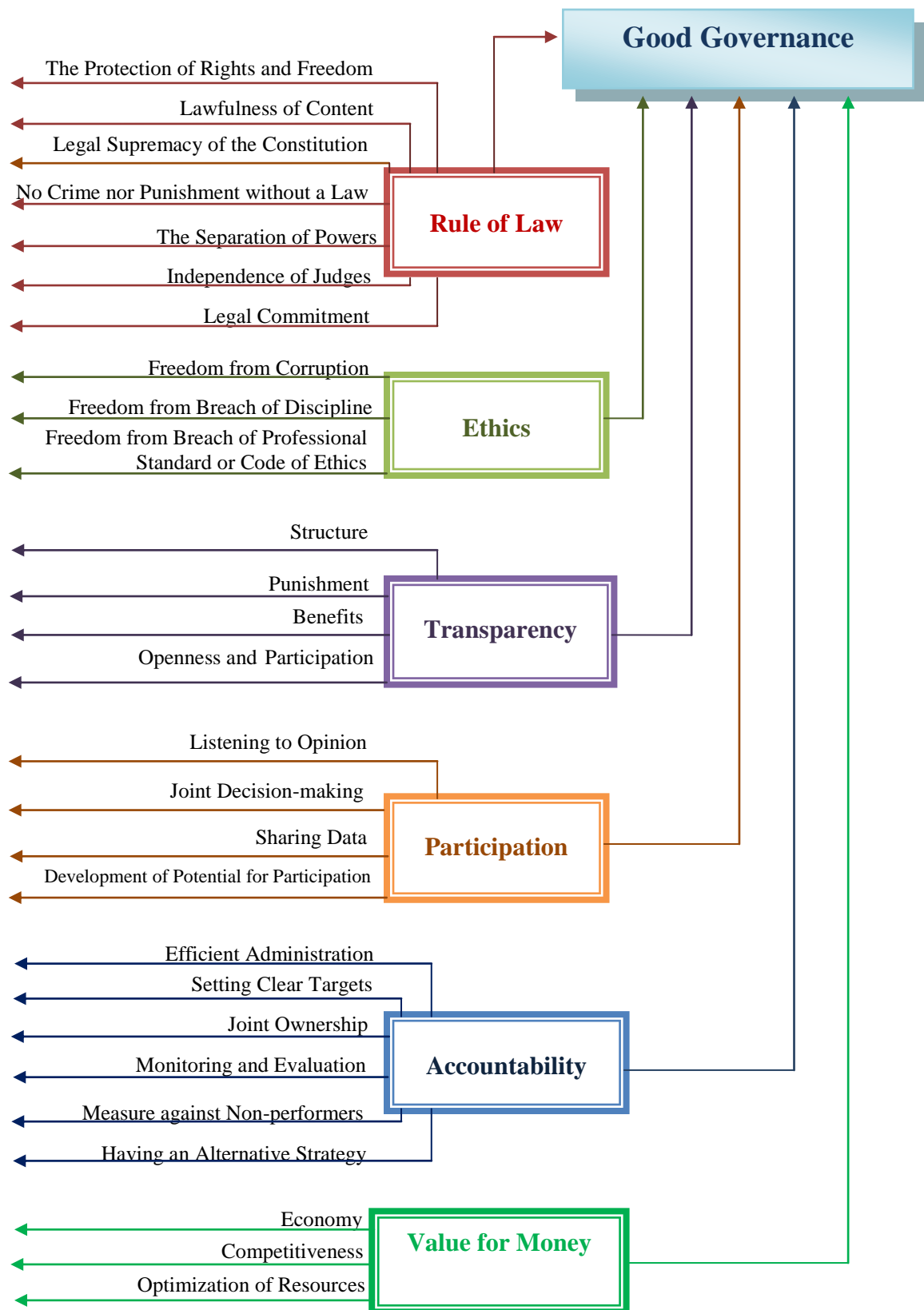


Figure 2.4 Concepts of Good Governance

Source: King Prajadhipok's Institute, 2002.

6) Value for Money (Efficiency)

- (1) No conflict of interests
- (2) Standard outputs or services
- (3) Internal audit and financial statement
- (4) Efficient use of money and resources
- (5) Policy, plans, vision, mission, and goals
- (6) Evaluation of work performance

Each indicator can fall into more than one principle; for instance: “clear goals” can be applicable to transparency, accountability and value for money; “efficient work” to accountability and value for money; “monitoring and evaluation” to transparency and accountability; “sharing information” to transparency and accountability; “optimum use of resources” to transparency, accountability and value for money.

From the 4 books of the College of Local Administration Development, King Prajadhipok’s Institute, every two years since 2006 King Prajadhipok’s Institute (KPI) has arranged the “Golden KPI Awards,” which aim to motivate local government to continuously build on developing its operation as well as to create innovation in local management. Those LAOs that are granted with such awards will be good prototypes for other LAOs in Thailand. The criteria may be adjusted from year to year.

In the first year, 2006, KPI set up the first criterion as the audit stage. Then the golden awards KPI required 3 criteria additionally: 1) innovation – for LAOs that exhibited public participation and transparency in their activities; 2) meaningful public participation – in promoting the role of public to engage in the decision making process, implementation and taking accountability; and 3) citizen satisfaction – open to public engagement in administration, disclosure and transparency, trustworthiness, ethics and integrity (College of Local Government Development, 2006).

Then in 2008, the criteria for the awards remained for the most part unchanged (College of Local Government Development, 2008). However, for 2010 the criteria for transparency and public participation (College of Local Government Development, 2010) had some important indicators:

- 1) Clearly-defined budget allocation
- 2) Innovation to promote transparency in management
- 3) Openness to the public for information accessibility

- 4) Corresponding to the public's problems and issues
- 5) Public participation in anti-corruption
- 6) Meaningful public participation in establishing and evaluating Local Development Plan
- 7) Public participation in initiating and proposing projects
- 8) Participation of the underprivileged
- 9) Public participation in the proceedings of local council
- 10) Public participation in innovation

In 2012, in order to receive a golden award, the LAOs had to pass fundamental criteria (but for 2010 it was called “audit”) for the furtherance of evaluation onto the next criterion, innovation (College of Local Government Development, 2012). The elements of both fundamental and innovation criteria are as follows:

1) Fundamental criteria have 2 elements: 1) corruption – LAOs must be free from any kind of corruption and any corruption allegation; and 2) operate in accordance with its mission.

2) Innovation criteria have 3 elements: 1) transparency and public participation; 2) promoting peace and harmony; and 3) strengthening network of public, private and civil society.

Among the five elements only transparency and participation as the principles of good governance have determined criteria to evaluate as follows:

1) The numbers of prominent projects or activities that reflect the transparent dimension of administration

2) Those prominent projects or activities have expressed continuity and sustainability.

3) Those prominent projects or activities reflect creativity or innovation that is distinct from other LAOs.

4) Those prominent projects or activities reflect a high level of public participation.

5) Those prominent projects or activities must never have been awarded before.

The Department of Local Administration (DLA, 2014) has printed the “Manual Book for Criteria of Good Governance for LAOs”. An LAO is the most intimate and

operational unit which provides public services and administrates tasks in the responsible local area for the benefit of the public. The Ministry of Interior has prepared criteria of good governance as guidelines for LAOs to adopt. There are seven goals: 1) aim for the benefit of the public; 2) aim for the result-oriented administration of LAOs; 3) effective value for money in public administration; 4) lessening unnecessary steps of work; 5) adjusting the mission of the government agency; 6) providing convenience and responding to public requirements; and 7) evaluation of the performance of public administration.

1) Public administration for public welfare – It is aimed that the public is the center of services provided.

(1) Disclose of operational information to the public to monitor as per the Official Information Act B.E. 2540

(2) Wet up effective system of internal controls to meet the regulations of the Auditor General B.E. 2544

(3) Disclose information on the fiscal expenditures and procurement so that the public can easily examine those expenditures and procurement through a variety of communication channels to LAOs

(4) Before proceeding, all pros and cons must be analytically studied and transparent procedures established for the operation and mechanism to monitor the implementation of each step.

(5) On the impact on the public besides 1.4, there must be public opinion to clarify whether the public understands the benefits received.

2) Result-oriented administration of LAOs

(1) Establish Development Plan (strategy development and development plan for three years), according to the regulation of the Ministry of Interior on the development plan of the local government B.E. 2548

(2) To monitor and evaluate the implementation in accordance with the development plans and review results for further improvement

(3) Take the three-year plan as a framework for preparing the fiscal expenditures and supplements of LAOs

(4) Make agreements for official operation between the government or local government officials or employees with the local government executives. The executives have a duty to monitor the success and results oriented to goals.

(5) In case the tasks involve multi-units, integration is to be considered

(6) Promote knowledge development in the unit by providing an information system as well as promote and develop skills, vision and change in attitudes in order to have a sustainable learning organization

3) Effective value for money in public administration

(1) Determine goals for operational plans and timeline, including budget and these must be disclosed

(2) Transparent and fair procurement or hiring by considering the value and quality

(3) The government requires permission or approval of the LAOs in accordance with laws, rules, regulations or resolutions within fifteen days from the date of receipt of the request or the notification period.

(4) Prompt arbitrating of problems by setting an arbitrator committee

(5) Written commands are encouraged.

4) Lessening unnecessary steps of work

(1) Decentralize decision making

(2) Provide control, follow up, and monitoring

(3) Appropriate use of information technology or telecommunications and budget to reduce procedures, increase efficiency, savings and costs and no damage to any task with publicizing to the public accordingly

(4) In the public service there should be procedure charts and operational timelines including other details involved at each stage and in public relations at the office

(5) Establish or support shared service centers to facilitate the public to be contacted for information, permission or approval subject to the authority of LAOs

5) Adjusting mission of the government agency

(1) Within a period of 3 years there should be review, improvement, change or cancelation of any task if necessary.

(2) Provide modification or cancellation of laws, rules, and regulations to suit the changed situation

6) Providing convenience and responding to public requirements

(1) Determine the period for the completion of each public service and announce it to the public

(2) In case of complaint filing, offers of suggestions, questions or comments from the public or government, answers must take place within 15 days or as determined.

(3) Provide a variety of communication channels in order to help the public contact or request information or leave a comment on the performance of LAOs

7) Evaluation of the performance of public administration

(1) Provide a third party to participate in the performance evaluation of the results-based management, quality of service, public satisfaction and value for money of the tasks

(2) Assessment of individuals should consider the performance of the local government officers or employees.

(3) Consider the use of a balanced budget for the prize allocated to the local government officers or employees

Obviously, the evaluative criteria from the DLA are not aligned or based on the six principle of good governance but rather on the 7 goals.

In Thailand there are a number of studies pertaining to the evaluation, its indicators, and criteria of local governments or LAOs led by Assoc. Prof. Dr. Kowit Kangsanant. He emphasizes that decentralization to the LAOs aims to “relieve mission of the central government and empowers to the community and LAOs and is expected to help speeding up and bettering quality of public services than that of the center that correspond with problems and needs of the local people” (Kowit Kangsanant, 2011: 1). LAOs have been determined to be the primary agency in the public service according to the Constitution of the Kingdom of Thailand B.E. 2550 (2007), Section 281.

The Royal Decree on the Principles and Methods of Good Governance, B.E. 2546 (2003) establishes guidelines for the management and monitoring performance of government agencies to be effective by reducing operational procedures,

facilitating the needs of the people, and building participation and accountability through information disclosure and examination. Therefore, since 2003 the Decentralization to Local Government Organization Committee has established the contest of “Local Administrative Organizations with Good Governance Award” by granting a general subsidy of 500 million baht for 258 awards. From 2007 with the lower subsidy to 250 million baht the Department of Local Administration with the Office of the Public Sector Development Commission and the Office of the Permanent Secretary, Prime Minister’s Office, have expanded the criteria of good governance of LAOs to cover all important aspects in accordance with the 2003 Royal Decree on Criteria and Procedures for Good Governance. Therefore, in the Assessment of Local Administrative Organizations with Good Governance the objective is to assess LAOs by using a template for evaluating the operations of the assessed LAOs in the aspects of innovative projects or activities. LAOs that are in good ranks after pass the assessment will be deserved for an award. The evaluation methodology incorporates a field study on LAOs of each province as well as their operations by measuring 7 targets: 1) public administration for public welfare; 2) result-oriented administration of LAOs; 3) effective value for money in public administration; 4) lessening unnecessary steps of work; 5) adjusting the mission of the government agency; 6) providing convenience and responding to public requirements; and 7) evaluation of the performance of public administration. Further, in 2008 additional trophies were given to those LAOs that had been awarded for 3 consecutive years.

There are two parts of evaluative criteria:

Part 1: Transparency gives a foundation of independency of media and information, accessibility of information, and sufficient information provision that can be used in evaluation and decision making, resulting in good governance, efficiency, and value for the LAOs. It comprises the following:

- 1) Policy and plan
- 2) Disclosure of information
- 3) Budget administration and procurement
- 4) Human resource management
- 5) Participation

Part 2: Services are those generated by the administration of LAOs for the happiness of the people with efficiency and value. Such services comprise of:

- 1) Service standards
- 2) Operational integration
- 3) Follow-up and evaluation

The report obviously shows the top-down drive for the award, evaluation as well as the evaluative criteria. Only one principle of the six that is transparency is accounted for as one of the evaluative criteria.

In the Project Evaluation report (Kowit Kangsanon, 2011) to select the LAOs that had good governance and that were awarded with a subsidy as of fiscal year 2012, the seven elements used to evaluate the LAOs remain as targets: 1) public administration for public welfare; 2) result-oriented administration of LAOs; 3) effective value for money in public administration; 4) lessening unnecessary steps of work; 5) adjusting the mission of the government agency; 6) providing convenience and responding to public requirements; and 7) evaluation of the performance of public administration. From these seven, item 3 is relevant to the principle of value for money where there are six evaluative criteria:

- 1) Requisition for authorized procurement
- 2) Having announcements and documents as per regulations for price examination and bidding
- 3) Having a sign in the construction area for public relations
- 4) Publicizing the procurement of each project
- 5) Pre-announcement of date, time, and place of recruitment to the public
- 6) Registration of equipment control

In the Project Evaluation report (Kowit Kangsanon, 2011) the subcommittee defined the subsidy criteria for the awards of LAOs. The indicative and evaluative criteria for transparency were comprised of the following:

Indicative Criteria	Evaluative Criteria
1. Integrity and transparency in administration by examining documents, publications that disclose information, performance, and procurement	1. Having documents available
2. Examination of reports regarding accounting audit and financial reports in the last 2 years	1. Having such a report
3. Establishment of information distribution unit	1. There is such a unit.
4. Appointment of public to participate in procurement through circulating printed notices and an advertising	1. There is an appointment. 2. There are 2-3 meetings. 3. There are different groups appointed. 4. There are 3-4 meetings with such participants.

The indicative and evaluative criteria for participation comprise the following:

Indicative Criteria	Evaluative Criteria
1. Set up a center to deal with problems and needs of public services, and to provide solutions from executives or local operational unit	1. Identify the units involved 2. Variety of methods to solve problems and respond to needs
2. Examination of reports regarding accounting audit and financial reports in the last 2 years	1. Having such report
3. LAOs have an evaluation of public satisfaction.	1. Documentation of survey 2. Number of surveys
4. Examination of minutes of meetings, invitation letters to the public, and evidence illustrating the coordination between operational units and LAOs	1. Identify the meetings 2. Identify the units involved 3. There are invitation letters. 4. There are minutes of meetings.

The book “Good Governance Award Year 2551” by the Puay Ungphakorn Institution has defined good governance as the governing of society, organizations, institutions or business based on honesty, transparency, accountability, fairness, quality and efficiency, and general ethical and moral standards. It is valuable and important to be promoted and encouraged from all sectors of society.

According to the Good Governance Award of the Puey Ungpakorn Institution, the indicators used to grant the awards for transparency to SAOs are the ability to disclose procurements to the public, make the public aware of the SAO council, executives, and no corruption complaint against the Sub-district Administrative Organization.

According to the preceding literature, only a study and research of King Prajadhipok’s Institute has a complete set of key indicators for the six principles of good governance, but the rest of research has only partial evaluative criteria for a few principles of good governance.

The World Bank (2013b) in its Worldwide Governance Indicators (WGI) project reported the aggregate and individual governance indicators for 215 economies over the period 1996–2012 for six dimensions of governance: 1) voice and accountability; 2) political stability and absence of violence; 3) government effectiveness; 4) regulatory quality; 5) rule of law; and 6) control of corruption. Three clusters were classified as a broad definition of governance. It is the exercise of authority in a country according to traditions and institutions. Kaufmann et al. (1999) presented these six dimensions of governance corresponding to those of the WGI but provided new aggregate measures which they claimed to have a strong causal relationship from better governance to better development outcomes. The names for the dimensions of governance may obviously appear different, especially for regulatory burden, as regulatory quality and Graft index as measuring perceptions of corruption.

What is interesting in the Governance Matters of Kaufmann et al. (1999) is the various sources where they gather the aggregate measures or indicators or evaluative criteria of governance for the six dimensions. At least fourteen sources were cited for the governance database, for instance Business Environment Risk Intelligence (BERI), The Wall Street Journal Central European Economic Review (CEER), Standard and Poor’s DRI/McGraw Hill (DRI), European Bank for Reconstruction and Development (EBRD), Political Risk Services, International Country Risk Guide (GRS/ICRG), World Bank/University of Basel (WRD), etc.

For better comparison and clarity, the author has selectively placed some of the evaluative criteria in each dimension within the three clusters of both the World Bank and Kaufmann et al. in the following Table 2.3.

Table 2.3 Components of Aggregate Governance Indicators

		World Bank	Kaufmann et al.
I. Process by which governments are selected, monitored, and replaced	Voice and Accountability	<ol style="list-style-type: none"> 1. Citizen participation in selecting their government 2. Freedom of expression 3. Freedom of association 4. Free media 	<ol style="list-style-type: none"> 1. Free and fair elections, representative legislative, free vote, political parties, no dominant group, respect for minorities 2. Responsiveness of the government to its people, free and fair elections 3. Civil liberties in freedom of speech, of assembly and demonstration, of religion, of equal opportunity, of excessive governmental intervention 4. Government communicates its intentions successfully 5. Free press, independent media and quality of media
	Political Stability and Absence of Violence/Terrorism	Government will likely be destabilized or overthrown by unconstitutional or violent means, including political-motivated violence and terrorism.	<ol style="list-style-type: none"> 1. Fractionalization of the political spectrum 2. Fractionalization by ethnic, language, and religious groups 3. Restrictive (coercive) measures to retain power 4. Constitutional changes, assassinations 5. Likelihood of dramatic resistance in institutions

Table 2.3 (Continued)

		World Bank	Kaufmann et al.
II. Capacity of the government to effectively formulate and implement sound policies	Government Effectiveness	<ol style="list-style-type: none"> 1. The quality of public services, the quality of the civil service and the degree of its independence from political pressures 2. The quality of policy formulation and implementation and the credibility of the government's commitment to such policies 	<ol style="list-style-type: none"> 1. Red tape/bureaucracy 2. Quality of the government's personnel 3. Government instability: high turnover that lowers the quality of the government's personnel 4. Bureaucratic quality: civil services institutional strength, free from political influences 5. Government efficiency in delivering services 6. Decentralization and transparency 7. Effective implementation of government decisions
	Regulatory Quality Violence/Terrorism	The ability of the government to formulate and implement sound policies and regulations that permit and promote private sector development	<ol style="list-style-type: none"> 1. Regulations on starting a new business, on foreign trade as an obstacle to business development 2. Tax system hinders business competitiveness 3. Wage/price control as an obstacle to business development 4. Trade policy 5. Financial regulations for foreigners: capital flows and foreign investment

Table 2.3 (Continued)

		World Bank	Kaufmann et al.
III. Respect of citizens and the state for the institutions that govern economic and social interactions	Rule of Law	Confidence in and abiding by the rules of society, and in particular the quality of contract enforcement, property rights, the police, and the courts, as well as the likelihood of crime and violence	<ol style="list-style-type: none"> 1. Citizens' willingness to accept legal means to adjudicate disputes rather than depending on physical force or illegal means 2. Independence of the judiciary from inference by the government and/or parties to dispute 3. Compliance with court rulings and/or arbitration awards 4. Cash or property losses and costs of crime 5. Crime and theft 6. Citizens' willingness to accept legal means to adjudicate disputes rather than depending on physical force or illegal means
	Control of Corruption Violence/Terrorism	Capture of the state by elites and private interests	<ol style="list-style-type: none"> 1. Corruption among public officials Effectiveness of anticorruption initiatives 2. Perceptions of corruption in civil service, business interests of policymakers 3. Effect of corruption on attractiveness of country as a place to do business 4. Improper practice in the public sphere

Source: Modified from World Bank, 2013b and Kaufmann, Kraay and Zoido-Lobatón, 1999.

Although not all of the criteria may be relevant to all six principles of good governance of Thailand, at least three dimensions, namely accountability, effectiveness, and rule of law, provide pragmatic evaluative criteria.

Manasan, Eduardo and Romualdo (1999) developed an index of governance quality at the LGU level as indicators of good governance. Many principles of good governance from their literature and indicators are reviewed. The following indicators are selected as deemed pragmatic:

1) Accountability, Participation

(1) Accountability indicators are considered macro-level accountability, which may be promoted by good financial and economic accountability; namely, availability of comprehensive and timely information; comparison of classified expenditures with budget and budgets with results; the independence of the audit organization; and value for money audits.

(2) Participation is implicit as micro-level accountability as indicated by exit/voice options. The willingness and ability of the public to exit are immense when dissatisfied with public service appears in order to have alternative suppliers of a given service (Paul, 1991). Voice mechanisms are gained from a survey concerning the beneficiaries' satisfaction and from a complaint system.

2) Transparency and Information

(1) Provision of relevant and reliable information to all

(2) Low level of transactions costs, uncertainty and corruption among public officials due to transparency in decision making and implementation

(3) Efficient use of resources as the public complements and reinforces national objectives

(4) Promoting participation as well as predictability (by lowering uncertainty and transactions costs)

3) Predictability, Presence of Legal Framework

(1) World Bank (1992) reported that “a stable economic environment allows prospective investors to assess opportunities and risks, to transact business with one another and to have a reasonable assurance or recourse against arbitrary interference.”

- 4) Efficiency of Public Sector
 - (1) Revenue collected efficiently as planned
 - (2) Sound expenditures as budgeted
- 5) Social Development
 - (1) Good health and well-being of citizenry in a manner of equitability
- 6) Sound Economic Management
 - (1) Independence of central bank
 - (2) Low rate of debt-to-GDP ratio
- 7) Catalytic and Community-Owned Government
 - (1) Policy decisions originated from the local government (as a catalytic local government assumes more "steering" and less "rowing" functions by "leading society, convincing its various interest groups to embrace common goals and strategies."
 - (2) Having economic institutions delivering services in lieu of hiring more public employees for such a job
 - (3) Community services and programs are based on self-help in formulating, implementing, and developing.
- 8) Competitive, Enterprising, Anticipatory, Results-Oriented Governance
 - (1) High competition from private firms to provide goods and services that were previously provided by the public sector
 - (2) Innovation in creating revenue and investment returns by enterprises
 - (3) Set rewards with results for the program outcomes achieved

Manasan et al. provided additional principles with a few indicators of good governance; namely, decentralized decision-making and fiscal responsibility. The author considers that even though the indicators are proposed, they may not be an appropriate yardstick for measuring the performance of local governments because the authorization line and duty are controlled by the central government. There is limited room at the LGU level to do much.

A good handbook, "Evaluating Governance" by Abrams et al. (2003), provides a systematic process of designing, conducting, and following up on

participatory evaluation of protected areas of governance. The protected area of governance is composed of the following: 1) government management – both central and local; 2) multi-stakeholder management – variety of actors; 3) private management – profit and non-profit organizations; and 4) community management – indigenous peoples and/or local communities. A good number of evaluative criteria reflects the five principles of good governance modified from the Institute of Governance (2002) and formulated to correspond with those of the United Nations (1997).

9) Legitimacy and Voice (Participation and Consensus Orientation)

(1) Strong participation in numbers and contributions in relating to traditions of public consultations and decision-making culture

(2) Necessary support to build and maintain strong multi-party processes of consultation and decision-making with no discrimination

(3) Decisions are taken at the lowest level compatible with relevant capacities.

(4) A check and balance of the exercise of the powers granted by civil society groups and independent media

(5) The governing bodies demonstrate responsiveness to new ideas and institutional arrangements by sharing their governing powers.

(6) Promoting effective dialogue to arrive at consensus agreements concerning mutually-satisfactory decisions on an unbiased, fair and open basis

10) Accountability (Accountability and Transparency)

(1) Clear identification and assignment of appropriate roles, authority, responsibility, rights, rules and accountability in all aspects

(2) Effective system and mechanisms providing relevant information to the public

(3) Effective, on-going performance evaluation of the governance, to foster improved performance and information sharing

(4) Having independent public institutions of accountability with the authority and capacity to oversee and question the actions of the governing bodies.

(5) Reflection of accountability by means of appropriate rewards and sanctions

11) Performance (Responsiveness and Effectiveness and Efficiency)

- (1) Having sufficient human, technical, and financial capacity to carry out the required roles, responsibilities, and accountability over time
- (2) Effective co-ordination with other governing bodies, technical bodies, and relevant actors
- (3) Analysis of cost effectiveness and efficiency in achieving objectives on the basis of a sound planning and implementation system
- (4) Effective channel and media to reveal the performance information to the public
- (5) Responsiveness to complaints and public criticism

12) Fairness (Equity and Rule of Law)

- (1) Appealing system and channel for any partial enforcement of rules
- (2) Providing fair avenues for conflict management and non-discriminatory recourse to justice
- (3) Establishing laws, rules and regulations without any form of discrimination, consistently through time, transparent, and enforced fairly with a right to appeal for the transgressors
- (4) Establishing positive or negative rewards in fair proportion to the results of staff's performance (merit-based)

13) Direction (Strategic Vision)

- (1) Expressing leadership by generating new ideas and launching innovative processes
- (2) Use of collaborative learning in various forums: policy and decision-making, conflict resolution, etc.
- (3) Providing clear policy directions for the main issues of concern
- (4) Having a set of agreed-upon values for guiding processes and activities
- (5) Providing an inspiring vision based on values shared by its main relevant actors and society at large
- (6) Directives are consistent with international obligations

The Hague (2012) proposed some evaluative criteria for the indicators of the rule of law principle of good governance.

1) Accessibility of dispute resolution and costs of access to justice

Accessibility is an importance factor when deciding whether or not to solve a problem legally while the expected amount of transaction costs may largely determine whether or not a conflict resolution is worth pursuing. High costs of access to justice cause unresolved legal disputes. Those with more resources tend to receive a greater share of justice than those with fewer resources. This inequality then erodes the belief in fairness and rule of law.

2) Fair dispute resolution processes: procedural, interpersonal, and informational justice

Justice is evaluated in terms of procedural, interpersonal and informational justice. Procedures may provide some control over the outcome. From the fairness of justice processes people as members of the community and society also can demand their rights, importance, and value.

Problem encountered from survey of numerous countries in Europe is the independence of judiciary. There are cases of dispute resolution procedures manifesting a lack of neutrality on the part of decision makers. As a consequence people lose trust in the rule of law and justice, including its system, procedure, personnel or even information.

3) Fair outcomes

A dispute evolved around alleged harmful behaviour but the quality of the outcome is enriched with punishing justice. Therefore, fair outcomes are being questioned and demanded.

The literature reveals a top-down approach in establishing evaluative criteria from the perspectives of institutes or academics. None exhibits a bottom-up approach, meaning the establishment of such criteria from the implementers of good governance or, simply here they are those working in LAOs at either the top or officers. There is a fragmentation of the correlation between the six principles of good governance and the established criteria. Most of literature may have established evaluative criteria in relation to a few or some of the principles of good governance but not all, except those of King Prajadhipok's Institute. Last, none of evaluative criteria was established by associating such criteria with theory or approaches.

From the different points of view of accredited international institutes and scholars, the author would put the evaluative criteria in the following table corresponding to the six principles of good governance which are set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance of Thailand.

Good Governance Principle	Evaluative Criteria	Source
Rule of Law	1. There is a separation of powers. 2. There is protection of the rights and liberty of personnel and the people. 3. Maintaining lawfulness by observing the laws, rules and regulations 4. The laws, rules, and regulations are lawful. 5. Independence of decision-makers in performing their duties 6. The rules of punishment enforced follow the legal principles. 7. The rules and regulations are not contrary to a higher-order law.	King Prajadhipok's Institute (2002)
	1. Confidence in and abiding by the rules of society, and in particular the quality of contract enforcement, property rights, the police, and the courts, as well as the likelihood of crime and violence	The World Bank (2013a)
	1. Citizens' willingness to accept legal means to adjudicate disputes rather than depending on physical force or illegal means 2. Independence of the judiciary from inference by the government and/or parties to dispute 3. Compliance with court rulings and/or arbitration awards 4. Losses and costs of crime 5. Crime and theft 6. Citizens' willingness to accept legal means to adjudicate disputes rather than depending on physical force or illegal means	Kaufmann et al. (1999)

Good Governance		
Principle	Evaluative Criteria	Source
Ethics	1. Accessibility of dispute resolution and costs of access to justice	The Hague (2012)
	2. Fair dispute resolution processes: procedural, interpersonal, and informational justice	
	3. Fair outcomes	
	1. Freedom from breach of discipline pertaining to jobs per se	King Prajadhipok's Institute (2002)
	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	
Transparency	1. Transparent and easily-discernible work performance and administrative system	King Prajadhipok's Institute (2002)
	2. Strong internal audit system	
	3. Public participation and awareness of the operation	
	4. Prudent financial and stock management	
	5. Recruitment of new, capable staff based on merit system	
	6. Remunerations for jobs well done	
	7. Efficient monitoring and scrutiny system	
	8. Fair penal system and strict punishment fitting the gravity of wrongs	
	9. The citizens are informed of the actions of the scrutiny committee	
	10. The citizens and media participate in the procurement, concession granting, and issuance of laws, rules, and regulations	

Good Governance Principle	Evaluative Criteria	Source
	1. Disclose the operational information to the public to monitor as per the Official Information Act B.E. 2540	The Department of Local Administration (2014)
	2. Set up effective system of internal controls to meet the regulations of the Auditor General B.E. 2544	
	3. Disclose information on the fiscal expenditures and procurement so that the public can easily examine them through a variety of communication channels to LAOs	
	4. Before proceeding, there is analytical study of all pros and cons and establishing transparent procedures for the operation and mechanism to monitor the implementation of each step.	
	1. Policy and plan	Kowit Kangsanant (2011)
	2. Disclosure of information	
	3. Budget administration and procurement	
	4. Human resource management	
	5. Participation	
	1. Integrity and transparency in administration by examining documents and publications that display information disclosed, performance and procurement – by having documents available	Kowit Kangsanant (2011)
	2. Examination of reports regarding accounting audit and financial report in the last 2 years	
	3. Establishment of information distribution unit	
	4. Appointment of public to participate in procurement through publicizing - evidence of such appointments of different groups, 2-3 meetings with those participants	
	1. The ability to disclose procurement to the public, help the public to know the SAO council, executives and no corruption complaint against the SAO	Puey Ungpakorn Institution (2001)
	1. Clearly-defined budget allocation	College of Local Government Development (2010)
	2. Innovation to promote transparency in management	
	3. Openness to the public for information accessibility	
	4. Corresponding to the public's problems and issues	

Good Governance Principle	Evaluative Criteria	Source
Participation	1.The numbers of prominent projects or activities that reflect transparent dimensions of the administration 2. Those prominent projects or activities have expressed continuity and sustainability. 3. Those prominent projects or activities reflect creativity or innovation is that distinct from other LAOs.	College of Local Government Development (2012)
	1. Giving information by using appropriate media 2. Available channels of access to the information 3. Participants in decision-making 4. Process of decision-making committee 5. There are activities to develop the people's capability to engage in participation	King Prajadhipok's Institute (2002)
	1. There must be public opinion to help the public understand the benefits received.	The Department of Local Administration (2014)
	1.Set up a center to receive problems and needs of public services, and to provide solutions from executives or local operational unit 2. Examination of reports regarding accounting audit and financial report in the last 2 years 3. LAOs have evaluation of public satisfaction – by having documentation and numbers of surveys 4. Examination of minutes of meetings, invitation letters to the public and evidence illustrating the coordination between operational units and LAOs – by identifying the meetings, units involved, invitation letters, and minutes of meetings	Kowit Kangsanon (2011)

Good Governance Principle	Evaluative Criteria	Source
Accountability	1. Promoting the role of public to engage in the decision making process, implementation, and taking accountability	College of Local Government Development (2006, 2008)
	1. Public participation in anti-corruption 2. Meaningful public participation in establishing and evaluating Local Development Plan 3. Public participation in initiating and proposing projects 4. Participation of those underprivileged 5. Public participation in proceedings of local council 6. Public participation in innovation	College of Local Government Development (2010)
	1. Those prominent projects or activities reflect a high level of public participation 2. Those prominent projects or activities should never have been awarded before.	College of Local Government Development (2012)
	1. Participation is implicit as micro-level accountability as indicated by exit/voice options. The willingness and ability of the public to exit is immense when dissatisfied with public service appears in order to have alternative suppliers of a given service (Paul 1991). Voice mechanisms are gained from a survey concerning the beneficiaries' satisfaction and from a complaint system.	Manasan et al. (1999)
	1. Joint ownership 2. Clear goals 3. Efficient administration 4. Monitoring and evaluation 5. Measures against non-performers 6. Alternative strategies	King Prajadhipok's Institute (2002)

Good Governance		
Principle	Evaluative Criteria	Source
Value for Money (Efficiency)	1. Citizen participation in selecting their government	The World Bank (2013b)
	2. Freedom of expression	
	3. Freedom of association	
	4. Free media	
	1. Free and fair elections, representative legislature, free vote, political parties, no dominant group, respect for minorities	Kaufmann et al. (1999)
	2. Responsiveness of the government to its people, free and fair elections	
	3. Civil liberties in freedom of speech, of assembly and demonstration, of religion, of equal opportunity, of excessive governmental intervention	
	4. Government communicates its intentions successfully	
	5. Free press, independent media and quality	
	1. Accountability indicators are considered macro-level accountability which may be promoted by good financial and economic accountability; namely availability of comprehensive and timely information; comparison of classified expenditures with budget and budgets with results; the independence of the audit organization; and value for money audits.	Manasan et al. (1999)
	1.No conflict of interest	King Prajadhipok's Institute (2002)
	2.Standard outputs or services	
	3.Internal audit and financial statement	
	4.Efficient use of money and resources	
	5.Policy, plans, vision, mission, and goals	
	6.Evaluation of work performance	

Good Governance Principle	Evaluative Criteria	Source
	<ol style="list-style-type: none"> 1. Determine goals for operational plan and timeline, including budget and the necessity to disclose them 2. Transparent and fair procurement or hiring by considering value and quality 3. The government requires permission or the approval of the LAOs in accordance with laws, rules, regulations or resolutions within fifteen days from the date of receipt of the request or the notification period. 	<p>The Department of Local Administration (2014)</p>
	<ol style="list-style-type: none"> 1. Report to request authorized procurement 2. Having announcement and documents as per regulation for price examination, bidding 3. Having a sign in the construction area for public relations 4. Publicizing the procurement of each project 5. Pre-announcement of date, time and place of recruitment to the public 6. Registration of equipment control 	<p>Kowit Kangsanan (2011)</p>
	<ol style="list-style-type: none"> 1. The quality of public services, the quality of the civil service and the degree of their independence from political pressures 2. The quality of policy formulation and implementation and the credibility of the government's commitment to such policies 	<p>The World Bank (2013b)</p>
	<ol style="list-style-type: none"> 1. Red tape/bureaucracy 2. Quality of the government's personnel 3. Government instability: high turnover that lowers the quality of the government's personnel 4. Bureaucratic quality: civil services' institutional strength, free from political influences 5. Government efficiency in delivering services 6. Decentralization and transparency 7. Effective implementation of government decisions 	<p>Kaufmann et al. (1999)</p>

Source: Author's Compilation

2.3.7 Related Theory or Approaches

Not only are monitoring and evaluative criteria of good governance for local governments currently scattered among various policies and countries, but the pragmatic theory, model, and approach are also fragmented. Despite the fact that various policies have similar objectives, there are also different social contexts, political dynamics, focuses, directions and goals. Inevitably this impedes robust monitoring and evaluation of good governance in practice.

1) Rule of Law

The Hague (2012), Institution for Global Justice conceptualizes guarantees for human rights, order and security, and access to justice as the integral components of the rule of law. Botero and Ponce (2011) combine one of the two approaches to become the thin or instrumental definition of rule of law. Such a definition outlines the institutional elements that sustain the rule of law in a particular society. However, it has less focus on the thick or substantive conception of the rule of law, which legal dimensions: 1) accountability to the law; 2) access to information; 3) independent judiciary; 4) effective judicial system (criminal, civil and administrative); 5) respect for fundamental rights; 6) effective implementation of laws; 7) access to justice; and 8) absence of corruption.

Interestingly, the bottom-up approach emphasizes “justice as fairness” as a conception that can be operationalized and observed. Fairness refers to “having equal rights to basic liberties and ensuring that inequalities benefit the least advantaged members of society” and fair equality of opportunity in terms of offices and positions (Rawls, 2005). Bottom-up justice is assessed through the fairness perceived by people directly dealing with various types of disputes and grievances where they must be 1) access; 2) fair dispute resolution processes; and 3) obtaining fair outcomes to their problems. Therefore, whenever a dispute or grievance arises, there are accessibility mechanisms issuing in fair resolutions.

2) Ethics

Theoretical and methodological concerns for ethics arise, as the state of public administration and management research on ethical theory and methodology is far from being mature. All ethics research is somewhat linked to the different strands of normative ethics. However, study of public administration and management is part

of social sciences as well as empirical research. Therefore, a combination of normative ethics and its specific objectivist or relativist approaches to phenomena is pragmatic. Three different models for ethical theory arise from different strands of normative ethics—consequentialism, virtue theory, and duty theory. The essential features for the three theories to ethics are described in Table 2.4.

Based on consequentialism, the consequence theory requires the best consequences from our action (Gensler, 2006: 138). Consequentialism appears as a form of utilitarianism and takes the consequences as their key feature linked to John Stuart Mill's principle: "the greatest good for the greatest number" (Mill and Bentham, 1987: 234). Its goals are those which give the most good to the most people.

For ethics, virtue theory has roots in the four cardinal virtues (wisdom, courage, temperance, and justice) of the ancient Greeks and three more (faith, hope, and love) (Salminen, 2009: 9) from Christianity. It emphasizes virtue as a good habit or good practice that a person has or is following (Gensler, 2006: 170). Under Aristotle's principle - "the virtues that we get by first exercising them" capture the essence of this line of thought brilliantly (Aristotle, 2009: 23). Practice provides a place for developing virtues.

Based on deontological ethics, duty theory emphasizes duties as something we are required to do (Mizzoni, 2010: 105). It would speak about one's responsibilities or obligations (Mizzoni, 2010: 105). Immanuel Kant's main principle states that "act only on that maxim through which you can at the same time will that it should become a universal law" (Kant, 2005: 97).

The three theories bring about development model with an assumption of higher levels of development ethics. The developmental model for consequence theory begins from the hoped-for consequences and leads to a certain type of action aspired for. The developmental model for the virtue approach begins with what is potential in individuals (Mizzoni, 2010: 27–29). The potential then develops to actuality as certain good habits are repeated. The developmental model for duty theory begins from a sentiment that can be understood as intention (Mizzoni, 2010: 104–105). Action then follows under the guidance of that sentiment and emerges to the final phase of moral character.

In relation to ethics management, the consequence theory provides organizational goals maximizing the well-being of individuals and their patrons. It emphasizes management practices and functions toward organizational goals. Therefore, consequence theory emphasizes the ethical role of top management in organizations. Virtue theory promotes the role of managers who take responsibility and make decision where moral character is built. Duty theory, like consequence theory, places emphasis at the top management level where authority to make decisions exists. Moral rules and ethical standards lead to a proper way of action in the organizational roles, and having “benchmarks” for ethical behavior in comparison of behavior to “right” or “wrong.”

Table 2.4 Different Types of Ethical Behavior in Relation to Normative Ethics

	Consequence Approach to Ethics and Integrity	Virtue Approach to Ethics and Integrity	Duty Approach to Ethics and Integrity
Main general driver of behavior	Goals	Habits	Sentiments
Appropriate ethical theory	Consequentialism (utilitarian ethics)	Virtue Theory (virtue ethics)	Duty Theory (deontological ethics)
Suitable principle within ethical theory	“The greatest good for the greatest number of people” (John Stuart Mill)	“The virtues we get by first exercising them” (Aristotle)	“Act only on that maxim through which you can at the same time will that it should become a universal law” (Immanuel Kant)
Assumed developmental model	Hoped consequence ➤ action ➤ justification	Potential ➤ repeated actions ➤ formation of practice ➤ moral character	Sentiment ➤ action ➤ consequence

Table 2.4 (Continued)

	Consequence Approach to Ethics and Integrity	Virtue Approach to Ethics and Integrity	Duty Approach to Ethics and Integrity
Main measure for maintaining ethics and integrity in organizations	Setting organizational goals which contribute to maximizing the “well-being” of individuals and their patrons	Supporting organizational practices which build the moral character of individuals	Emphasizing moral rules and ethical standards in organizations
Examples of suitable ethics management tools	Social accounting and other measures to support social responsibility of organizations, ethical training	Ethical reviews and rewards, ethical training	Value statements, codes of conduct, ethical training

Source: Salminen, 2010.

In conclusion, the three theoretical approaches are appropriate to be applied for evaluative criteria because each criterion possesses its own elements and characters to contribute to different levels of local managements in relation to normative ethics in terms of ethical governance.

3) Transparency

Theoretically, voluntary disclosures could limit transparency. As human beings are prone to be autonomous rational choosers, self-governing would take place to help them refrain from undisclosed information to the public. Such concealment of information would result in doubt and losing trust. Communitarian disclosure voluntarily takes place because it generates good will and is considered “good business” (Etzioni, 2010: 16). However, government regulation is required where there is much demand on the reliability, availability, and comprehensibility of the information to be released to the public.

4) Transparency theory or the theory of transparency can be laid out in the ways in which transparency is expected to function: 1) in the economic realm; 2) in the public realm; and 3) in academic discussions (Etzioni, 2010: 4–6).

In the economic realm by Sirgy and Su (2002), “transparency theory presumes that such disclosure will enable consumers to make informed choices, reward the businesses that provide the preferred products, and discourage—even put out of business—those that disregard the informed consumers’ preferences.” (Sirgy and Su, 2002: 1) Transparency, in addition, has a strong normative perspective as noted by Ripken, that “expect for individual autonomy, responsibility, and decision-making is deeply entrenched in our culture and law. We believe that people can order their own economic affairs and, given sufficient information, can make their own personal assessments of the risks and benefits of transactions. Therefore, disclosure promotes fairness and empowers the investor with information to make smart investment choices.” (Ripken, 2006; Brito and Ellig, 2008: 5).

In the public realm, transparency “is supposed to discipline institutions and their office-holders by making information about their performance more public. Publicity is taken to deter corruption and poor performance, and to secure a basis for ensuring better and more trustworthy performance” (O’Neill, 2006a). Similar to the popular theory of democracy, the public can make better, informed political decisions when there is greater openness and wider information-sharing. Public disclosure of data or information on the government’s performance is highly required.

In academic discussions, treatment of transparency either directly or indirectly would provide greater support, for instance rule, transaction cost, cost of collecting, and processing information. This element allows one to recognize that consumers and voters may not find it efficient to absorb and process all of the disclosed information.

Because this study deals directly with local governments, the transparency theory will more involve the public, where disclosed information and performance are demanded for the citizenry to participate in mutual lawmaking, policy making, decision sharing, and helps laws and policies appropriate for society. However, this does not mean that the economic realm and academic discussions in terms of fairness, risks, benefits and cost will be voided. These elements are crucial for decision making in public affairs.

5) Participation

Webler proposed a procedural model for public participation. Fairness and competence are its fundamental principles. Fairness encourages open participation, as anyone can defend his or her opinions or interests, can challenge others' defenses, and can contribute to the final decision. Competence, in like manner, contributes cognitive and language ability, free access to knowledge, approved translation rules, and most reliable methodological techniques to validate conflicts and debates.

Arnstein (1969) and Rowe and Frewer (2005) focus on achieving effective participation by the “practice of involving members of the public in agenda-setting, decision-making, and policy-forming activities of organization/institutions responsible for public development.”

6) Accountability

Accountability refers to the process of “giving an account” or being answerable or capable of being accounted for (Alkin and Christie, 2004). True accountability requires dimensions not only “reporting”—providing description and “justifying analysis”—providing explanation but also “answerability”—being responsible and accountable. The third dimension is not reflected in the evaluation of accountability. Evaluative criteria or evaluation require answerability of provided information.

Alkin (1972) defines accountability according to three approaches: goal accountability, process accountability, and outcome accountability. Goal accountability indicates whether reasonable and appropriate goals have been established. This level of accountability covers the governing boards and upper levels of management. Process accountability identifies whether reasonable and appropriate procedures in accomplishing those goals are being established and implemented. This level of accountability covers management and program operators. Outcome accountability reflects the extent to which established goals are being achieved. Similar to process accountability, management and program operators are responsible for outcomes.

Reflection into the models of the three approaches of accountability can be found in the work of Michael Scriven in valuing goals, of Daniel Stufflebeam's CIPP model in process accountability by using program evaluations and outcome accountability.

Although outcome accountability is the major thrust of most evaluation efforts, the author recognized the importance of goal and process accountability for considering the evaluative criteria of good governance for local governments. If goals have been inappropriately established, process and outcome that are followed will go wrong. Implementation will be in vain and wasted, while outcomes are obtained in accordance with established goals but not what was intentionally desired. Process and procedures, in like manner, must be also reasonably and appropriately established in order to accomplish the established goals. Peytcheva and Wright (2009) also prefer process accountability and use the model in their studies. Evaluators expect process-accountable individuals to be able to justify their decision process irrespective of their decision outcome (Markman and Tetlock, 2000; Libby et al., 2004). Furthermore, process accountability provides good support for multifaceted and complicated thinking (Tetlock and Boettger 1989), for better intellectual effort and information processing (Tetlock and Boettger 1989; Simonson and Staw, 1992), for overconfidence abatement (Tetlock and Kim, 1987), for calibration improvement (Siegel-Jacobs and Yates, 1996), and for accuracy of decisions and less-bias decision (Tetlock and Kim, 1987; Siegel-Jacobs and Yates, 1996, Mero, Motowidlo and Anna, 2003). Ultimately, individuals also show increased self-critical attention (Lerner and Tetlock, 1999) and more carefully consider and encode all relevant information provided to them (Tetlock, 1992). Process accountability leads negotiators to exchange information and incorporate new information (De Dreu et al., 2000). Therefore, in setting evaluative criteria of good governance for local governments, goal accountability, process accountability, and outcome accountability are built in.

7) Value for Money (Efficiency)

Value for money is “a term generally used to describe an explicit commitment to ensuring the best results possible are obtained from the money spent” (Barnett et al., 2010: 4). It is a reflection of greater transparency and accountability in spending public funds, and a gain of maximum benefit from the resources available. Value for money itself is “a set of assessment practices for appraisal, review or evaluation of systems and functions as well as initiatives, schemes and projects that are time bound” (Barnett et al., 2010: 5). It is widely used in internal and external controls, procedures and assessments for financial and resource management,

performance management systems and processes in organizations. Therefore, there is a linkage to results-based management, monitoring activity, impact assessment and evaluations.

Evaluating the value for money inevitably involves examining each of the 3 elements of value for money. They are the ‘3Es’ framework of economy, efficiency, and effectiveness and are widely known in the Audit Commission’s definition and approach to value for money. Figure 2.5 explains the model.

Economy: measures input costs, both direct and indirect costs of acquiring, running, and disposing of assets or resources

Efficiency: measures productivity, the relationship between inputs and outputs

Effectiveness: measures the relationship between outputs and outcomes as qualitative and quantitative measures of increase or decrease in outcomes, showing how effective in delivering its intended objectives

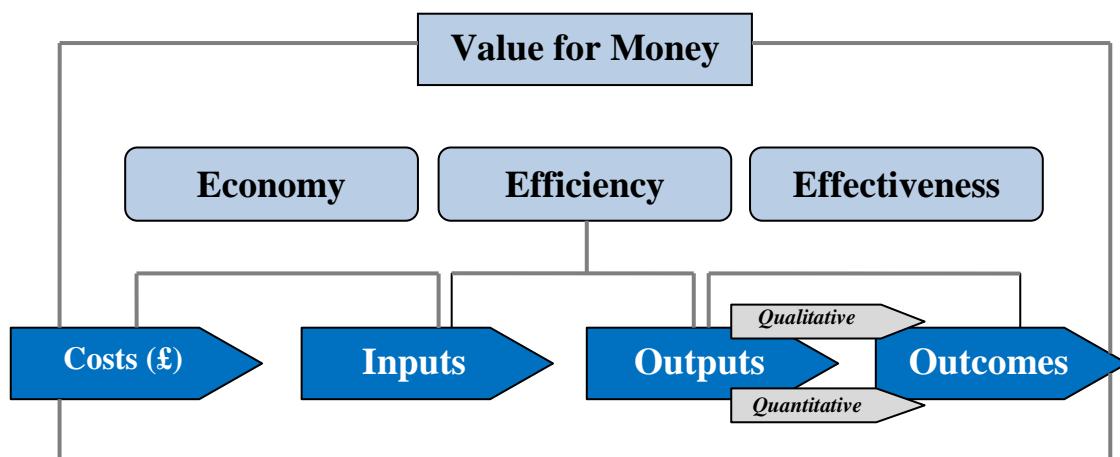


Figure 2.5 Value for Money Model

Source: Barnett, Julian, Angela, Belinda and Shaun, 2010.

When the local government gains a favorable balance of 3Es, the organization will achieve the target of value for money, as costs are controlled while productivity surges and outcomes are goal-reached. Inputs are converted to outputs and affect certain outcomes. These 3Es are justified for setting evaluative criteria of good governance.

2.4 Summary of Literature Review

Good governance, despite its rise in the late 1980s, has tremendously imposed its pragmatic role in both government and private sectors. Inevitably, local governments in Thailand are bound by the 2003 Royal Decree on the Principles and Methods of Good Governance, which is enforced by six principles. Indispensably, local governments cannot depart from good governance. Therefore, in order to ensure a degree of the performance of the good governance of the local governments, LAOs, there is a need for evaluation; and within the evaluation system and operation, there is a need for evaluation or evaluative criteria or indicators as standard yardsticks in the measure mechanism. According to much of the literature, none was found that indicated that evaluative criteria derived from the viewpoint of local government executives, local operators, or local citizenry. Additionally, the six principles of good governance were not the center or focus of the establishment of the criteria. As found, those of King Prajadhipok's Institute emphasized all six principles. The rest are fragmented.

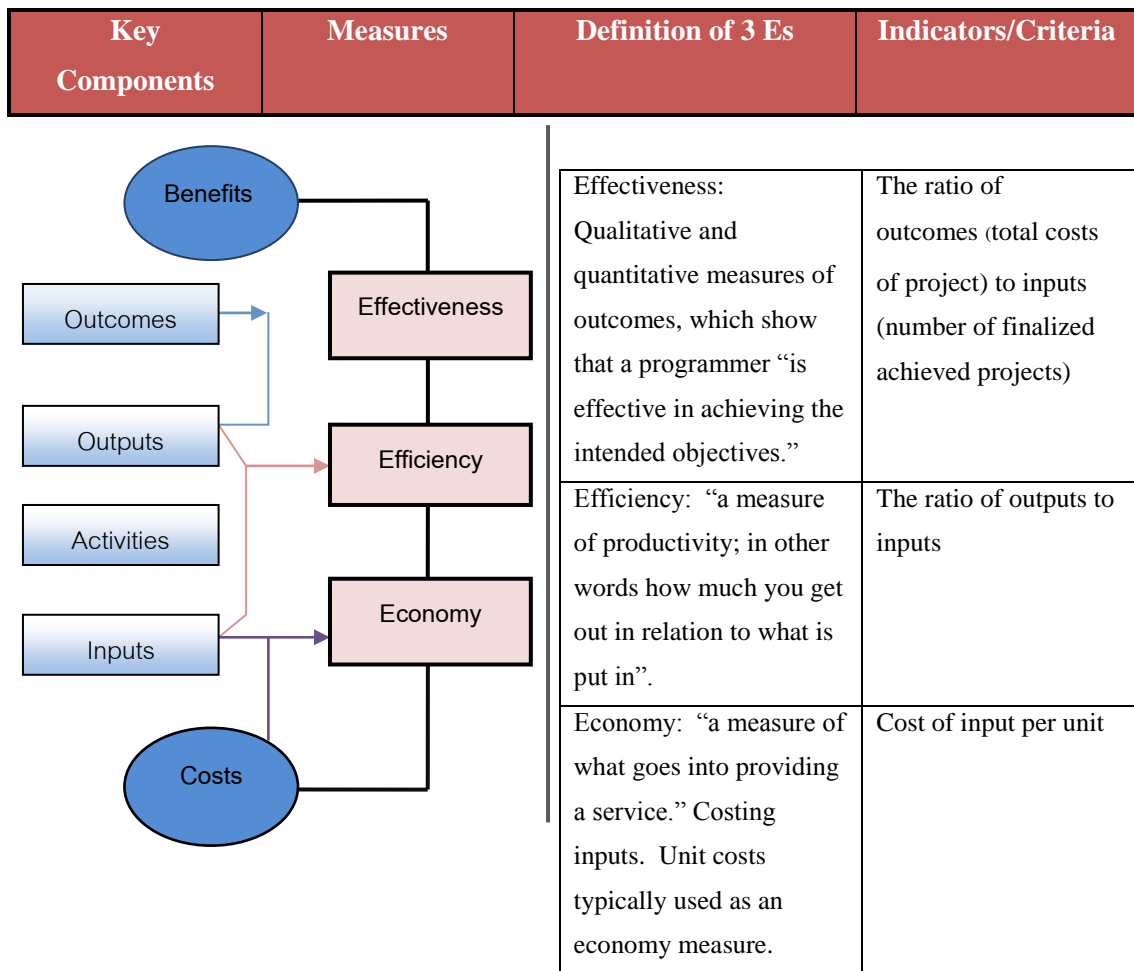


Figure 2.6 Key Components and Measures of Value for Money

Source: Barnett et al., 2010.

Each institute, even internationally well-known ones like the World Bank and the United Nations, covers the principles of good governance differently. The evaluative criteria of specific principles also vary. The author used a theory based approach in creating the evaluative criteria for good governance in this study. Therefore, the study obtained evaluative criteria for the 6 principles of good governance set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance through the literature review and the further steps of data collection and elaboration. The study is aimed to reflect the effectiveness of the work plan, service quality, the efficiency of local implementation and operation, and organizational development by using those criteria to evaluate the local government’s good governance.

2.5 Conceptual Framework for Analysis

The literature review clearly indicates that there are neither comprehensive and agreed definitions of good governance nor single and absolute evaluative criteria of good governance for local governments.

Good governance covers various characteristics or principles, such as the rule of law, ethics, transparency, accountability, participation, value for money (efficiency), public sector reform, private economy, and civil society. It can also cover the system of theory of organizations, the function of the state, the institutional perspective of democratic government, shared responsibilities of government with private and voluntary sectors, and the interactive process of the organizations' exchange resources to achieve common goals.

In order to obtain evaluative criteria of good governance for local governments according to the viewpoint of local government executives, the author has conceptualized the particular dimensions and features of evaluative criteria of good governance

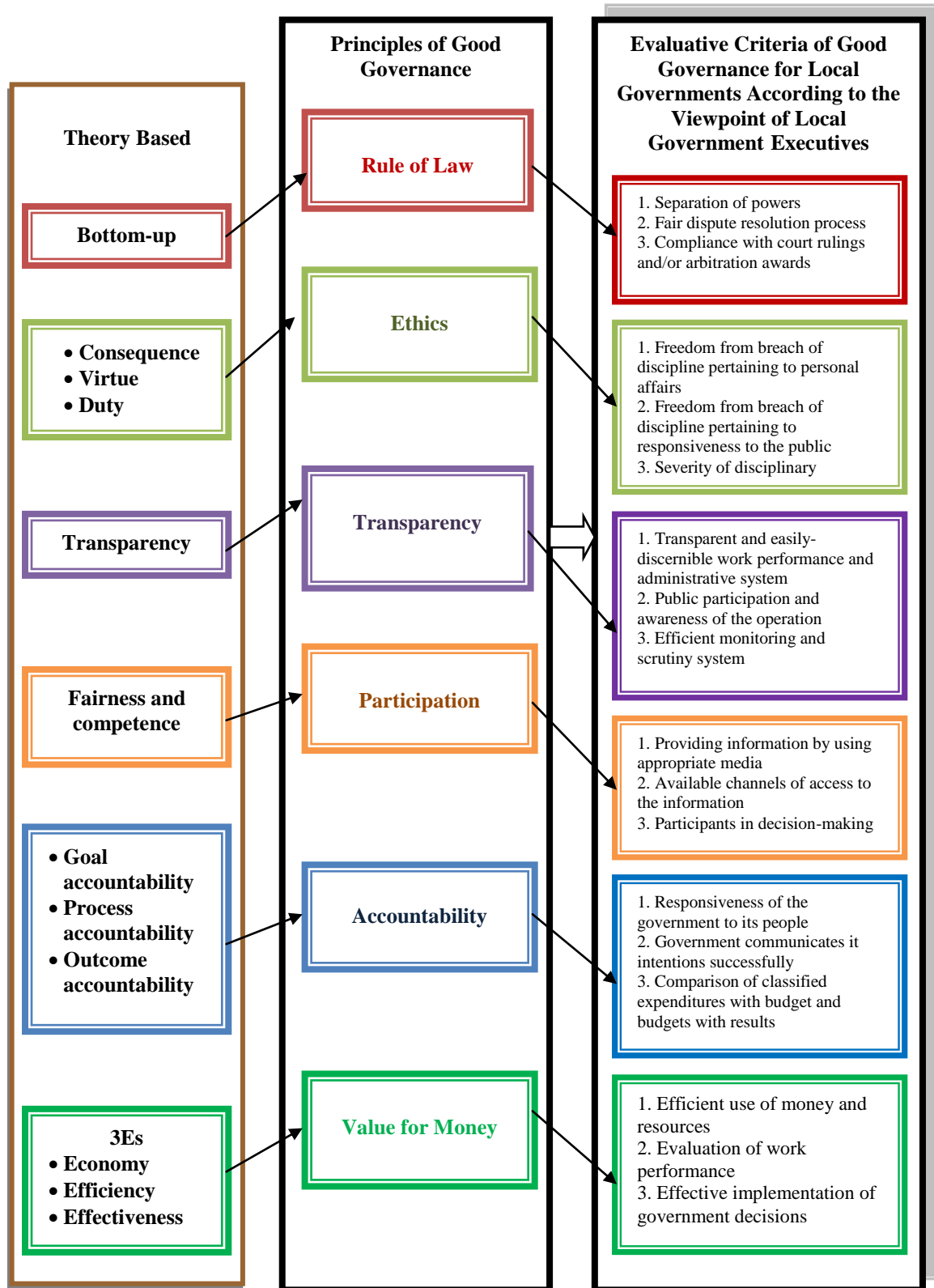
First, each principle of good governance has different actors and makes different impacts to each actor. Evaluative criteria must reflect these perspectives.

Second, each principle has particular characteristics and functions. Therefore, evaluative criteria display the impact of both characteristics and functions.

Third, the theory or approach or model is a reasonable and appropriate base to set up evaluative criteria of good governance for local governments in order to manifest a degree of formality.

Elaborating the aforementioned dimensions and features, the author gathered evaluative criteria of good governance for local governments from the literature review and from the viewpoint of local government executives in order to ascertain the final evaluative criteria of good governance for local government.

Conceptual Framework for the Study



CHAPTER 3

DEVELOPMENT OF GOOD GOVERNANCE AND LOCAL GOVERNMENTS IN THAILAND

3.1 Local Governments in Thailand

3.1.1 Local Government in Thailand

Throughout history, the local government in Thailand was established through the application of decentralization since the reign of King Prajadhipok or Rama VII (8 November 1893-30 May 1941), the Siamese seventh monarch of the house of Chakri. The King's particular remarks regarding the local administration reference from the Royal records follow:

The next step in our education towards democracy would be the organization of municipalities. This will be a means of teaching the people how to vote, and the experiment would also prove useful and instructive. It will certainly be better for the people first to control local affairs before they attempt to control state affairs through a parliament (The Royal Record).

During the time of the abolishment of the absolute monarchy system building up to the introduction of democracy via the Constitutional Revolution in 1932, the local autonomy was formed. Mr. Pridi Bhanomyong, the leader of the revolution and the Minister of Interior during that period enacted the Thesaban Act (Municipal Administration Act) of 1933, resulting in the establishment of Theban in 35 of the urban areas across the country as a basic local authority in 1935.

Bhanomyong intended also to form Theban in the Tambon, a rural administrative unit. As a consequence of the repetitive military coups and democratic rule, the smooth development of the local autonomy, which Bhanomyong also predicted, was prevented. His concepts of establishing basic local authorities in suburban areas did not develop as legitimate results until six decades later during the 1990's.

Despite a number of setbacks, the decentralization progress in Thailand progressed gradually as a whole.⁷ As postulated in the State Administration Act of 1991, Thailand had five types of local authorities even before the fully-decentralized process state during the 1990's. The first type was Thesaban, the basic unit of local authority in urban areas. The second type was sanitary districts (Sukhaphiban) in semi-urban areas. The third type was Provincial Administrative Organizations (PAOs) in rural areas. These three types were, as it were, ordinary local authorities distributed throughout the country. The fourth type was the Bangkok Metropolitan Administration (BMA) for Bangkok, the capital and the most urbanized city in Thailand. The fifth type was the City of Pattaya, an internationally-known tourist destination. Sanitary districts and PAOs were established during the 1950s while the BMA and the City of Pattaya were instituted during the 1970s. Progress in the democratization process exhibited a close relationship between the local autonomy and democratization in Thailand during the period of the 1950s and mid-1970s. In fact, the local authorities did not play any important roles in the public service delivery compared to the central government and its office branches in the 1990s, specifically before the 1997 Constitution of the Kingdom of Thailand was established.

⁷Efforts were made during the 1950s and 1960s to establish basic local authorities in rural areas, with little success. Those bodies thus established were abolished altogether in the early 1970s, for they had failed to produce the expected outcomes; they were replaced by Tambon Councils, which were more like advisory bodies to Tambon. Bangkok gained the local administrative status in 1975 but returned to the system in which the central government appointed the governor due to the military coup in October 1976. It was not until 12 years later that it reintroduced the system of election by popular vote.

All the local authorities accounted for less than 10 % of the total national expenditures. Likewise, the ratio of their employees to those at the central government and its branch offices was one to more than 10. In brief, the decentralization process in Thailand represented an effort to transfer administrative ministers and financial and human resources to local authorities and develop their capacity.

Explicitly, the decentralization process since the 1990s, especially in the last decade, has been built upon the 1997 Constitution, the 1999 Decentralization Act, and the relevant legislative arrangements, including the revision of existing acts and the establishment of new ones (Table 3.1). The decentralization prepared in the 1990s concurred with the democratization transformation in Thai governmental issues. The democratization process began when the "Bleeding May Incident" of 1992 brought about the ouster of the military administration and a comeback to gathering legislative issues. Decentralization was a significant issue in the general race held in September 1992. Expert popular government parties made a battle promise to present an arrangement of freely choosing commonplace governors, who were generally named by the focal government. They likewise bolstered the thought of allowing the status of a local self-sufficient substance or even a juristic element to the Tambon Council, a warning body to Tambon, a country regulatory unit. The thought of choosing common governors by well-known vote met with solid resistance from the Ministry of Interior on the grounds that commonplace governorship was customarily conceded to service authorities as the most elevated post for them. Noteworthy was the first Chuan government, a coalition government between October 1992 and July 1995, which did not take up this issue. In the interim, the thought of giving independent status to the Tambon Council was acknowledged when the decision coalition parties, the Ministry of Interior, Kamnan, and the town headmen arrived at a bargain that prompted the foundation of the Tambon Council and Tambon Administrative Organization Act of (1994 TAO Act). Under the Act, it was pointed out that most Tambons in Thailand would choose autonomous status (TAO).

The foundation of TAOs itself stayed inside the general form of the current local organization framework. A significant defining moment for both the clearing change of the local authorities' framework and the decentralization process came when the 1997 Constitution was declared in October 1997. Unlike other constitutions,

this constitution contains extensive and comprehensive provisions on local government (Nelson, 2000: 34-35). Following these provisions, at least 10 constitution-related legislations were issued and amended (Nelson, 2001: 232). The 1997 Constitution characterized decentralization as a national basic policy in Section 78. Moreover, Chapter 9: Local Authority contained point by point provisions in its nine sections (Sections 282-290).

The Constitution dedicates at least nine sections to decentralization, as summarized below. Three of these sections directly address the fiscal aspect of decentralization.

Article 78 plainly expressed that the state shall decentralize powers to localities and shall advance localities toward local self-government at the provincial level, where individuals express their will to build their provincial self-government.

Article 283 gives localities the right to define their own self-governing bodies. It likewise orders that the state control and supervision forced on local authorities ought not to undermine the principle of local self-government.

Articles 284 and 285 give key principles of local autonomy. In the first place, it is unmistakably expressed that local authorities might have their autonomy in policy formulation, administration, finance, and personnel management. Second, the segment commands a decentralization act, which expresses the depiction of functions and responsibilities, and tax between the state and local authorities, and among local authorities. Third, it commands the foundation of a decentralization committee, which thus would set up the decentralization plan, review, monitor, and give recommendations on policy to the Cabinet concerning the execution of the decentralization plan and process. The committee is devoted to equivalent numbers of representatives from local authorities, central government organizations, and qualified persons. Local councils and executive bodies are ordered to be locally elected and to hold office for four years. Persons employed by the government organizations, local authorities, and state enterprises are not qualified to be part of local councils and executive bodies.

Articles 286 and 287 give the right of local residents to review votes when locally-chosen authorities are not reliable. Article 288 gives provides that a local civil service law might be secured. The law should recommend the foundation of the local work force council, and contain equivalent numbers of representatives from local authorities, central government organizations, and qualified persons.

Articles 289 and 290 allows local authorities to have additional functions, including the conservation of local arts, heritages, and society cultures, providing education and training, preservation and overseeing natural resources, the environment, sanitation, and the advancement of livable communities. During the period between the proclamation in October and the end of 1999, there was a modification of the Local Government Acts, (for example, the Thesaban Act of 1953, the TAO Act of 1994, the Pattaya Administration Act and so forth), and the institution of new laws, including the Local Public Personnel Administration Act and the follow up on local initiatives and the reviewing of authorities. These authoritative measures were aimed to block direct mediations in local authority administration from the Ministry of Interior and empower the independence by local residents. Indeed, they became part of the reform of local authority organization.

After the local authoritative change made its strides, the Thai government promotes the improvement of the Decentralization Plan. This move was focused around Section 285 of the 1997 Constitution and the Decentralization Plan and Process Act of 1999 (the 1999 Decentralization Act), which had been created as per this segment. This Act served as the establishment for the genuine process of decentralization. In line with the act, the National Decentralization Committee (NDC), formally known as the Decentralization to Local Government Organization Committee, was gathered toward the start of 2000. The NDC assumed the main part in defining strategies, and drafting the Decentralization Plan and Implementation Plan. The NDC was set under the Office of the Permanent Secretary of the Prime Minister's Office. Two-thirds of the committee members were to be chosen according to the procedures established by the prime minister. The Plan was made up of the Master plan and the Action Plan, which were affirmed by the Cabinet in the Prime Minister's Office. It spelled out the procedures of public services for each kind of LAO, and stipulated the sources of income for LAOs by determining the distribution of specific taxes and duties.

The principal drafting arrangement, affirmed by the Chuan Leekpai government in October 2000, detailed the time span for the transfer of responsibilities from the central government to local governments, and identified local finance and personnel, and governance supervision.

Although Section 35 of the Decentralization Act obliged that both the Decentralization Plan and Implementation Plan should be finished within one year after the Decentralization Committee started its work. The Implementation Plan called for by the Act was postponed as an issue of changing the government after the Thai Rak Thai Party's truly extraordinary resonating triumph over the Democrat Party in the parliamentary races of January 2001.

The Implementation Plan spells out the points of interest of an aggregate of 245 separate obligations by fifty divisions inside eleven different ministers that were to be transferred to LAOs. 64 laws were listed for amendment and for reconfiguring authority after decentralization.

Such details in the Implementation Plan were well summarized by Nelson (2002: 237-238) as follows:

Infrastructure: There are 87 responsibilities in 17 departments of seven ministries and 13 laws stipulated.

1) Quality of life: this incorporates the fields of training and general wellbeing with 103 obligations in 26 divisions of seven ministers and seven laws stipulated.

2) Communal and Social Request: this requests keeping peace and request by 17 obligations in nine branches of six ministers. In addition, it includes the supporting majority rule government and support of individuals in local improvement with 32 laws.

3) Planning: this proclaims the venture advancement, business and tourism by 19 obligations in six branches of five ministers with six laws.

4) Management and protection of natural resources and the environment: The work is done by 17 obligations of nine offices in four ministers with four laws instituted.

5) Art, culture, customs and tradition, and local wisdom

In general, the Implementation Plan gives some flexibility in two periods for transferring responsibilities to LAOs. First, from years 2001 to 2004, the Bureau of Budget assured that LGOs have reached certain percent of national revenues. Second, from FY2005 to FY2009, the Bureau of Budget assured that LGOs received 35 percent of national revenues by the end of the 9th Plan period (2006).

The Decentralization Act set the fiscal decentralization target on expanding the rate of local authority expenditure to no less than 20 % by 2001, and further increment to no less than 35 % by 2006. This implies that the LAOs were mandated to implement the fiscal decentralization as well as the intergovernmental transfer of services.

A main consideration was the presence of a system of groups that could assume a vital part in advancing decentralization. These groups were made up of researchers at Thammasat University, King Prajadhipok's Institute (a preparation and examination organization partnered with the National Assembly) and other institutes. Actually, these researchers in the system were included in the drafting of Chapter 9 of the 1997 Constitution and the modification of the Local Government Acts, (for example, the Thesaban Act of 1953, the TAO Act of 1994, the Pattaya Administration Act, and so forth), the Decentralization Act, and the Decentralization Plan. Numerous parts of the gatherings were additionally included in the execution part of reinforcing local authorities and advancing decentralization as members of NDC. The supported association of these researchers guaranteed the strategy manageability in this segment.

Outside elements were additionally included. The World Bank's interest in structural alteration included decentralization in the first half of the 1980s. In the fallout of the Asian money crisis of 1997, amount of funds were injected into TAOs as a major aspect of exertions to diminish unemployment. Japanese Finance Minister Kiichi Miyazawa published a plan to address the crisis at the Asian-Pacific Economic Cooperation (APEC) Conference in November 1998. A massive part of funds were injected in Thailand's rural areas through TAOs under this arrangement, prominently known as the New Miyazawa Plan. Government work was placed under the Office of the Prime Minister (OPM) that served as organizers in the dispersion of funds; for example, the Office of Civil Service Commission (OCSC) and the National Economic and Social Development Board (NESDB) had a tendency to help decentralization as an issue to promote local government, development programs, high effectiveness and efficiency of program implantations, and gap reduction between urban and rural areas. In spite of the fact that the effect of these outside components was not as solid as the inner element of democratization, they were critical in persuading Thailand that decentralization was certain for the nation as it is a major universal pattern.

The decentralization plan elucidates that LAOs that are prepared can move ahead with accepting and meeting the new transferred duties from the central government. In the meantime, for those LAOs that were not yet prepared could apply this time span for an arrangement of those transferred duties. However, all duties would be transferred until 2010.

To comply with the Decentralization Act, the government proposed gradually increasing the budgetary allocations to and the responsibilities of LAOs in three phases as follows:

1) Phase 1, FY2001. During this period the Bureau of Budget would guarantee that LAOs have estimated 20 percent of national incomes (approximately B160 billion) to fund local activities.⁸ Of this sum, LAOs would oversee B40 billion under the Procurement Management Regulation, whereby the central government furnishes local governments with training in future plan. This stage has been finished. In spite of the fact that the targets may have been met as far as use at the local level, most plan executions were completely controlled by central ministers, as had been the situation previously.

2) Phase 2, FY2002–FY2004. During this period local governments will be obliged to react to the expanded budgetary portions by supplying strategic plans and manpower.

Unequivocally, the decentralization process since the 1990s, particularly in the most recent decade, has been based upon the 1997 Constitution, the 1999 Decentralization Act, and the applicable new ones (Table 3.1). Despite the fact that the military coup on September 19, 2006 annulled the 1997 Constitution, these new and overhauled acts have been set up right administrative courses of action, including the amendment of existing acts and the foundation until today. Essentially, the statutory premise for advancing decentralization has not been undermined fundamentally. Local self-sufficiency will keep on providing an imperative institutional premise for supporting popular government in Thailand. It might be certain, in any case, that the energy for decentralization was altogether lessened, as highlighted by the change of the

⁸National revenues exclude revenues raised by LGOs, administrative fees charged by the Revenue Department to collect taxes, and government borrowing.

Decentralization Act. On the other hand, it is evident that Thailand is in the early phase of the decentralization process. It is strongly urged to further push for its authentic implementation to transfer functional responsibilities to local government, to upgrade local autonomy and circumspection, and to permit local groups to have amore prominent say in the administration of public resources and in arranging their socio-economic developments (Mutebi, 2004: 33).

Table 3.1 A List of the Various Acts Related to LAOs, Either Modified or Newly Enacted by the Effect of the Promulgation of the 1997 Constitution

Name of Act	Date of Enactment
The Thesaban Act of 1953 (10th version in 1999)	February 13, 1953
The Tambon Council and Tambon Administrative Organization Act of 1994 (3rd version in 1999)	November 26, 1994
The Provincial Administration Organization Act of 1997	October 12, 1997
The Act of Upgrading Sanitary District to Thesaban of 1999	February 13, 1999
Act of Local Initiatives	October 10, 1999
Act of Recalling of Local Officials	October 15, 1999
The Decentralization Plan and Process Act of 1999	November 11, 1999
The Local Public Personnel Administration Act of 1999	November 18, 1999
The Pattaya City Act of 1999	November 19, 1999

Source: Nagai, 2001: 4.

3.2 The Local Authority Structure in Thailand

Three frameworks are established in the Thai state administrative structure: central administration, local administration, and local autonomy (under the State Administration Act of 1991). The central administration framework involves ministers and divisions. Ministers are heads of ministries. Their subordinates are permanent secretaries and department director-generals. The local administration framework is made of territories and areas. Central ministers are the Ministry of

Interior (MOI), the Ministry of Agriculture and Cooperatives, the Ministry of Education (MOE), and the Ministry of Public Health. They give orders through their branch offices at provincial halls and district offices to the local administration. Indeed the divisions of some of these ministers have their extension branch offices there. Thus local administration in Thailand is only a total of the extension branch offices of central ministers and offices. What is special to Thailand is that these units are individual entities; areas even have the status of a juristic element. Provincial governors and district officers, who are dispatched by the MOI, have the statutory authority to steer and manage government authorities from these central ministers and departments at the provincial and district levels. Authoritative sectionalism is clear even at the provincial and district levels. At the end of the day, the vertical relationship in the ministries and departments exceeds even horizontal coordination among central government work places at these levels. The local autonomy framework is different from the frameworks of central and local administrations. It is made up of about 7,800 local authorities across the country (as of March 1, 2006), which are characterized into five types (Table 3.2). These local authorities were set under the control and supervision of provincial governors and district officers, who, alongside the Minister of Interior, have the authority to sanction their annual budget plans and local regulations, break up local boards, and reject local councilors.

A key purpose of the local authorities' framework in Thailand is the conjunction of the local administration framework and the local autonomy framework. This dual framework makes it more difficult to comprehend the local authorities' framework in Thailand as it is implemented in numerous different nations. Inside the local administration framework, central government authorities are dispatched to provinces and districts (Figure 3.1). A few ministers, including the Ministry of Public Health and the MOE, even dispatch their authorities to the lower authoritative units. A district is divided into the Tambon, which is subdivided into villages.⁹ Every Tambon and village is headed by a Kamnan and village headman,

⁹However, Tambon or villages generally are not present in urban areas, including the BMA and Thesaban. Nonetheless, headmen were present in areas surrounding the BMA until recently. The Thesaban, who were upgraded from sanitary districts, have both Kamnan and village headmen.

respectively (under the Local Administration Act of 1914). The Kamnan and village headmen are both influential persons at the local level. A village headman is elected by popular vote every five years. Kamnans are elected from the village headmen who have run for the post directly by the local residents in the Tambon with a five-year term.¹⁰ In that sense, the Kamnan and village headmen are the representatives of their respective constituencies. In another sense, they are the central government's agents, receiving a monthly salary from the MOI and having the duties of resident registration, quasi-judicial affairs, and public peace and order agents. Despite the alterations in the election process and office for the Kamnan and village headmen, the local administration framework has remained almost the same from its commencement (Figure 3.2).

Table 3.2 Number of Local Authorities by Type (as of March 1, 2006)

Type	Number	Remarks
PAOs	75	One PAO in every province except Bangkok Metropolitan Administration (BMA)
Thesaban (municipalities)	1,162	A city municipality needs to have a provincial
Thesaban Nakhon (city municipalities)	22	hall or have a population of at least 50,000 for
Thesaban Mueang (town municipalities)	120	qualification. Other municipalities where a
Thesaban Tambon (subdistrict municipalities)	1,020	district office is located all upgraded to subdistrict municipalities in May 1999 except for one sanitary district, which has been abolished.
TAOs	6,616	As a result of the revision of the relevant act at the end of 2003, Tambon Councils were abolished when they were absorbed into their neighboring basic local authorities within the same district, except for a few exceptions.

¹⁰However, the Kamnan and village headmen who were elected before 1992 can remain in office until they reach the retirement age of 60.

Table 3.2 (Continued)

Type	Number	Remarks
Special municipalities	2	The special municipalities are under the direct control of the Interior Minister.
Bangkok Metropolitan	1	
Administration (BMA)	1	
Total	7,855	

Source: Nagai, 2001. based on data from the website of the Department of Local Administration, 2007.

In contrast to the local administration, the local autonomy framework has made a major institutional progress for the past 17 years. According to the 1997 Constitution, the head and local council members of a local authority come directly from the election system since the end of 2003. All LAOs in Thailand are governed by the local authorities, except for the special municipality of the BMA.

The Japanese framework seems to have similar local autonomy framework as Thailand's. The existence of the framework is the main difference. In Thailand, the local administration framework is constituted by having delegated services from the central government as branch offices. Thailand's decentralization is a form of transferring authority, finance, and human resources from one framework to another; that is, from local administration to local autonomy.

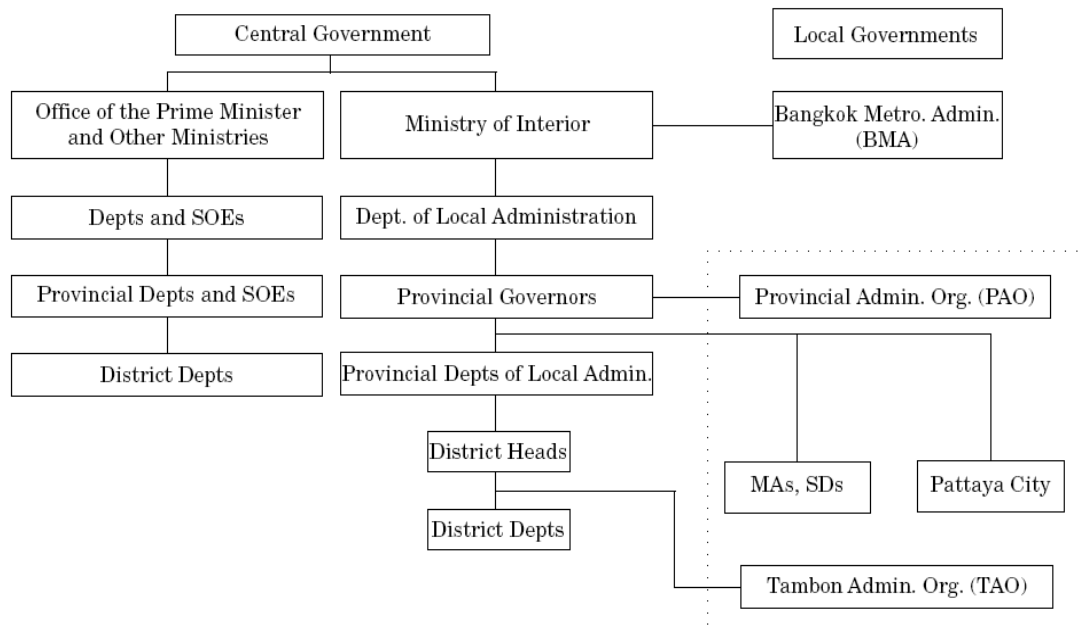


Figure 3.1 Central, Regional, and Local Administration

Source: World Bank, 2000.

Until now the MOI still has both indirect and indirect control, supervision and interventions on local authorities. Besides Thesaban and the BMA, the other three types of local authorities are managed by provincial governors, district officers, Kamnan, village headmen, and community representatives. Provincial governors and district officers are MOI officials, while Kamnan and village headmen are elected by popular vote but are agents of the central government for civil services. The provincial governor serves as the concurrent post of the chairman of the executive board at the PAO level, the district officers serve as the heads of the district branches of the PAO, the Kamnan and village headmen serve as committee members in sanitary districts, and the PAO councilors and other committee members of the sanitary district are elected from the local residents. Another influential control from the central government is the sanitary district office within the district office—a branch office of the central government. In the City of Pattaya, a majority of the city councilors are appointed by the MOI, while the mayor is a nominal entity is elected by popular vote. The city council dispatches the City Manager, who is entitled to manage the city. Obviously, the local autonomy framework in Thailand is still under the umbrella of the MOI and can minimally represent the local citizenry.

Obvious indirect interventions from the MOI are in the statutory form. Budget and development plans, and the local regulations of local authority, are subject to the approval of the provincial governor and district officer. If the indirect interventions have no legal support, the MOI can issue ordinances to define the internal organizations of local authorities. With such interventions a valid question is raised concerning local autonomy principles. Prior to the enactment of the 1997 Constitution, the MOI had strict control over the personnel affairs of local authorities by means of personnel recruitment, promotion and transfer among different local authorities. Furthermore, the MOI set rules and guidelines for the finance, bidding procedures, and property management of local authorities through the provincial governors.

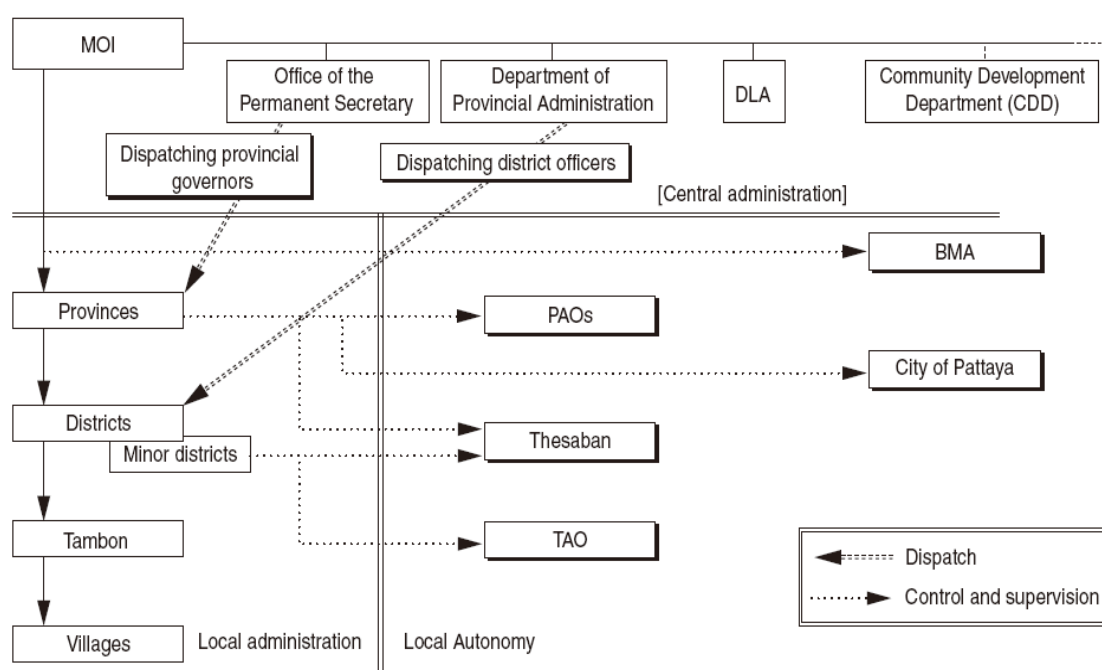


Figure 3.2 A Diagram of the Control of Local Authorities by the MOI
(since October 2002)

Note: As reviewed by the ministerial reorganization in October 2002, there were three entities under DOLA: 1) the Department of Provincial Administration (DOPA); 2) DLA; and 3) the Department of Disaster Prevention and Mitigation (DDPM). Local authorities are supervised by provincial governors and district officers.

Based on the above discussion, the characteristics of the local authority system until the 1990s can be summarized in three characteristics:

1) Existing until today, the dual system of local authority and local administration are represented by the autonomy line and central government line, respectively. The local authority is operated by elected representatives while the local administration is operated by provincial governors, district officers, Kamnan, and village headmen

2) The central government line has control and supervisory powers over the autonomy line. The MOI supervises provinces and provinces to the districts. With the control and supervisory power, the MOI and the provincial governor may approve local budgets, terminate the elected heads and local councilors, and dissolve the local councils.

3) The local authorities in the urbanized areas can enjoy their autonomy than those in the rural areas. Kamnan, and village headmen were used to have more central officials incorporated. They were comparatively concentrated in PAOs while sanitary districts have a lesser degree. This kind of implementation reflects that the officials of central government—the provincial governors and district officers—pay more attention to the remote and less educated areas where less autonomy is exercised.

From the aforementioned discuss of the three characteristics, it is evidenced that local administration and local authorities in Thailand are extremely centralized. The chain of command at the provincial and district levels is relatively weak as the ministries and departments are sectional. However, the decentralization process in Thailand has an on-going progress by attempting to reduce centralized authority of the state administrative structure and decentralize in function of local authorities. Decentralization has been executed by means of devaluating functions and duties, and building capacity of local organizations. It is a gradual shift from centralized to decentralized administration. However, there is a need of genuine decentralization reform to push forward the real change of roles, functions, and authorities of LAOs.

3.3 Background and Good Governance Reform – Thailand’s Experience

The original import of the idea of governance into Thailand when and by whom, cannot be exactly pointed out. Bidhya Bowornwathana (2008:6) gives a possible clue that the governance concept began to be heard amid the intellectual circle in Thailand during the early 1990s. Scholars have labeled governance as “Thammarat” (meaning a just state) or as “Thammaphiban” (meaning governing by justice), which has caused this catchword to have different meanings and interpretation until today (Kowit Kangsan, 2011).

King Prajadhipok’s Institute (2002), however, opined that good governance was introduced to Thai society in the period of 1996-1997 by local and international non-governmental organizations and a number of concerned academics and thinkers. The hope was bestowed on good governance as the bedrock of sustainable development by convincing the public in all sectors of society of the urgent need to revamp the old way that swamped with corrupt practices. Promoting the merits of good governance resulted in a positive response and acceptance of good governance 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 (King Prajadhipok’s Institute, 2002: 7).

The formal meaning of governance was introduced through the 1997 economic and financial crisis in Thailand by seeking aid from the World Bank and the International Monetary Fund (IMF). As a borrower, the Thai government was required to meet the financial institutes’ requirements of good governance, as previously mentioned. Such requirements are: 1) the democratic form of politics; 2) the process for development of the country’s economic and social resources; and 3) the governmental capacity in policy design, formulation, and implementation, as well as in discharging functions (World Bank, 1994: xiv). The schemes were laid out in two tracks: 1) public finance reform, which emphasized expenditure management, tax

administration, and fiscal decentralization; and 2) public administration, emphasizing the enhancement of service delivery for better quality and efficiency by using performance-based human resource management systems and organizational renewal (Bidhya Bowornwathana, 2008: 10).

Politically, fighting against bureaucratic and political corruption has become one of Thailand's cumbersome combats. A major landmark from the rewritten 1997 (B.E. 2540) constitution, also known as the "People's Constitution," pushed forth good governance as one of the constitution's components. This constitution covered various innovations aiming to cause more costly and risky results for the politicians if the abuse of their position for personal gain were pursued. It emphasized the public participation in the process of governmental decision-making, protection for fundamental human rights with its guarantee, and transparency in governmental administration with its accountability to the public. However, the effectiveness of the legal framework has not been met due to its weak enforcement. For the law to be effective, civil society must also be active (Pasuk Phongpaichit, 2001).

Further refining of good governance as a crucial condition for the recovery of the Thai economy, the Chuan II government requested the Thailand's Development and Research Institute (TDRI) devise a plan for good governance. Such a plan was then proposed with the "Proposal for Promoting Good Governance of 1999," providing: 1) the promotion of Thai good governance; 2) the promulgation of good governance act as required by the 1997 Constitution; 3) the resulted-based public reform covering budgeting reform and personnel reform; 4) the solving of government corruption; and 5) building good governance (TDRI, 1999). This proposal was developed into an Order of the Office of the Prime Minister on "Building Good Governance and Society of August 10th, 1999" for managing and promoting Thai society, comprised of six principles (Bidhya Bowornwathana, 2008: 5):

- 1) Legal: laws must be up-to-date and fair, and accepted by society
- 2) Merit: honesty, sincerity, hard-working, tolerance, discipline
- 3) Transparency: mutual trust, transparency of government agencies, freedom and access of government information by the public, devising processes allowing the people to check the accountability of the government
- 4) Participation: encourage people's participation in the major decisions of the country, public inquiry, public hearing, opinion polls

5) Responsibility: awareness of one's duties and rights, a sense of social responsibility, concern for the country's problems, respect of differences of opinion, and the courage to assume responsibilities from one's action; and

6) Economy: use of resources for maximum return, encourage Thais to economize, produce high-quality goods and services that are globally competitive, and maintain sustainable development of natural resources

In 2003, the Royal Decree on the Principles and Methods of Good Governance then came in to replace the Order of the Office of the Prime Minister on Building Good Governance and Society of August 10th, 1999. This enacted Royal Decree corresponded to the revised Public Administration Act of 2545 B.E. (No. 5, 2002), where the 6 objectives of government administration as good governance were spelled out (Bidhya Bowornwathana, 2008: 5):

1) Government practices that result in people's well-being and happiness, peacefulness and safety, and the country's maximum benefit

2) Government practices that meet the state objectives

3) Government practices that are efficient to achieve the State's mission

4) Streamlining of government work to provide faster and more convenient public services

5) The revision of the government agency's functions to align with the public administration plans, cabinet policies, budgets, missions, and conditions; and

6) The evaluation of government work by an independent entity to achieve objectives, client satisfaction, and success

The Office of the National Economic and Social Development Board (NESDB) is another institute that corresponded with the government in realizing the importance of having a good governance system working in Thailand. The institute had composed the elements of good governance as one part in the 8th and 9th National Economic and Social Development Plan.

The 8th National Economic and Social Development Plan lays down 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, 1998).

3.4 Good Governance Strategies

Public reform has been part of most government policy proclamations, whether during election time or prior to the formal inauguration of the government. However, the initiatives are virtually different in terms of focuses and priorities.

Kowit Kangsanant (2011) provided a general model of public sector reform in Thailand regardless of its specific attention and how each Thai government has approached and set up the reform policy and programs as follows:

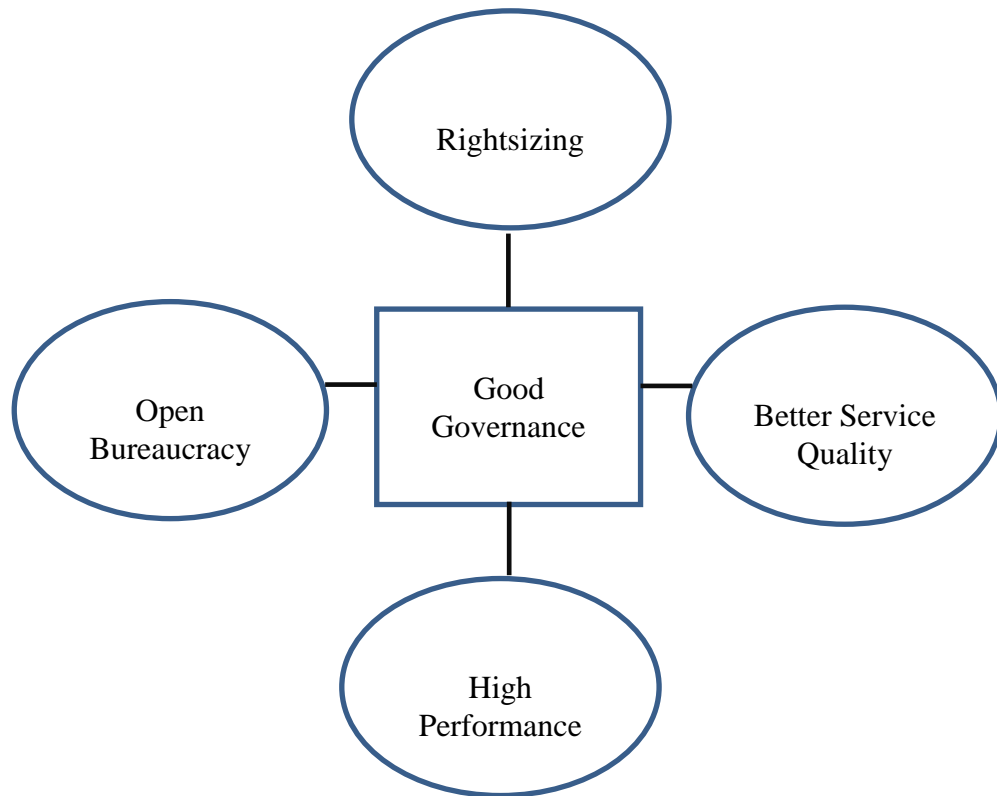


Figure 3.3 Model of Public Sector Reform

Source: Kowit Kangsanon, 2011.

Additionally, he gives the form of each reform motion: 1) Rightsizing: Restructuring, Agencification, Comprehensive review; Contestability (market testing), Activity-based costing and capital charges; 2) Better service quality: Service standard, Deregulation, E-Service, Call center, service link (integrated customer solution), E-government, and GFMS; 3) High performance: Change management, Change leaders, Knowledge management, E-Learning, Paradigm shift, Performance excellence, and managing for results; and 4) Open bureaucracy: Public participation, People's audit, Lay Board/Citizen Advisory Board.

The influence of Thailand's reform comes from the Western government reform movements, not only of the new public management type (NPM-type) but also good governance platforms. Indirectly, NPM-type conceptual and practical transfers are rather selective as fitted to the political administration and environments of each individual regime. Directly, good governance reform is conditioned by the IMF in exchange for the country's survival from economic and financial crisis.

Good observations from Kangsanon's insights are crucial for Thailand further strategic development of good governance.

1) From a perspective of ontologism, reform in Thailand has caused a state of ambiguous perceptions and confusion for policy makers, good governance policy implementers, intellectuals, and the public. This corresponds to what Bowornwathana (2008: 16) reiterates, that the major consequence of the reform diffusion process of governance in Thailand has generated a state of chaos in terms of meanings and definitions for understanding clarification. Therefore, good governance appears in different meanings and interpretations, depending on the person's perspective and value expectations.

This loophole must be closed up by those involved in such reform regarding the conceptual and practical meanings of good governance to prevent any opportunities for biased selection of governance courses of action that mismatch societal needs and expectations.

2) From a direction and form perspective, good governance reform in Thailand has diverted from political philosophy or ideology of government. Its ultimate goals aimed for less state/government and better state/government. As a consequence ministries are found to be more bureaucratic in the central administration. This bureaucratic structure served the populist policies as evidenced much under Thaksin's regime for is political support base in order to sustain a perpetual sustenance and control of state power.

Clear goals must be established in order to formulate clear directions and the form of good governance reform without any political hidden agenda but for the country as a whole.

3) From the moral and ethical perspective, good governance reform in Thailand has its critical limitations by undergoing a narrowly-defined scope and actions due to the lack of an essential connection between political development reform and administrative reform. It is geared toward organizational, managerial, and operational changes, rather than institutional reform. The institutional reform requires transformation in macro-level rules and principles, especially those that affect new patterns of the governing process. Any inadequate institutional development will cause the government or administrative reform to fail.

An illustration of administration totalitarianism can be seen from the administration of Thaksin Chinawatra, who had absolute control like a businessman. He applied several managerial tools to the governmental such as Chief Executive Officer (CEOs) at all levels of government. Bidhya Bowornwathana (2008) called this governing approach "the country is my company" and "prime ministerization." Bidhya Bowornwathana (2004: 98) constructed an interesting comparison of Thaksin's totalitarian administration versus democratic government.

Aspects	Thaksin (2001- 2006)	Democratic Governance (1973- 2000)
Who rules	Businessmen (Thaksin and Cronies)	Citizens (NGOs, intellectuals, civil society, educated middle class)
Regime type	Authoritarian capitalism	Liberal democracy
Policy priorities	Business Driven	Democratic-drive
Methods	Power consolidation, Prime Miniaturization	New constitution with governance principles
Globalization	Economic globalization	Democratic globalization

Another political and administrative corruption in public reform was raised from Chuan I to the present. The corruption has been widely spread from national, regional, to local governments. Worsening signs of government corruption have been explicit by the annual Transparency Indexes of Thai governments.

The challenge of good governance reform in Thailand concerns the matter of moral and ethical perspectives; whether Thailand's public sector reform would become a promising solution to decrease or even eliminate corruption.

4) From the organizational perspective, achieving reform goals should be the responsibility of an agency or agencies for the reform of policy formulation and implementation. Kowit Kangsanon (2011: 23) proposed the required qualifications as follows: 1) explicit political support; 2) organizational and structural integration to set clear directions and objectives; 3) sufficient clout to put reform programs and projects

into effect; 4) the intellectual and technical capacities required for the effective execution; and 5) effective communication and involvement of the ministries and agencies in the identification of critical areas and issues for reforms.

5) From the cultural perspective or governmental or administrative culture, good governance reform in Thailand overlooks its importance. It is to change the long-embedded and dominant practices of bureaucratic culture and administrative traditions in the public organizations. Sample aspects of reform culture may include change of power and authority structure and relations, management, communication, informalization, meritocracy, organizational justice, citizenship, community, performance, services, and so on. Good examples are "the contract state" in New Zealand, and "the re-inventing government" in the US.

As Thailand is comparatively bureaucratic, there is a real need to change this bureaucratic cultural so that public agencies can work in a new environment and new culture such as networks, collaborative partnerships, learning organizational, and co-production of public services.

6) From the decentralization perspective, good governance reform in Thailand has less focus on it. Decentralization for local governments has been highly politicized, mostly lip-serviced, and hardly actualized according to the plan. Central government still maintains with much power and authorities. Centralized authority structures have been proved to provide ample opportunities for corruption, servitudes, serfdoms, spoil system, and cronies in both the political and administrative systems in Thailand (Kowit Kangsanon, 2011: 24).

Strong political will is crucial to bring about real decentralization. Centralized and localized structures need to be clearly re-organized for the purpose of providing true power and authorization for local governments.

7) From a civil society perspective, good governance reform in Thailand seems to pay less attention to the contribution of civil society. The reform has been narrowly confined within the bureaucratic settings, institutions, and agencies at different levels and the applications of managerial tools to modernize these public organizations and reach out to some selected stakeholders who are not really affected by government services or governance performance (Kowit Kangsanon, 2011: 25).

In practical terms, the engagement of civil society would create a well-functioning governance system at all levels by encouraging more involvement and information by civil society in terms of information legislation, the obligation to publish, open government and public agencies, the capacity to access information, and protection for whistleblowers (Kowit Kangsan, 2011: 26).

Although Thailand has experienced and implemented good governance by many factors, whether globalization impacts, NPM or governance movements, it is rather selective and limited due to the different societal and cultural settings, as well as political and administrative environments. There is, indeed, tremendous need for further good governance reform in the aspects of ontology, political ideology, morality and ethics, organization, culture, decentralization, and civil society.

3.5 Challenges of Good Governance Reform in Thailand

On 27 September, 1997 the National Assembly approved the new constitution possessing unique features from Damrong Thandee (1999) as follows: “1) strengthening the rule of law and human rights; 2) enhancing accountability mechanisms and enforcing much stronger conflict of interest standards; and 3) improving transparency, participation and decentralization.” The electoral and legislative processes have been introduced to strengthen government stability and effective checks and balances. A liberal code of individual freedom is included in Sections 26 through 65 for both political rights (freedom of speech, religion, association, assembly, etc.) and social rights (the right to receive healthcare and twelve years of education at the state’s expense). The right to access public information is provided through a state agency, enterprise or local government organization.

Accountable institutions are strengthened to become more independent such as the National Counter Corruption Commission and the Office of the Auditor General. The declaration of assets by politicians and government officials is in demand the impeachment of government officials found guilty of corruption or unusual wealth is provided for.

Principles of public participation and decentralization are covered. Good examples can be seen in Article 170 and 304, which allow 50,000 eligible voters to

submit a petition to the President of the National Assembly to consider their draft of a bill to bypass both the bureaucracy and established political representatives, and a similar number of voters to request the President of the Senate to remove from office a number of senior officials on charges of corruption, respectively. Moreover, Article 79 enables citizens to participate in preserving, sustaining, and stabilizing natural resources and the diversity of biology, and in nourishing, sustaining, and protecting the quality of the environment.

In contrast to the traditional guided democracy, Article 284 for decentralization provides that local autonomy be given to all local government organizations. The organizations are to establish policies for their governance, administration, personnel administration, and finance. In accordance with the provisions of the law, they shall have specific delineation of powers and duties that are set between the state and local government organizations. A local assembly is established through direct election but a local administrative committee or local administrators shall be either directly elected or approved by the local assembly. All bodies shall serve a four-year term. However, there are no specific institutional or financial plans.

The principle of constitutional supremacy is set in the new constitution. This principle is regarded as an auxiliary to the civil code, administrative law, military edicts, and royal decrees. Article 259 established a Constitutional Court as an independent body with 15 full-time judges, selected by a complicated process as assurance of their superior to political or business interests. All branches of government are bound to enforce the constitution in accordance to Article 27. Moreover, Article 6 stipulates that any law, act or decree which was contrary or inconsistent with the constitution would be unenforceable. Article 28 gives a ground for citizens, whose rights or liberties being violated, to cite provisions of the constitution as the basis for filing a case before the courts.

The position of the ombudsman is established and empowered, Article 198, to refer any case to in violation of the constitution to either the Administrative Court or the Constitution Court.

Damrong Thandee (1999) has illustrated the formation of administrative courts where they have “power to adjudicate disputes between a state agency, enterprise, local government organization or state official of the one part and a private individual

of the other part in both acts of commission and acts of omission". The Supreme Administrative Court and Administrative Tribunals of first instance, and the Appellate Administrative Court, if necessary, are provided by the constitution. An independent Judicial Commission of Administrative Courts regulates the aforementioned courts' activities and the Commission secretariat and administrative courts are given autonomy in personnel administration, budget and other activities as prescribed by law.

In the delineation of the precise jurisdiction and powers of the Constitutional Court, the Administrative Courts and the Ombudsmen are crucial for laying down the proper functioning of these three constitutional bodies as a system for judicial review of legislation and administrative action. Only general principles but not specific details are covered in the constitution. There are also no details on the transition from the traditional to the new constitutional institutions. However, specific details can be discovered in the substantive laws.

The preceding represents just some partial hope that the 1997 Constitution renders. Challenges are pressed weightily in its real implementation. One of the critical roles for the state is to foster an enabling environment for private sector growth. Therefore, the provision of a legal and regulatory framework is essential for a transparent and predictable environment, and reduction of direct state intervention in the economy to the minimum level necessary to protect the public interest. Meanwhile, transparency and integrity can be improved in the public sector under the lead of the Office of the Civil Service Commission. It is encouraged to establish an Ethics Promotion Center where a code of conduct and many other measures can be drafted. State and local governments, in addition, must take accountability for the established organized structures for the public and citizens. Although the constitution empowers citizens to address corrupt or incompetent administrations, tremendous corruption from the state, local governments, private sectors, and citizens exists without a sign of improvement; in fact, it exists at an increased level. The independent, accountable institutions do not perform to their standards. Public participation is still minimal and indeed is limited or barred by the authorities due to conflicts of interest. Further, the delivery of critical goods and services, such as infrastructure, is not efficient or cost-effective.

Other daunting challenges that Damrong Thandee (1999) emphasizes are “a highly-hierarchical and deferential culture, the practice of vote buying in rural areas, fierce bureaucratic resistance to the decentralization initiatives envisioned in the constitution, and widespread perceptions of corruption.” They continued as a major part of Thai politics and administration until first half of the 2000s.

From its commencement until the present, good governance in Thailand seems to have marginal impacts on the country. Although it is provided with a good foundation by the 1997 Constitution and enacted by 2003 Royal Decree on the Principles and Methods of Good Governance, according to the status quo of good governance implementation, there are ahead remarkable challenges both at the state level and the local government level.

CHAPTER 4

RESEARCH METHODOLOGY

This chapter describes the technique used in the study and the research design and methods, explains the unit of analysis, identifies the data collection procedures, and provides a tentative research schedule.

4.1 Delphi Technique

4.1.1 What is the Delphi Technique?

The Delphi method or sometimes interchangeably called the Delphi technique has been defined as “a method for structuring a group communication process so that the process is effective in allowing a group of individuals, as a whole, to deal with a complex problem” (Linstone and Turoff, 1975).

Rowe and Wright (1999) view that Delphi method “is a systematic, interactive forecasting method which relies on a panel of experts, who answer questionnaires in two or more rounds.” After each round, a facilitator would provide a summary of the experts’ forecasts and reasons on their judgment. Thus, experts would revise their earlier answers to the similar answers as those of other members. Through repeated rounds the range of the answers will reduce and come to the "correct" answer. Finally, the round is stopped after achievement of consensus and results. The mean or median scores of the final rounds are used to determine the results.

The Delphi method is based on the principle that the accuracy of forecasts from a group of arranged experts is higher than those from unarranged groups (Rowe and Wright, 1999). The technique can be adapted for use in face-to-face meetings, and is then called the mini-Delphi or Estimate-Talk-Estimate (ETE). The Delphi method has been widely used for business forecasting and has certain advantages over other structured forecasting approaches and prediction of markets (Green, Armstrong and Graefe, 2007).

4.1.2 Where Does It Come From?

The name "Delphi" derives from the Oracle of Delphi. (Broad, 2006) The authors of the method were not happy with this name, because it implies "something oracular, something smacking a little of the occult." The Delphi method is based on the assumption that group judgments are more valid than individual judgments. Experts were asked to give their opinion on the probability, frequency, and intensity of possible enemy attacks. Other experts could anonymously give feedback. This process was repeated several times until a consensus emerged.

In 1944, General Henry H. Arnold ordered the creation of the report for the U.S. on the future technology that has capabilities to serve the military. At that time, different approaches were applied to test on the precision of forecasts, but there were existing shortcomings of traditional forecasting methods. To combat these shortcomings, the Delphi method was developed by Project RAND during the 1950-1960s (1959) by Olaf Helmer, Norman Dalkey, and Nicholas Rescher. (Rescher, 1998). It has been used ever since, together with various modifications and reformulations, such as the Imen-Delphi procedure.

It was the original Project Delphi which had its origins in the Cold War in the 1950s. The US Air Force would like to know how Soviet military planners might target to attack the US industrial system and to know the number of atomic bombs that would have significant impact on US military capability. The Air Force thus gave fund to Rand Corporation to find a method to establish reliably unanimous opinion from a group of experts concerning those two questions.

4.1.3 What Is It Used For?

Science and technology forecasting were the two first applications of the Delphi method. The objective of the method was to incorporate expert opinions to derive at a single indicator of the possible and anticipated development time of the indefinite technology. In 1964, Gordon and Helmer gave the report on forecasts of science and technology development. They covered a number of topics such as population control, automation, industrial robots, space progress, war prevention, weapon and vehicle-highway systems, intelligent internet, and broadband connections.

Later other areas applied the Delphi method. In the public policy the method was applied in the economic trends, health, and education. In business Basu and Schroeder (1977) applied the method to predict the first-two-year sales of a new product, giving 3–4% inaccuracy toward the actual sales. Quantitative methods produced errors of 10–15%, and traditional unstructured forecast methods had errors of about 20%.

The Delphi method has also been used as a tool to implement multi-stakeholder approaches in developing countries, especially in policy-making. The Delphi method was used successfully by the governments of Latin America and the Caribbean. The method employed an open-ended public-private sector approach which was able to address the most urgent challenges for their regional ICT-for-development eLAC Action Plans. (Martin et al., 2009). As a result, governments have widely acknowledged the value of collective intelligence from civil society, and academic and private sector participants of the Delphi, especially in fields of rapid change, such as technology policies. In this sense, the Delphi method can contribute to a general appreciation of participative policy-making.

Linstone and Turoff (1975) introduced the philosophical and methodological foundations of the Delphi method. They presented Delphi's applications, models, and variations. The application of the method did not depend upon only a scientific method or procedure but also a philosophical interest. In the UK the method was used in decision making or resource allocations, especially in health service.

In business texts, the Delphi method provides techniques for decision making such as the Nominal Group Technique. The techniques can handle complexity and create problem solving for decision making, such as the following:

- 1) High variability in participant behavior and group social behavior
- 2) Discussion falls into a rut or goes off at tangents
- 3) The absence of an opportunity to think through independent ideas results in generalizations
- 4) High status or dominant personalities dominate discussions and decisions
- 5) Unequal participation among those present
- 6) Meetings conclude with a perceived lack of accomplishment

Another application where the Delphi method is used is for decision-making, known as the ELTons. The ELTons is certainly a complex problem requiring structured decision-making. The format that has been used for the last seven years has a panel of six or seven judges by using email with a help of a moderator. The steps start with short-listing and considering of panelists. Panelists give comments on the entries at the initial round and choose their preferred entries at the second and third rounds. The number of rounds depends on how quickly a consensus emerges. Panelists send their responses to the moderator, who collates them and circulates them anonymously after each round, as the basis for the next round. The panelists have at each stage a full record of what comments and nominations that other panelists have made, but they do not know who made which comment or voted for which entry. Nor do they know the final result. The judges would know the results at the end of the round.

4.1.4 Key Characteristics of the Delphi Technique

The following key characteristics of the Delphi method help the participants to focus on the issues at hand and separate the Delphi from other methodologies:

- 1) Structuring of information flow - The answers and comments are collected from the experts. The panel director controls the expert interactions, processes the answers, and filters out unrelated answers.
- 2) Regular feedback – The experts comment on their own answers and others', and on the progress of the panel. The experts are allowed to revise their answers at any stage. The Delphi method prevents any tendency of the groups to follow the group leader but this kind of following will not happen in the regular meetings where the experts would hold to their former answers.
- 3) Anonymity of the participants - None of the participants make known their identity from the start until the end stage. Anonymity allows them to have a freedom to express their opinions, minimizes personal influences, and supports open critique and revision of earlier answers.

4.1.5 Method

The method is iterative, and first aims to obtain a broad range of opinions from the target group. The results of the initial survey were collated, summarized, and then

formed the basis of a second, follow-on questionnaire. The results from the second questionnaire informed the third and final questionnaire. (See Figure 4.1 and Table 4.1 for summary)

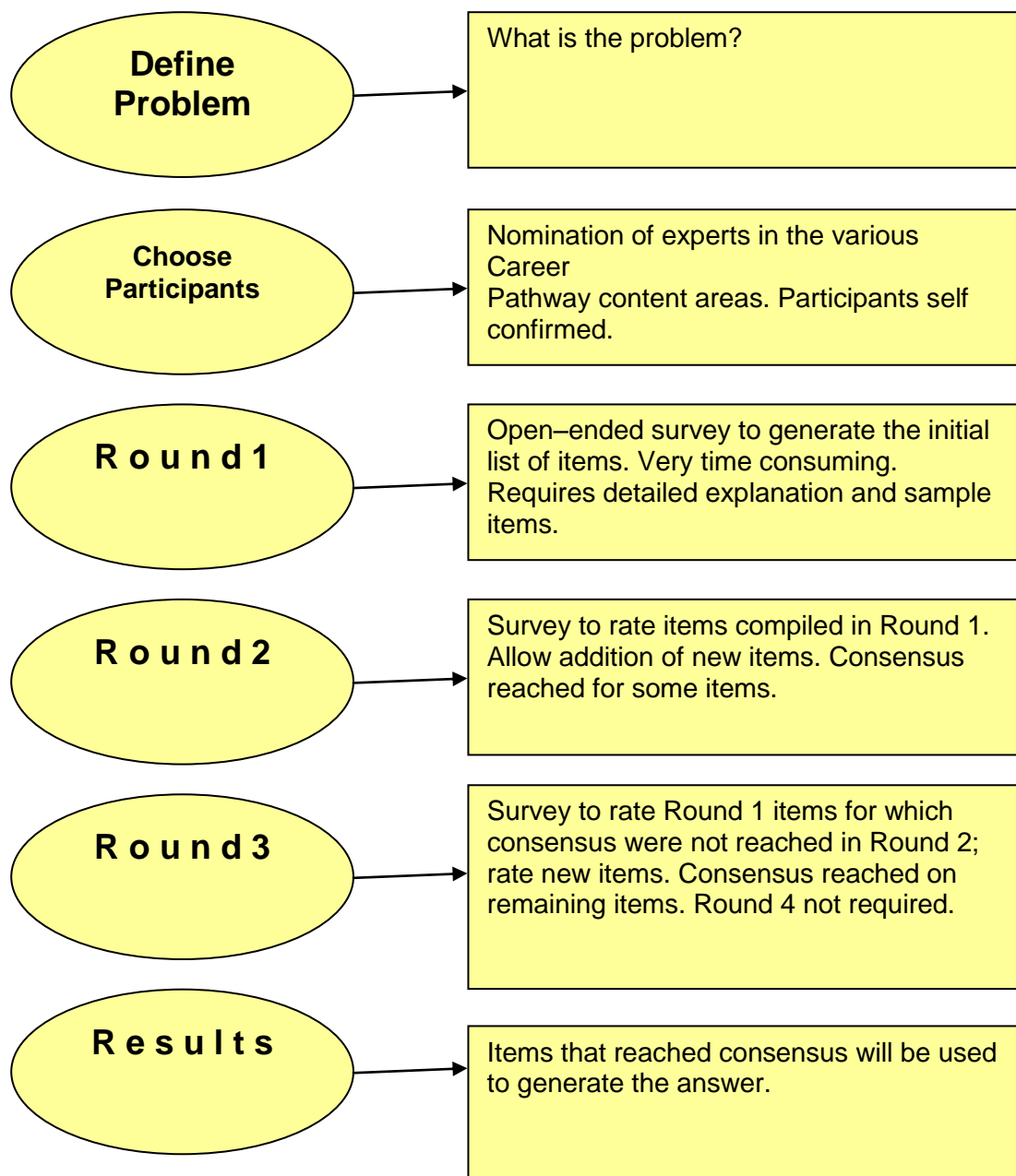


Figure 4.1 Steps in the Delphi Method

Source: Author's Application

Table 4.1 Delphi Method: Key Features of Design, Administration, and Analysis of Data

Group Composition	Feedback
<ul style="list-style-type: none"> • Expertise • Heterogeneity • Representation of geographic regions, disciplines & stakeholders • Panel size 	<ul style="list-style-type: none"> • Method of feedback • Individual vs. group feedback • Interpretation of the questions • Comments allowed
Participant Motivation	Number of Rounds
<ul style="list-style-type: none"> • Written consent • Reminders • Clarity of the questions • Response rate 	<ul style="list-style-type: none"> • Optimal number of rounds • To reach consensus • To retain the participants
Problem Exploration	Anonymity
<ul style="list-style-type: none"> • Problem exploration/questionnaire development • Scale 	<ul style="list-style-type: none"> • Anonymity
	Resources
	<ul style="list-style-type: none"> • Time • Financial resources
Consensus	Channel
<ul style="list-style-type: none"> • Consensus definition 	

The basic method as described by Delbecq et al. (1975) is as follows:

- 1) The initial questionnaire is developed and distributed it to the panel.
- 2) Panelists answer and return the questionnaire.
- 3) The moderator summarizes the answers of the first questionnaire and distributes the feedback report and the second questionnaire to the panel.
- 4) Panelists review their first responses and answer the second questionnaire independently.

5) The moderator generates a final feedback report and distributes it to the panel and decision makers.

This basic technique has the following variations:

- 1) The consensus is easily to be reached when more rounds of questionnaire are distributed.
- 2) At least five or six hundred participants are the size of the panel.
- 3) There is a need of scoring system and rules to summarize the responses of the panels
- 4) There is an extent of anonymity given to the panelists.
- 5) Definition of consensus and disagreements are established.

4.1.6 Role of the Facilitator

A facilitator is the person who coordinates the Delphi method and facilitates the answers to the panel of experts. The facilitator sends out questionnaires, surveys, etc. and if the panel of experts accepts them, they follow the instructions and present their views. Responses are collected and analyzed, and then common and conflicting viewpoints are identified. If a consensus is not reached, the process continues through thesis and antithesis, to gradually work towards synthesis, and building a consensus.

4.1.7 Delphi Applications Not Aiming at a Consensus

A consensus that is most likely to be reached by little number of rounds is the aimed of the Delphi method. Murray Turoff launched the Policy Delphi instead of a decision support method because different views of the preferred future are structured and debated. Osmo Kuusi developed the Argument Delphi, by aiming at a continual discussion and getting relevant disputes rather than aiming on the output. Petri Tapio (2003) developed the Disaggregative Policy Delphi by using a systemic tool, known as cluster analysis, to build several future scenarios in the latest Delphi round and separate the experts' responses on the probable and the preferable future from the analysis.

4.1.8 Delphi vs. Prediction Markets

As can be seen from the Methodology Tree of Forecasting, Green, Armstrong and Graefe (2007) provide characteristics of Delphi as “similar to prediction markets

as both are structured approaches that aggregate diverse opinions from groups. Yet, there are differences that may be decisive for their relative applicability for different problems.”

Some advantages of prediction markets derive from the possibility to provide incentives for participation.

1) They can give people motivation to participate in a long term and to share what they really believe.

2) Information is mechanically summarized and new information is promptly consolidated in the forecast.

3) Participants have a free will to participate as long as their private information is not consolidated in the forecast.

The Delphi method provides the above advantages over prediction markets. The method tends to yield quicker forecasts from the experts.

4.1.9 Acceptance of the Delphi Technique

Similar to science and technology, there are records of cases that the Delphi method produces poor results. There are also cases that the method is applied poorly but the method itself that is not poor. Forecasting involves with high degree of uncertainty and error. Therefore, to have the right and exact predictions is very rare found.

Another weak point of the Delphi method is that consensus of experts may not be able to predict the future forecast correctly. The mistake of the forecast may come from misinformation on the topic given to the experts.

The other unaddressed problem is the capability of the Delphi method to make complex forecasts with manifold factors. The future forecasts are treated as if those factors do not interact with each. However, the development of the Delphi method continues on with the address of this effect. The method, nevertheless, is still most used effectively in potential future forecast of single scalar indicators

Despite of the shortcomings of the Delphi method, it is broadly used successfully as a today forecasting tool for enormous studies in various fields.

4.2 Research Design

Although there are different definitions given to research design by scholars, the prominent one is of Glatthorn and Joyner (2005). A research design is just “making a choice of methodology” and in such a choice, three related concepts need to be distinguished: research perspectives, research types, and research methods.

4.2.1 Research Perspective: Exploratory, Descriptive or Explanatory?

Social researches render their research perspectives, especially, in serving various purposes. Principally, the most common and useful purposes are exploration, description, explanation (Babbie, 2003). Combined with Rudestam and Newton’s suggestion that “the appropriate method of study is generated by careful consideration of the research questions and the applicable method by which those questions may be studied,” this study employs relatively mixed research types.

In the lens of the nature of research questions as preceded in the introductory part, this study is relatively explorative with descriptive and explanatory constituents. It is relatively explorative because the study satisfies the author’s curiosity and desire for better evaluative criteria of good governance, which derives directly from the local government executives’ views. Such criteria can be brought forth to measure the local government organizations’ performance in their good governance practice and executions. It is a self-standard establishment but is assessed by a distinct institute or authorized unit. It can create new ground and yield new insights into the topic and for the government, although it is not based on a new conceptual, established theoretical framework but rather on other scholars’ applied or modified models. The study is describes what is observed and answers the questions of what, where, when, and how. Last, the study also is explanatory, and identifies the relationship between the variables as well as explains them.

4.2.2 Research Method Design

The study is designed as the mixed methods research with experts in-depth interviews as the pillar supplemented by descriptive analysis. Johnson and Turner (2003) argued that the fundamental principle of mixed methods research is to collect

multiple kinds of data with different approaches and methods to reflect corresponding strengths and non-overlapping weaknesses. Therefore, this mixed methods research allows for the “opportunity to compensate for inherent method weaknesses, capitalize on inherent method strengths, and offset inevitable method biases” (Greene, 2007: xiii). Additionally, it shares the same research questions, collects complimentary data, and mutually supports conducting counterpart analysis. As stated by Yin (2009), Johnson, and Onwenegbuzie, mixed methods research can be defined as “a class of research where the research mixes or combines quantitative and qualitative research techniques, methods, approaches, concepts or language into a single study.” By applying the mixed methods, Yin (2009) agreed that they contribute advantages as “mixed methods research can permit investigators to address more complicated research questions and collect a richer and stronger array of evidence than can be accomplished by any single method alone.”

4.2.2.1 Qualitative Method

The qualitative method is aimed at understanding some aspects of social life, and its methods (in general) generate words, rather than numbers, as data for analysis (Green, 2007). It provides profound understanding of particular event or organization.

For this study the qualitative method was designed to correspond with research questions one, two, and three. It aims to provide explicit interactions found among the informants and a group of participants. Data collection enriches the evidence and findings. Detailed procedures and methods are next to be described.

4.2.2.2 Quantitative Method

Aliaga and Gunderson (2000) state that quantitative research “explain[s] phenomena by collecting numerical data that are analyzed using mathematically based methods (in particular statistics).” Researchers are more familiar with quantitative methods as they aim to measure something.

This study deploys the quantitative method to answer research question four. To obtain ranking scales of the evaluative criteria of good governance, it is inevitable that numerical data be involved, which assist with the analysis in identifying the critical problems in the current local governments in Thailand.

4.3 Research Procedures and Methods

In mixed methods studies, research questions drive the methods used (Newman and Benz, 1998; Tashakkori and Teddlie, 1998). Additionally, the nature of the research and research questions indicate the employment of the type of research design, the sample size, sampling pattern and techniques for data analysis. Other important factors in selecting methods are accessibility to the informants, the unit of analysis, the availability of data, the availability of time, and finances and other resources. Since the study adopts a combination of methods it required the golden rule of “triangulation” as “the combination of methodologies in the study of the same phenomenon” (Denzin, 1978).

Next are the research procedures and methods with their justifications, adaptation of the method to the study, and considerations of the data collection quality control.

4.3.1 Qualitative Method

Obtaining the applicable and practical evaluative criteria of good governance for Thailand’s local governments in view of local government executives was based upon the 6 principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance. Each principle was to acquire 3 evaluative criteria. Therefore, the aggregate of answers was 18 criteria for the total of 6 principles.

As the Delphi technique can contribute to an appreciation of participative policy evaluation, it was eminently appropriate to be employed in this study in order to obtain the executives’ viewpoints. Since the executives are those policy executers and implementers, they know best about good governance practicality and its evaluation; they are experts, not only local government executives but also those that participate in the Decentralization to Local Government Organization Committee (DLOC). Consensus answers come from this structured group of experts. Additionally, the author uses the modified Delphi technique to fit the study. Details are embraced in the succeeding section.

Literature reviews that rendered evaluative criteria of good governance were counted as part of the collective viewpoints as well. Therefore, all correspondents

from the experts and literature reviews were collectively rated to derive the unanimity of the criteria, if not a consensus.

Apart from the literature review, three methods were applied for feedback collection; namely: 1) an in-depth interview; 2) a focus-group interview; and 3) a survey. Figure 4.2 and figure 4.3 illustrate how the Delphi technique works in combination with these methods. The first round was the initial answers concerning the evaluative criteria of good governance in the local governments via the literature reviews. The in-depth interview, focus-group interview, and survey represent the second round, third round, and fourth round, respectively. These few rounds explicitly provided the data triangulation. They are elaborated as follows.

4.3.1.1 First Phase: Author's Literature Review

Review of the literature assisted with the first round to initially acquire the answers concerning the 18 evaluative criteria of the 6 principles. The relevant ones were rationally selected. Details of the literature review were undertaken in Chapter 2.

4.3.1.2 Second Phase: In-depth Interview

The author applied in-depth interviews instead of 3-4 rounds of the survey as typically used by most of researchers in former days. It is also well accepted to use face-to-face meetings as the Mini-Delphi or Estimate-Talk-Estimate (ETE) has. While in-depth interviews are relatively open-ended questions, they enriched the answers acquired from the executives.

4.3.1.3 Third Phase: Focus Group Interview

Interviewing the focus group made up the stability of answers as the third round. Due to the time constraints of the DLOC, to conduct focus group interviews in addition to the in-depth interviews would have been too much of a burden for them. Therefore, same questions as what was laid out in the in-depth interview were posed to the different local government executives. Even though the informants were not the same executives in accordance with the typical Delphi technique within the tier for the following round, they were able to provide answers for stability as well as triangulation purposes.

From the above-mentioned 3 rounds, all answers with the rating scales were collectively ranked for their repeated similarity and chosen to derive 3 evaluative criteria for each principle in the total of six, including the rating scale.

4.3.1.4 Fourth Phase: Survey

The 18 aggregated answers with their rating scales were sent out for this final round of survey in the questionnaires to the same executives of the second and third rounds and to additional executives. This survey round summarized the stability answers and provides for a conclusion for the 18 answers with their rating scales.

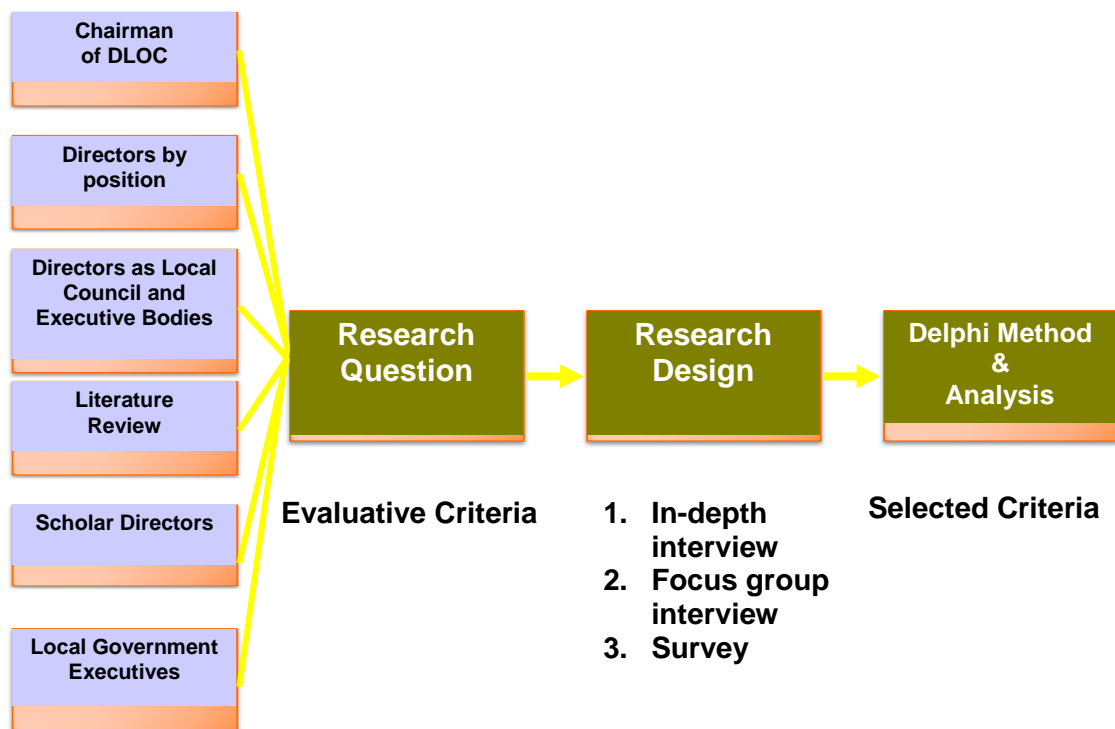


Figure 4.2 Modified Delphi Method

Source: Author's Modification

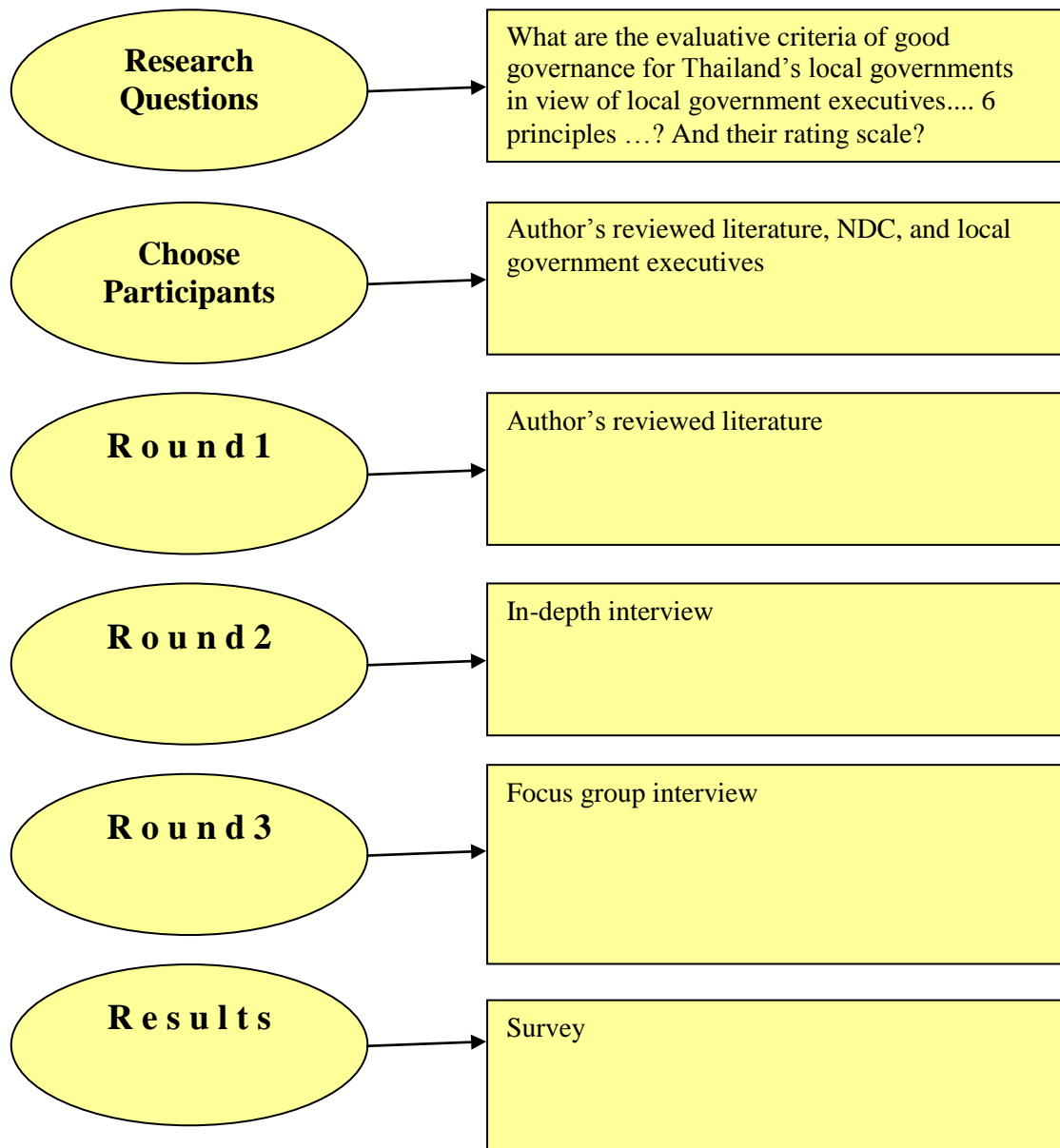


Figure 4.3 Steps in the Modified Delphi Method

Source: Author's Application

After the fourth round, analysis of all of the collaborated answers and rating scales was finalized for the selected answers and rating scales as the applicable and practical ones for Thailand's local governments (Figure 4.4).

However, prior to going through the four phases or four rounds of the modified Delphi technique, it was recommended to acquire the indicators of those 6

principles of good governance. At the same base, 3 indicators were to be obtained for each principle of good governance.

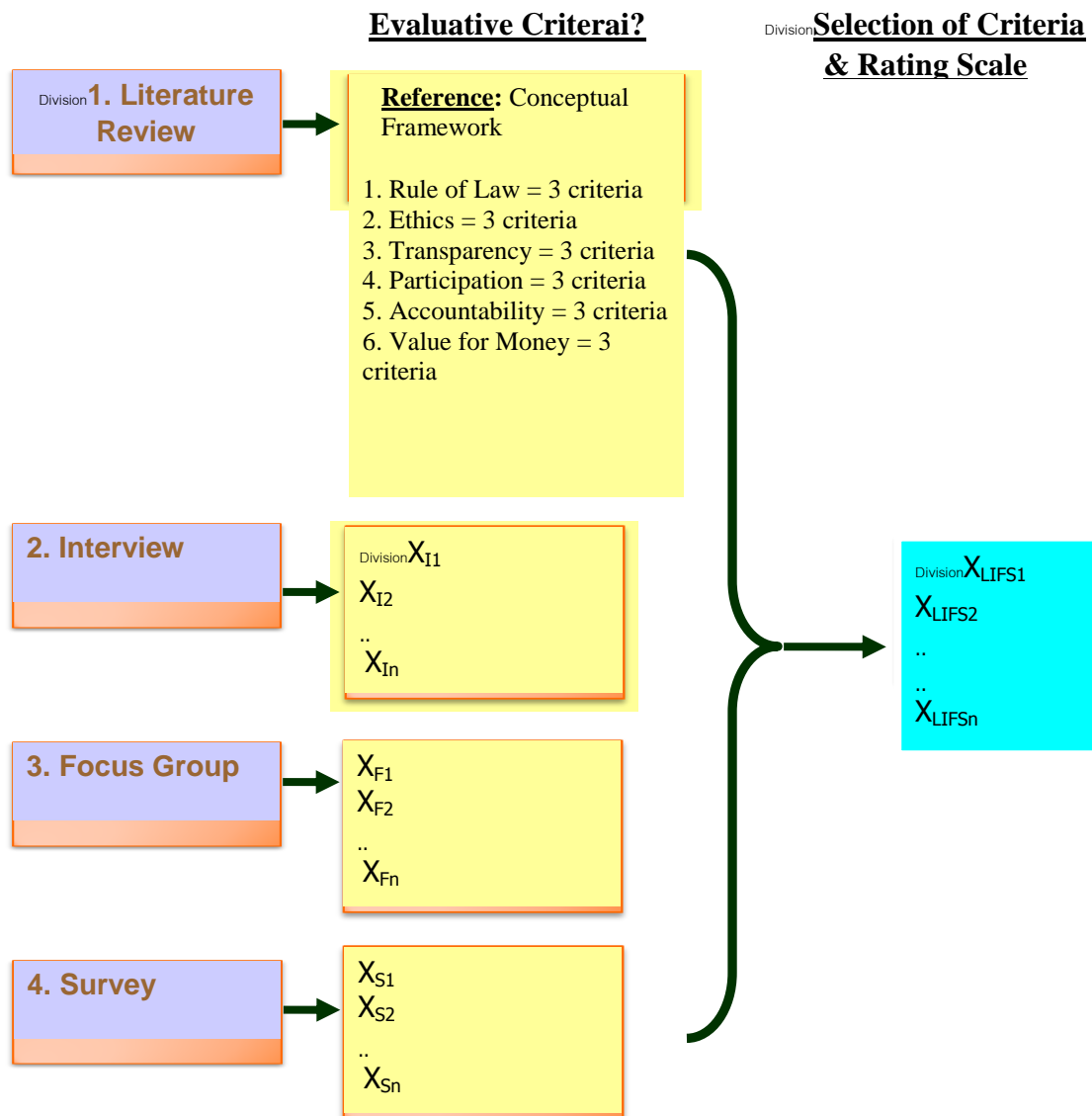


Figure 4.4 Steps to Acquire Selected Evaluative Criteria

Source: Author's Application

4.3.2 Quantitative Method

Such selected evaluative criteria and rating scales, whose scale is called a “standard scale,” were sent out by post-mail to the implementers, the officers and local citizens to have them rate the scale regarding the importance of each listed criterion in the actuality of the current implementation and practice of good governance in their LAOs and LGOs (Table 4.2).

Table 4.2 Survey for Actual Rating Scale

Standard Scale					Evaluative Creteria of Good Governance	Actual Scale				
5	4	3	2	1		5	4	3	2	1
					1) Rule of Law (1) (2) (3)					
					2) Principle of Ethics (1) (2) (3)					
					3) Principle of Transparency (1) (2) (3)					
					4) Principle of Participation (1) (2) (3)					
					5) Principle of Accountability (1) (2) (3)					
					6) Principle of Value for Money (1) (2) (3)					

Source: Author’s Application

The rating scale that was employed in this study was a Likert scale, a technique to scientifically measure the psychological attitudes. The Likert scale also is a method of an attitude measurement that could provide a reasonable interpretation of measurements on an appropriate metric scale, similar to measurement scales of weight in grams or of temperature in degrees Celsius (Uebersax, 2006). The author applied a 5-point scale, as most commonly used, that ranged from “Most Important” on one end to “Least Importance” on the other. The scale and its meaning are:

- 5 means “Most Important”
- 4 means “Important”
- 3 means “Fairly Important”
- 2 means “Less or Least Important
- 1 means “Not Important”

The author used this 5-point scale to find the mean by giving the following meanings (Sorachai Phisayaboot, 2007):

Average Range		Translation of Results
4.21- 5.00	means	Most Important
3.41- 4.20	means	Important
2.61- 3.40	means	Fairly Important
1.81- 2.60	means	Least Important
1.00 -1.80	means	Not Important

The mean (\bar{x}) is considered as one of the powerful statistical tool. Carroll (2013) addresses that it is used “to calculate formulas for statistical significance so the mean has become the Queen of Central Tendency.” The mean is an appropriate method of calculating the center of such data set and the relationships between variables. All of the rating scales in the data set were used to calculate the mean. Two sides of the rating scales, standard versus actual, were used to calculate the mean to represent the whole data set of scores with one single number of each categorical principle of good governance by adding up all of the scales (x) and dividing by the total number of scales in the distribution. Therefore, there were 6 means for the standard scales and 6 means for actual scales to represent the evaluative criterion for each principle of good governance (Table 4.3).

In order to explain the distribution of parameters Standard Deviation (SD), Skewness, Kurtosis, and Coefficient of Variation (CV) were employed.

In analyzing the differences or gaps in the standard and actual rating scales, t-test (t) statistic was employed to measure the means of these two groups, whether they were statistically different from each other.

Table 4.3 Analysis of 2 Kinds of Collected Rating Scales of Evaluative Criteria

Standard Scale					Evaluative Creteria of Good Governance	Actual Scale				
5	4	3	2	1		5	4	3	2	1
					1) Rule of Law (1) (2) (3)					
Means =					Difference =	Means =				
					2) Principle of Ethics (1) (2) (3)					
Means =					Difference =	Means =				
					3) Principle of Transparency (1) (2) (3)					
Means =					Difference =	Means =				
					4) Principle of Participation (1) (2) (3)					
Means =					Difference =	Means =				
					5) Principle of Accountability (1) (2) (3)					
Means =					Difference =	Means =				
					6) Principle of Value for Money (1) (2) (3)					
Means =					Difference =	Means =				

Source: Author's Application

The 2 sides of the means were subtracted in order to derive the difference or gap of each principle's criterion. The obtained difference of each principle's criterion was compared concerning which one was of high or low value. One the on hand, such a difference in the high value indicates that there is a sluggishness or obstacle, if not a problem, in the implementation and practicality of that particular principle of good governance. On the other hand, the difference in the low value implies that that particular principle of good governance may be conducted according to its anticipated scale and provide support for its performance.

The interview questions were developed in 5 steps. First was to interview the local government executives as a field trial. The author undertook this step by designing questions and had 6 in-depth interviews with all three levels of municipalities—city, town, and sub-district in Ubon Ratchathani and Udonthani provinces. Second was to refine those questions in the first step. Third was to have the advisor see, during the first consultation, if there was any adjustment or change that needed to be made to the questions. Fourth was to have an expert to examine the questions for the second consultation. Fifth was the final consultation with the advisor in order to re-examine the revised questions. At this point, the questions were ready for utilization in the open-ended interview.

4.4 Unit of Analysis and Sampling

4.4.1 Unit of Analysis

This study focuses on the “Evaluative Criteria for Good Governance of Local Governments in View of Local Government Executives.” The unit of analysis was mainly at the organizational level; namely, LAOs and the Office of the Decentralization to Local Government Organization Committee (ODLOC). However, the community level was also partially involved, especially in the motion of the “principle of participation.”

The in-depth interview, focus group interview, and the survey unit of analysis covered the LAOs and the ODLOC.

The first unit to mention is the ODLOC since the structure of vdecentralization in Thailand is under the structure of the DLOC, which is comprised of:

- 1) Chairman – The Prime Minister, who is the decision maker
- 2) Directors, who play an important role in preparing the decentralization plan, reviewing, monitoring, and providing policy recommendations for the Cabinet

concerning the implementation of the decentralization plan and process. These Directors are comprised of:

- (1) Eleven Directors by position
- (2) Twelve Directors as Local Council and Executive Bodies
- (3) Twelve Academic Directors

The inclusion of this organization (Figure 4.5) of informants was justified, as they provide the decentralization policy, plan, and process to the LAOs. They are obliged to carry on and carry out the execution of good governance in the LAOs. Therefore, their view of the evaluative criteria is essential for the evaluation of the performance of local governments' good governance.

Structure of the Office

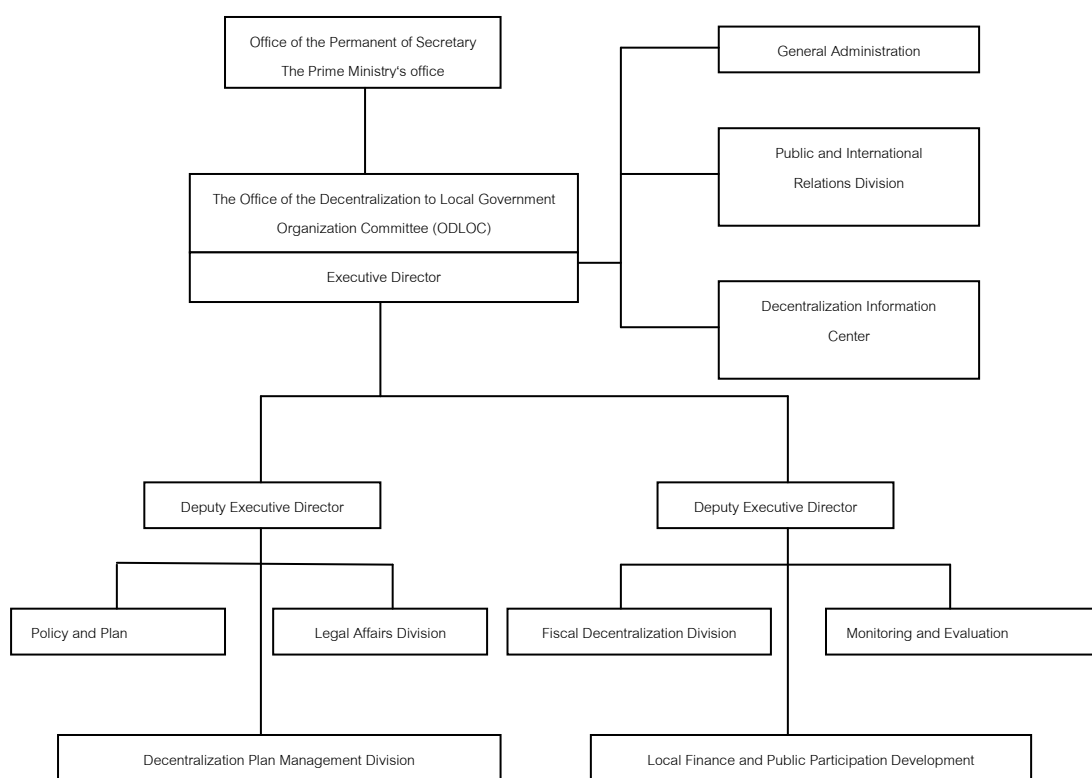


Figure 4.5 Structure of Office of the Decentralization to Local Government Organization Committee (ODLOC)

Source: Office of the Decentralization to Local Government Organization Committee, 2011.

The second unit was academic. It was deemed appropriate to include a professor that was independent from the function of the central and local governments.

The third unit to mention is the LAOs. Within the LAOs the local government executives are to provide their views as those opinions are considerably crucial. Such organizations include:

- 1) For the Provincial Administrative Organization (PAO)
 - (1) Chief Executive of the PAO and/or
 - (2) Deputy Chief Executive of the PAO and/or
 - (3) Permanent Secretary of the PAO and/or
 - (4) Chairman of the PAO council and/or
 - (5) Vice Chairman of the PAO council
- 2) For the Municipality
 - (1) Mayor and/or
 - (2) Deputy Mayor and/or
 - (3) Permanent Secretary of Municipality and/or
 - (4) Chairman of Municipality council and/or
 - (5) Vice Chairman of Municipality council
- 3) For the Sub-district Administrative Organization (SAO)
 - (1) Chief Executive of the SAO and/or
 - (2) Deputy Chief Executive of the SAO and/or
 - (3) Permanent Secretary of the SAO and/or
 - (4) Chairman of the SAO council and/or
 - (5) Vice Chairman of the SAO council

It is self-explanatory why these executives were involved: to serve not only this study but also their direct duty, responsibility, and obligation.

For the quantitative research method, the survey was conducted and the unit of analysis consisted of LAOs and the community. According to the foregoing section, there was a brief on who the informants were—the implementers and local citizens. Those implementers were the local government officers and are the mirror that reflects the practice of good governance within the local governments and how the evaluative criteria reflect their performance in reality, as the rating scales infer. The local citizens are the community components that share the best part of participation.

4.4.2 Sampling

Millar (2001) demonstrates that “Delphi’s claim to credibility lies in its ability to draw on expertise and this is promoted by purposeful selection of experts for participant inclusion rather than relying on random sampling.” However, Goodman (1987) presents “some agreement that the key features of the participants involved in Delphi studies should include both willingness and the ability to make a valid contribution to the subject under examination.” Therefore, to prevent the potential for bias these two factors need to be balanced. Due to inability to know the participants’ willingness, the author inclined to depend upon the participants’ ability even though Van Zolingen and Klaassen (2003) suggested that participants willing to take part in the Delphi technique may be more favorable to the method.

4.4.2.1 In-depth Interview

Guest, Bunce, and Johnson (2006) suggested 12 participants to represent the interview, while the prominent academic, Creswell (2002, 2007: 20-30), suggested minimum a sample size of 15-20 participants in his research design of grounded theory. Generally, the size of the Delphi’s panels or participants is ranged from three to five hundred (Wild and Torgensen, 2000). Therefore, selecting the sample size is rather subjective.

The author considered the sample size for the in-depth interview for the DLOC by including the Chairman and 3 directors from all types of Directors, and 9 local government executives of the aforementioned LAOs, excluding the Bangkok Metropolitan Administration (BMA) and Pattaya City’s two specific forms of local government. Details can be found in the following summary in Table 4.4:

Table 4.4 In-Depth Interview

Unit of Analysis	Sample Selection	Sample Size
ODLOC:		
■ Chairman	■ Decision maker	1
■ Directors	■ Policy planners	
- by position		1
- as Local Council and Executive Bodies		1
- as Academic		1
Academic		1
LAOs:	■ Local government	3
■ Executives of PAOs	executives	3
■ Executives of Municipalities		3
■ Executives of SAOs		14

4.4.2.2 Focus Group Interview

Most academics use 3 to 6 focus groups (Krueger, 1994; Morgan, 1997; Onwuegbuzie, Dickinson, Leech and Zoran, 2007). The number of participants in each group ranges from 6 to 9 (Krueger, 2000); 6 to 10 participants (Langford, Schoenfeld and Izzo, 2002; Morgan, 1997); 6 to 12 participants (Johnson and Christensen, 2004); 6 to 12 participants (Bernard, 1995); and 8 to 12 participants (Baumgartner, Strong and Hensley, 2002).

In this study, 4 regions of Thailand were covered for the focus group interview. Therefore, 4 focus groups were conducted and 6 participants were in each group composed of 2 executives from PAOs and 2 from municipalities and 2 from SAOs.

4.4.2.3 Survey

From the latest statistics of the Department of Local Administration (DLA), there are 7,851 LAOs (The Department of Local Administration, 2014). They are 76 Provincial Administrative Organizations (PAOs), 2,283 Municipalities, and 5,492 Sub-districts or Tambon Administrative Organizations (TAOs), excluding two

specific forms of local government governing specific areas; namely, BMA and Pattaya City.

In order to have a good representative of the sample size to match those of the entire population, two measures were used to affect the accurateness of the data, as proposed by Dierckx (2013). First was the margin of error (or confidence intervals), which was the positive and negative deviation allowed for the survey results. It was the deviation between the opinions of the respondents and the opinion of the entire population. In this study the author set a margin of error at 5%. Second, the confidence level was the frequency of the percentage of the population that lies within the boundaries of the margin of error. It yields an assurance between 85% and 95% of the population that provides answers. The author used a 95% confidence level. Therefore in 95% of the time between 85% and 95% of the population agreed with the selected evaluative criteria and rating scales. The sample size was thus derived from the calculation by using a margin of error of 5% and a 95% confidence level, as indicated in Table 4.5.

Table 4.5 Sample Size of Survey

LAOs:	Population Size	Confidence Level = 95% Margin of Error = 5% Sample Size
■ Executives of PAOs	76	64
■ Executives of Municipalities	2283	329
■ Executives of SAOs	5492	360

The first two surveys that serve qualitative research method are to obtain 1) evaluative indicators; and 2) evaluative criteria for good governance of Thailand's local governments. The other two surveys that serve quantitative research method are to acquire 1) the standard rating scales; and 2) the actual rating scales. For the former survey, questionnaires were delivered to 64 executives of PAOs, 329 executives of municipalities, and 360 executives of SAOs. For the latter survey, the

same sample size was used that is displayed in Table 4.4 for all three types of local governments for distributing the questionnaires to officers and local citizens in 64 PAOs, 329 municipalities, and 360 SAOs.

All of the acquired collected data yielded findings: 1) eighteen evaluative criteria for good governance for Thailand's local governments according to the viewpoint of local government executives that contributed to the improvement and attainment of the 6 principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance; 2) a rating scale for each evaluative criterion of good governance; 3) the actual rating scale (reality) of those evaluative criteria of good governance in the current implementation of local governments in Thailand; and 4) evaluative criteria of good governance that were critical problems in the current local governments in Thailand, thereby, realizing their true success or failure (problems) in order to further their improvement in Thailand. The differences or gaps of the standard rating/scale and the actual one provided feedback on the policy decision maker, and the planners and implementers, and led them to adjust and improve the policy, genuine practice, and performance of good governance. The ultimate outcome was the happiness, well-being, and sustainable development of Thai people and Thailand as a whole.

4.5 Protocol and Ethic Issues

Rapport was built in during the data collection from the targeted informants and organizations, either through qualitative or quantitative approaches. The degree of rapport was tentatively higher through the face-to-face interviews. The author aimed to gain great support starting from the Chairman of the DLOC, the directors of the DLOC committee, the local government executives, the officers and local citizens of the PAOs, and the municipalities and SAOs in Thailand. Articulation of the purpose and significance of study was to be communicated with them. Transcripts of the interviews were sent back to the informants for checking and modifying. Also, the research findings were shared with the informants if they requested.

Ethical issues were strictly respected throughout the data collection. Informed consent was to be gained both for the qualitative and quantitative data collection.

Protocol documents were developed and submitted to the NIDA Academic Committee for approval and support. Gaining valid and consistent answers was the true value. Therefore, various techniques were employed for this attainment.

4.6 Limitations and Delimitations

The evident limitations of this study concern the data collection, especially for the LAOs. Due to the various types of LAOs, and the numbers and geographical locations, traveling in different regions was inevitable. It was time consuming and highly expensive. To delimit these constraints, the author 1) selected the adjacent LAOs that were good and meaningful in terms of in size and managerial administration; 2) acquired good rapport and connections with the ODLOC to provide official letters and communication with the LAOs to introduce, provide significance and benefits, and request support for this study in terms of data collecting; 3) adopted systematic and rigorous procedures in the data collecting; 4) had an *ad hoc* plan for additional executives or LAOs if an appointment was cancelled due to an urgency of official matters; and 5) clearly defined the scope of the study and kept a close eye on the progress.

Additional limitations include: first, the study provided the viewpoint of the local government executives and the problems of generalizations in a broad context that may have existed, and therefore, prudent interpretation of the findings was to be exercises; secondly, the questions, questionnaires, and interviews were conducted in Thai; thus, the translation into English for this study required proficiency.

CHAPTER 5

RESULTS AND DISCUSSION

The results from the study are discussed in four sections. First are, the applicable and practical evaluative criteria of good governance, as well as their rating scales for Thailand's local governments according to the viewpoint of local government executives in complying with the 6 principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance (standard). Second are the actual rating scales of those evaluative criteria of good governance—if they are used in the evaluation of the current operation of local governments from the perspectives of local officers (actuality/reality). Third are the evaluative criteria of good governance that are the critical problems in the current local governments in Thailand as a result of variation of standards and the actual rating scales. Therefore, it would come to the realization of the true success or failure (problems) in order to further improve good governance in Thailand's local governments. Last is a summary of the results.

The author attempted to collect data according to the plan and sample size laid out in Chapter 4. The results are displayed in the tables.

In-depth Interview included 14 persons. Although it was difficult to make interview appointments with those in the ODLOC, as they have permanent positions and daily duties, each committee gave priority to this interview. The study aims to interview two academics for the first academic has introduced the author to the second. LAOs, despite being evaluated in compliance with the 2003 Royal Decree on the Principles and Methods of Good Governance at least annually, have a sluggishness to furnish the interview. Few of them are lack of or have insufficient knowledge and understanding of the Royal Decree and the six principles of good governance. The author, thus, had to select new interviewees for a total of nine persons, three in each type of LAO.

Table 5.1 Results from the In-Depth Interview

In-depth Interview	Sample Size	Result
1. ODLOC	4	4
2. Academic	1	1
3. LAOs		
(1) Executives of PAOs	3	3
(2) Executives of Municipalities	3	3
(3) Executives of SAOs	3	3
	14	14

The focus group interview was the most difficult in terms of making appointments due to geographical discrepancies and the availability of the executives. The intention was to cover all 4 regions in Thailand and each focus group,, comprising 6 executives from different PAOs, municipalities and SAOs; that is, 2 executives representing each type of LAO. This helped with the triangulating of the collected data where across types of LAOs seldom were at the same working table. From the field work the author ceased to pursue interviewing the last focus group after finishing 3 groups because one of the groups, fortunately, comprised all types of LAOs from 3 regions—central, north and northeast, except for the south. The other 2 groups represented the central and southern regions. Therefore, three groups out of four were reached and this provided a sufficient variety of interviewees in terms of LAO type and geographical target. In providing the data the author found that at least one of the executives within all 3 groups fully prepared for the answers and also had a deep understanding of good governance as well as the proper evaluative criteria if he/she were to evaluate the LAOs' good governance. The characteristics of the 3 groups were similar. They brainstormed for their answers, supplementing or adding. Weak knowledge of good governance, although local governments are obliged to follow the 2003 Royal Decree on the Principles and Methods of Good Governance, was often found on the part of the executives of the SAOs.

Table 5.2 Results from Focus Group Interview

Focus Group Interview	No. of Groups	Results
LAOs from 4 regions	4	3
○ Executives of PAOs	Each group had all	Each group had all
○ Executives of Municipalities	types of LAOs	types of LAOs
○ Executives of SAOs	comprising six executives.	comprising at least five executives.

For the questionnaires, two kinds of surveys were planned to be conducted originally. However, after conducting the pre-interview in two provinces, in Ubon Ratchathani and Udonthani, and after receiving advice from Assoc. Prof. Dr. Kowit Puang-ngam, the author decided to acquire one additional survey prior to the two kinds of surveys. For all three kinds of surveys, post mail was selected as the most effective because numerous LAOs did not list their email address or fax number, even though the latter two means are faster and save costs. The first 2 surveys were distributed to executives of LAOs but with different purposes. One was to establish the indicators of good governance evaluation while the other was to obtain evaluative criteria of good governance as well as their rating scales for Thailand's local governments according to the viewpoint of local government executives in complying with the 6 principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance. The third survey was sent to the officers of those LAOs for the purpose of acquiring the actual rating scales of those evaluative criteria of good governance; that is, if they were used in the evaluation of current good governance of local governments from the perspectives of local officers. Sending these to PAOs was random but the majority was covered while the municipalities and SAOs covered every province in Thailand. Because their numbers were limited, all city municipalities were covered. Town and sub-district types of municipalities, including SAOs, were proportionally random based regarding their total number in each province but were randomly selected for medium-size organization.

Using an open survey made it relatively difficult to obtain a response. Furthermore, the data collection took place during the time of a long protest of the

People's Democratic Reform Committee (PDRC) until the time that the National Peace and Order Council (NPOC) had taken control of the country under the head of Thai army chief and junta General Prayuth Chan-ocha. This political unrest disrupted governmental office operations for both central and local governments.

The sample size for all types was 753 questionnaires. They were sent out to 64 executives of PAOs, 329 executives of municipalities (29 city, 140 town, 160 sub-districts), and 360 executives of SAOs. In comparing of the three kinds of surveys, the first received fewer respondents than the second and third, whereas the third received the most. The returned rates were 23.2%, 42.6% and 55.4 %, respectively, for the first, second, and third types of survey. Details on the real numbers are illustrated in Table 5.3, Table 5.4, and Table 5.5.

The first survey had 2 sections of open questions: general information and indicators of good governance. Three indicators were required for each principle of good governance. A total of 18 indicators was acquired for the 18 evaluative criteria. Out of the 753 sent questionnaires, 175 were received (23.2% return rate) comprising 37 of 64 from executives of PAOs (58.7%), 62 of 329 from executives of municipalities (18.9%), and 76 of 360 from Executives of SAOs (21.1%).

The second survey had 3 sections of open questions: general information, information pertaining to good governance, and evaluative criteria and rating scale. The second section was open to the general opinion of the informants and respondents. The third was a crucial collection for meeting the objective of this dissertation. The respondents were better for this kind of survey. Perhaps the indicators given for good governance rather assisted and provided guidance to the local government executives for their answers. Three hundred and twenty-one were return on respondents (42.6% return rate) comprising 42 of 64 from executives of PAOs (65.6%), 114 of 329 from executives of municipalities (34.7%), and 165 of 360 from executives of SAOs (45.8%).

The third survey was considered as closed questions for the actual rating scale if their good governance was to be evaluated. General information was requested from the respondents in the first section. The questionnaires were sent to the officers of those same LAOs who gave responses in the second survey. They were asked to evaluate good governance using the evaluative criteria that was obtained from the second survey, along with the rating scales, which were considered as “standard”

scales. The respondent gave their feedback for another set of rating scales. Such scales are the ‘actual’ or ‘real’ rate from the viewpoint of their evaluation. The return rate from this survey was the highest, as expected. More than half of the returned survey was received, 417 out of 753 (55.4% return rate), comprising 48 of 64 from the executives of PAOs (75.0%), 189 of 329 from the executives of municipalities (57.4%), and 180 of 360 from the executives of SAOs (50.0%).

Table 5.3 Results from the Survey to Acquire Indicators for Good Governance

Survey sent to executives of LAOs	Planned sample size	No. of received questionnaires	Return rate (%)
• Executives of PAOs	64	37	58.7
• Executives of Municipalities	329	62	18.9
○ City	29	22	88.0
○ Town	140	23	15.9
○ Sub-district	160	17	10.6
• Executives of SAOs	360	76	21.1
Total	753	175	23.2

Table 5.4 Results from Survey to Acquire Evaluative Criteria of Good Governance

Survey sent to executives of LAOs	Planned sample size	No. of received questionnaires	Return rate (%)
• Executives of PAOs	64	42	65.6
• Executives of Municipalities	329	114	34.7
○ City	29	20	69.0
○ Town	140	45	32.1
○ Sub-district	160	49	30.6
• Executives of SAOs	360	165	45.8
Total	753	321	42.6

Table 5.5 Results from Survey to Acquire Actual Current Rating Scale of Good Governance

Survey sent to offices of LAOs	Planned sample size	No. of received questionnaires	Return rate (%)
• Executives of PAOs	64	48	75.0
• Executives of Municipalities	329	189	57.4
○ City	29	25	86.2
○ Town	140	88	62.9
○ Sub-district	160	76	47.5
• Executives of SAOs	360	180	50.0
	753	417	55.4

1) Steps Prior to Obtaining the Evaluative Criteria

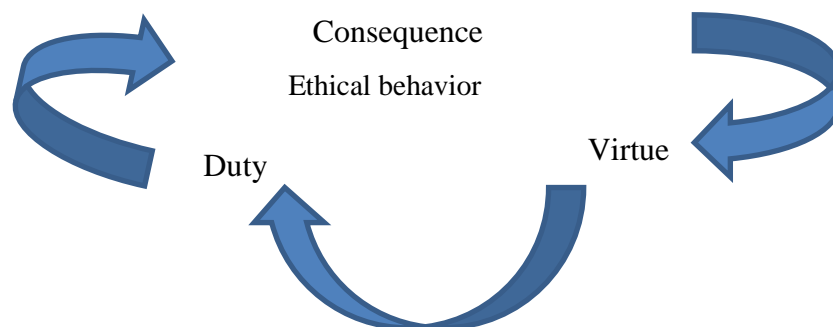
According to the pre-in-depth interview in Ubon Ratchathani and Udonthani with over 10 municipalities, the respondents seemed to understand that the “indicators” and “criteria” of the evaluation of good governance were the same or similar. The results from the interviews were mostly indicators of good governance, whereas the evaluative criteria of good governance for local governments had less result. Therefore, it was essential to create understanding, clarification, and discrepancy for these two words in terms of their applications. In addition, from the in-depth interview, Assoc. Prof. Dr. Kowit Puang-ngam provided a clear illustration of the two: that the “indicators” were like a guide, whereas the “criteria” were yardsticks to measure those set guides. They were two distinctions but inseparable.

2) How does Theory or Approach Relate to the Indicators and Evaluative Criteria?

It is helpful to go through the selection application of related theory or approaches to each principle of good governance, indicators, and eventually the evaluative criteria. Each theory is a fundamental element of each principle of good governance, and simplifies and frames the development of the evaluative indicators and criteria.

(1) Rule of Law vs. Bottom-up Approach: The rule of law regulates and protects the rights, freedom, and equity of all members. The bottom-up approach is focused on “justice as fairness.” Bottom-up fairness means having “equal rights to basic liberties and benefit, and equal opportunity in terms of offices and positions” (Rawls, 2005). Bottom-up justice means that whenever a dispute or grievance arises, there are accessibility mechanisms to bring forth fair resolutions. Evaluative indicators and criteria should have the elements of providing fairness with equal rights, freedom, and opportunity for all people without any disparity. These indicators and criteria should also lay justice mechanisms to cope with potential disputations.

(2) Ethics vs. Consequence, Virtue and Duty Theory: Ethics refers to the observance of righteousness and encouragement given to people to seek self-development in order that the Thai people can display such positive qualities. The theory of consequence, virtue, and duty is interrelated and reinforces the principle of ethics. The hoped-for consequences (Gensler 2006) are developed to improve ethical behavior. Duty theory embraces such behavior and follows by intended action and develops to the final phase of moral character (Mizzoni 2010). Between consequence and duty theory, virtue theory displays goodness and develops the good ethics of the individuals (Gensler 2006).



Established evaluative indicators and criteria should have the constituents of recognition and reward systems or programs to promote good ethics, and training programs for ethical development.

(3) Transparency vs. Transparency Theory: Transparency refers to all categories of conduct and actions that are the opposites, or near opposites, of corrupt practices. Transparency theory has the function of supporting the principle of

transparency in three aspects—economic, public and academic (ibid: 4–6). The economic aspect focuses on disclosure with sufficient information to enhance risk assessments and the benefits of transactions. The public aspect requires publicity about performance in order to deter corruption and poor performance. Academic discussions strengthen fairness, risks, benefits, and costs in order to ascertain the efficiency of all of the disclosed information. In conclusion:

Transparency theory = Economic realm + public realm + academic discussions

Evaluative indicators and criteria should disclose information to the public, with appropriate means of accessibility and measurement of transparency.

(4) Participation vs. Fairness and Competence: Arnstein's ladder of citizen participation (1969) and participation from the perspective of Rowe, Gene and Frewer (2005) focus on achieving effective participation by the “practice of involving members of the public in agenda-setting, decision-making, and policy-forming activities of organizations/institutions responsible for public development.” Fairness and competence are fundamental principles of participation. Fairness encourages open participation, which then can contribute to the final decision. Competence, in like manner, contributes the most reliable methodological techniques to validate conflicts and debates. Evaluative indicators and criteria should display the fairness and competence attributes of public participation, and how decision making is publicly engaged.

(5) Accountability vs. Goal, Process, and Outcome Approach: Accountability refers to 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. Alkin (1972) defines accountability according to three approaches: 1) goal accountability concentrates on sound and appropriate goals being established at the upper levels; 2) process accountability ensures sound and appropriate procedures in accomplishing those goals at operational levels; and 3) outcome accountability expresses the degree of achieving established goals at the levels of management and operators in being responsible for outcomes. The three approaches can be summarized as follows.

Goal accountability ➡ Process accountability ➡ Outcome accountability

Accountability involves the system more than behavior. Evaluative indicators and criteria should display the established system and the rights and duties of employees, how the given authority is carried out, and how the operation is measured at a satisfactory level.

(6) Value for Money vs. 3 Es: Value for money provides 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. The 3 Es are economy + efficiency + effectiveness. Value for money can be determined in terms of either qualitative or quantitative measurement or both through the windows of the 3 Es. Economy measures the input costs of acquiring, running, and disposing of assets or resources. Efficiency measures the productivity between inputs and outputs. Effectiveness measures the relationship between outputs and outcomes, both qualitative and quantitative, in delivering the intended objectives. As a consequence of limited resources, evaluative indicators and criteria should display how the LGs utilize their local resources in terms of economy, efficiency, and effectiveness.

3) How are the Indicators of Good Governance Evaluation Established?

The indicators were bound by the definition of the six principles of good governance. They were also generated in correlation with the theory or approach applied to each principle of good governance.

The author identified a set of indicators for each good governance principle by aligning them with the applied theory/approach of the principle. The indicators simply led the informants, interviewees and respondents to the clarity of their viewpoint in answering the evaluative criteria. This mind-map is exhibited in Figure 5.1 and it provided a guideline for the questionnaire.

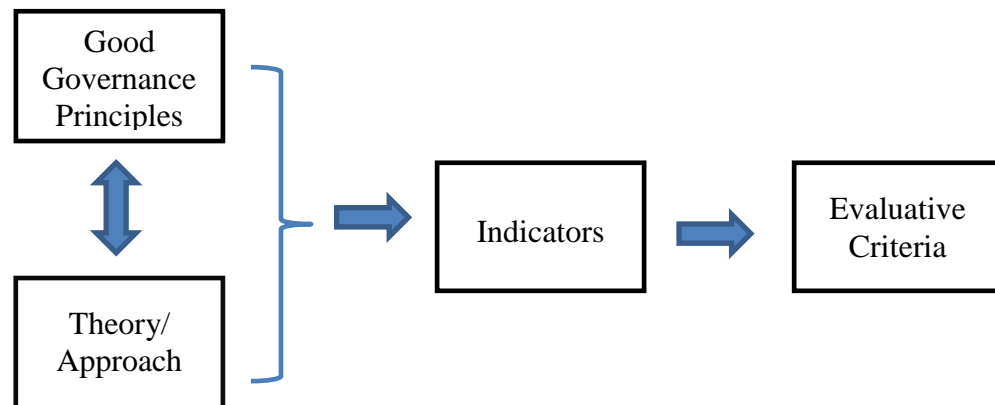


Figure 5.1 Mind-Map of Evaluative Criteria

Source: Author's Compilation

5.1 Results for the Indicators of Good Governance

Of the 175 respondents, the author categorized them according to the notion of the LAO types, PAO, municipality, and SAO, from the data collection. Eighteen indicators of good governance were acquired for each type of LAO. Three indicators in each principle, which accounted for the most scores from top rank to the third rank, were selected, as seen in the tables displayed below with the accounting score behind each selected indicator. These top three for each good governance principle from PAO, municipality and SAO types were then further selected by comparing the scores cumulatively. Within each good governance principle, only those indicators of the top three ranks that had high scores and alignment with the theory or approach of that particular principle were finalized as indicators of good governance. Therefore, 6 principles brought forth 18 indicators as the base to further obtain the evaluative criteria of good governance.

The results of the 18 indicators of good governance from the 37 from executives of PAOs are clearly illustrated in Table 5.6, 62 executives of municipalities in Table 5.7, and 76 executives of SAOs in Table 5.8, respectively.

Table 5.6 Results of the Indicators of Good Governance from the Viewpoint of Executives of PAOs

Indicators of Good Governance	Respon.No.
1) Rule of Law	
(1) Appropriateness of legal code/code of law, set of rules, regulations and statutes	21
(2) Complaint filing of disparity in the law enforcement	17
(3) Declaration of legal code/code of law, rules, and regulations to the public equitably	15
2) Ethics	
(1) Determining standard of good governance and ethics	16
(2) Applying appropriate management tools in local operations and services	14
(3) Pay for performance as appropriate and just according to clarified indicator	14
3) Transparency	
(1) Accessibility of information through provided channels	34
(2) Disclosure of important information thoroughly to the public	33
(3) Having an audit and evaluation system in place	28
4) Participation	
(1) Participation of public and all stakeholders	30
(2) Open to public hearings for new projects & activities aligned with community needs	23
(3) Establishment of community counsel and community committee	23
5) Accountability	
(1) Accountability laid for duty and set goals	30
(2) Accountability in meeting public expectations	23
(3) Public satisfaction measurement	18

Table 5.6 (Continued)

Indicators of Good Governance	Respon.No.
6) Value for Money	
(1) Resources utilization	21
(2) Ability to provide service within the defined time	16
(3) Establishing trust and reliability in meeting people's demands	11

Table 5.7 Results of Indicators of Good Governance from the Viewpoint of Executives of Municipalities

Evaluative Criteria of Good Governance	Respon. No.
1) Rule of Law	
(1) Clear segregation of powers and duty	48
(2) Appropriateness of legal code/code of law and regulations	41
(3) Declaration of legal code/code of law, set of rules, regulations, and statutes to the public equitably	38
2) Ethics	
(1) Aligning work process with good governance principles	42
(2) Campaign to promote employees to work with integrity	37
(3) Knowledge development and campaign for ethics for local officers and people	27
3) Transparency	
(1) Freedom to access information, projects, activities, and process of implementation	54
(2) Disclosure of implantation and operation of Local Development Plan and projects	51
(3) Internal control system and audit	45

Table 5.7 (Continued)

Evaluative Criteria of Good Governance	Respon. No.
4) Participation	
(1) Multi-channels open for public participation	51
(2) Selection of committee from the public to participate in decision-making	46
(3) Public hearings to obtain the needs of people	41
5) Accountability	
(1) Clear determination of rights, duties, and responsibility	41
(2) Good operational system of traceability	37
(3) Evaluation system of all officer levels	34
6) Value for Money	
(1) Justified and value-oriented utilization of resources for the best people	41
(2) Human resource development for multi-functional efficiency	32
(3) Improvement of work process and system to increase convenience and speed of service	31

Table 5.8 Results of Indicators of Good Governance from the Viewpoint of Executives of SAOs

Indicators of Good Governance	Respon. No.
1) Rule of Law	
(1) Enactment of set of rules, regulations, and statutes pertaining to authority	53
(2) Enforcement of code of law, rules, and regulations	50
(3) Periodic adjustment of legal code/code of law	38
2) Ethics	
(1) Pay for performance scheme	46

Table 5.8 (Continued)

Indicators of Good Governance	Respon. No.
(2) Promote employees to work with integrity	38
(3) Knowledge development in ethics for all levels and people	28
3) Transparency	
(1) Freedom to access information, projects, activities, and process of implementation	65
(2) Transparency in all operations and disclosure; having clarification if needed	60
(3) Appointing people as part of audit committee	58
4) Participation	
(1) Public participation open for establishing Local Development Plan	64
(2) Selection of committee to participate in decision-making	51
(3) Provision to the public of project/work progress	49
5) Accountability	
(1) System laid out for operating procedures	67
(2) Ownership building	61
(3) Public satisfaction measurement	49
6) Value for Money	
(1) Utilization of resources for value-orientation	58
(2) Provide public services with better convenience and speed	51
(3) Monitoring and evaluating of LAO operation	46

The principle of rule of law gives the results of the first top 3 ranks of respondents after comparing and combining the results from different executives of PAOs, municipalities, and SAOs. In the process of selection, you may have rephrased, maintained or compounded the indicators that presented similar tone or meaning. Moreover, the indicators were also aligned with the bottom-up approach, which renders justice as fairness. They are:

1) Appropriateness of legal code, rules, and regulations represents 100 respondents. This indicator was one of the cores of the rule of law principle. Without establishing a proper legal code or code of law, a set of rules, regulations and statutes that are identical to the context of the locality and people's needs, justice cannot take place. Similarly, enforcement will not have a guideline book as a referral base.

2) Equitably enforcement of legal code, rules, and regulations to the public represents 82 respondents. The equity and equality of law enforcement demonstrates fair treatment without prejudice or bias. Noncompliance and complaint filed are considered to present a negative signal of something unjust or unfair. If non-compliance filed exists, it measures how justice is materialized in practicality while complaint filed of disparity measures fairness in law enforcement.

3) Enactment of set of rules, regulations, and statutes pertaining to authority represents 53 respondents. Although this indicator was very close to "clear segregation of powers and duties," it was not the same. Authority gives power to enforce laws, exact obedience, command, determine, or judge. It is the power or right to control, judge, or prohibit the actions of others according to the local enactment of law, rules, regulations and statutes, while power is the ability or capacity to perform or act effectively and duty is an act or a course of action that is required of one by position, or law.

Two remarkable indicators, although they were not selected, are "clear segregation of powers and duties" and "periodic adjustment of legal code/code of law." Segregation of powers and duties will help for internal control purpose of any abuse of power. It can prevent any potential corruption. Periodic adjustment of the legal code or code of law will assure that the legal code is up to date with the adjustment or revision that is cascaded to the local governments. Legality is amended and its enforcement can then take place.

4) The principle of ethics has many good results but 3 indicators that fell within the top ranks and that were relevant to "ethical behavior" as the attainment of "Consequence, Virtue and Duty Theory" Campaign to promote employees to work with integrity represented 75 respondents. Ethics are very subjective. People tend to understand more with the physical appearance. In order to inspire ethical awareness there is the need to provide training or seminars, on the one hand, and recognition, on

the other hand. It is obvious that if there is any allegations take place, ethics are questionable. This is the answers to virtue theory.

5) Pay for performance scheme represents 60 respondents. Pay for performance has been applied to both private and government sectors. Bias may take place in the evaluation of performance. Good method to reward those that generate good output as well as outcome is essential. However, there is a need of set goals to measure performance. Setting goals provide a solution to duty theory. In the notion of ethics, it leaves no room to be challenged or to be recognized as another campaign for ethical boost.

6) Aligning work process with good governance principles represents 58 respondents. The author feels that “determining the standard of good governance and ethics” from the viewpoint of the executives of PAOs, besides obtaining the standard of governance principles there is the implication of the alignment of such principles to the work in process, which is a pragmatic outcome. With such principle it is considered as a component in the indicator of “aligning work process with good governance principles.” When good governance principles become part of the work process, the government officers have missioned to lead their day-to-day operation within the trace. Therefore, the consequence is evaluated and anticipated from it.

Considering the number of respondents, “knowledge development in ethics for all official levels and people” was rather high. It was also important for enhancing and reinforcing the ethical level of both government officers and the public. Without the building up of ethics from youth, people tend to value materials and neglect what is right and what is wrong. Good consciousness is defiled and corrupted. Another indicator that is insignificant and can be left out was “applying appropriate management tools in local operations and services.” It did not fit this principle but would be applicable to the principle of value for money.

The principle of transparency received a high number of responses. All of the represented indicators of this good governance principle were included in this final round. Transparency theory provides economic, public and academic values. The selected indicators are:

7) Accessibility of information through provided channels represents 153 respondents. Without accessibility, even though there is the disclosure of

information of local development plans and projects, the public cannot receive or know such information. Moreover, channels open for accessibility must be made available and suffice. This is true in the public eyes for the transparency theory.

8) Having an audit and evaluation system in place represents 131 respondents. To assure the consistency of having transparency in the LAOs, an audit and evaluation system must be in place and applied periodically.

9) Disclosure of important information thoroughly to the public represents 144 respondents. Disclosure is the heart of transparency in the economic realm where sufficient information to enhance risk assessments and benefits of transactions is underscored. “Transparency in all operations and disclosure, having clarification if needed,” was added to this indicator.

The principle of participation also received relatively high similarity of responses. The selected indicators encompassed fairness in its openness and decision making, and competence in terms of reliable methodological techniques.

10) Public participation open for establishing local development plans represents 181 respondents. This is crucial for open participation, regardless whether the sphere is formal or informal. It can be in the way of public hearings or through community counsel and community committee.

11) Selection of committee from the public to participate in decision-making represents 97 respondents. Selection of committees with a transparent process and method will express fairness. The selection opens for all kinds of stakeholders from the civilians, and private sectors and government will balance the fairness and decision making of local affairs: local development plan, projects, and activities.

12) Multi-channels open for public participation represents 51 respondents. Multi-channels for participation delimit all kinds of stakeholders to join in local affairs. Participation from all kinds of stakeholders displays fairness as well as the competence theory of participation.

“Provision to the public for the project/work progress,” although it was not selected for the final round, is definitely a kind of public participation where the progress of local projects or activities are required to release for the progress of the local projects.

The principle of accountability has gained good commonality of results for the indicators within the goal, process, and outcome approach.

13) Clear determination of authority, duty and responsibility represents 71 respondents. At the upper level accountability, this was established for particular positions and set goals. Therefore, clear determination of authority, duty and responsibility is required to carry out the set goals.

14) Good operational system of traceability represents 114 respondents. Accountability is a matter of system not behavior. Therefore, traceability is crucial for manifesting whose authority or duty it is to make a decision or take action or conduct an operation. This indicator ensures that a sound and appropriate system has been established for the operational process and procedures in each position and work function.

15) Public satisfaction measurement represents 67 respondents. The measurement of public satisfaction corresponds to the outcome. Here one of the ultimate outcomes of good governance is the satisfaction of people, besides their happiness and well-being.

“Ownership building” had 61 respondents but was not accounted for, not because of the fewer respondents than the selected three indicators. The reason is that ownership has secondary importance to the authority and duty. Accountability adheres to the authority and duty. The next indicator of accountability is “evaluation system of all officer levels”. The evaluation of officers will only exhibit how well the officers perform. Local people are those that state how good the public services are—whether they meet their expectation, or are beyond or under them. “Accountability in meeting public expectations” may accomplish by combining with “public satisfaction measurement.”

The principle of value for money encompasses the economy, efficiency, and effectiveness aspects of the 3 Es. According to the respondents there were indicators answering to these calls. The three selected indicators were:

16) Resources utilization – represents 120 respondents. The tone of the wording may somehow differ but it gives a synonymous meaning, that is, local resources are utilized justly at its best value for the people.

17) Providing public services with optimality and speediness represents 109 respondents. The efficiency of public services can be measured in terms of convenience and speed. It definitely meets the people’s demand and builds trust.

18) Human resources development for multi-functions represents 32 respondents. This indicator provides indirect consequence by way of human resource development. Training adds more knowledge and skills, and new job assignments, and job rotation provides new learning of different job functions or services. The local government officers become effective because of their versatility and can replace any absence of officers and succeed any vacant position.

“Monitoring and evaluating of LAO operations” was left unselected. Monitoring and evaluation would give the results of effectiveness to value for money. If human resource development and monitoring and evaluation are compared, the author considers that humans are the valuable assets that drive the 3 Es. The humans are thus more important than monitoring or evaluation if only one has to be selected.

A summary result of the indicators for the 6 principles of good governance provided a guideline for the questionnaire to further acquire the evaluative criteria. The indicators for each principle may or may not be in the sequence from high to low responses but they were relevant to the definition of the principle or theory/approach. The column of Theory/approach was omitted in the template of the survey sent to the executives of the LAOs. Table 5.9 illustrates column by column the following: 1) Theory/approach; 2) Good governance principle 3) Indicators; 4) a blank column for the evaluative criteria, and 5) Rating scale.

Table 5.9 Summary of the Results for the Indicators of the 6 Principles of Good Governance

Theory/ Approach	Principle	Good Governance Indicators	Evaluative Criteria	Rating Scale				
				5	4	3	2	1
Bottom-up Approach (Rawls, 2005)	Rule of Law	1. Appropriateness of legal code, rules, and regulations 2. Enactment of set of rules, regulations and statutes pertaining to authority 3. Equitable enforcement of legal code, rules, and regulations with the public						

Table 5.9 (Continued)

Theory/ Approach	Principle	Good Governance Indicators	Evaluative Criteria	Rating Scale				
				5	4	3	2	1
Consequence Theory (Gensler 2006: 138; Mill and Bentham, 1987: 234), Virtue Theory (Salminen, 2009: 9; Aristotle, 2009: 23), Duty Theory (Mizzoni 2010: 105; Kant, 2005: 97),	Ethics	1. Aligning work process with good governance principles 2. Campaign to promote employees to work with integrity 3. Pay for performance as appropriate and just according to clarified indicator						
Transparency Theory (Etzioni, 2006: 16; O'Neill, 2006a)	Transparency	1. Disclosure of important information thoroughly to the public 2. Accessibility of information through provided channels 3. Having an audit and evaluation system in place						
Fairness and Competence Theory (Rowe and Frewer, 2005)	Participation	1. Multi-channels open for public participation 2. Public participation open for establishing local development plans 3. Selection of committee from the public to participate in public hearings and decision-making						

Table 5.9 (Continued)

Theory/ Approach	Principle	Good Governance Indicators	Evaluative Criteria	Rating Scale				
				5	4	3	2	1
Goal, Process and Outcome Approach (Alkin, 1972; Markman and Tetlock, 2000; Libby et al., 2004)	Accountability	1. Clear determination of authority, duty and responsibility 2. Good operational system of traceability 3. Public satisfaction measurement						
3Es Theory (Barnett et al., 2010)	Value for Money	1. Resource utilization 2. Providing public services with optimality and speediness 3. Human resource development for multi- functions						

5.2 Standard Results for Evaluative Criteria

From the data collection there were five types of units of analysis: 1) Office of the Decentralization to Local Government Organization Committee (ODLOC); 2) academic; 3) PAOs; 4) municipalities; and 5) TAOs. There were some derived from the literature review as well. Considering the different viewpoints, the author analyzed the collected data in accordance with their types of unit of analysis. Group 1 comprises of ODLOC, academic and literature review. These involved the top-down viewpoint while the remainders represented the bottom-up viewpoint. Since the functions and population sizes differed in each type of local governments, groups 2, 3 and 4 were PAOs, municipalities, and TAOs respectively. Group 5 was a combination of all types.

Collectively, the same or similar viewpoints from the interviewees and/or from the questionnaire respondents were counted, as well as the given rating scales. The top score, the runner up, and the third were selected for only those that were relevant to the provided indicators to be representative of the evaluative criteria or indicators of good governance for that specific governance principal. The scores were placed within a parenthesis behind each criterion in the Table of Evaluative Criteria of Good Governance. The relevant theory bases were factored into each good governance principle as governed parameters. The selection was thus based on these two dimensions. Here, the indicators were then qualified to be the first filter. Similarly, the selection of rating scales applied the same approach as those of the evaluative criteria in terms of their frequency.

The three evaluative criteria for each principle of good governance that were selected were arranged according to the sequence set forth by the above indicators (Table 5.9).

Although there was a slight mix up of the indicators as evaluative criteria, cumulatively, it was less than 10 percent of the total data collection. As known, not all of the criteria could be quantified. They could be something intangible or qualitative, which is subjective. For this later aspect, during the evaluation process the evaluator used various ways to arrive at its results.

5.2.1 Group One Results

This group represented 6 viewpoints of the ODLOC committee, academics, and the literature review. Due to Thailand's political unrest there was the absence of the Prime Minister, who could have taken the role of Chairman of the ODLOC. Nonetheless, the National Council for Peace and Order (NCPO) has appointed the General Director of Department of Local Administration (DLA) as the Caretaker. Due to the tight schedule of the General Director of the DLA he assigned his deputy to represent him for the in-depth interview. The interviewees and some considered as key informants in this group were considered relatively as the top-down approach, meaning that they were at the high level representing central control as policy makers, providing promotion and awards of good governance, creating evaluative criteria and operating the evaluations. The author was permitted by some of the interviewees to

reveal their names. However, most respondents will be anonymous but their comments were summarized or quoted for those that gave remarkable insights.

Mr. Somdee Kashayongeen, Deputy Director of DLA, who represents the Chairman of the ODLOC and Mrs. Kanita Ratnui, a committee member of the ODLOC by position and Director of Good Governance Division of the DLA, provided comments in the role of DLA. The DLA obliges the promotion of good governance in compliance with the 2003 Royal Decree on the Principles and Methods of Good Governance. Good Governance means the administration of the civil state that links to multilateralism, coordination, and mutual support between the state, private and public sectors in the allocation and management of resources in order to meet the needs of the people through public participation and the responsibility of the state and private sectors that is efficient, effective, transparent, equitable, and fair. The Decree emphasizes seven goals and six good governance principles to be complied by all LAOs. The seven goals were: 1) public administration for public welfare; 2) result-oriented administration of LAOs; 3) effective value for money in public administration; 4) lessening unnecessary steps of work; 5) adjusting the mission of the government agency; 6) providing convenience and responding to public requirements; and 7) evaluation of the performance of public administration. The six principles that govern good governance in accordance with the Royal Degree were 1) rule of law; 2) ethics; 3) transparency; 4) participation; 5) accountability; and 6) value for money. By function, DLA monitors and supports LAOs to operate, manage and administrate by abiding to the obligation and authority. Annually, each LAO is evaluated by thirty criteria upon the seven goals. The evaluative criteria are mutually designed by DLA and the Office of Prime Minister.” This comment strongly indicates that the evaluation and evaluative criteria were driven from top down. It also unveils that the evaluative criteria were not aligned with the six principles of good governance.

Mrs. Kanita continued to add: “[t]here are four aspects of evaluation: 1) management and administration; 2) personnel administration; 3) fiscal and finance; and 4) public services. Those who pass the evaluation must exceed 60 percent and for those above 85 percent will be the runner up for further contest of the Office of Prime Minister to receive grant-in-aid as motivation award for the winners.”

As a person that fully engages in the good governance of LAOs, she emphasizes that “[e]valuative criteria should reflect the local operations and the ultimate outcomes are the well-being of the people as the highest objective. In evaluation, evaluators should evaluate work and operation process, output, and ultimate outcome. Such criteria need to be improved or adjusted according to the context of the work nature of LAOs.”

Mr. Somdee and Mrs. Kanita provided the 18 criteria by applying those in the manual of the DLA’s evaluative criteria.

Mr. Assadang Panikabutr, an academic committee member of the ODLOC, gave a striking comment as follows: “[t]he LAOs may regard the 2003 Royal Decree on the Principles and Methods of Good Governance merely a doctrine rather than practicality. The ultimate goal of this Decree is to create happiness for the local people by providing public services to the people needs. Good governance may become skeptical whether it is practically real, how it is attained and by what way. It is often seen that few local government executives may have less concern of their people but more on their own interests and party’s (utilitarianism), or emphasizing on infrastructure policy rather than quality of life.” Therefore, “to make good governance effective in term of their operation and implementation of plans and projects, it does require effective evaluation.” He further added that the “[a]djustment of evaluative criteria to suite the context of local governments at least every annual is encouraged.” In evaluation, the criteria, applied methods, and processed were all vital. Evaluative criteria require reflecting the 6 principles of good governance as well as 7 goals set forth in the Royal Decree. Another practically point he gave was that “[s]imilarly, merely reviewing of documentation is insufficient in evaluation. Observation on how the operation and projects get done is supplemental. Interview local people will provide the LAO’s performance and outcome of its good governance.” The evaluative criteria were given based on the experiences of Mr. Assadang Panikabutr as a lecture, counselor and evaluator.

The last committee member of the ODLOC from a LAO and also an executive of the SAO stated that “[a] leader of local government must have leadership qualifications. And one of the qualifications is to have good governance.” The attainment of good governance is the satisfaction of its local people. The problem

with today's evaluation of good governance is the enticement of the evaluators or patronage system given to the evaluation committee. He added that "[i]mprovement is not merely on the evaluative criteria but also qualification of evaluators and its committees." The criteria are required to be clear, practical and applicable to the nature of LAOs, as well as reduced in term of quantity.

This last committee member gave a hybrid view of the evaluative criteria as he has two "hats," one as a committee member of the ODLOC and another as a practitioner that is an executive of the SAO.

Two academics were interviewed but the author counted them as one person because Assoc. Prof. Woothisarn Tanchai advised and gave guidance on the principles of good governance and the interconnection of the collected data from different LAOs for analysis purposes. He provided a valuable exchange of knowledge in one of six principles of good governance on "accountability." He asked: "Do you think that accountability is a matter of system or human conduct?" Absolutely, many may think that accountability should issue from the nature inherited in us as human beings. The author confidently replied with reluctance: "It is a matter of human conduct. A person has a conscience as one of the parts preserved by God to act and behave righteously." He replied that "[i]n fact, the word 'accountability' is likened to 'accounting' where system is involved. Therefore, to account for someone's accountable does indeed need a good system."

Assoc. Prof. Dr. Kowit Puang-ngam provided samples of indicators and evaluative criteria of good governance for local governments and explained how they were related as a person with long and direct experiences in this field work. Some good examples from the transparency and participation principles were disclosure of the information/local plan which is considered as an indicator where the determination of number of disclosures as well as all or partial information given are evaluative criteria for transparency. Channel of participation was an indicator whereas internet, banner, board posting or communities meeting were evaluative criteria for public participation. The academic not only created the evaluative criteria of good governance but also was one of the evaluators. He thus represents the central government as well.

The top-down approach of evaluation was eminent. The evaluative criteria had 7 goals and also 4 dimensions as the foundation but not the six principles of good governance. There was a desire to have the evaluation revised, improved so that it would reflect the true nature of the LAOs.

The results of the evaluative criteria of good governance and the rating scales from these 5 informants or interviewees, including one from the literature review, thus making 6 in total, are presented in Table 5.10. The table also provides the number of respondents which were behind each criterion.

The author gave the rating scales on the side of the literature review for all 6 principles of good governance to be at the level of 5. All principles themselves were equally crucial; none was below the other. Each principle had inter-impacts. If one fell short in practice the other or more will also fell. For instance, an executive gave special permission to his friend to give a bribe for entering into a tender of LAO's vehicle procurement. The friend did not go through standard procedures of the procurement regulations. This conduct has an impact as follows: 1) prejudicing law enforcement; 2) unethical behavior; and 3) lack of transparency in the procurement process. It may go further for higher amount of corruption in order to win the tender. Therefore, value for money will then be jeopardized. Since the principles were on level 5, their criteria had to be on the same level as well. Established standards should be applied regardless of persons. They cannot be lower to satisfy the needs or interests of any person at any particular time or place or environment.

Remarkably, all informants stated all principles or the criteria for level 5 in their rating. On the principle of rule of law, this group's results tended to pay more attention to law enforcement by looking at the compliance and complaints, if there were any allegations against the officers or disparities in practice. The informants do not allow it to take place as "it raises justice and fairness in doubts or if there is any disciplinary punishment may apply" – quoted from one of them. Furthermore, the legal code was to be checked as to whether it corresponded with the organic legislation. Last, from the top-down viewpoint, they would like to see the written segregation of powers and authority.

Breaches of discipline and pay for goal-orientation have much emphasis on the principle of ethics. This expresses how the top management reviews the ethical

behavior of the subordinates. The informants supported the training for knowledge development given to not only the local officers but also the local people but they did not mention about the time span of the training. Pay for goal orientation was supported at every level in the LAOs.

We can see that most of the informants concluded with the same viewpoints. The results for the principle of transparency had core contents—disclosure, communication channel of information, and audit to measure the transpired transparency. Disclosure was required to do according to the plans. Communication channels were required to identify as well as the number of such channels. Periodic of evaluation and audit was called for.

In the principle of participation, the informants valued public hearings as the indication of channel for public participation. Participation in decision-making was needed. There were records to keep participant lists. The qualifications of the committee to be elected were proposed to come from the working team of the inter-organization mission. This viewpoint may be overlooked in the local governments as they are not managed from the center as the informants in group one.

The results from the principle of accountability received scattered viewpoints. For the authority to identify accountability, the designation of order command was demanded for all positions. Legal code gave authorizing commands to comply with. The number of records for the survey of public satisfaction was the yardstick of its implementation.

Value orientation, productivity, outcome, and evaluation were components of the results given for the principle of value for money. Regarding the notion of resource utilization, the informants required proof of documentation on fiscal budget and the procurement process being carried out. The yardstick of public services was the recorded time compared to the set time frame. As well, training courses on an annual basis and attending records were called for.

Table 5.10 Group One Results

Evaluative Criteria of Good Governance	Rating Scales				
	5	4	3	2	1
1) Rule of Law	x				
(1) Compliance of legal code with the organic legislation (3)					
(2) Segregation of powers and authority in writing (2)					
(3) Amount of non-compliance with the legal code (5)					
2) Ethics	x				
(1) Freedom from breach of discipline (3)					
(2) Knowledge development in ethics for all levels and people (2)					
(3) Pay-for-goal oriented at all levels (3)					
3) Transparency	x				
(1) Disclosure of operational performance as planned to the public (4)					
(2) Determine definite and number of communication channels (4)					
(3) Efficient monitoring and scrutiny system by periodic evaluation and audit (5)					
4) Participation	x				
(1) Open for public hearings for new projects and activities (5)					
(2) Records on the participants' numbers and diversity in attending decision-making (3)					
(3) Mutual mission between LAOs to set qualifications of elected committee (2)					
5) Accountability	x				
(1) Order command designated for all positions (3)					
(2) Authorized commands that comply with the legal code (2)					
(3) Number of records on survey of public satisfaction (2)					
6) Value for Money	x				
(1) Documentation and approval list for procurement and fiscal budget (3)					
(2) Time record given in public service is with the set time frame (4)					
(3) Annual training courses set for each level of officers and attending record of proven trainings (4)					

It was interesting to see the criteria from the viewpoints of the local executives of LAOs: PAOs, municipalities, and TAOs respectively. Will there be any different in the criteria from the perspectives of top-down versus bottom-up? The next four groups illustrate this clearly.

5.2.2 Group Two Results

The interview of group two was composed of 1) three focus groups; 2) three PAO executives; 3) three municipality executives; and 4) three SAO executives. Due to the diversification of the LAOs within each focus group and the in-depth interviews of all types of LAOs, the interview results were deemed appropriate to set as group two, where we would have a bottom-up viewpoints. The author counted the 3 focus groups as 3 voices and 9 voices from in-depth interviews with three types of LAOs, totaling 12 voices. The rating scales presented the frequency of respondents in each scale.

The first focus group underlined how good governance was essential to have and how it should be taken heed of for all executives and the government officers: “Good governance is the vital principle for administrating LAOs in order to reduce the operational procedures, provide convenience and meet the need of people. All 6 principles are critical and none can be dismissed. If there is no good governance we will have corruption as the sign.” The rest concurred that good governance for local governments aims for result-orientation by determining accountable persons in their operation and having clear goals set for implementation, including key performance indicators to measure its effectiveness and efficiency. There were agreements between the local executives and the heads of departments, and the heads of the departments to their subordinates. To ensure that the local governments have good governance there is a need of periodic evaluation. Therefore, evaluative criteria of good governance are the essential tools for such evaluation as they perform to the set goals and mission. They, thus, would issue in the improvement, correction, promotion, development or even ceasing of operations, methods, plans or projects.

The executives from the first focus group shared that the evaluative criteria that they were regularly assessed by the DLA. The assessment was framed in 4 dimensions: 1) management and administration; 2) human resources management; 3) fiscal budget; and 4) public services. The above evaluative criteria were

recommended to align with the six principle of good governance. Moreover, these group of executives stated that they would like to be part of those who can set up such criteria or at least give some inputs for the future ones. They also encouraged their organization to enter into the award contest, not for the sake of the award or grant but more for the recognition of their continual improvement in the conduct of good governance.

The second focus group viewed that “[g]ood governance is the pillar for management and administration of local governments in its intently transparency and public participation.” Some shared how they monitor their LAO by establishing local development plans and publicizing annually in compliance with the Royal Decree. Although the plans were on a three-year basis, annually the local governments would publicize to acquire more information from the people and gain their participation. In addition, the organization provides local training in moral and ethics for young people, those with occupations, as well as their own staff and employees. There was the establishment of a fiscal budget. Infrastructure projects and procurement were transparent through media announcements and for tendering that abided by local policy and regulations.

One interviewee from this group provided a remarkable point on the purpose of setting up evaluative criteria. He mentioned, “[e]valuative criteria of good governance aim for development not for the purpose of mistake capturing.” Most expressed that they do need the criteria to regularly be revised and even have input from the LAOs. Only one thought that the current evaluative criteria were rather inclusive.

The third focus group promoted good governance and held onto it as a “blueprint” in the day-to-day operations. This also “motivates teamwork.” They supported the state, indicating that local governments should comply with the 2003 Royal Decree on the Principles and Methods of Good Governance as both their executives and employees may prove their working roles and shift to the role models where there will be imitation. Three of the executives from this group shared that they received different awards, namely Good Governance Awards, KPI Awards, Golden KPI Awards, Environmental Award, Good Living Town Award, and so on. All of the executives in this focus group were geared to the same opinion, that “[c]urrent evaluative criteria, especially from the DLA, are inclusive to apply with all types of

LAOs, with all sizes of organizations from smallest to largest. And this differentiation, importantly, causes advantages and disadvantages among the evaluated LAOs.” Therefore, there was a need for improvement, revision and a change in the viewpoint for the evaluative criteria to appropriately applied to the real context of LAOs. It will be fascinating to have viewpoints from the LAOs for future criteria as they are those who know most what fit for them.

Nine of the in-depth interviewees of the 3 types of LAOs—PAOs, municipalities, and SAOs, agreed that “[g]ood governance provides good principles if all comply with them—not only those conductors but also those receiving the services. It is a heart core of work for all levels, not only applicable to local governments but to all kinds of organizations, even to the individuals.” In transparency, operations can be examined, while rule of law provides equity.

One of the PAOs added that good governance was so crucial that it eventually will lead to performance that is effective and efficient. He remarked, “[I]n its content there is equity, equality, transparency, auditability, accountability, and even incorruptibility.” Another stated that “[g]ood governance is essential in management and administration to attain to the set goals.” In his organization they apply the Royal Decree to monitor the operations and work of local officers from high to low levels, to have clear operational procedures (determining days and time to finish the particular task/job, and who takes responsibility for such the task/job with telephone numbers to contact), to have an independent party to audit the organization, and to evaluate the people’s satisfaction.

In evaluation there must be independency of the audit. Bias or patronage should not appear in any kind of assessment. Behind this was the complaint against the person in-charge of audit, audit committee, and even the auditors from a few of the LAOs. It is inspiring, therefore, that the audit committee must conduct the audit by strictly following the six principles of good governance to acquire a single and common standardization.

One executive from northeast complained that there were evaluative criteria that seemed to be murky such as from those of the OAG that demanded internal control or a budget control. There were complaints from the OAG regarding budget allocation for new initiative projects as the auditor pointed out that it was not the obligation of the LAO. Another complaint against the DLA on the criteria was that

there was too much documentation required. Another said the following: “[t]here is need to earnestly evaluate for the sake of evaluation and further improvement, not for just duty or hidden agenda. Its criteria must be clear. Recognition for good governance may give better motivation.”

What then would provide a satisfactory evaluation from the perspective of its criteria? The interviewees commented, “[t]he criteria must be concrete and would be based on the six principles laid down in the 2003 Royal Decree on the Principles and Methods of Good Governance. Criterion after criterion should be clear, optimal and applicable to all kinds and sizes of LAOs.” majority from this group of interview supported the DLA’s criteria but they would like the criteria to be revised and updated to the current situations. The executive from the east remarked, “[i]t was essential to evaluate the performance in a perspective view to make sure that it is a complete and successful evaluation, then it needs to have two sets of criteria, one for the evaluated LAO and the people who gain the services from local government, and the other for the committee that hold the full set of requirement of the ideal task of local government.”

Group Two illustrated another obvious comment and evidence that the evaluative criteria were driven top-down from the DLA, and the Office of the Auditor General (OAG) and that such criteria were not based on the six principles of good governance. There were expressions of getting the involvement of local governments’ executives for the criteria to be set up. Another impressive comment was to have them in a single and common standardization.

The interviewees of this group gave their viewpoints on the evaluative criteria rather differently. However, the commonalities of the results were on the principles of transparency and public participation. The overall results were geared more toward a bottom-up tone. The rating scale criteria were scattered between levels 3-5, but most were in 5 then 4 and very few in 3. Scanning through the frequency of scales, the rating scale of level 5 had the most of all principles and criteria.

The evaluative criteria on the principle of rule of law highlighted the time frame and what was established for appropriateness of the legal code. The informants called for a legal code to be issued and three-year Local Development Plans to be established on an annual basis. On its enactment there was the need for sending out and returned signatures of a circular letter within the determined time. On its

enforcement, there was legal punishment proceeded as described to deal with any unjust or unfair practice.

For the principle of ethics, the interviewees wanted an annual meeting of executives and officers to determine the standard of good governance as aligned with the work process. Annually, they encourage arranging for an ethical award and setting a winner to be a person of the year as an integrity campaign or promotion. On the performance to express ethical practice, agreed goals were required to be set. Pay-for-performance was determined both on salary increment and bonus. This explicitly displays that development ethical behavior is there for consequence, virtue, and duty.

The evaluative criteria results for the principle of transparency had requirements on the disclosure of all to be communicated while its accessibility to have a “counting record” system. Evaluation and audit were called for on an annual basis.

The evaluative criteria for the principle of participation were identified for all available channels for the public and all stakeholders to participate such as public hearings, opinion box, hotline, community committees, and websites. Like group one’s results, the criteria also emphasized the decision-making of all stakeholders using a yardstick of a participation list. Additionally, an election committee that exhibited system and transparency was open to all kinds of stakeholders, and limitation of service years and terms was required.

The evaluative criteria for the principle of accountability covered the authority for accountability by establishing a good system of traceability. The system provided records of procedures and designated authority. If there is a dispute on accountability, the system can provide traceability record. The other criterion was the annual survey for satisfaction measurement. The survey was to keep records and satisfaction scores which expressed the ultimate outcome.

The principle of value for money results revealed 3-E elements in the evaluative criteria from the setup of the fiscal budget in accordance with Local Development Plans. Two-thirds of the interviewees considered that the “one-stop-service” was the solution to increase the convenience and speed of the service. They proposed 15 minutes as the maximum time of service given that could be sustained. Job rotation and annual training courses should be given by having set plans and policies.

Although some criteria of group one and two may have had similarities but most content was different. This, perhaps, came from the viewpoints that they differed in position, duty as well as approach. The personal viewpoints were different. Some preferred top-down approach but most preferred bottom-up approach.

Table 5.11 Group Two Results

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
1) Rule of Law					
(1) Set legal code and three-year Local Development Plans on an annual basis (8)	5	3			
(2) Circular letter sent out within determined time after enactment of legal code, rules and regulations with returned signature (5)	4	1			
(3) Legal punishment proceeded as described (5)	3	2			
2) Ethics					
(1) Annual meeting of executives and officers to determine standard of good governance (3)	2	1			
(2) Give “Ethical Award” every year as a person of the year (6)	5	1			
(3) Pay for agreed goal (salary increment and bonus) (5)	3	2			
3) Transparency					
(1) Disclose all plans, projects, and activities to the public systematically (11)	9	21			
(2) Set up information board (at LAO and community), website for PR (8)	7	4			
(3) Having evaluation and audit system and perform evaluation and audit twice a year (11)	6		1		
4) Participation					
(1) Open for public participation through public hearings, opinion box, hotline, community committee and website (9)	8	1			
(2) Participation list of all stakeholders participating in all processes of annual Local Development planning (12)	8	4			
(3) Transparently and systematically elect committee from all kinds of stakeholders for 2-year service and not beyond 2 terms (11)	6	4	1		

Table 5.11 (Continued)

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
5) Accountability					
(1) Command assignments designated to all officers and signed off upon receipt (7)	5	2			
(2) Traceability record for any job command (5)	5	1			
(3) Records and satisfaction scores of annual survey for public satisfaction (10)	9				
6) Value for Money					
(1) Fiscal budget set according to Local Plans (10)	9	1			
(2) Offer “One-stop-service” to increase convenience and speed of service within 15 min. (8)	7	1			
(3) Set plan and policy for job rotation and annual training courses (8)	7		1		

5.2.3 Group Three Results

Group Three provided results from 42 (of 64) respondents of executives of PAOs. The respondents related good governance to guidelines for LAOs. The ultimate outcome of good governance is the happiness of people. The executive of Prajinburi PAO emphasized that “[g]ood governance harvests from the cooperation of government and local officers, politicians, and people who determine to uplift the official operation and work in the sphere of ethics, moral, consciousness, and good attitude.” LAOs are governed by the 2003 Royal Decree on the Principles and Methods of Good Governance by means of six principles to abide by. All principles were evaluated, especially on the public services, which have been done by the standard form for LAOs. Therefore, in conducting evaluation, there is a need of evaluative criteria as a measure to the good governance.

One of the executives of Surin PAO cited, “[g]ood governance makes the local operation in better performance and efficiency because it is a pillar for monitor, audit, control, and administration through public participation.” By following good governance, the organization can reduce the operational procedures, and increasingly facilitate and meet the needs of local people. The organization has the mission to 1)

public administration for public welfare; 2) Result-oriented administration; 3) Effective value for money in public administration; 4) improving organization to concur with changes; and 5) Providing convenience and responding public.

With 26 years of experience in a PAO, this respondent compared good governance with a doctrine that Buddha took heed to but here it is a guideline determined for the operational units. It relates to the attainment of objectives as it frames the way to operate and the type of administration.

One respondent stated that the “[e]valuative criteria should have been modified to resemble into different types of LAOs—PAOs, Municipalities and SAOs. Merely one same standard may cause the evaluation result to be distorted or erroneous because of size and area of responsibilities of each one are different.” Another added that “[s]ome evaluative criteria are not clear and too much complicate to apply.” In general all criteria were completed in themselves and covered all areas of concern. However, local governments will operate only the tasks under their authority but there are some specific details within the criteria that are not an operation of the particular LAO. Such tasks cannot be efficiently performed by that LAO.

Most of the respondents suggested that the evaluative criteria be revised regularly. As they are being evaluated and have no input in any criterion at all, they anticipate that in the future there will be some parts of their voices accounted into the criteria.

Overall there are some commonalities of results with group one and two—more in the principles of transparency, accountability, and value for money. Looking at the rating scale in Table 5.12, it shows the frequency distributed to most of level 5, then 4 and a few in 3 but level 4 had a frequency closer to level 5. Level 5 still gained the ground for all criteria in group three.

On the principle of rule of law one distinct result was the emphasis of the annual amendment of the legal code, rules, and regulations. The criterion for the circular letter was the same as for group Two but differed in the addition of posting it on the board and time line to send it out within one or two days. Complaints on disparity of law enforcement were not acceptable, as with group one.

The respondents, for the principle ethics, demanded equality of service provided to all levels of people, which was not seen in group one nor group two. Training for public and officers was called for twice a year. Without specifying how

the pay would be made, the way to evaluate performance requires two-way communication at the frequency of twice a year.

On the principle of transparency, as with group two, disclosure of all plans were called for. However, on the accessibility of information more than half of the respondents proposed a “counting record” system for its criterion. An appointed committee was called for to do the annual evaluation and audit.

The respondents in this group for the principle of participation have a similar list of communication channels like those of group two but not through the community. The reason may be that PAOs do not have specifically physical territory to administrate. For attending Local Development Plans, like group one and two, a participant list was required. In addition, a signed record was to be observed. The elect committee criterion was similar to group two. The results for the principle of accountability were comparable to those of group two.

The criterion for value for money, instead of having a fiscal budget and procurement established, the respondents of this group required a list of available local resources, and technology, people. Similar to group two, a “one-stop-service” is to increase the convenience and speed of service within the limit. For multi-function development, job rotation and training courses were to be given for least 6-12 months.

Table 5.12 Group Three Results

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
1) Rule of Law					
(1) Amendment of legal code, rules, and regulations annually (27)	20	6	1		
(2) Post a circular letter on the board and send it out to LAOs within one or two days (33)	13	18	2		
(3) Zero complaint filing against prejudiced enforcement of law (31)	21	7	3		
2) Ethics					
(1) Equality of services provided to all levels of people (26)	17	6			

Table 5.12 (Continued)

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
(2) Training for public and officers to build ethics and integrity twice a year (34)	15	19	2		
(3) Two-way evaluating performance at least twice a year (36)	18	16	2		
3) Transparency					
(1) Disclose all plans, projects, and activities to the people and stakeholders (35)	18	14	3		
(2) Having a “counting record” system to evaluate the accessibility of information (23)	13	10			
(3) Perform evaluation and audit annually by appointed committee (38)	19	19			
4) Participation					
(1) Receive public opinion through public hearings, websites, opinion box, and hotline (30)	17	8	5		
(2) Having a participant list and signed record for attending Local Development Plans (25)	15	9	1		
(3) Elect committee from the public for 2-year service with 2 terms maximum (21)	14	7	1		
5) Accountability					
(1) Clear command assignments designated to all officers and signed off upon receipt (22)	16	6			
(2) Have a traceability system of job and work procedures (18)	12	4	2		
(3) Check records and survey template for public satisfaction measurement (30)	9	18	3		
6) Value for Money					
(1) List of available local resources and technology, including personnel being utilized (21)	7	12	2		
(2) Offer “one-stop-service” to increase convenience and speed of service within the limit (33)	20	11	2		
(3) Assigned at least 6-12 months for job rotation and training courses (11)	3	7	1		

5.2.4 Group Four Results

Group four combine from 114 (of 370) respondents of executives of municipalities. The respondents in this group provided many straightforward comments. One of the respondents said that “both government and private sectors do need good governance in their management and administration because it controls the organization to work righteously which will make the organization’s reputation to be reliable, on the other hand. On the other hand, without good governance the management can then sway out of the right track as control mechanism is absent.” Another respondent added that “good governance relates to the successfulness of the organization because it provides chances and ways for public to inspect in any point. Information can be disseminated to the public as it creates a transparent atmosphere to everyone, including government employees.”

One of the respondents from the northeast illustrated how practical good governance was to his LAO: “Our organization trusts and believes in good governance principles as a norm to serve the public. We apply all good governance rules to every steps of our daily operation, for instance, opening for public to participate in our management, posting all new projects publicly, and being always ready for reviewing these practices. This creates the confidence and reliability in the eyes of the public. The organization, then, will last forever. Therefore, good governance is the fundamental rule of all kinds of organizations.” Another respondent from the south said, “We were audited in all programs and received many rewards”. The other from the North shared, “My organization received good governance reward in 2003, 2005 and so on, which caused all staffs to be very proud of it for it expressed the how the organization works transparently under the governed rule of justice.”

More than half of the respondents did not enter into the contests for any award. They were obligated by duty and responsibility to conduct good governance. The respondents had the same opinion that evaluation of good governance should be taken place, for it mirrors how LAOs perform toward at least the six principles that are laid out in the 2003 Royal Decree on the Principles and Methods of Good Governance. Their ideas toward evaluative criteria were that such criteria should lead to the success of the mission, shorten the process of the service, be flexible enough to cope with the changing environment and eventual outcome giving the benefit to the well-

being of the people. Most agreed that there was a need to modify the criteria on a regular basis. One respondent gave a remarkable reason, that “[a]s political, social, environmental, and technological changes by time, evaluative criteria have to get modified to align with them. Changes to them also need if we see the impracticality of any criterion. Participation from the LAOs of the establishment or improvement of criteria is a great deal.” Most realized that the current criteria did not relatively take the six principles of good governance as the foundation. They anticipated the coming of a new set where there was to be participation from LAOs.

In conclusion for group four, good governance was important to the management and administration of municipalities and indeed was needed because by it the executives and local officers can understand the people and cause them to give more participation. Under the enforcement of the 2003 Royal Decree on the Principles and Methods of Good Governance, Good Governance can be monitored through the DLA, the province by the governor, the OAG, and the local people. If the municipalities strictly comply with the principles of good governance, their work becomes easier based on established goals. Transparency is manifested. The developments of the economy and society, and the relationship with local people are built. It eventually brings forth performance achievement and goal attainment. Moreover, there is a call to participate in establishing evaluative criteria from LAOs’ viewpoints.

Top-down approach is predominantly used in evaluation and in establishing evaluative criteria. The six principles of good governance were detached from the evaluation elements and criteria. Only a few of them were covered. There is anticipation that local governments will participate in those principles. The evaluative criteria from the respondents’ viewpoint should hold on to discipline, righteousness, integrity, godliness, people, and the well-being of people. Additionally, the central government should allow the LAOs to participate in the evaluator feedback and criteria.

The evaluative results from this group appeared to have more commonalities with group two and three and few with group one where the rating scales had a shifting ground for a few of the criteria from level 5 to level 4 on transparency (3.2), participation (4.3) and accountability (5.3).

The results of group four provided the same viewpoints as for the evaluative criteria for the principle of rule of law as those in group two on the establishment of a legal code and three-year Local Development Plans on an annual basis as well as the enactment of the legal code through a circular letter with the time frame but did not require a return signature. There was no acceptance for any complaint or objection on law enforcement or its disparity. Group four had the same results as group one and three.

Three results on the principle of ethics were similar to all former three groups. The meeting of executives and officers in the aspect of aligning work process with good governance principles was demanded annually, which was similar to group three. Both training and seminar were the mechanism to promote ethics which was required less than for group two for at least once a year. Pay for performance was demanded by goal agreement and at all levels as with group one and three.

As with the results for the principle of ethics, those of transparency were similar to all former three groups, especially regarding the information disclosure for all plans, projects and activities. Communication channels needed to be named as well as the number that could be measured as group one. At least twice a year there needed to be an internal control system and independent auditor to perform the audit as for group two.

With the principle of participation, only one result was similar to group two and three; that is, the communication channels, but the one did not cover the channels of hot line or website. For participation in the Local Development Plans the respondents called for a public relations campaign. Lastly, in selecting a committee, the respondents required having a transparent and systematic process to elect the committee members.

The results of the principle of Accountability appeared to have the same criteria as those in group two and three.

For the principle of Value for Money, the respondents desired to have a fiscal budget set according to Local Plans and that spending be in line with the budget as criteria for resources utilization, which requirement was more than group two in the spending aspect. On the public service number of complaint was counted for evaluation. Similarly to group three, job rotation and training course require assignment and time of at least 6 – 12 months.

Table 5.13 Group Four Results

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
1) Rule of Law					
(1) Set legal code and three-year Local Development Plans annually (102)	54	21	27		
(2) Circular letter sent out within determined time after enactment of legal code, rules, and regulations (81)	32	31	18		
(3) No complaint or objection on law enforcement or its disparity (93)	67	11	10	5	
2) Ethics					
(1) Annual meeting of executives and officers to determine standard of good governance (62)	29	12	21		
(2) Training and seminar arranged for public and officers to build ethics and integrity at least once a year (83)	36	31	16		
(3) Pay-for-performance by agreed set goals at all levels (114)	57	24	33		
3) Transparency					
(1) Disclose all plans, projects, and activities to the public (77)	43	24	10		
(2) Determine definite number of communication channels (63)	27	27	9		
(3) Having an internal control system and independent auditor to perform audit at least twice a year (89)	38	26	25		
4) Participation					
(1) Receive public opinion through communication channels of public hearing, opinion box, and communities (73)	36	16	21		
(2) Public relations campaign and build awareness of Local Plan participation (88)	58	12	18		
(3) Having a transparent and systematic process to elect the committee (64)	20	24	20		

Table 5.13 (Continued)

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
5) Accountability					
(1) Clear command assignments designated to all officers and signed off upon receipt (103)	59	29	15		
(2) Good operational system of traceability (75)	32	21	23		
(3) Annual survey for public satisfaction performed by audit unit or outsource agent (84)	32	45	7		
6) Value for Money					
(1) Fiscal budget set according to Local Plans and spending is in line within budget (141)	70	12	47		
(2) Number of complaints in giving public services (72)	48	12	12	1	
(3) Assigned at least 6-12 months for job rotation and training courses (86)	43	22	21	2	

5.2.5 Group Five Results

Group Five combines the results from 165 (of 380) responses of executives of SAOs. As the last group for example the most respondents as SAOs outnumber the other two types of LAOs. Many respondents did not provide a comment but provided feedback on the role of the 18 evaluative criteria and the rating scales.

Those that returned their comments expressed their support for good governance but most still had a difficult understanding of good governance. Striking comments came from SAO from central region, “Good governance provides LAOs’ staffs with a concise framework to reach the goals. They will all clearly understand on the goal of their duties. They can also comply with all related rules and regulations which is vital for them.” SAO from northern region added, “Good governance principle leads to effective and efficient management which is based on the justice, honestly, transparency, and accountability, for instant.” One shared that “[n]ormally, the evaluation of good governance is composed of 4 areas: 1) Management and administration; 2) Human resources management; 3) Fiscal budget; and 4) Public services. All LAOs are annually evaluated under the guidelines of these 4 areas.”

In general, most of the respondents supported the idea that the evaluative criteria should focus on evaluating the quality of life of people, their rights, the potential of public organization, discipline, and social problems. One especially underlined that “[t]he results from the evaluation will indicate the extent of human resources development and the boundary of social development. which will be useful for LAOs in appraising the local executives and officers. Furthermore, the evaluation needs a continuous review and improvement of all of these criteria to keep pace with the environment, which changes all the time. There is also a need to listen to the ideas of the evaluation team, so the criteria must always be up to date, tangible, and really reflect the extent of good governance.”

The results received for the evaluative criteria of this group improvement were rather scattered. Less commonality with other groups was found. Moreover, there was a significant shift of rating scale from level 5 to level 4. Those of level 4 were in the Rule of Law (1.2 and 1.3), Ethics (2.3), Accountability (5.2), and Value for Money (6.1, 6.3). The rest were at level 5 as shown by frequency. Additional shifting scales were those at level 1 and 2 where there was none in the other groups. The scales in level 3 were also given as those appearing in group three.

Regarding the principle of rule of law, the criteria for setting the legal code and Local Development Plans on an annual basis were given as those for group two and four. The results of the enactment indicator were kept apart in the period for the adjustment of the legal code when an amendment of law exists. However, regarding enforcement, zero_complaints were allowed as with groups one, three and four.

Two of the results for the evaluative criteria for the principle of ethics were not common with the other groups: setting up standards of good governance at least once a year, and the number of complaints/corruption allegations for the integrity campaign. However, pay for performance by applying a goal agreement, then evaluating accordingly, is the same as for groups one, two and four.

The disclosure indicator of the Transparency principle showed the same criterion as for all of the other groups, but the other results were not. Accessibility of information is proposed by setting up in the information desk, board, and PR person to reach out to the community while the audit and evaluation system should have appointed people as part of the audit committee. For the principle of participation,

notice of the results of multi-channels was through public hearings and the community. Modern and digital communications were not mentioned. Perhaps such communications may not be available to reach the SAO people. For Local Development Plans participation the respondents call for invitations made through community committee. Due to the geography and small community types of SAOs, this kind of participation is suitable for them. Lastly, regarding the election of a committee to participate in public hearings and decision making, a transparent and systematic process was proposed.

Regarding the authority of the accountability principle, this group demanded a list of specific requirements being designated, while a traceability record and system trail was called for for job command, as with the results for group two, three and four. Last, the records and satisfaction scores for the annual survey for public satisfaction were the criteria proposed for public satisfaction measurement as with groups one, two and three.

The results of this group for the principle of value for money were distinctive from other groups. Regarding resource utilization, expenditures were to be in line with the set fiscal budget and procurement tender while group four showed the results of expenditures versus fiscal budget only. Further, group one emphasized an approval list for procurement and fiscal budget and group two on setting of the fiscal budget. The results further showed that a satisfaction rating was required to measure the public services. Last, the policy for annual job training and course was required for human resource development for multi-functions, while some groups wanted job rotation and training courses to be pursued for 6-12 months.

Table 5.14 Group Five Results

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
1) Rule of Law					
(1) Set legal code and Local Development Plans on an annual basis (112)	53	42	17		
(2) Periodic adjustment of legal code when amendment exists (69)	28	31	7	2	1
(3) Zero complaint on law compliance (88)	37	42	9		
2) Ethics					
(1) Mutually set up standard of good governance at least once a year (76)	33	27	14	23	
(2) Number of complaints/corruption allegations (98)	49	38	8		3
(3) Apply a goal agreement, evaluate accordingly, and pay for it (131)	49	56	22		
3) Transparency					
(1) Disclose all plans, projects, and activities to the public (145)	69	58	14		42
(2) Set up information desk, board, and PR person to reach out to the community (80)	29	47	2		3
(3) Appointed people as part of audit committee (108)	46	46	13		
4) Participation					
(1) Open for public participation through public hearings and each community (134)	92	39		3	
(2) Invitation for local planning through community committee (106)	77	26	3		3
(3) Having a transparent and systematic process to elect the committee (95)	56	33	3		
5) Accountability					
(1) List of order command being designated to officers (127)	67	49	11		
(2) Traceability record and system trail for job command (91)	38	40	10	2	3

Table 5.14 (Continued)

Evaluative Criteria for Good Governance	Rating				
	5	4	3	2	1
(3) Records and satisfaction scores of annual survey for public satisfaction (79)	35	31	10		3
6) Value for Money					
(1) Expenditures are in line with set fiscal budget and procurement tender (111)	30	61	13	4	3
(2) Satisfaction rating set up at the service point and what comes out of it (116)	60	52	8	4	4
(3) Policy for job training and course to be taken at least once a year (131)	49	70			

Now it is critical to make a final selection of all the criteria for the five groups and the rating scales to be set as the standard for each criterion. First of all there is a need to explain the selection guidelines for the evaluative criteria and also the rating scales separately.

5.2.5.1 Guidelines for Selecting the Final Evaluative Criteria

Within each good governance principle and each indicator, the evaluative criterion that had most frequent commonalities or similarities was selected. Combination, merging, or slight adjustment of the contents took place in order to make the final criterion perfect or complete.

5.2.5.2 Guidelines for Selecting the Final Rating Scales

Final rating scales to be set as “standard” came from the accumulation of scales at that same level at that same level of the scores of the selected criteria.

5.2.5.3 Final Results

The author used the indicator as the heading, and then explained the selection of each criterion for that particular indicator. The last step was to select the rating scale.

1) Rule of Law

(1) Appropriateness of Legal Code, Rules and Regulations

“Set legal code and three-year Local Development Plans on an annual basis” was selected as there were 3 frequencies of from group two, four and five.

(2) Enactment of Set of Rules, Regulations. and Statutes
Pertaining to Authority

Three frequencies of “circular letter” from group two, three, and four appeared. However, the underlines on the method of enactment were different timing. The return signature appeared only in group Two. The appropriate criterion was taken from group Two, “Circular letter sent out within determined time after enactment of legal code, rules and regulations with returned signature.”

(3) Equitably Enforcement of Legal Code, Set of Rules,
and Regulations to the Public

Four frequencies were found regarding “non-compliance” or “complaint filing” or “objection” for either law enforcement or its disparity from group one, three, four and five. The selected criterion was “No complaint or objection filing on law enforcement or its disparity.”

2) Ethics

(1) Aligning Work Process with Good Governance Principles
“Standard of good governance” and “annual” appeared in group Two, Four and Five, where “meeting of executives and officers” was in group Two and Four. The criterion was finally selected to apply in the “Annual meeting of executives and officers to determine standard of good governance.”

(2) Campaign to Promote Employees to Work with
Integrity

Two frequencies were for “training” in group two and three, but the numbers of training given were different for twice a year and once a year. Twice a year for training provided better timing. Therefore, the final was “Training for public and officers to build ethics and integrity twice a year.”

(3) Pay for Performance as Appropriate and Just in
According with Clarified Indicator

“Pay for agreed goal or goal orientation” revealed 4 frequencies from group one, two, four, and five. It was justified to put salary increment and bonus, as well as its application, at all levels in the criterion. The criterion was then “Pay for agreed goal on salary increment and bonus for all levels.”

3) Transparency

(1) Disclosure of Important Information Thoroughly to the Public

Disclosure of all plans, projects and activities were the results of group two to five, but group one did not give it specifically as the informants considered that it was known to do so. There was, however, good underlying of “as planned.” As with most frequencies this criterion was “Disclose all plans, projects, and activities to the public.”

(2) Accessibility of Information Through Provided Channels

Two frequencies were for “Determine definite and number of communication channels” and two from group One and Four and the same frequencies that clearly identified the accessible channels. There was no right or wrong selection but this depended upon a clear yardstick for the evaluation. The evaluators have their own experience and methods for applying any kind of criteria. In this case, the author had to use a just decision. This criterion was selected for best to be quantified and to define such channels. Each LAO can apply the applicable, available and affordable communication channels that they have. It was concluded for the LAO to “Determine definite and number of communication channels” in their policy.

(3) Having an Audit and Evaluation System in Place

Not only to have an audit and evaluation system in place but also to define the timing to perform it were crucial. Two frequencies were found for “twice a year” and “at least twice a year” from group Two and Four, respectively. Interestingly, group Four identified clearly what audit system they wanted and who was to audit. The criterion would be “Having an internal control system and independent auditor to perform an audit at least twice a year.”

4) Participation

(1) Multi-Channels Open for Public Participation

All groups specified their multi-channels differently, but all had “public hearings.” This may reflect the applicable, available, and affordable channels, as mentioned in 3.2. Therefore, to serve the frequencies that had manifested, the author covered all listed channels but left it for the evaluators to discuss with the

LAO at the time of evaluation as the local government executive can provide clarification. “Receive public opinion through public hearings, Opinion Box, Hotline, community committee and website” merged as the final criterion.

(2) Public Participation Open for Establishing Local Development Plans

Three frequencies were shown for the “participation list” from groups one to three. “Diversity” from group one and “signed record” from group three. Then the combined and merged phase for this criterion was “Records on participant list and signature of participants in attending Local Development planning.”

(3) Selection of Committee from the Public to Participate in Public Hearings and Decision Making

Two frequencies give the service year and term of the elected committee from group two and three. “Having a transparent and systematic system to elect a committee from all kinds of stakeholders for 2-year service with 2 terms maximum” was concluded for this criterion.

5) Accountability

(1) Clear Determination of Authority, Duty, and Responsibility

There were three frequencies on “job assignments” to determination of authority, duty, and responsibility as appeared in groups two, three and four. Therefore, the final result was “Clear command assignments designated to all officers and signed off upon receipt.”

(2) Good Operational System of Traceability.

“Traceability” was emphasized by group two, three and five. Good system was proposed by group five. The proposed criterion was “Traceability record and system trail for job command.”

(3) Public Satisfaction Measurement

All five groups had the same commonality on performing a “survey”. Timespan and the survey performer were other parameters added by group four. The appropriate criterion is “Annual survey report for public satisfaction performed by audit unit or outsource agent.”

6) Value for Money

(1) Resources Utilization

Group one, two, four and five rendered the “fiscal budget” required to be established as the economic approach of resource utilization. Two groups “local plans,” “procurement establishment,” and the “spending” toward set fiscal budget and procurement. The concluded notion was “Fiscal budget and procurement set according to local plans and spending accordingly.”

(2) Providing Public Services with Optimality and Speediness

Group two and three came up with efficient solutions to provide satisfactory public service by offering a “one-stop-service” to increase the convenience and speed of service within specified time.”

(3) Human Resource Development for Multi-Functions

The domain of human resource development emphasized on “training courses” and some add “job rotation” but timespan was divided into annual and at least 6 – 12 months for the rotation. Then training courses and job rotation can open for at “least once a year” as group five offered. The conclusion would be “Policy for training courses and job rotation at least once a year.”

5.2.5.4 Final Rating Scales - Standard

The final rating scores were to be regarded as “standard” rating scales. The next step of survey was to acquire for the “actual” rating scales of the final 18 evaluative criteria. In this study, the questionnaires were distributed to have such evaluation by the LAO officers. When it came to the final rating scales, the frequency within the defined level of the selected groups in each criterion was cumulatively counted. The final one was the one that had the most cumulative frequency at that particular level. Table 5.14 illustrates the final results of the rating scales. The number in the column of “Evaluative Criteria” represents each criterion in its principle. The first number tells what principle it belongs to, such as 1 = Rule of Law, 2 = Ethics and so on. The second is the 3 criteria of each principle.

Table 5.15 Final Results of Rating Scales as “Standard”

Evaluative Criteria	Selected Group										Selected Rating Scale
	Group 1		Group 2		Group 3		Group 4		Group 5		
	Rating Scale		Rating Scale		Rating Scale		Rating Scale		Rating Scale		
	5	4	5	4	5	4	5	4	5	4	
1.1			5		20				53		5
1.2			4		13		32				5
1.3	5				21		67		42	42	5
2.1			2				29		33		5
2.2			5		13						5
2.3	3		3				57		56	56	5
3.1					18		43		69		5
3.2	4						27	27			5
3.3			6				38				5
4.1	5		8		17		36		92		5
4.2	3		8		15						5
4.3			6		14						5
5.1			5		16		59				5
5.2			5		12					40	4
5.3	2		9		18	18	45	45	35		5
6.1	3		9				70		61	61	5
6.2			7		20						5
6.3	4		7		7	7	43		70	70	4

Table 5.16 Final Results of the Evaluative Criteria and Rating Scales

Theory/Approach	Good Governance			Rating Scale				
	Principle	Indicators	Evaluative Criteria	5	4	3	2	1
Bottom-up Approach (Rawls, 2005)	Rule of Law	1. Appropriateness of legal code, rules, and regulations	1. Set legal code and three-year Local Development Plans on an annual basis	x				
		2. Enactment of set of rules, regulations and statutes pertaining to authority	2. Circular letter sent out within determined time after enactment of legal code, rules, and regulations with returned signature	x				
		3. Equitably enforcement of legal code, rules, and regulations to the public	3. No complaint or objection filing on law enforcement or its disparity	x				
Consequence Theory (Gensler, 2006: 138) & (Mill & Bentham, 1987: 234), Virtue Theory (Salminen, 2009: 9) & (Aristotle, 2009: 23), Duty Theory (Mizzoni, 2010:105) & (Kant, 2005: 97)	Ethics	1. Aligning work process with good governance principles	1. Annual meeting of executives and officers to determine standard of good governance	x				
		2. Campaign to promote employees to work with integrity	2. Training for public and officers to build ethics and integrity twice a year	x				
		3. Pay for performance as appropriate and just according to clarified indicator	3. Pay for agreed goal on salary increment and bonus for all levels	x				
Transparency Theory (Etzioni, 2010: 16) & (O'Neill, 2006)	Transparency	1. Disclosure of important information thoroughly to the public	1. Disclose all plans, projects, and activities to the public	x				
		2. Accessibility of information through provided channels	2. Determine definite number of communication channels	x				
		3. Having an audit and evaluation system in place	3. Having an internal control system and independent auditor to perform audit at least twice a year	x				

Table 5.16 (Continued)

Theory/Approach	Good Governance			Rating Scale				
	Principle	Indicators	Evaluative Criteria	5	4	3	2	1
Fairness and Competence Theory (Rowe and Frewer participation, 2005)	Participation	1. Multi-channels open for public participation	1. Receive public opinion through public hearings, Opinion Box, Hotline, community committee and website	x				
		2. Public participation open for establishing Local Development Plans	2. Records on participant list and signature of participants in attending local development planning	x				
		3. Selection of committee from the public to participate in public hearings and decision-making	3. Having transparent and systematic system to elect committee from all kinds of stakeholders for 2-year service with 2 terms maximum	x				
Goal, Process and Outcome Approach (Alkin, 1972) & (Markman and Tetlock, 2000; Libby et al. 2004)	Accountability	1. Clear determination of authority, duty, and responsibility	1. Clear command assignments designated to all officers and signed off upon receipt	x				
		2. Good operational system of traceability	2. Traceability record and system trail for job command		x			
		3. Public satisfaction measurement	3. Annual survey report for public satisfaction performed by audit unit or outsource agent	x				
3 Es Theory (Barnett et al., 2010)	Value for Money	1. Resources utilization	1. Fiscal budget and procurement set according to Local Plans and spending accordingly	x				
		2. Providing public services with optimality and speediness	2. One-stop-service” to increase convenience and speed of service within specified time	x				
		3. Human resource development for multi-functions	3. Policy for training courses and job rotation at least once a year		x			

Table 5.15 gives the final results of all 18 evaluative criteria and rating scales which were regarded as “standard” scales.

5.2.5.5 Top-Down and Bottom-up Viewpoints

It was evident that there were some different viewpoints from group one, representing top-down viewpoints, and the other 4 groups, representing the bottom-up viewpoints of the local government executives. The results of evaluative criteria from group one had commonalities the same as the other 4 groups: 1) at least one criterion in each principle of good governance; and 2) two criteria on principles of participation and value for money. Group one has the least commonalities of evaluative criteria when compared to other groups. It would be very interesting to have open-ended evaluative criteria without any guideline. However, in this study there were theories or approaches and indicators as guidelines to generate the criteria.

5.3 Actual Results

The actual results were derived from the collection of rating scales by sending 753 questionnaires to local government officers. Four hundred and seventeen responses were returned, yielding a 55.4% return rate. Table 5.16 illustrates the “standard rating scales” and the acquired rating scales or so-called “actual rating scales.” It also provides the calculated means of 3 criteria of each principle for both the standard and actual rating scales.

Table 5.17 Results of Actual Rating Scales and Means

Rating Scales “Standard”					Evaluative Criteria	Rating Scales “Actual”				
5	4	3	2	1		5	4	3	2	1
x					1) Rule of Law (1) Set legal code and three-year local development plans on an annual basis	372	15	15		15
x					(2) Circular letter sent out within determined time after enactment of legal code, rules, and regulations with returned signature	185	117	32		83
x					(3) No complaint or objection filing on law enforcement or its disparity	253	66	83		15
5						4.27				
x					2) Ethics (1) Annual meeting of executives and officers to determine standard of good governance	265				
x					(2) Training for public and officers to build ethics and integrity twice a year	200		66		
x					(3) Pay for agreed goal on salary increment and bonus for all levels	205	141	59		9
5						4.43				

Table 5.17 (Continued)

Rating Scales “Standard”					Evaluative Criteria	Rating Scales “Actual”				
5	4	3	2	1		5	4	3	2	1
x					3) Transparency (1) Disclose all plans, projects, and activities to the public (2) Determine definite number of communication channels (3) Having an internal control system and independent auditor to perform an audit at least twice a year	318	99			
x						302	115			
x						219	150	48		
5						4.63				
x					4) Participation (1) Receive public opinion through public hearings, Opinion Box, Hotline, community committee, and website (2) Records on participant list and signature of participants in attending Local Development planning (3) Having a transparent and systematic system to elect committee from all kinds of stakeholders for 2-year service with 2 terms maximum	285	132			
x						320	83	14		
x						170	93	154		
5						4.48				

Table 5.17 (Continued)

Rating Scales “Standard”					Evaluative Criteria	Rating Scales “Actual”				
5	4	3	2	1		5	4	3	2	1
x					5) Accountability (1) Clear command assignments designated to all officers and signed off upon receipt (2) Traceability record and system trail for job command (3) Annual survey report for public satisfaction performed by audit unit or outsource agent	271	114	32		
	x					218	134	65		
x						202	168	32	15	
4.67						4.42				
x					6) Value for Money (1) Fiscal budget and procurement set according to Local Plans and spending accordingly (2) One-stop-service” to increase convenience and speed of service within specified time (3) Policy for training courses and job rotation least once a year	285	132			
x						168	168	32		49
	x					83	236	66	32	
4.67						4.18				

The respondents provided rating scales for all 5 levels. Level 5 still showed the most frequency given to all criteria. The second was level 4 and some at level 3, but very few at levels 2 and 1. Except for the last 2 criteria of the value for money principle, the criterion for the principle of value for money for “one-stop-service” had 417 respondents. One hundred and sixty-eight respondents gave a rating on level 5, 168 respondents on level 4, 32 respondents on level 3, and 49 respondents on level 1. The other 236 respondents for the criterion “policy for training courses and job rotation at least once a year” gave a rating from level 5 to level 2 at 83 for level 5, 236 for level 4, 66 for level 2, and 32 for level 1.

The means of standard and actual rating scales are as follows:

Rule of Law: 5 vs. 4.27

Ethics: 5 vs. 4.43

Transparency: 5 vs. 4.63

Accountability: 5 vs. 4.48

Accountability: 4.67 vs. 4.42

Value for Money: 4.67 vs. 4.18

The means of standard rating scales of the first four principles were 5 while the evaluative criteria for the principles of accountability and value for money were the same at 4.67. The means of the actual rating scales were above 4 but they were below those of the standard rating scales. If the means of the actual rating scale were higher than those of the standard, it may imply that the local governments are in good shape in terms of good governance. If it is the opposite, that is, the means of the actual rating scale were less than those of the standard, it may imply that the local governments may have problems with their good governance. If the 2 means of the same principle were not too different, it may imply that their good governance was still fine or reliable.

5.4 Indication of Success or Failure of Good Governance

What do the Means Imply?

After calculating all of the frequencies given, one arrives at the means that represent the average rating scale for the particular principle. There were both means

for the standard rating scales and actual rating scales. By comparing the 2 means appearing for all 6 principles of good governance, we may have an indication of how good governance of LAOs is conducted. The survey of actual rating scales is assumed that self-evaluation of good governance was assessed by the staff of the LAOs. If the means of the actual rating scale were higher than those of the standard, it may imply that the local governments are in good shape in terms of good governance. If it is the opposite, that is, the means of the actual rating scale were less than those of the standard, it may imply that the local governments may have problems with their good governance. If the 2 means of the same principle were too different, it may imply that their good governance was still fine or reliable.

The means of all of the actual rating scales were below those of the standard but were still in a good range of exceeding level 4. This indicates that the majority of LAOs have good governance in a higher zone. For those that were at the level of 3, 2 and 1 may indicate that the LAOs have less focus on those areas of criteria being evaluated. Particularly, 154 respondents assigned level 3 to the Participation principle (4.3). This is a relatively high frequency. Therefore, it gives a signal to the central government to especially oversee the matter of a transparent and systematic system in electing committees and their qualifications. Meanwhile, the local government executives have to have this feedback in order to make improvements. Others at level 3 as well as level 2 and 1 were the areas where the both central and local governments have to pay attention to what the root causes of a low level of good governance are and how to improve it. After the improvement is implemented, the up-coming evaluation will give a report of the progress of good governance of the LAOs.

5.5 Summary of Results

In obtaining the applicable and practical evaluative criteria for good governance for Thailand's local governments according to the viewpoint of local government executives that contributed to the improvement and attainment of the 6 principles set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance, it was essential to apply the theories or approaches that adhered to each principle. They were the guidelines that govern and frame the desired results. They

led to the selection of indicators of each principle of good governance. Therefore, each indicator has the capability of having all of the components of the theories or approaches adhere to that particular principle. This then provides completeness and comprehensiveness to further obtain the applicable and practical evaluative criteria of good governance. As is known, the evaluative criteria for good governance are the yardsticks in assisting with the evaluation of the good governance of local government.

Moreover, the evaluative criteria that are obtained from the local governments' viewpoints represent the bottom-up approach and reflect the context of local culture, society and need. Besides the top-down approach, there is a bottom-up approach as an alternative for the evaluative criteria to be developed or to apply a hybrid of both top-down and bottom-up approach.

For the rule of law principle under the bottom-up approach presents three evaluative criteria for good governance. Those criteria are the legal code, legal enactment and Local Development Plans. The complaint and objection filing was the means by which justice as fairness was maintained.

The ethics principle under the consequence, virtue and duty theory gave the results of the three evaluative criteria in determining the standard of good governance, providing training to build ethics and integrity, and paying for the agreed goals. With this relationship it will lead to ethical behavior as the eventual outcome.

For the transparency principle under transparency theory, the results of the evaluative criteria are the disclosure of all kinds of information to the public via communication channels. The LAOs have to determine the proper channels to be communicated and quantify the proper number of channels to communicate to their community. Last, there was a need for an internal control system and independent auditor. All then covered the economic, public and academic realm of the governed theory.

The participation principle under the fairness and competence approach has the evaluative criterion for multi-channels through public hearings, opinion box, hotline, community committees, and websites, the proven records of the participant list and their signature in attending local development planning, and a need to have transparent and systematic system to elect committee within defined qualification.

The accountability principle under the goal, process, and outcome approach emphasized the evaluative criteria for designating clear command assignments with a return signature, traceability, and system trail, and an annual survey report by the audit unit or outsource agent as proof of public satisfaction.

The value for money principle under the 3 Es of economy, efficiency, and effectiveness provided evaluative criteria for setting and spending the fiscal budget and procurement process, having a one-stop-service for its efficiency, and having a policy for training courses and job rotation.

The rating scales as indicated in this study as “standard” resulted mostly in level 5. Only 2 criteria were at level 4 but the “actual” rating scales are rather scattered in all levels. Most still were at the level of 5, and then 4. Some were at level 3 and a few at level 2 and 1. These three lower levels of level 3, level 2 and level 1 were the areas to pay special attention of the root causes of the insufficient conduct of good governance for further correction, and improvement.

A comparison of the calculated means of the standard and actual rating scales provides implications for the critical problems of good governance in the current local governments in Thailand. Meanwhile, we can realize the true success or failure of the local governments in order to improve their conduct of good governance. From the calculation it appeared that two thirds of the 6 principles were means of 5 and one third for means 4.67 for the standard rating scales. The means of all of the actual rating scales were below those of the standard but were still in a good range, exceeding level 4. This indicated that the majority of LAOs have good governance in a higher zone. For those that were at the level of 3, 2 and 1 it may indicate that the LAOs have less focus on those areas of criteria being evaluated. Particularly, 154 respondents assigned level 3 to the participation principle. This was a relatively high frequency. Therefore, it gives a signal to the central government to especially oversee the matter of a transparent and systematic system in electing committees and members’ qualifications. Meanwhile, the local government executives have to have this feedback in order to make improvements. Others at level 3 as well as level 2 and 1 were the areas where the both central and local governments have to pay attention to what the root causes of a low level of good governance are and how to improve them. After the improvement is implemented, the evaluation will result in a report of the progress of the good governance of the LAOs.

In summary, the levels of the rating scales can be seen in at least 3 aspects. First, they reflect how well good governance is currently practiced in the local governments. Second, they show well the central government oversees the local governments regarding the notion of good governance. Last, it is a matter of what, how, and when to make corrections and changes and improve those areas.

CHAPTER 6

DISCUSSION AND CONCLUSION

This final chapter provides a discussion and summary of the empirical findings of this study. Implications on theoretical basis are discussed. Implications and recommendations at policy and operational levels are also deliberated. Limitations of the study are concluded. And lastly, suggestions for future study are put forward.

6.1 Summary and Discussion of Findings

6.1.1 Why Not Use the Existing Evaluative Criteria?

The study empirically demonstrates that the evaluation of good governance of local governments is carried out by the DLA, OAG, and NACC. It is top-down process and mechanism. The contests or awards run by various institutes or organizations for good governance are also implied in this top-down concept.

An in-depth interview with the Deputy of General Director and Director of Good Governance Division of DLA has clearly underlined that the DLA determines at least 30 criteria for the conduct of evaluation of all LAOs in Thailand. This is also a top-down approach. The evaluative criteria established by others also apply the same approach.

Another landmark is that those criteria are centered on aspects other than the six principles of good governance set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance. They may aim for 7 goals of the Royal Decree. Others may have different aims for innovation, corruption, or even some of the principles of those six.

The voices from both the central ODLOC committee, the DLA, academics, and the local governments have loudly pressed the same tone of modifying, revising, improving, adjudging or even changing the existing evaluative criteria. Definitely,

this does not mean that the current ones have not been revised. The Director of the Good Governance Division of DLA affirms that they do so periodically. This does not also mean that the current ones are not good enough but some may not be suitable for the LAO technology, environment, size or context, and so on.

Therefore, there is a need to improve the existing evaluative criteria.

6.1.2 Top-Down or Bottom-Up Approach

Evidentially, the top-down established evaluative criteria are all currently used and available, as presented in this study. It would be revolutionary to have the criteria being established or come from the bottom-up process and approach. Many of the LAOs have expressed their desire so. The author thus accounts their voices to be part of this study. Therefore, the study has focused in this approach and the results have manifested themselves.

Such results from bottom participation may not be solely implemented but by some means they may be taken up for an overview of their betterment, if any, than those currently employed. Hybrid utilization may be an additional option.

6.1.3 Is There the Need for Evaluative Criteria that Center on the Six Principles?

The six principles of good governance are uniquely set up to be applied to Thailand's governments as set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance, namely: 1) rule of law; 2) ethics; 3) transparency; 4) participation; 5) accountability; and 6) value for money (efficiency). According to the study and literature review, only one—King Prajadhipok's Institute (2002)—has such key indicators of good governance but not the details of the criteria that center on these six principles. The rest may touch on the principles of one or two, or at most three of them, such as transparency, participation, and value for money.

With this framework, the author has attempted to bring forth additional value to the evaluation of good governance and its criteria. Those acquired criteria measure not only the work process and implementation but also the output and outcome. The results and findings from this study have empirically presented its attainment.

6.1.4 Why Does the Study Focus on 18 Evaluative Criteria?

The study has determined 18 evaluative criteria as the total number to gain. Within the six principles of good governance, three criteria are required for each principle. There is no theoretical concept or doctrine to demand the optimal number of criteria. Right and wrong are not applicable to this study, but it is a matter of appropriateness and optimization to make requests to the informants and respondents. One or two criteria for the principles which will bring about 6 or 12 criteria in total the author deems are insufficient to justify the evaluation results. Three will make a good stand to substantiate any dispute or clarity.

6.1.5 Theory Base for the Good Governance Principle

6.1.5.1 Evolution of the Relationship of the Good Governance Principle and the Theory/Approach.

Good governance has different principles as its elements and each principle also has its own characteristics and components. Further, the principle itself has its own theory or approach to governance. LAOs in Thailand have to comply with the 6 principles of good governance that are laid out in the 2003 Royal Decree on the Principles and Methods of Good Governance. From the search and study no evaluative criteria were found that had a linking relationship with the governing theory of approach of particular good governance principles.

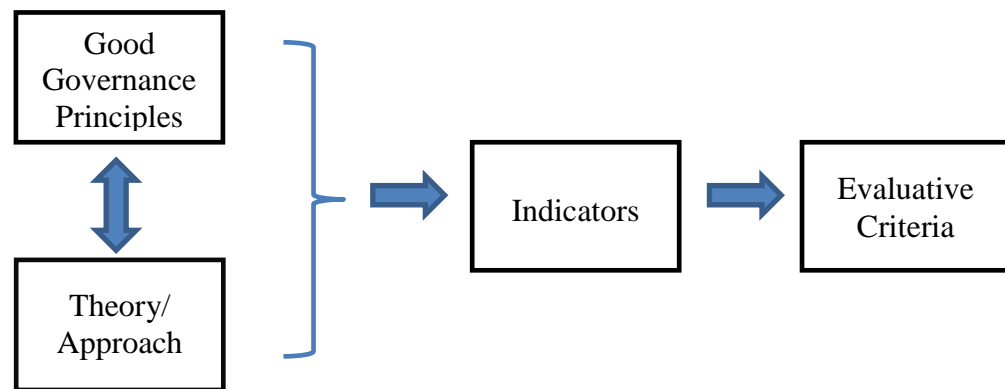
Here the study expresses the empirical evidence of the relationship of the good governance principle and the theory/approach. Each established criterion is preserved by the intrinsic essence and constituent of that particular theory or approach of the principle. The criterion thus has theoretical ground to answer any challenge.

6.1.5.2 The Relationship of Evaluative Indicator and Evaluative Criteria

Misunderstanding that evaluative indicator and evaluative criteria are the same were discovered by most of people. It is crucial to have a comprehensive understanding of the evaluative indicator and evaluative criteria in their definitions and application. Therefore, prior to arriving at the evaluative criteria of good governance, this understanding and clarity must be met.

6.1.5.3 A Mind-Map of Evaluative Criteria

With all the relationships as the two aforementioned aspects have revealed, there is a need for a mind-map of them. The below picture clearly illustrates the intertwining of the good governance principle and theory/approach, the two relationships to the indicators, and the eventual relationship of the indicators to the evaluative criteria. They, evidentially, do have an interrelationship. Therefore, from this empirical study the indicators are governed under the theory/approach of good governance. Similarly, evaluative criteria are also governed under the theory/approach of good governance.



6.1.5.4 A Justified Theoretical Basis for Selection of a Criterion

What if one has to choose only one evaluative criterion instead of three to be a unique representation of a particular good governance principle? Simply, the person can review the intrinsic essence and constituents/components of that particular theory or approach of the studied principle. Whichever criterion that covers the most intrinsic essence and constituents/components of that particular theory or approach shall be selected to represent the one unique criterion for that principle of good governance.

6.1.6 Rating Scales Signify the Importance of Good Governance Principle

Rating scales can be used and utilized in many applications depending upon the user. In this study it was empirically found that the rating scales as the indicators of significant level identified how each good governance principle was more

important than the others from both top-down as well as bottom-up viewpoints; that is, from the ODLOC committee, academics, and local government executives. Further development is to find out what the individual has thought behind the rendering of the rating scales at different levels.

6.1.6.1 Standard Rating Scales

The set of rating scales that are given by the executives is named “standard” rating scales. They have given importance to each evaluative criterion of good governance to be a set point for further analysis in the evaluation process.

6.1.6.2 Actual Rating Scales

If the evaluators were to have rating scales for each evaluative criterion when evaluation takes place, they would have another set of rating scales to compare with the standard rating scales, and this set of rating scales are the “actual” rating scales.

6.1.6.3 Implications of Success or Failure of Good Governance

A comparison of the two rating scales between the standard and actual rating scales provides a good understanding of how organization attains to good governance—success or failure. However, in this study the “means” were used and calculated for both rating scales. If the calculated means of the actual rating scales were far below those of the standard, it may imply that there were some issues or problems with that particular good governance in the organization. If it was below but at the high range of scale, there may have some levels of good governance within the organization but there is room to make improvement. However, it is recommended to find the rationale behind each rating scale that is given. The organization can bring all of these results to find the root cause for further correction, change or improvement of its good governance. For the calculated means of the actual rating scales that are higher than those of standard implies that good governance is relatively decent in the organization.

6.2 Contributions and Implications

6.2.1 Theoretical Implications

Theory-based evaluative criteria are rare. From the perspective of E. Jane Davidson (2005), it is a “common view” that “the use of evaluation logic and methodology is somehow the antithesis of theory-based evaluation.” He remarks that this is, in fact, “one of the most powerful blends possible.” The other author of the evaluation-specific logic comments that theories are “a luxury for the evaluator, since they are not even essential for explanations, and explanations are not essential for 99% of all evaluations” (Scriven, 1991). However, with the theory-based evaluative criteria, there are some grounds to vindicate what are the fundamental elements behind such criteria. It provides alternative models in constructing criteria.

When adopting a theory-based or realistic approach on evaluative criteria, it can be used to redefine or improve criteria. This study has contributed to theoretical perspectives. There are at least 6 theories/approaches applied to the six good governance principles.

1) Rule of Law vs. Bottom-up Approach: While rule of law is the institutional process of setting, interpreting and implementing laws and other regulations, the bottom-up approach supports it with “justice as fairness.” Therefore, the government’s decisions must be founded upon the law that public and private sectors, including individuals, are protected from arbitrary decisions.

2) Ethics vs. Consequence, Virtue and Duty Theory: Ethics renders observance of righteousness, and encouragement given to people to seek self-development. The consequence leads to an action of ethical morality and the most common form of consequential is utilitarianism. While the virtue theory plays a role in developing the potential in individuals unto actuality. Therefore, duty brings on action unto the final phase of moral character.

3) Transparency vs. Transparency Theory: Transparency means all of the categories of conduct and actions that are the opposites, or near opposites, of corrupt practices. Transparency theory functions in 3 aspects. First, the economic realm focuses on disclosure with sufficient information to enhance risk assessments and the benefits of transactions. Second, the public realm requires publicity about performance to deter corruption and poor performance. Third, academic discussions

strengthen fairness, risks, benefits, and cost to find the efficiency of all disclosed information.

4) Participation vs. Fairness and Competence: Participation derives from creating opportunities for public participation in politics and governance that entails decision-making in various affairs. Fairness encourages open participation in the final decision while competence contributes the most reliable methodological techniques to the validation of conflicts and debates.

5) Accountability vs. Goal, Process, and Outcome Approach: Accountability has been considered in terms of answerability, blameworthiness, liability, and the expectation of account-giving (Dykstra, 1939). The goal approach concentrates on sound and appropriate goals being established at the upper levels. The process approach ensures sound and appropriate procedures with the goals at operational levels, and the outcome approach expresses the degree of achieving established goals at the levels of management and operators.

6) Value for Money vs. 3 Es: Value for money or efficiency sustains and optimizes natural resources through proper management and use of limited resources. First, economy measures input costs. Second, efficiency measures productivity between inputs and outputs. Third, effectiveness measures the relationship between outputs and outcomes.

The theory-based criteria potentially bridge the gap of evaluators and those being evaluated. Both parties have the fundamental elements of theory for support if there is any area of disagreement. Conclusively, this study is expected to enhance future research regarding better evaluative criteria of good governance for local governments or even for the central government and other organizations. Finally, it may lead to future research on other types of evaluative criteria so as to offer viable approaches.

6.2.2 Implications for Policy and Operations

In contributing to policy and implementations, good governance has an important role for the both central and local governments. The first player is the policy maker, which is the central government, and the second player is the implementers, which are the local governments or LAOs.

First, the central government as a policy maker and the local governments as implementers can come up with bottom-up or hybrid (top-down and bottom-up)

criteria to use in the evaluation of good governance. Group one in this study represents the top-down criteria and all remaining groups represent bottom-up criteria. This may cause the establishment of two-way accessed criteria. In this way, both will be satisfied and the implementers will be evaluated according to the assessed criteria.

Second, there have been little researches conducted to develop relevant criteria or key indicators for all six principles, as repeatedly mentioned. In Thailand, only King Prajadhipok's Institute (2002) has carried out such research to come up with the key indicators of good governance, which were in accord with the 8th and 9th National Economic and Social Development Plans. Therefore, to serve the purpose of the Royal Decree and the inspiration of the author, this study aimed to acquire applicable and practicable evaluative criteria for all six principles of good governance set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance.

Third, it seems that all of the indicators, as shown in Table 5.16, may already have been in place and often used when evaluating the local good governance awards each year by the National Decentralization Committee, and also by the Ministry of Interior's Core Team. The author has been able to improve this by employing a theory-based approach as the fundamental element of indicators and the advancement of the criteria construction.

Fourth, the eventual intension was to bring forth the results and findings of the study into the actual practice of future evaluation of good governance for local government. It additionally was expected that the findings in this study would have generalizations not only for other organizations, including the central government in Thailand, but also those beyond the boundary of Thailand.

Fifth, the findings in this study may shed light on the existing problems or improvements of unsatisfactory conditions. The rule of law may apply rigidly only to those that have no power or authority but not to those that are in high positions or the elites. The obtained evaluative criteria from this study have eliminated the disparity in this treatment. It indeed provides fairness and justice as the elements of the bottom-up approach for the good governance principle. All other criteria employ the same construction principles. By eliminating the existing problems, it may bring about the self-improvement of each local government and administrative reform or reform in local government decentralization from the central government.

Finally, the findings in this study regarding the participation principle of good governance may help the citizens' participation in filing complaints or providing feedback for the performed good governance of the local governments, either to the local governments for their self-improvement or directly to the central government for administrative reform. There are various kinds of communication channels and local activities open for public participation.

6.2.3 Administration Development and Public Management

As new public management (NPM) has been expanded globally, Thailand is one of the nations that has attempted to apply what is deemed fit for our political, social, cultural and economic context. Good governance is one of the headlines and top spots in NPM. Therefore, in evaluating and accessing good governance it is essential to have advanced criteria. Such criteria can render better measures of good governance that is based upon its process, implementation, and outcome.

6.3 Limitations of the Study

The key limitations of this study lie in the data collection, the research method, the research findings, and the theoretical lens.

First, the author has applied the Delphi technique in this study for the data collection. Rowe and Wright, (1999) defines this method as “a systematic, interactive forecasting method which relies on a panel of experts.” It is based on the assumption that group judgments are more valid than individual judgments. Experts were asked to give their opinion on the probability, frequency, and intensity of possible enemy attacks. Other experts could anonymously give feedback. This process was repeated several times until a consensus emerged. With this limitation, the author employed the Modified Delphi Method by applying its concept to for round 1 with the author's reviewed literature, round 2 with the in-depth interviews, round 3 with the focus group interviews, and round 4, the last round, with a survey.

Data collection was carried out many times across regions. It took a great deal of time and was relatively costly.

Soundly, the study employed qualitative and quantitative research methods. Qualitative research methods require explorative with descriptive and explanatory constituents. Due to this new exploration, the author entered into many trials and errors that corresponded with the study goal. The author also needed sufficient information and proficient narration to depict it vividly to the readers in order to describe what was observed and to answer the questions what, where, when and how. Lastly the author had to identify the relationship between the variables as well as explain them clearly.

Thirdly, the research findings can be subject to different interpretations according to the interpreters' experiences, knowledge, and theoretical disposition. This study is in a different occupational arena from the author's. Additionally, the study focused on local governments and good governance according to the notion of government. Although good governance is applied in the business arena too, it can differ in terms of evaluation and criteria. Therefore, timing and in-depth study and apprehension were indeed expended.

Fourthly, theoretical bases require extensive literature, some of which may be lacking in this study. It was a theory-based evaluation of good governance where theories and approaches are needed to have further study. Similarly, the relationships and correlations of such theories and approaches with the evaluative indicators and criteria also require advance and in-depth study and research.

Finally, there must be an adequate analytic framework for the interactions and linkages among evaluative indicators and criteria, the standard rating scales, and the actual rating scales.

6.4 Suggestions for Future Study

From the breakthroughs of this study, research can be conducted in other areas, such as on the evaluative criteria of corporate governance. Research can also be conducted on the evaluative criteria of other kinds of evaluation; namely, corruption, innovation, and budget spending.

The scope of the research could be extended to the area of how effective and efficient good governance evaluation is for either the central government or local

governments or for both. It is interesting to understand that the different methods used yield different results. The study can also be extended to the qualifications and competence of local government executives. It is believed that this study is meaningful for both theoretical and practical purposes.

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APPENDICES

APPENDIX A

PROTOCOL LETTER

ที่ ศธ ๐๕๒๖/๒๕๖



คณะรัฐประศาสนศาสตร์
สถาบันบัณฑิตพัฒนบริหารศาสตร์
คลองจั่น บางกะปิ กทม. ๑๐๒๔๐

๓๐ มิถุนายน ๒๕๕๗

เรื่อง ขอบความอนุเคราะห์ข้อมูล
เรียน

ด้วย นางสาวสุพัตรา อัครสุชี นักศึกษาหลักสูตรปรัชญาดุษฎีบัณฑิต ด้านการบริหารการพัฒนา (หลักสูตรนานาชาติ) คณะรัฐประศาสนศาสตร์ สถาบันบัณฑิตพัฒนบริหารศาสตร์ ได้รับอนุมัติให้ทำวิทยานิพนธ์ เรื่อง “Evaluative Criteria of Good Governance for Local Governments According to the Viewpoint of Local Government Executives” โดย ผู้ช่วยศาสตราจารย์ ดร. อัครณัฐ วงศ์ปริดี เป็นอาจารย์ที่ปรึกษาวิทยานิพนธ์ ซึ่งมีวัตถุประสงค์เพื่อการประเมินผลองค์กรปกครองส่วนท้องถิ่น โดยมีหลักเกณฑ์การประเมินจากการศึกษาด้วยเหตุนี้จึงมีการขอสัมภาษณ์เชิงลึก การสัมภาษณ์กลุ่ม และแบบสอบถามกับคณะทำงานวิจัย ในเรื่องหลักเกณฑ์การประเมินหลักธรรมาภิบาลขององค์กรปกครองส่วนท้องถิ่นในมุมมองของผู้บริหารองค์กรปกครองส่วนท้องถิ่น ทั้ง ๖ ประการ คือ ๑. หลักนิติธรรม ๒. หลักคุณธรรม ๓. หลักความโปร่งใส ๔. หลักความมีส่วนร่วม ๕. หลักความรับผิดชอบ และ ๖. หลักความคุ้มค่า ซึ่งบัญญัติไว้ในพระราชกฤษฎีกาว่าด้วยหลักเกณฑ์และวิธีการบริหารกิจการบ้านเมืองที่ดี พ.ศ.๒๕๔๖

คณะรัฐประศาสนศาสตร์ จึงเรียนมาเพื่อขอความอนุเคราะห์จากท่านในเก็บข้อมูลที่รวบรวมได้จะถูกเก็บไว้เป็นความลับและใช้เพื่อประโยชน์ในการดำเนินงานวิจัยเท่านั้น ทั้งนี้ นักศึกษาจะเป็นผู้ติดต่อประสานงานกับท่านด้วยตนเอง หรือหากหน่วยงานของท่านประสงค์จะติดต่อนักศึกษา เพื่อขอทราบรายละเอียดเพิ่มเติม ขอความกรุณาติดต่อโดยตรงที่หมายเลขโทรศัพท์ ๐๙๒-๒๕๑๗๔๓๗

คณะรัฐประศาสนศาสตร์ หวังเป็นอย่างยิ่งว่าคงได้รับความอนุเคราะห์จากท่านเป็นอย่างดี จึงขอขอบคุณล่วงหน้ามา ณ โอกาสนี้

ขอแสดงความนับถือ

(รองศาสตราจารย์ ดร. บุญอนันต์ พินัยทรัพย์)
รองคณบดีฝ่ายวิชาการปฏิบัติราชการแทน
คณบดีคณะรัฐประศาสนศาสตร์

หลักสูตรปริญญาเอก นานาชาติ
โทรศัพท์/โทรสาร ๐๒-๓๗๔-๔๔๗๗

APPENDIX B

QUESTION LIST FOR EVALUATIVE INDICATORS

QUESTIONNAIRES

Evaluative Criteria of Good Governance for Local Governments According to the Viewpoint of Local Government Executives

A Research Study for the Doctoral Degree

Doctor of Philosophy Program in Public Administration (Inter Ph.D. Program)

National Institute of Development Administration (NIDA)

Prepared by

Ms. Supatra Assavasukee

Instruction: Please answer the questions below or put a tick mark on the applicable answer.

Part I: General Information

1. Rank.....FirstName.....LastName.....
(.....willing to be unveilednot willing to be unveiled)
Tel.....E-mail.....
2. Position.....
Organization.....
3. Education.....
4. Duration in this duty.....years

Part II: Indicators

Instruction: If you are an evaluator, what indicators you would use to evaluate the three types of the local Administrative Organizations (LAOs) (namely, Provincial Administrative Organizations, Municipalities, and Sub-district Administrative Organizations). Please indicate three indicators for each principle of the total six principles, as well as provide its significance on a Likert scale of 1-5 (Rating scale: Most Important = 5, Important = 4, Fairly Important = 3, Least Important = 2, Not Important = 1)

Note: the 6 principles of good governance set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance are 1) rule of law; 2) ethics; 3) transparency; 4) participation; 5) accountability; and 6) value for money.

Good Governance Principle	Indicators
1. Rule of Law	Indicator 1.1 Indicator 1.2..... Indicator 1.3.....
2. Ethics	Indicator 2.1..... Indicator 2.2..... Indicator 2.3.....
3. Transparency	Indicator 3.1..... Indicator 3.2..... Indicator 3.3.....
4. Participation	Indicator 4.1..... Indicator 4.2..... Indicator 4.3.....
5. Accountability	Indicator 5.1..... Indicator 5.2..... Indicator 5.3.....
6. Value for Money	Indicator 6.1..... Indicator 6.2..... Indicator 6.3.....

Thank you for Participating in this Survey

Should there be any questions or files you may require, please do not hesitate to contact
Ms. Supatra Assavasukee at cell no. 081-8182426, email: supatraasavasukee@hotmail.com
or supatra.niji@gmail.com and or her Assistant at cell no. 089-9253225, fax: 02-3986013 at all times.

APPENDIX C

QUESTION LIST FOR EVALUATIVE CRITERIA

QUESTIONNAIRES

Evaluative Criteria of Good Governance for Local Governments According to the Viewpoint of Local Government Executives

A Research Study for the Doctoral Degree

Doctor of Philosophy Program in Public Administration (Inter Ph.D. Program)

National Institute of Development Administration (NIDA)

Prepared by

Ms. Supatra Assavasukee

Instruction: Please answer the questions below or put a tick mark on the applicable answer.

Part I : General Information

1. Rank.....FirstName.....LastName.....
(.....willing to be divulgednot willing to be divulged)
Tel.....E-mail.....
2. Position.....
Organization.....
3. Education.....
4. Duration in this duty.....years

Part II: Open Question

- 2.1 What is your comment on “Good Governance”? How is it important to the local administration?

.....

.....

.....

2.2 How do you monitor your organization for good governance in aligning with the 2003 Royal Decree on the Principles and Methods of Good Governance?

.....

.....

.....

2.3 Is there any relationship between good governance and performance? What?

.....

.....

.....

2.4 Does your organization engage in contests of Good Governance of local Administration? How? What is the reward that you received?

.....

.....

.....

.....

2.5 What is your comment on the current evaluative criteria of good governance?

.....

.....

.....

.....

2.6 Has your organization been evaluated for all six principles of Good Governance? (namely rule of Law, Ethics, Transparency, Participation, Accountability, and Value for Money)? How?

.....

.....

.....

.....

2.7 What are the evaluative criteria of good governance for local governments according to your viewpoint?

.....

.....

.....

.....

Part III: Evaluative Criteria

Instruction: If you are an evaluator, what criteria would you use to evaluate the three types of local Administrative Organizations (LAOs) (namely, Provincial Administrative Organizations, Municipalities, and Sub-district Administrative Organizations). Please indicate three indicators for each principle of the total six principles, as well as provide its significance on a Likert scale of 1-5 (Rating scale: Most Important = 5, Important = 4, Fairly Important = 3, Least Important = 2, Not Important = 1). Three indicators are given for each principle. Please provide the evaluative criteria in accordance with those given indicators.

Note: the 6 principles of good governance set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance are 1) rule of law; 2) ethics; 3) transparency; 4) participation; 5) accountability; and 6) value for money.

Good Governance Principle	Indicators	Evaluative Criteria	Rating Scale				
			5	4	3	2	1
1. Rule of Law	1.1 Appropriateness of legal code, rules, and regulations	1.1.....					
						
	1.2 Enactment of set of rules, regulations, and statutes pertaining to authority	1.2.....					
						
	1.3 Equitably enforcement of legal code, rules, and regulations with the public	1.3.....					
						

Good Governance Principle	Indicators	Evaluative Criteria	Rating Scale				
			5	4	3	2	1
2. Ethics	2.1 Aligning work process with good governance principles	2.1.....					
	2.2 Campaign to encourage employees to work with integrity	2.2.....					
	2.3 Pay for performance as appropriate and just according to clarified indicator	2.3.....					
3. Transparency	3.1 Disclosure of important information thoroughly to the public	3.1.....					
	3.2 Accessibility of information through provided channels	3.2.....					
	3.3 Having an audit and evaluation system in place	3.3.....					
4. Participation	4.1 Multi-channels open for public participation	4.1.....					
	4.2 Public participation open for establishing Local Development Plans	4.2.....					
	4.3 Selection of committee from the public to participate in public hearings and decision-making	4.3.....					
5. Accountability	5.1 Clear determination of authority, duty, and responsibility	5.1.....					
	5.2 Good operational system of traceability	5.2.....					
	5.3 Public satisfaction measurement	5.3.....					

Good Governance Principle	Indicators	Evaluative Criteria	Rating Scale				
			5	4	3	2	1
6. Value for Money	6.1 Resource utilization	6.1.....					
						
	6.2 Providing public services with optimality and speediness	6.2.....					
						
	6.3 Human resource development for multi-functions	6.3.....					
						

Thank you for Participating in this Survey

Should there be any questions or files you may require, please do not hesitate to contact
 Ms. Supatra Assavasukee at cell no. 081-8182426, email: supatraasavasukee@hotmail.com
 or supatra.niji@gmail.com and or her Assistant at cell no. 089-9253225, fax: 02-3986013 “at all times.”

APPENDIX D

QUESTION LIST FOR ACTUAL RATING SCALES

QUESTIONNAIRES

Evaluative Criteria of Good Governance for Local Governments According to the Viewpoint of Local Government Executives

A Research Study for the Doctoral Degree

Doctor of Philosophy Program in Public Administration (Inter Ph.D. Program)

National Institute of Development Administration (NIDA)

Prepared by

Ms. Supatra Assavasukee

Instructions: Please answer the questions below or put a tick mark on the applicable answer.

Part I: General Information

1. Rank.....FirstName.....LastName.....
(.....willing to be divulgednot willing to be divulged)
Tel.....E-mail.....
2. Position.....
Organization.....
3. Education.....
4. Duration in this duty.....years

Part II: Actual Rating Scales

Instruction: If you are appointed as an evaluator to evaluate the good governance of your local administrative organization, what rating scale would give for each provided criterion? As the evaluator you may suppose that you are doing the self-evaluation of your own organization's good governance as whole, and you have independence as authorized. Please provide the rating scales on the right hand side (Actual) for the significance on a Likert scale of 1-5 (Rating scale: Most Important = 5,

Important = 4, Fairly Important = 3, Least Important = 2, Not Important = 1). There are rating scales on your left hand side, and each of them is a “standard” rating scale for each particular evaluative criterion.

Note: the 6 principles of good governance set forth in the 2003 Royal Decree on the Principles and Methods of Good Governance are 1) rule of law; 2) ethics; 3) transparency; 4) participation; 5) accountability; and 6) value for money.

Rating Scales Standard					Evaluative Criteria	Rating Scales Actual				
5	4	3	2	1		5	4	3	2	1
					1. Rule of Law					
X					1.1 Set legal code and three-year Local Development Plans on an annual basis					
X					1.2 Circular letter sent out within determined time after enactment of legal code, rules, and regulations with returned signature					
X					1.3 No complaint or objection filing on law enforcement or its disparity					
					2. Ethics					
X					2.1 Annual meeting of executives and officers to determine standard of good governance					
X					2.2 Training for public and officers to build ethics and integrity twice a year					
X					2.3 Pay for agreed goals on salary increment and bonus for all levels					
					3. Transparency					
X					3.1 Disclose all plans, projects, and activities to the public					

Rating Scales Standard					Evaluative Criteria	Rating Scales Actual				
5	4	3	2	1		5	4	3	2	1
X					3.2 Determine definite number of communication channels					
X					3.3 Having an internal control system and independent auditor to perform an audit at least twice a year					
					4. Participation					
X					4.1 Receive public opinion through public hearings, Opinion Box, Hotline, community committees, and websites					
X					4.2 Records on participant list and signature of participants attending Local Development Plans					
X					4.3 Having a transparent and systematic system to elect committee from all kinds of stakeholders for 2-year service with 2 terms maximum					
					5. Accountability					
X					5.1 Clear command assignments designated to all officers and signed off upon receipt					
	X				5.2 Traceability record and system trail for job command					
X					5.3 Annual survey report for public satisfaction performed by audit unit or outsource agent					
					6. Value for Money					
X					6.1 Fiscal budget and procurement set according to Local Plans and spending accordingly					

Rating Scales Standard					Evaluative Criteria	Rating Scales Actual				
5	4	3	2	1		5	4	3	2	1
X					6.2 One-stop-service to increase convenience and speed of service within specified time					
	X				6.3 Policy for training courses and job rotation at least once a year					

Thank you for Participating in this Survey

Should there be any questions or file you may require, please do not hesitate to contact
 Ms. Supatra Assavasukee at cell no. 081-8182426, email: supatraasavasukee@hotmail.com
 or supatra.niji@gmail.com and or her Assistant at cell no. 089-9253225, fax: 02-3986013 at all times.

BIOGRAPHY

NAME	Ms. Supatra Assavasukee (Niji)
ACADEMIC BACKGROUND	<p>Bachelor Degree in Business Administration - Accounting, Thammasat University, Bangkok, Thailand Academic year 1983-1986</p> <p>Master of Business Administration in Risk Management and Insurance, Georgia State University, Georgia, USA Academic year 1989-1991</p>
PRESENT POSITION	2014 until present, International Business Director, Cargill Meats Thailand Co., Ltd.
EXPERIENCE	<p>From 2008 to 2014, President, Charis Corp., Hong Kong</p> <p>From 2004 to 2008, Managing Director, Boehme Thai Co., Ltd., Samutprakan, Thailand</p> <p>From 1999 to 2004, General Manager, BASF (Thai) Limited, Bangkok, Thailand</p> <p>Associate Judge, the Central Intellectual Property and International Trade Court</p> <p>Assistant to Senator, Senate House Certified Public Accountant (CPA), Georgia, USA</p>
CONTACT	supatra.niji@gmail.com