A Comparative Study of Administrative Leadership in Thai Universities


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SUBMITTED IN FULFILLMENT OF THE REQUIREMENTS OF
DEGREE OF DOCTOR OF EDUCATION

School of Education

Faculty of Arts, Education and Human Development

Victoria University

Melbourne, Australia

August 2008

Declaration

I, Chinda Sriyanalugsana, declare that the EdD thesis entitled *"A Comparative Study of Administrative Leadership in Thai Universities"* is no more than 60,000 words in length including quotes and exclusive of tables, figures, appendices, bibliography, references and footnotes.   This thesis contains no material that has been submitted previously, in whole or in part, for the award of any other academic degree or diploma. Except where otherwise indicated, this thesis is my own work.

Date: 2008

Signature of Author

Acknowledgement

I offer my deepest appreciation to my supervisor Professor Maureen Ryan School of Education, Victoria University of Technology who unfailingly willingly suggest and encouraged me during the writing of this thesis.

I extend my extreme thanks to my co-supervisors Dr.Petre Santry of Victoria University and Associate Professor Dr.Kunawudh Konchalard of Burapha University, Thailand, whose support and advice were invaluable in completion of the dissertation.

In the reference to the examiners: They were of great value in finalizing the thesis.

A special thank you to the Presidents of three Thai Universities, for allowing me to collect the data for this project.

I owe a special debt of gratitude to the twelve participants who kindly agreed to participate in this study. Many thanks also to everyone who supported me.

A special thank you to the Faculty of Education and International Graudate Studies Programs, Burapha University to support me some scholarships while I am studying EdD program and doing this thesis.

Moreover, I am very grateful to my husband, Sakool, my two daughters, Kunlada, Kanokporn and my son, Ekkapob for their encouraging and supporting me in every way including transportation, collection of the data and transferring the data. Special thank you all.

<div align="center">Chinda Sriyanalugsana</div>

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Abbreviations

ADB	=	The Asian Development Bank
BUU	=	Burapha University
BCE	=	Bangsaen College of Education
BS	=	Bureaucratic System
CSCR	=	Combined Services and Coordination Responsibility
GG	=	Good Governance
HEIs	=	Higher Education Institutes
ISO	=	International Standard Organizations
IT	=	Information Technology
KMUTT	=	King Mongkut 's University of Technology Thonburi
KMIT	=	King Mongkut Institute Thonburi
KMITT	=	King Mongkut Institute Technology Thonburi
KPI	=	Key Performance Indicators
MOE	=	The Ministry of Education
MOF	=	The Ministry of Finance
MPDQ	=	The Managerial Position Duties and Responsibilities
MUA	=	The Ministry of University Affairs
nAch	=	need for achievement
nPow	=	need for Power
nAff	=	need for affiliation
OHEC	=	The Office of Higher Education Commission
OSGOHEC	=	The Office of the Secretary General, Office of Higher Education Commission
ONEC	=	Office of the National Education Commission
PDCA	=	Plan-Do-Check-Act
PPBS	=	Programming Project Budget System
QA	=	Quality Assurance
R&D	=	Research and Development

SUT	=	Suranaree University of Technology
SWOT	=	Strengths/Weaknesses, Opportunities/Threats
TTI	=	Thonburi Tecnological Institute
UC	=	University Council
UCSC	=	The University Civil Service Commission
UK	=	United Kingdom
UNESCAP	=	United Nations Economic and Social Commission for Asia and the Pacific

ABSTRACT

This study set out to examine and describe the administrative experiences of senior leaders and senior and junior staff in three Thai universities. The researcher chose to employ a grounded theory approach to analyse data collected from in-depth interviews with twelve participants including one Dean from Suranaree University of Technology (SUT), one from King Mongkut's University of Technology Thonburi (KMUTT) and two from Burapha University (BUU). The senior staff informants included four heads of schools and departments, one from each of SUT and KMUTT and two from BUU. Junior staff informants included four Chief or Faculty Secretaries, one each from SUT and KMUTT and two from BUU.

Other data sources included field notes and the documents provided by each university. All interviews were conducted in Thai, transcribed verbatim and translated into English. Along with field notes, memos and documents, these were analysed using the constant comparative method synonymous with grounded theory.

Findings of the research revealed that effective leadership combines both interpersonal and organizational skills in establishing direction in universities and in aligning, motivating and inspiring people.

The study is set in a context where universities in Thailand are moving from state bureaucratic control to autonomous status. Effective leadership is therefore of great importance.

Chapter 1

Introduction

Recent changes in Thai government policy require that all public universities become autonomous. These changes have impacted on the administrative procedures of all public universities, and of particular interest to this study, on the administrative procedures of Burapha University (BUU). The effects have been felt in both academic affairs, and in the management of finance, personnel and assets. For example, universities are now required to conform to the principles of academic freedom, with most matters handled by a University Council (UC) replacing in part the role previously played by the Ministry of Education (MOE) under the jurisdiction of the Office of Higher Education Commission (OHEC). The UC has authority to approve academic curricula and to establish, terminate and cancel various units in the university to ensure the greatest efficiency. Academic performance has to be in line with the policies and procedures which reflect quality assurance imperatives and the after conform to academic standards of OHEC. Furthermore, such academic performance is one subcategory of broader higher education reform, which is concerned with both administration and management of education. Consequently, in BUU reform in administration and management must include new and innovative mechanisms; namely in new missions and functions in administrative and academic management, in teaching arrangements and in higher education standards and overall quality.

In order to fulfill the expectations placed upon higher education institutions such as BUU to play roles as watchdogs, social beacons, social conscience builders and developers of manpower, human resources must be continuously developed (Kirtikara, 2001). Lifelong and continuous education must be promoted, access and equity must be further improved, and arrangements must be made for the transfer of

credits among participating institutions. Consequently, new administrative procedures are essential to support the new status of BUU, and leaders of faculties at all levels now require both the art and science of good managerial skills to successfully facilitate the new processes. Kotter (1990) argues that the primary function of leadership has three sub-processes including establishing direction, aligning people, and motivating and inspiring personnel. In this context, the present study focuses on examining the necessary elements of leadership in Thai Autonomous Universities, Suranaree University of Technology (SUT), King Mongkut's University of Technology Thonburi (KMUTT) and Burapha University (BUU) with particular emphasis on the leadership elements and needs of BUU. It considers how leadership might change in order to support the considerable challenges faced by Thai universities becoming autonomous in response to globalisation. Specifically, the aims of this study are to examine administrative leadership in Thai autonomous universities other then BUU in order to make recommendations for changes at Burapha University by answering the following three research questions.

- How do senior leaders of autonomous Thai universities conceive of the necessary elements of leadership?
- How do senior leaders of Burapha University (BUU) conceive of the necessary elements of leadership?
- What changes are needed to be made at Burapha University (BUU) in constructs of leadership in order to deal effectively with its new autonomous status?

Leadership and Change in Globalisation

The world of organizations is changing rapidly, due to many factors including globalisation, deregulation, e-business, telecommuting, virtual teams and outsourcing. Daft (2005, p.7) points out that people in organizations around the world are feeling the impact of these and other trends and are being forced to adapt to new ways of working. In this context, leaders are facing really tough jobs to keep people grounded,

focused and motivated toward accomplishing positive goals. As Daft sees it, shifts representing a transition from traditional to new paradigms are having a dramatic impact on organizations and presenting new challenges for leaders (Daft, 2005). Comparing old and new paradigms of leadership, Daft contrasts stability with change and crisis management, control with empowerment, competition with collaboration, uniformity with diversity, self-centeredness with higher purpose and hero with humble (p.8). Such unstable situations call for a continuous awareness of the changing human needs in the workplace, and effective leadership practices to encourage and support people in their achievement of organizational goals. In Thailand, the changing status of universities is not only a challenge for leaders striving to meet such changes, but a challenge in defending their own status as well.

In this study, administrative leadership is defined as the core of three sub processes including: establishing a vision of the future and devising strategies for producing the change needed to achieve that vision; aligning people to create coalitions that understand the vision and are committed to its achievement; and motivating and inspiring to keep people moving in the right direction despite major political, bureaucratic, and resource barriers by appealing to very basic, but often untapped, human needs, values and emotions (Kotter, 1990).

Carnall (2003) points out that the process of leadership is directly related to change in both internal and external environments, and an effective leader is capable of meeting the varying demands while undertaking a workable balance of the various roles required at a particular point in time. In the case of Thai universities, the main external environment consists of an increasing demand for higher education, demands for a quality workforce, changing relationship between institutions of higher education and their state government, diversification of higher education providers, limitation of national resources for education generally and for higher education in particular, and the development and impact of information technology (IT) (Kirtikara, 2002). All these impact on the internal environments of diminished budgets and financial support, new curricula, need to increase private income, quality of

education, diversification of subjects, sharing of resources, departmental barriers and quality assurance. And all of these influence the capacity of leaders to help people adapt in order to ensure the survival of Thai universities as they undergo the shift to autonomy.

Autonomous Universities in Thailand

In the above circumstances the primary need of independent public universities is to strengthen their capacity for autonomous management. This involves concern with performance auditing mechanisms in academia, finance and management, concurrent with focal changes in academia in terms of internationalization of higher education aligned with commitment to retain, refine and improve Thai values and indigenous capability, and knowledge. To maintain high calibre staff and an enterprising spirit, there is also a need for systematic recruitment of academic staff and personnel as the development of human resources is at the heart of higher education efficiency and effectiveness. To provide a potential cohort of young and technologically oriented entrepreneurs, the cultivation of a new generation of higher education academic staff who are innovative and dynamic, and able to enhance competitiveness must be included.

In order to enhance the international; competitiveness of its nearly autonomous universities the Ministry of Education has promoted intensive human resource development. These programs also have been linked with other innovations including networking between Thai universities to promote quality academic programs for the production of professional manpower and allow diversified and extensive nation-wide education services for manpower upgrading and life-long education. Furthermore as quality improves, the ability to transfer credits among Thai universities will ensure the desired move towards achieving international standards. Voradej (2002) points out that the core concept of successful autonomous universities changes the way human

resource development operates. For example, as the budget is allocated in the form of block grants from the government and regarded as income, financial managers of universities need to follow principles of transparency regarding profit from earnings obtained.

In the annual reporting system, the government requires details of recurrent and capital expenditures and unit costs, especially in relation to individual University mission statements, and strategic plans and needs. As it is the responsibility of universities to ensure the effectiveness of their own financial, accounting and supplies systems, these need to be controlled by systems of performance monitoring, regular reporting, and annual reports under the University Council (UC), the Official of Higher Education Commission (OHEC), and the Ministry of Education (MOE). Further, in terms of personnel management, autonomous universities need to follow regulations in relation to personnel assessment, salaries and remuneration, welfare and benefits. The assessment system needs to ensure that the specified workload and remuneration for any position is fair and just for all parties. These principles depend upon the quantity and quality of each individual's performance under the rules and regulations established by UC. As the Office of the Secretary General the Ministry of University Affairs (OSGMUA) (OSGMUA, 1998) reported, such changes should be considered to be of prime importance in the administrative system of higher education institutions in Thailand. Lastly, in terms of assets management, the universities need increasing accountability if they are to maintain benefit from their immovable properties.

Burapha University

Within the new autonomous status of Thai universities the pace of change needed to increase flexibility, versatility and swiftness in operations has been dramatic. This has heavily impacted on faculty management and service levels of administrators in all universities, particularly in Burapha University (BUU), the first to move out of the

Thai bureaucratic system. To meet the changing must Thai government policy, administrators in many faculties, colleges and supporting units have had to reconceptualize almost every aspect of how they do management. Consequently, keeping academic and administrative staff motivated and satisfied while remaining competitive in a complex status and global environment has presented a difficult task.

Currently, the newly autonomous BUU has not achieved total success in its status, and managers face many administrative challenges requiring strong leadership. As Daft (2005) points out, good management alone is not the answer for dealing with change, and leaders are needed to guide people through the discomfort and dislocation brought about by major change (p.634). As Edward (2002) explains, managers only seek stability and control, but leaders thrive on change, inspire a vision and empower their associates (p.24). At BUU the dramatically increasing pace of change has presented significant challenges for its leaders, who feel as if "they are flying the airplane at the same time they are building it" (Daft, 2005, p.634).

Leadership at BUU

Prior to autonomy, the administrators of the BUU managed the University's mission under the rules and regulations entrenched in a centralized government bureaucratic system in which administration and management processes were maintained under the rules and regulations of OHEC. Administrators were managers responsible for monitoring, directing and supervising both faculty and university services. This functional approach to management consisted of making adjustments to initial plans as required. To maintain a competitive advantage following autonomy however, the need for new approaches to leadership has necessitated BUU to upgrade the knowledge of its management staff. In fulfilling this project good management is seen as including: planning and budgeting, organizing and staffing, and controlling and problem-solving (Kotter, 1990); and the four basic functions of planning, organizing, influencing and controlling (Certo, 1997). In this context as Faculty Secretary in the

Faculty of Education, Burapha University, I have been given the responsibility of researching ways to implement this project.

Leadership responsibilities of the researcher

My current position at BUU is middle level administrator, requiring more than ten years' experience of working in the BUU bureaucratic system with its administrators. My principal duties are to coordinate administrative and management functions among top-level executives, middle-level administrators, and office colleagues. My responsibilities include changing people's behavior on a day-to-day basis in a work environment that is filled with multi-tasking activities. These activities have enabled me to acquire a wide range of information and experience in the administrative procedures of planning and organizing, as well as the commanding, coordinating and controlling of staff. In experiencing the BUU change from being subject to Thai Government central bureaucracy, I have experienced the many twists and turns occurring in core elements of the vastly different new administrative procedures needed in autonomy.

In this position, I have found that the need for change in administrative procedures has been variously resisted from both within and outside the faculties where leaders compete to win advantage. As faculties tend to be conservative and resistant to new rules and regulations, particularly in relation to the assessment of individual performance, personnel have not always responded favorably. Therefore, there has been a danger of the wellbeing of employees being affected by how their leaders have facilitated the collaboration designed to achieve goals relevant to the university's new status.

Contribution to Knowledge

The significance of this research is that it will reveal factors and elements of what and how leaders in several autonomous Thai universities conceive of their roles, duties and responsibilities as they attempt to align people, establish direction, nurture motivation, and inspire others to become more effective in their work. Findings will initially be used in strategic staff development plans for increasing the professional potential of leaders and the design of effective curricula training programs for on-or off-the-job training to benefit all faculties of BUU. Furthermore, these findings may be accessed to enhance administrative learning among the top echelon of leaders in other autonomous universities, colleges, and academic institutions in Thailand to further personal career development and promote good leadership, and ultimately to develop the potential of their organizations. In order to fully understand the concepts underlying the qualities of good leadership central of this research, the following chapter reviews a range of relevant literature.

Chapter 2

Literature Review

2.1 Introduction

This chapter reviews literature discussing leadership, roles of leadership, leadership in higher education, leadership qualities, processes of leadership and organizational structure and communication. The major process of leadership involves effectiveness, focusing on establishing directions for management, aligning people, and motivating and inspiring people to achieve goals. Here, the theoretical framework consists of trait approaches, situational approaches to leadership and transactional and transformational approaches to leadership including McClelland's Acquired Needs Theory (Hughes, Ginnett, and Curphy, 2002, p. 254).

2.2 What is Leadership?

In the twentieth century, many educators have researched leadership contexts and theoretical foundations of leadership. However, most theories on and research about leadership look at how a person gains understanding of the values, beliefs, and attitudes of people from different cultures and define leadership as typified in the traits, qualities, and behaviours of the leader. Some argue that leadership is a process (Bass 1990; Bryman, 1992; Gardner, 1990; Hickman, 1998; Rost, 1991). Leadership is a process, not a position or a characteristic, but a transactional event that occurs between leaders and followers (Hughes, Ginnett, and Curphy (2002, p.1; Northouse, 2004, p. 3). Yukl (2006) states that leadership is the process of

influencing others to understand and agree about what needs to be done and how to do it and the process of facilitating individual and collective efforts to accomplish shared objectives (p. 10). Northouse believed that a leader is born, not made and that leadership is about personal qualities (p3). Saal and Knight (1988) however, found

that leadership is not necessarily a product of in-born traits but instead that effective leadership methods can be taught to employees. Earlier theories and researches about leadership mentioned the internal qualities with which a person is born, but ignored the situational and environmental factors that play a role in the leader's level of effectiveness. Next, researchers maintained that leadership behaviours differentiate between leaders and followers in the line of management, focusing on people and task-oriented activities and similarlities (Blake, Shepard, and Mouton, 1964). Later, researchers adopted a more effective way of describing the complexity of leadership, focusing on interactions between leader's traits, behaviours and situations, pointing out that the nature of the interaction may vary from situation to situation (Saal and Knight, 1988). Figure 2.1 shows that interaction can differ according to the situation.
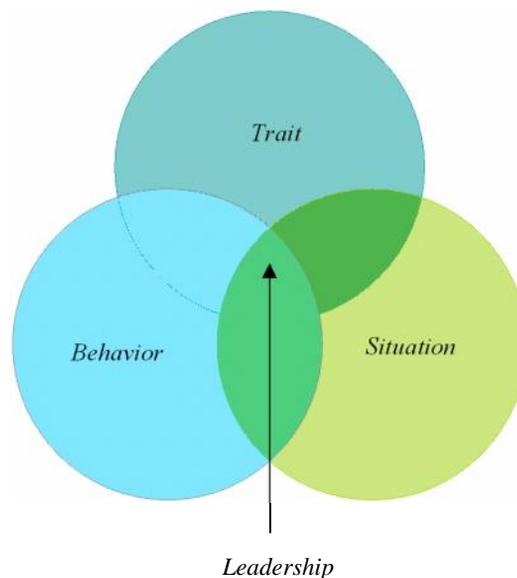
Figure 2.1 Interaction of Leadership Situations
(Saal and Knight, 1988)

Currently, it is accepted that every situation in an organization changes according to new technologies, globalization, changing social and political climates, new competitive threats, shifting economic conditions, industry consolidations, swings in consumer preferences and new performance and legal standards. All these issues can cause the direction of education to change rapidly on a large scale and impact on and be influenced by management and leadership (Daft, 2005, pp. 7-8).

2.3 Leadership and Management

McCaffery (2004) states that the word of 'leader' is derived from 'laed' a word common to all the Old North European languages meaning 'path', 'road' course of a ship at 'sea' or 'journey' (p.59). McCaffery explains the meaning of leader as someone who accompanies people on a journey guiding them to their destination, and by implication holds them together as a group while steering them in the right direction. Present-day dictionaries typically define a leader as one who rules, guides or inspires others.   The word manager is derived from the Latin manus(or hand), and the Italian maneggiare, meaning "to handle and train horses". The word gradually came to be applied to anyone who had a responsibility for organizing activities and controlling their administration (Bratton, Grint, and Nelson, 2005, p. 7; McCaffery, 2004, p.58).

Kotter (1990) states that leadership and management are both very important processes. The two processes can work together very successfully and create very effective leaders and managers (p.ix). However, Daft (2005, pp.15-16) explains that the difference between management and leadership has shifted from an old to a new paradigm. Management can be defined as the attainment of organizational goals by an effective and efficient manager, through planning, organizing, staffing, directing, and controlling organizational resources.   Leadership emphasises the need for

providing vision and inspiration for employees, keeping an eye on the long-term future, creating a culture that allows others to grow and flourish and building an environment that fosters integrity and accountability. Bratton, Grinnt and Nelson (2005) point out the difference between management and leadership. They focus on the role of management in terms of planning, organizing, commanding, coordinating and controlling. Leadership is moreover linked to words such as vision, charisma and change agent. Northouse (2004, p. 8) compares the difference between the functions of management and leadership based on Kotter's ideal . Kotter proposed that the overriding function of management is to provide order and consistency within organizations, whereas Northouse maintains that the primary function of leadership is to produce change and movement. He says that management is about seeking order and stability but leadership is about seeking adaptive and constructive change.

Kotter (1990) argued that good management brought a degree of order and consistency to key dimensions including the quality and profitability of products. At the same time, a good leader or effective leadership can help produce the changes necessary to bring a chaotic situation under control. Boulding (2005) also argued that good leaders are made not born, and that becoming effective leaders requires desire and willpower. Good leaders develop through a never ending process of self-study, education, training, and experience. Hughes, Ginnett and Curphy (2002) discuss the relationship between leadership and management. To many, the word 'management' means efficiency, planning, paperwork, procedures, regulations, control and consistency.

Bennis believed that leadership is the process by which an agent induces a subordinate to behave in a desired manner (Bennis, 1959 cited by Hughes, Ginnett, and Curphy, 2002). However, it is also the process of giving purpose (meaningful direction) to collective effort and causing willing effort to be expended to achieve purpose (Jacobs & Jaques, 1990, p. 281 cited in Yukl, 1994, p.3). Further, leadership includes directing and mobilizing people toward the accomplishment of some

objective in an organization (Vecchio, 1995; Certo, 1997; Ramsden, 1998 cited by Kotter, 1990). Furthermore, Roach & Behling, 1984 cited in Hughes, Ginnett, and Curphy (2002) emphasize that leadership qualities include willing efforts to enhance a group of people to achieve their goals. Yukl (1989, 1994) argued that the process of leadership influences the activities of an organized group towards their goal achievement. Wikipedia, Encyclopedia (2005) provides two definitions of leadership as follows:

> *"Leadership can refer both to the process of leading, and to those entities*
> *that do the leading. The process of leadership can be actual or potential:*
> *actual—giving guidance or direction, as in the phrase "the emperor*
> *has provided satisfactory leadership", and potential the capacity or ability*
> *to lead, as in the phrase "he or she could have exercised effective*
> *leadership"(2005, p.1).*

Boulding (2005) also defines the concept of leadership in terms of influencing others to accomplish objectives.

> *"Leadership is a process by which a person influences others to accomplish*
> *an objective and directs the organization in away that makes it more cohesive*
> *and coherent. Leaders carry out this process by applying their leadership*
> *attributes, such as beliefs, values, ethics, character, knowledge, and skills"*
> *(2005, p. 1).*

Boulding (2005) cites Hay's study (2000) involving two requirements for effective leadership, trust and confidence.

> *"Trust and confidence in top leadership was the single most reliable predictor*
> *of employee satisfaction in an organization. effective communication by*
> *leadership in the three critical areas was the key to winning organizational trust*
> *and confidence: (1) Helping employees understand the company's overall*
> *business strategy. (2) Helping employees understand how they contribute to*
> *achieving key business objectives. (3)sharing information with employees on*
> *both how the company is doing and how an employee's own division is doing—*
> *relative to strategic business objectives" The two keys of the effective leadership*
> *are influenced to the trustworthy and communication as vision (2005, p. 9).*

Certo (1997) maintains that influence is the process of guiding the activities of the members of an organization in an appropriate direction. This involves the performance of four management activities: (1) leading, (2) motivating, (3) considering groups and (4) communicating (p. 326). The four management activities involve a group of people in the organization who deal with morale, arbitration of conflicts and the development of good working relationships.

Yukl (1994) explains that leadership includes personal influence directed through communication processes toward goal attainment and influential increment over and above mechanical compliance with directions and orders for a specified goal or goals. However, DuBrin (1995) argues that in order to be effective, a leader must be aware of the specific tactics needed to influence others. He says that these influential tactics concern an ethical perspective as follows:

> *"leading by example, rational persuasion, developing a reputation as a*
> *subject matter expert (SME), exchanging favors and bargaining, developing*
> *a network of resource persons, legitimating a request, inspirational appeal*
> *and emotional display, consultation, forming coalitions and team play*
> *(1995, pp. 172-176).*

Moreover, Hughes, Ginnett and Curphy, (2002, p. 108) describe how influence is defined by change in a target agent's attitudes, values, beliefs or behaviors as the result of influence tactics. The**y** define influence tactics as one person's actual behavior designed to change another person's attitudes, beliefs, values and behaviors. They explained the concept of influence tactics as derived from the power that is the capacity to cause change in attitudes, beliefs, values and behaviors of followers. For example, a leader may ask a follower to accomplish a particular task and whether and how the task is accomplished is partly a function of the leader's request.

Hence, a combination of the elements mentioned above can influence a group of people to go along with a leader who has the ability to direct and mobilize others to convert vision into reality in the life of the group as an entity. Leadership is the

process of giving direction, devising strategy, creating cohesive teamwork, finding resources, controlling execution of plans, and generating energy to accomplish the groups' goals (Burns, 2001, p.5).

2.4 The Roles of Leadership

> *"Leaders have a significant role in creating the state of mind that is the society. They can serve as symbols of the moral unity of the society. They can express the values that hold the society together. Most important, they can conceive and articulate goals that lift people out of their petty preoccupations, carry them above the conflicts that tear a society apart, and unite them in pursuit of objectives worthy of their best efforts" (John W. Gardner, No Easy Victories cited by Bennis 1989, p.13).*

Yukl (2006, pp.24-25) reveals the results of research by Mintzberg (1973) pertaining is the nature of managerial work from various sources, including observation, diaries and interviews with managers. Here Mintzberg developed a taxonomy of ten managerial roles identified in terms of figurehead, leader, liaison, monitor, disseminator, spokesman, entrepreneur disturbance handler, and resource allocation. All of these roles apply to any manager or administrator. Consequently, the manager must provide guidance to subordinates, ensure that they are motivated and create favorable conditions for doing the work. In recent years, the results of various descriptive research studies have shifted to the content of managerial activities and classification of the content of managerial activities in terms of their purposes to determine different taxonomies of behavior content for managers (Komaki, 1989; Luthans & Lockwood, 1984; Mintzberg, 1973 already cited above; cited in Yukl, 1994, 2006).

One taxonomy of behavior content for managers comes from a job description research project identifying Page's Taxonomy of Managerial Position Duties and Responsibilities as measured by the Managerial Position Description Questionnaire

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(MPDQ). The taxonomy of Managerial Position Duties and Responsibilities revealed nine categories in terms of supervising, planning and organizing, decision making, monitoring indicators, controlling, representations, coordinating, consulting and administering (Yukl, 1994, p.28). A number of managerial activities are expressly concerned with leadership roles. However, leadership roles pervade all managerial activities (Yukl, 1994, 2006).

Mintzberg (1973) grouped management behaviour into three categories. The first category of interpersonal behavior of managers is divided into three roles which are leader, liaiser and figurehead. The leader role is responsible for making their organizational subunit function as an integrated whole in the pursuit of its basic purpose. The liaison role is responsible for making new contacts, keeping in touch with them and doing favors that will allow the manager to ask for favors in return. The figurehead role is as a consequence of the formal manager being obliged to perform certain symbolic duties of a legal and social nature. The second category of information processing behavior contains three roles which are monitor, disseminator, and spokesperson. The monitor role is to continually seek information from a variety of sources; the disseminator role involves special access to sources of information not available to subordinates; and the spokesperson role is also about transmission of information and expressing value statements to people outside their organizational subunit. The third category of decision-making behavior comprises four roles which are entrepreneur, disturbance handler, resource allocator and negotiator. The entrepreneur promotes a change role as an initiator and designer of controlled change to exploit opportunities for improving the existing situation. The disturbance handler role is required when a sudden crisis that cannot be ignored arises as distinguished from problems that are voluntarily solved by the manager to exploit opportunities. The resource allocator role is the exercise of authority to allocate resources; and the negotiator role requires a substantial commitment of resources by the manager

At the same time, Mintzberg (1973 cited in Yukl 2006, p.32-33) described the role of a leader as being the person responsible for the motivation and activation of

subordinates. Leadership and motivation are inextricably linked and successful leaders bring out the best in people. Now that most decision making involves some degree of consensus rather than just blind obedience, modern leadership is more concerned with gaining commitment rather than compliance. The most important part of achieving motivation is to attend to the most important needs of the people being led. These include the obvious ones such as reward, safety, promotion, and glory—all notable motivating factors in the more historical military models of leadership. However, more subtle motivating factors must also be considered—the need to be valued and respected, to see the results of one's actions, and to have some degree of control (BMJcareers, 2005).

In addition Bennis (1989) described that the differences between leaders' and managers' roles as "master the context" rather than surrender as below:

> *"The manager administers. The leader innovates. The manager is a copy; the leader is an original. The manager focuses on systems and structure; the leader focuses on people. The manager relies on control; the leader inspires trust. The manager has a short-range view; the leader has a long-range perspective. The manager asks how and when; the leader asks what and why. The manager has his eye always on the bottom line; the leader has his eye on the horizon. The manager imitates; the leader originates. The manager accepts the status quo; the leader challenges it. The manager is the classic good soldier; the leader is his own person. The manager does things right; the leader does the right thing" (p.45).*

The application of both manager and leader roles simultaneously often makes it quite difficult to do a job very effectively. The tasks and roles of leaders are different from those of managers as they require different perspectives and skills to do their work and to measure success and function in an organization. Consequently, Nanus (1992, pp.11-13) (see Figure 2.2) developed the Bennis ideal that to be an effective leader in today's rapidly changing world requires a delicate interaction of four major areas. The four major areas are direction setter, change agent, spokesperson and coach. First, the direction setter area is where the leader selects and articulates the indication shaped in the external environment where the organization should direct its energies in the future (pp.12-13). A leader who is a good direction setter will be able to set a

course toward real progress of the effectiveness and efficiency of the organization. This includes the ability to serve a new set of customers or gain recognition as the leader in a new technology or product area. Where the leader is successful as direction setter, the leader will have established a vision so compelling that everyone in the organization will want to assist it to happen.

Change agent is the second area in which Nanus (1992) describes the leader as responsible for catalyzing changes in the future internal environment for example, personnel, resources, and facilities to make the vision achievable in the future (pp.13-14). As a good change agent the leader must be able to anticipate developments in the outside world, assess their implications, create the sense of urgency and priority for changes that are required in light of these developments, promote experimentation and empower people to make the necessary changes. The leader must also be able to build flexibility into the organization and operations and encourage prudent risk taking.

Spokesperson is the third area in which Nanus (1992) describes the good spokesman leader as a skilled speaker who is concerned with the audience and the very embodiment of the organization's vision (p.14). The concept of the term spokesperson involves negotiator with other organizations and the builder of networks of external relationships to facilitate ideas, resources, support or information for the organization. The leader's vision must become both the medium and the message that expresses what is worthwhile, attractive and exciting about the future of the organization.

Coach is the last area in which Nanus (1992) describes the concept of the term coach as a team builder who empowers individuals in the organization and passionately 'lives the vision'(pp.14-15). As an effective coach, the leader must let people know where the leader stands, what the vision means to the leader and what the leader will do to make it happen. The leader must also be committed to the success of everyone

in the organization, respecting them, building trust, helping them learn and grow and teaching them how to constantly improve their ability to achieve the vision.

External Environment

| | Direction Setter |
| Spokesperson | |

Present ——————————————————— Future

| | Change Agent |
| Coach | |

Internal Environment
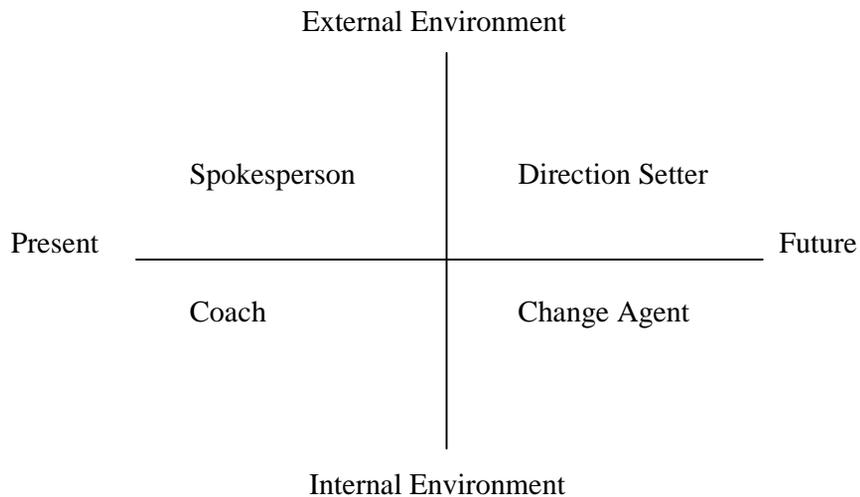
Figure 2.2   Leadership Roles (Nanus, 1992, p.13)

In his research on "Reengineering the leadership role" Rick (1995) found that standard leadership skills need honing in order to motivate people, empower employees and replace reward systems.   Anticipating customer needs and services also heightens the role of the leader as a visionary thinker.

In this context, Feidler (1967, p. 8) points out that leadership roles involve motivation, direction, supervision, guidance and evaluation of others for the purpose of accomplishing a task.   These roles are foundational and vital functions of management of an organization or institution.   Management activities such as planning, organizing and decision-making are dormant cocoons until the leader triggers the power of motivation in people and guides them toward goals.

In agreement with Nanus (1992) Billingsley (2005) argued that the four roles of leadership deliver the tools, processes, and context to lead successfully-even in a time of turbulent change. The first role is path finding: creating the blueprint. This role is to help the leader create a blueprint of action and ensure that the plans have integrity prior to action. The second role is aligning: creating a technically elegant system of work. Billingsley explains aligning as the second role:

> "If pathfinding identifies a path, aligning paves it. Path finding identifies a path. Organizations are aligned to get the results they get. Think about that. If you are not getting the results you want, it is due to a misalignment somewhere, and no pushing, pulling, demanding, or insisting will change a misalignment. Therefore, as a leader, you must work to change your systems, processes, and structure to align them with the desired results you identified through path finding"(p.1).

The third role is empowering: releasing the talent, energy, and contribution of people. Here, Billingsley explains that:

> "Empowering"—it's an overused term but under-utilized in practice. Empowering isn't abandoning people, letting them "figure it out" on their own. Nor is it allowing individuals minute freedoms while controlling other aspects. True empowerment yields high trust, productive communication between individuals and teams, and innovative results where each member of the team feels welcome to bring his or her genius to the table"(p.1).

The fourth role is modeling: building trust with others-the heart of effective leadership. In this role Billingsley focuses on who a leader is, and also states that:

> "You learn the essential balance between character and competence. An individual of high abilities will never be a true leader if his or her character is questionable. The processes and tools in the 4 roles of leadership enables you to get the results your organization needs while you model principles of effectiveness"(p.1) .

2.5 Leadership in Higher Education

Since the late nineteenth and the early twentieth century universities have changed into the form which is recognizable today. Typically, these changes in higher education have reflected in the processes of managerial work. Rost (1993) argued that today scholars discuss the basic nature of such leadership in terms of the "interaction" among the people involved in the process: both leaders and followers. Thus, the leadership is not the work of a single person, rather it can be explained and defined as a "collaborative endeavor" among group members. Therefore, the essence of this kind of leadership is not the leader, but the relationship.   Munitz (1995, p. 1) pointed out that universities do not change easily and major shifts in U.S. higher education have been rare. He explains that there was a dramatic shift from the many small, all-male, often religious and classically-oriented colleges of the early 19th century to the establishment in 1865-1900 of new land-grant colleges that were coeducational and polytechnic, oriented to work and open to the working classes. However, in the 1990s, Munitz (1995) warned that:

> *…radical changes are occurring that will alter fundamentally the nature of the university as we have known it for nearly a century. They will also transform the shared governance model we have followed since the 1950s. These changes will force adjustments in how faculty teach and how students learn, how colleges and universities are financed, and how institutions are administered.*
> *They will require that colleges and universities restructure their management processes and modify their traditional notions about academic leadership (p. 1).*

In agreement with Munitz, Ramsden (1995, p.28) warns that the greater pressure to perform and be accountable has combined with the challenges of new forms of learning, new technologies for teaching and new requirements for graduate competence.

In a survey determining the challenges faced by Heads of Departments in Australian universities, three quarters of the respondents in this study were struggling with

financial management, survival in a leaner financial environment, strategies for establishing new student markets, balancing teaching and research funds, income generation, gaining more research support and achieving high quality research with reduced funding. Ramsden explained that most areas concerned management and leadership of academic people at a time of rapid change. The Heads of Departments identified their roles as including selection and recruitment, helping staff through change, developing new skills, setting clear goals, mentoring younger staff, helping staff to cope with increased workloads, maintaining motivation and morale at a time of declining public respect for the profession and rewarding performance. As the need grows for vision and innovation in turbulence and alteration in higher education further problems are caused by technological change and information overload.

In this context, Martinez (2001) argued that leadership in American higher education needs to take a new direction. Higher education leaders, administrators and faculties must be more progressive, innovative and creative to manage the reformation and change that is underway and will occur in the future. This new leadership must take new directions in ethics, collaboration, accountability, privatization, international and distance education, volunteerism and multiculturalism.

Bulger (2005) maintains that today, leadership in higher education has three great challenges, the traditional arts and humanities curriculum, limited resources, and public perceptions. Bulger believes that the way to respond to these challenges based on academic freedom, is to engage in much more self-help. Self-help as an activity provides another approach to enhance leadership skills (Yukl, 2006, p. 410). Yukl states that self-help techniques are available for improving leadership, including practitioner books, instructional videotapes or compact disks and interactive computer programs. Some of these techniques are intended to be a substitute for formal training programs, some are used to supplement training, and others are intended to facilitate learning from experience. Public higher education is expected to engage in more "self-help" now that it does not rely solely on state subsides for its finances and organization. In the context of higher education leadership, Bulger (2005) defended

the humanities' focus on wisdom and knowledge concerning the cultivation of the intellect, as the first goal, faculty and students to pursue their studies with renewed enthusiasm to help support an academic equilibrium between the arts and science.

Ramsden (1998) argued that good leadership can make academic work a more enjoyable and more productive experience for everyone, including the leader (p.4). Ramsden mentions how valuable Kotter's ideas are to understanding leadership in today's academic environments which links leadership and management. Sometimes both leadership and management have been weak or one has dominated the other. Ramsden agrees that strong leadership without strong management is a characteristic and disruptive failing of innovative courses in traditional academic contexts. Strong management without strong leadership contributes to the sense of disempowerment and irritation and the corresponding culture of compliance and minimal desire to change, which has accompanied numerous attempts to introduce accountability measures and performance management systems in universities and in the higher education systems generally. Moreover, Ramsden corroborated on the general applicability of Kotter's deceptively simple model. It is clear that people in universities believe that firm, fair and efficient management which gets things done effectively, is different from inspirational leadership, but equally desirable (p. 109).

Consequently, Ramsden (1998) argued, in Kotter's terms that as universities and their leaders have discovered without strong management, they cannot deliver on time and on budget. Good; but what they may not have fully realized is the complementary need for strong but supportive leadership (p. 122). In addition, Ramsden (1998) wrote that good leadership helps create an environment for academics to learn continually, to make the best use of their knowledge, to solve problems in research and teaching collaboratively as well as individually and to feel inspired to overcome the obstacles presented by change and upheaval in university life (p. 106).

2.6 Characteristics of Good Leaders

In defining the characteristics of a good leader, personality is of prime importance. Here, Hogan (1991) states that personality has two quite different meanings. The first refers to the impression a person makes on others and the second emphasizes the underlying, unseen structures and processes inside a person. Bennis (1989) maintained that good personality traits of leaders consist of honesty reflected in displays of sincerity, integrity and candor in actions. Deceptive behavior does not inspire trust. Bennis offers descriptions of the nine terms he uses to identify good leaders. Firstly the term "competence" refers to actions which should be based on reason and moral principles. Leaders should avoid making decisions based on childlike emotional desires or feelings. Next, "forward-looking" refers to setting goals and having a vision of the future.   Effective leaders envision what they want and how to get it. This vision must be owned throughout the organization. Effective leaders habitually pick priorities stemming from their basic values. The term "inspiring" refers to a display of confidence in all actions. By showing endurance in mental, physical and spiritual stamina, good leaders inspire others to reach for new heights. The term "intelligence" refers to reading, studying, and seeking challenging assignments.   The term "fair-mindedness" refers to showing fair treatment to all people as prejudice is the enemy of justice. Good leaders display empathy by being sensitive to the feelings, values, interests and well-being of others. The term "broad-mindedness" seeks out diversity. The term "courageous" refers to having the perseverance to accomplish a goal, regardless of the seemingly insurmountable obstacles. The term "straightforwardness" refers to using sound judgment to make good decisions at the right time. The term " imaginative" refers to making timely and appropriate changes in one's thinking, plans, and methods. Here, Bennis believes that good leaders show creativity by thinking of new and better goals, ideas and innovative solutions to problems.

In agreement with Bennis (1989), Kouzes and Posner (1995) found that honesty, being forward-looking and inspiring, and competency are the main of characteristics of leaders admired by their followers (group members). Here, honesty was related to values and ethics. In their study honesty was selected more often than any other leadership characteristic as absolutely essential to leadership. Kouzes and Posner (1995) argued that if people are going to willingly follow someone, whether it is into battle or into the boardroom, they first want to assure themselves that the person is worthy of their trust and want to know that the would be leader is truthful, ethical, and principled. Furthermore, good leaders must be "forward-looking" and have a destination in mind when asking others to join them on a journey into the unknown. They must inspire admiration and respect for their dynamic, uplifting, enthusiastic, positive, and optimistic characteristics and communicate their dreams in ways that encourage others to sign-on for the duration and to work hard for the goal. Lastly, good leaders need "competence", having the capabilities and skills to guide others forward. Here, the particular type of competence that constituents look for varies with the leader's role (p. 22).

Similarly, DuBrin (1995) divided the personal characteristics determining leadership effectiveness into two groups. The first is general personality traits including self-confidence, honesty, integrity, and credibility, dominance, extroversion, assertiveness, emotional stability, enthusiasm, sense of humor, warmth, high tolerance for frustration, self-awareness and self-objectivity. The second group includes task-related personality traits consisting of initiative, sensitivity to others and empathy, flexibility and adaptability, internal locus of control, courage, and resiliency.

Hughes, Ginnett and Curphy (2002) believed that the relationship between personality and leadership success has been based on the trait approach. Personality traits are relatively stable dispositions to behave in a particular way and consist of self-confidence, emotional maturity, emotional stability, energy level, and stress tolerance (p.254).

Yukl (1994) argued that the trait profile is characteristic of successful leaders:

> *"The leader is characterized by a strong drive for responsibility and task completion, vigor and persistence in pursuit of goals, venture someness and originality in problem solving, drive to exercise initiative in social situations, self-confidence and sense of personal identity, willingness to accept consequences of decision and action, readiness to absorb interpersonal stress, willingness to tolerate frustration and delay, ability to influence other persons' behavior, and capacity to structure social interaction systems to the purpose at hand" (p. 255).*

Yukl (1994) stated also that leadership values are internalized attitudes about what is right and wrong, ethical and unethical, moral and immoral. These values consist of fairness, justice, honesty, freedom, equality, humanitarianism, loyalty, patriotism, progress, self-fulfillment, excellence, pragmatism, courtesy, politeness and cooperation (p.255). Maxwell (2005, pp.1-2) points out four basic characteristics of competent leadership. Firstly it is imperative that he or she leads with vision or else there is going to be disillusionment in the people being led after they see that they are going nowhere. Secondly, a leader who does not have patience will find the whole expedition frustrating because sometimes things do not materialize according to schedule. Thirdly, a good leader needs to be able to spot opportunities and fourthly a true leader must always be ready to do things alone.

Certo (1997) argued that the traits of successful leaders consist of intelligence, including judgment and verbal ability, past achievement in scholarship and athletics, emotional maturity and stability, dependability, persistence, and a drive for continuing achievement, the skill to participate socially and adapt to various groups and a desire for status and socioeconomic position. Similarly, Cattell (2005) developed a leadership potential equation in 1954 which remains widely used today in determining the personal traits which characterize effective leaders. These include emotional stability, dominance, enthusiasm, conscientiousness, social boldness, tough-

mindedness, self-assurance and controlled. These leaders are abundant in foresight and very careful in making decisions or determining specific actions.

Spears (2005) points out that the ideal leaders is a servant, implying the need for ten people-centred characteristics including listening, empathy, healing, awareness, persuasion, conceptualization, foresight, stewardship, commitment to the growth of people and building community. In listening, the servant-leader seeks to identify the will of a group and helps to clarify their communication and decision making skills. These factors are important skills for the servant-leader. Similarly, the servant-leader strives to understand and empathize with others. People need to be accepted and recognized for their special and unique spirits. This leads to healing, especially in relationships, one of the great strengths of servant-leadership.

Awareness helps the servant leaders in understanding issues involving ethics, power and values. "… Able leaders are usually sharply awake and reasonably disturbed. They are not seekers after solace. They have their own inner serenity"(p. 2). In reference to persuasion, the servant-leader seeks to convince others, rather than coerce compliance. Here, unlike the traditional authoritarian model, the servant-leaders is effective at building consensus within groups. In conceptualization, servant-leaders seek to nurture their abilities to *dream great dreams*. The ability to look at a problem or an organization from a conceptualizing perspective means that one must think beyond day-to-day realities seeking a delicate balance between conceptual thinking and a day-to-day operational approach.   Foresight is closely related to conceptualization. Foresight is a characteristic that enables the servant-leader to understand the lessons from the past, the realities of the present, and the likely consequence of a decision for the future.   The servant-leadership, like stewardship, assumes first and foremost a commitment to serving the needs of others, emphasizing the use of openness and persuasion rather than control.

Servant leaders are committed to the growth of people, believing that people have an intrinsic value beyond their tangible contributions as workers. They do everything in

their power to nurture the personal and professional growth of employees and colleagues. Lastly, servant leaders are committed to building community. Servant-leadership suggests that true community can be created among those who work in businesses and other institutions.

2.7 The Quality of Leadership in Universities

Yukl (1989) argued that quality of leadership is one of the most important determinants of meeting success in a tertiary institution. Sugarman (2000) points out that leadership in universities involves the process of influencing team members to work hard towards, and be committed to team goals, and that educational leaders can be either task-oriented or person-oriented. Task-oriented leaders are most interested in training, instructing behavior, performance and winning whereas person-oriented leaders are more interested in the interpersonal relationships of the team. These leaders must possess the qualities they are trying to incorporate into their team. On the other hand, Greenleaf (1991; Costa, and Garmston, 1994; Goldhammer, Anderson, and Krajewski, 1993; Bennis and Nanus, 1997; Greenberg and Baron, 1997; cited in Beach and Reinhartz, 2000) argue that the qualities of leadership in university settings should comprise vision, trust, ability to communicate as follows:

- A vision with high but realistic goals that creates a culture that guides the organization and its members.
- Trust in people and prompt, frequent, concrete feedback to them, as they use their interpersonal skills to work effectively with others.
- An ability to communicate with teachers and others.
- Integrity—characterized by honesty and a willingness to take personal responsibility for their behavior and actions (a willingness to be a servant first)
- An ability to diagnose, select appropriate processes and procedures and take risks.
- An ability to unite effort with purpose.

Carr (1995) mentioned that one of the key qualities of leadership is vision having a mental picture of some desirable future for the organization. Apart from vision, Beach and Reinhartz (2003) identified trust and the use of interpersonal skills are necessary for educational leaders to be effective. Beach and Reinhartz also stated that being supportive and respectful and having personal integrity are also part of the foundation of supervisory leadership. These qualities demonstrate an expression of personal regard, which helps to establish rapport with staff and students. Leadership qualities of diagnosing and selecting appropriate procedures and taking risks based on a vision are fundamental to functioning as a supervisor within a school and in other organizations. In this context, Schomoker (1996) argued that the ability to unite effort with purpose is the key to school improvement.

Brundrett, Burton and Smith (2003) rightfully summarise the key qualities for effective leadership in education as comprising values, knowledge, skills and attributes. Here, values include learner-centered, innovation, lifelong learning, education-for-all, service-orientation, empowerment, equity and fairness and whole-person development. Knowledge relates to the roles of leadership comprising strategic direction and policy environment, teaching, learning and curriculum, leader and teacher growth and development, staff and resource management, quality assurance and accountability and external communication and connection. Skills in leadership are grounded in educational values and professional knowledge. Skills comprise three categories: personal, communicative and influential, organizational and technical. Lastly, the set of personal attributes that educational leaders bring to their role include adaptability and responsiveness, courage of conviction with regard to values, self-confidence, tough-mindedness, collaboration and integrity.

2.8 Process of Leadership

In outlining the processes involved in organizational leadership, Kotter (1990) sees establishing direction and aligning people, motivating and inspiring people as the most important. He maintains that these three factors form the primary function of

leadership and produce changes which relate to effective leadership, pointing out that many scholars have argued that motivation, alignment, cohesion and ability to focus followers on goals, values, and visions are the central features of good leadership (Kotter, 1985). The processes of establishing direction, vision, alignment of people, organizational structure, communication and emotional intelligence are reviewed following.

Establishing Direction

Kotter (1990) points out that establishing direction is the primary function of effective leadership in universities in managing, planning and budgeting and helping to produce necessary change. Leadership also needs to cope with a changing business environment resulting from the introduction of new products and new approaches to labor relations.

Ramsden (1998) further describes establishing direction while managing complexity as requiring a focus on both tasks and people and a commitment to one's own learning and self-management as an academic leader. This kind of direction is quite different from planning and is usually produced during a process which tends to continue over time.

> *"planning works best not as a substitute for direction setting but as an activity that is complementary to it. That is, a competent planning process serves as a useful reality check on direction-setting activities. … a competent direction-setting process provides a focus in which planning can then realistically be carried out" (Kotter,1990, pp.38-39).*

Daft (2005, p. 16) includes both leaders and managers in providing direction for the organization, but there are differences. He explains that management focuses on establishing detailed plans and schedules for achieving specific results, then allocating resources to accomplish them whereas leadership create a compelling vision of the

future and develops farsighted strategies for producing the changes needed to achieve that vision. Management calls for keeping an eye on the bottom line and short-term results, leadership means keeping an eye on the horizon and the long-term future.

 (Kotter, 1999, p. 36) states that establishing direction creates vision and strategies Typically, a vision is specific enough to provide real guidance to people. A good vision needs to test desirability and feasibility. Kotter (1990) defines desirability in terms of how well the future state, described in a vision, serves the interests of important constituencies customers, stakeholders, and employees. The feasibility is demonstrated by a strategy which is often competitive (p. 36).

Vision in Higher Education

Nanus (1992) defines vision as a realistic, credible, attractive future for the organization inspiring action and helping shape the future. It does so through the powerful effect it has on the people who work for, use, or otherwise have an interest in the leader's organization (p. 8). Ramsden (1998) states that a key aspect of being creative and forward-looking is the idea of vision. A vision is a picture of the future that you want to produce; an ideal image, a picture of excellence, a distinctive pattern that makes your department or your course or your research team different. Ramsden believes that vision is at the heart of leadership; it is concerned with committing, animating, believing, hoping, exciting and inspiring. In all organizations, especially in universities, a vision draws its power to motivate from being both intellectually and emotionally engaging.

In agreement Kouzes and Posner (1995) and Daft (2005) define a vision as an ideal and unique image of the future. However, Daft notes that a vision is not just a dream—it is an ambitious view of the future that everyone in the organization believes can realistically be achieved.   Further, Nanus (1992), Kouzes and Posner (1995) and Daft (2005) presume vision as having two dimensions including vision for the organization and the leader's vision. They believe that integrating both of these

will ensure a powerful and successful leadership. Chi et al (1996) suggest that vision is an evolutionary process based on a leader's continuous reflection, action, and reevaluation and Sergiovanni (1994) states that this creates a community of purpose or mind and establishes the norms for action.

The best visions are positive ones. They 'move towards a dream, not just away from pain' (Lucas, 1995, p.55). Negative visions focus on what needs to be avoided—let's not reduce the quality of teaching, ….visions must carry hope, not despair. The best vision for academic work units are simple ones focused on profoundly-held commitments, purposes and values (p.140). Kotter (1990, p.36) says visions should be flexible enough to permit people to exercise choice and to allow for continuing relevance when conditions change.

Ramsden (1998, p. 141) states that effective visions are shared which Senge (1996, p. 206) points out that shared visions are not an idea. It is not even an important idea such as freedom. It is, rather, a force in people's hearts, a force of impressive power. It may be inspired by an idea. For example, a school or school district leader should have a personal vision but the educational organization also needs a shared vision. Seeley (1992) identifies two parts of the collective or organizational vision: programmatic vision and systemic vision. Programmatic vision is a particular program adopted that focuses on teaching and learning in specific content areas. Systemic vision requires a visualization of the organization as a cohesive whole and how all of the parts of the organization come together to accomplish its goals. The vision becomes "a signpost pointing the way for all who need to understand what the organization is and where it intends to go" (Nanus, 1992, p.9). This kind of vision is of a future that in important ways is better, more successful or more desirable for an organization than is at present (Beach and Reinhartz, 2000, p.77). Leaders are involved in managing the culture by establishing an explicit strategic direction, communicating that direction, and defining the organizational vision and values (Horner, 1997). Ramsden (1998) described the best visions as positive ones. The best visions for academic work units as simple and focused on profoundly-held

commitments, purposes and values. In this context, Goetsch (2005, p.2) outlines a good vision as having the following characteristics:

- easily understood by all stakeholders
- briefly stated, yet clear and comprehensive in meaning
- challenging, yet attainable
- lofty, yet tangible
- capable of inspiring commitment among all stakeholders
- capable of setting the tone for stakeholders
- able to establish direction without getting into numbers (numbers are reserved for goals and objectives)

Goetsch (2005, p. 2, 11) insists that a well-developed vision gives more than just direction to employees. It also gives meaning to the work they do everyday "provides direction; keeps employees focused on a brighter future; inspires employees to perform at their best when work becomes frustrating; gives meaning to the work lives of employees". However, he cautions that the people related factors can inhibit the development process of a vision through thinking too narrowly and too concretely, dogmatically presenting opinions, focusing on past failures, being wedded to tradition, seeking consensus rather than ideas, focusing too intently on problems, giving in to the self-interested and giving voice to prophets of doom.

Strategy in Higher Education

Bratton, Grinnt, and Nelson (2005, p.36) is derived from the Greek noun strategus, meaning "commander in chief", denoting an activity that top leaders perform in order to accomplish an organization's goals (Hill et al, 2001; Mintzberg, 1992). Here, strategic leadership refers to the ability to articulate a vision for the organization (or a part of the organization), and to motivate followers to support that vision. It is a

continuous activity that requires constant adjustment of three major interdependent factors: the values of senior leaders, the environment, and the resources available.

Whipp (1999) points out that strategy's widespread association with organizational performance offers clear advantages to those leaders and groups associated with performance-related activities and human resource leaders, strive to make themselves more "strategic" by redefining their work as performance-related. Certo (1997, p. 177) states that strategy is a broad and general plan developed to reach long-term organizational objectives; it is the end result of strategic planning. All these approaches are central to strategies managing vision and mission to achieve goals in an organization.

Kaufman (2003) describes how strategic planning, properly defined and accomplished, provides the basic directions and rationale for determining where an organization should head. These planning approaches provide a framework for defining and linking what any organization uses, does, produces, and delivers to add value for all stakeholders. This process creates and describes a better future in measurable terms to achieve the results desired (p.42). Yukl (2002) identifies key issues including the key attributes of good strategic leadership as including: impression management by leaders ; constraints on executive action; conditions in which change-oriented leadership is most feasible; the consequences of leadership succession in organizational performance; the relationship of executive tenure to change-oriented leadership; and difficulties facing strategic leaders when balancing competing values.

Rowley, Lujan, and Dolence (1997) maintain that most universities determine their strategic issues founded on vision and mission, within the framework of environmental and other analyses. Strategic planning is the fundamental issue which universities have to address to achieve their mission and move towards the desired future. They argue that strategic planning processes are uniquely designed to fit the specific needs of particular universities. The university begins by identifying its

vision and mission as the first step of any strategic planning process. The university's vision sets out the reasons for the organization's existence and the "ideal" state that the organization aims to achieve and the mission identifies major goals and performance objectives (p.5).

Yukl (2002, p. 342) argues that an alternative to leadership by a single 'heroic' leader is leadership by an executive team . For example a CEO may have little influence on organization performance due to constraints such as powerful stakeholders, internal coalitions, a strong culture, scarce resources, strong competitors and unfavorable economic conditions (p.365). As such, leaders need to manage impressions and influence followers to make favorable assessments of their competence and an executive team may be more effective in a complex, rapidly changing environment that places many external demands on the CEO. Added to this, external monitoring provides information needed for strategic planning and crisis management. Yukl points out that a team strategy is more likely to be effective if it builds on core competencies, is relevant to long-term objectives and is feasible in terms of current capabilities (pp.366-367).

Developing Vision and Strategy

As mentioned before, visions are simple and idealistic, providing a picture of a desirable future; not a complex plan with quantifiable objectives and detailed action steps (Yukl, 2002, p. 283). Kotter (1990) warns that without development of good business direction, vision and development have a tendency to degenerate into the metaphysical. He argues that visions and strategies are formed by broad-based strategic thinkers who are willing to take risks, tough, sometimes exhausting and invest in an information gathering and analytic process.

Yukl (2002, p.283) provides tentative guidelines to help leaders develop a vision. These involve the identification of key stakeholders and strategic objectives with wide

appeal and relevant elements in the old ideology. This is followed by linking the vision to core competencies, evaluating credibility of the vision and ongoing reassessment and refinement of the vision. These guidelines are related to procedures for developing a vision based on leadership theories, empirical research and practitioner insights (Conger, 1989; Kotter, 1996; Kouzes and Posner, 1987; Nadler at al, 1995; Nanus, 1992; Peters, 1987; Peters and Austin, 1985; Tichy and Deranna, 1986; Trice and Beyer, 1993). Such procedures involve the shared beliefs and values of members of the group or organization.

Birnbaum (2005) outlines the strategic objectives for development of organizational vision as falling into six key categories: financial, marketing and sales, products and services, operations, human resources and community. This "Hierarchy of Objectives", follows the order in which managers generally prioritize their objectives. Even not-for-profit institutions including governmental, educational and charitable, strive to develop their financial objectives first. As financial needs are first in the minds of management when setting objectives, Birnbaum (p. 50) has provided a set of strategic objectives for good management as follows:

- Prioritizing objectives
- Balancing objectives
- Limiting objectives
- Criteria for objectives
- Eliminating "Why" and "How"
- Quantifying objectives
- Keeping objectives "in concert"
- Making all of these challenging and attainable

As outlined above, implementing direction to create vision and strategies for good organizational planning and budgeting, as well as helping implement change, is the primary function of leadership. Vision is at the heart of leadership, concerned with committing, animating, believing, hoping, exciting and inspiring. Effective visions

are by definition, shared visions that test desirability and feasibility. However, in order to manage vision and mission to achieve goals in an organization, strategic planning creates and describes a better future in measurable terms, selecting the best means to achieve desired results. Developing vision and implementation strategies requires the involvement of key stakeholders to identify strategic objectives with wide appeal, and continually reassess and refine the vision.

Alignment of People

Aligning people is a basic function or activity of any leader (Kotter, 1990) ensuring that the organization structure, system, and operational process all contribute to the achievement of a mission intending to meet the needs of customers and other stakeholders (Hesselbein et al, 1996). Aligning people is more of a communications challenge than a design problem, helping to overcome problems by communicating and empowering people (Kotter, 1999). Communicating the direction as often as possible (repetition) is important for subordinates, subordinates of subordinates, bosses, suppliers and those whose help or cooperation is needed (Kotter, 1990).

In the alignment of people, the researcher would like to present two major issues. First, communication in an organization and second, connecting leadership and communication.

Organizational Structure

Basically, the term organizational structure underlies classical structural theory of the organization, merging with social organization which refers to the patterns of social interaction and creating a structure in the organization. Certo (1997) points out that traditional, organization charts are constructed in pyramid form, with individuals toward the top of the pyramid having more authority and responsibility than those toward the bottom. He describes a type of structure within a management system

consisting of both formal and informal structures.   Formal structures are defined as the relationships among organizational resources as illustrated by management and informal structures as the patterns of relationships that develop, due to the informal activities of organization members. These evolve naturally and tend to be shaped by individual norms and values and social relationships.

Additionally, Pace and Faules (1994) described the two main types of organizational structures, the tall or vertical and the flat or horizontal as follows and as Figures 2.3 and 2.4 demonstrate below:

> 1. *"Tall structures have many levels of authority, with managers exercising a narrow span of control, are often characterized by close supervision, team spirit, competition through personal relationship, gradual increases in responsibility, constant insecurity about status, emphasis on the techniques of management, and an abundance of rules and regulations. Flat organizations, on the other hand, seem to be characterized by encouraged individualistic and entrepreneurial activities"..*
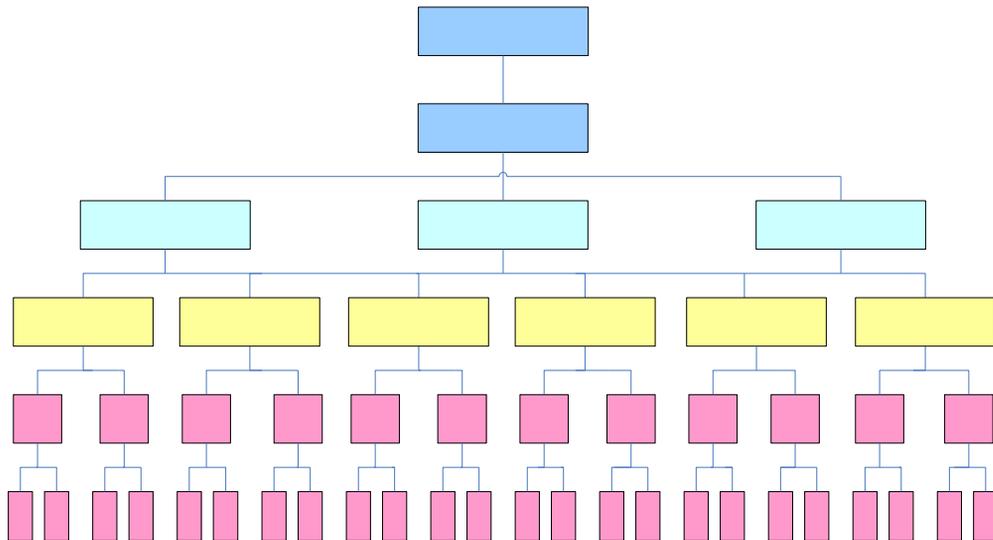
Figure 2.3 Tall Organization(Hamilton and Parker, 200l, p.50)

> 2. *"Flat structures have only a modest amount of direct supervision and fewer rules and regulations. Flat structures seem to be more appropriate for loosely supervised and technically simple, although individually more challenging, activities such as sales, services, political, and religious organizations. With its greater scope of individual freedom, flat structures more often tend to produce attitudes of enthusiasm and result in higher morale among employees"(p.34).*
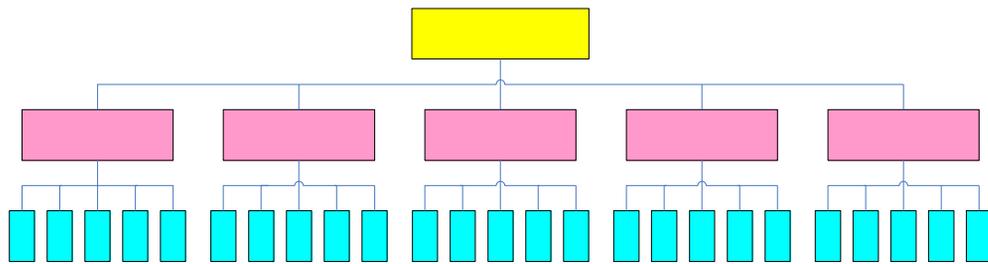
Figure 2.4   Flat Organization (Hamilton and Parker, 200l, p.50)

Miller (1995, p. 25) explains the six principles of organizational structure. These principles include scalar chain (managers in hierarchies are part of a chain like authority scale); unity of command; unity of direction; division of labor; order and span of control. When taken together, these six principles propose an organization that is highly structured and hierarchical.   All the way through the organization, communication flows through vertical and highly structured channels. In university settings, Pace and Faules (1994, p. 33) described this "tall structure" as including teaching and curricular decisions, faculty members, department chairpersons, deans, and the academic vice president. This arrangement is hierarchical or pyramidal since there are more faculty members than there are department chairs, more chairs than deans and more deans than academic vice presidents.

Organizational System

Certo (1997, p.42) depicts a system as a number of interdependent parts functioning as a whole for some purpose. In defining an organizational system, Pace and Faules (1994, pp.42-43) refer to the personality aspects the individuals bring to the system through informal pattern of interactions, status and role patterns that create the physical environment of work and future expectations. The arrangement of parts, relationships between parts and dynamics of these relationships lead to unity or wholeness. Certo (1997, p.42) points out that the system must be viewed as a whole

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and modified only through changes in its parts. Thus, the organizational system supports the organizational structure to work on the processes in order to achieve goals.

Operational Process

Certo (1997) and Kotter (1990) describe organizing as the process of establishing orderly uses for all resources within the management system. Certo delineates the fives main steps of the organizing process as follows: (1) Reflect on plans and objectives, (2) Establish major tasks, (3) Divide major tasks into subtasks, (4) Allocate resources and directives for subtask, and (5) Evaluate the results of implemented organizing strategy (p.228). These steps provide feedback that helps managers improve their existing organization.

Thus, the formal and informal organizational structures and the organization chart mentioned above generate function and level of authority and responsibility. Here, there are a variety of elements that can be used for conceptualizing the organizational level of situations that affect both leaders' and followers' behaviors.

Functional Organization

Hughes et al (2002, p. 340) expressed the view that some organizations have their structure designed around certain important and continuing functions that have both advantages and disadvantages. Austin, Conlon and Daft (1986, cited by Hughes et al, 2002) outlined the advantages of functional organizations as use of scarce resources, skill development for technical personnel, centralized decision making and control and excellent coordination within each functional department. Disadvantages can include poor coordination across departments, slow responses to change, a piling up

of decisions at the top of the hierarchy and narrow or limited views of employees on overall organizational goals.

Level of Authority

Hughes et al (2002, p. 336) point out that the level of authority concerns one's hierarchical level in an organization. The types of behaviors most critical to leadership effectiveness can change substantially as one moves up an organizational hierarchy. Blankenship and Miles, 1968; Luthans, Rosenkrantz, and Hennessey, 1985; Mintzberg, 1973; Page and Tornow, 1987 cited in Hughes, Ginnett, and Curphy, (2002) state that the first-line level of authority is the supervisors and lower-level leaders and coaches spend a considerable amount of time training followers, resolving work-unit or team-performance problems, scheduling practices or arranging work schedules and implementation. Leaders at higher organizational levels have more autonomy and spend relatively more time setting up policies, coordinating activities and making staffing decisions.

Responsibility

Wikipedia (2005) identifies the word responsibility as meaning obligation to answer for one's actions. Responsibility is one of three major elements of organizing. Certo (1997, p.251) identifies responsibility as the requirement of staff to perform assigned activities. It is the self-assumed commitment to handle a job to the best of one's ability. A person who accepts a job agrees to carry out a series of duties so the source of responsibility lies within the individual.

Communication in an Organization

This section explains the concept of communication, communication in the organization and leadership communication including skills that overcome the communication deficit pervading today's organizations. Good communication in the organizations and how leaders can use their communication skills to make a difference in their organization and in the lives of followers is also discussed.

What is Communication?

Communication can be defined as a process of sharing, exchanging, transmitting information with other individuals or among people, and creating, sustaining, and managing the use of verbal and nonverbal signs and symbols within a particular context in commonly understandable ways (Miller, 1995, p. 4; Certo, 1997, p. 329; Aswathappa, 2002, p.379; Hamilton and Parker, 2001, p.3; Conrad and Poole, 2002, p.4; Seiler and Beall, 2005, p.3).   Rourke (2001, p.22) describes basic principles of communication as dynamic—human communication is constantly undergoing change; continuous—communication never stops. Circular communication is rarely ever entirely one-way. The one-way is assisted by the rapidity with which it is capable of flowing from higher to lower levels of the structure (Guthrie and Reed, 1986, p 245).

Certo (1997) explained that:

> *"communication involves one person projecting a message to one or more other people that results in everyone's arriving at a common understanding of the message. Because communication is a commonly used management skill and ability, and it is often cited as the skill most responsible for a manager's success, prospective managers must learn how to communicate"(p.329).*

Certo (1997)   further describes successful communication as referring to an interpersonal communication situation in which the information the source intends to

share with the destination and the meaning the destination derives from the transmitted message are the same. He finds ten rules for good communication to follows:

1. Seek to clarify your ideas before communicating.

2. Examine the true purpose of each communication.

3. Consider the total physical and human setting whenever you communicate.

4. Consult with others, when appropriate, in planning communications.

5. Be mindful while you communicate of the overtones rather than merely the basic content of your message.

6. Take the opportunity, when it arises, to convey something of help or value to the receiver.

7. Follow up your communication.

8. Communicate for tomorrow as well as today.

9. Be sure your actions support your communications.

10. Last, but by no means least: seek not only to be understood but also to understand—be a good listener (Certo, 1997, pp. 335-336).

Hamilton and Parker (2001, p. 55) found good communication skills as being of major concern for any organization. Managers and employees who are skilled communicators have a smaller number of confusions, make a smaller quantity of mistakes, create less waste, and deal with disagreements more effectively. In this time of global marketing, downsizing, and continuing technological advances, good communication skills are essential. Communication skills relate to three basic areas—interpersonal and organizational, interviewing group and public. Communication skills are important because it is through communication that we gain and offer the information we and our co-workers (as well as management) need to make successful decisions at work.

The process of communication, interpersonal communication and communication skills mentioned above affects both leaders' and followers' behavior. According to Seiler and Beall (2005, p.21) interpersonal communication is an exchange of information between two or more people and includes sharing information, solving problems and resolving conflicts. Certo (1997, p. 336) explains that interpersonal communication is not only verbal but also non-verbal. Verbal communication is the sharing of information through words, either written or spoken, as in direct face-to-face speech or electronically via telephone, memos, letters, electronic mail, and newspapers, computer, radio, or television (Myers and Myers, 1982, p.10). However, nonverbal communication is the sharing of information without using words. Although this definition of nonverbal communication suggests a rather all-inclusive domain, a gray area still exists between verbal and nonverbal communication. This area, called paralanguage, is vocal but not strictly oral. Paralanguage, including stress, inflection and speed of speech, as well as non word vocalizations such as grunts, laughter, sighs, and coughs can also be used to send powerful messages (Knapp, 1972; Wietz, 1974).

Many educators stress the importance of good communication (Miller, 1995, p.4; Certo, 1997, p. 329; Aswathappa, 2002, p.379; Conrad and Poole, 2002, p.4; Seiler and Beall, 2005, p.3; Hanson, 1985; and Hoy and Miskel, 1991). However, Guthrie and Reed (1986) summarise the four main elements of the communication process as shown in Figure 2.5 below.
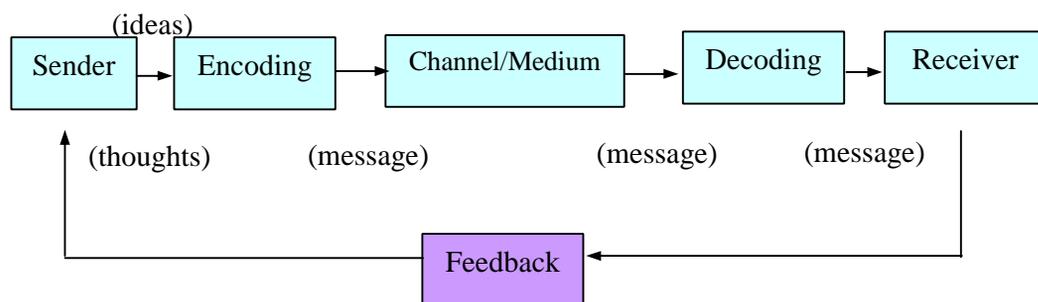
Figure 2.5 Model of Communication Process

(Guthrie and Reed, 1986, p. 326)

They are detailed as follows: Firstly, sender or source is the originator of a message. The effectiveness of this message depends in part on the level of credibility that the receiver attributes to the sender. Message is the idea that an individual—be it an administrator, teacher, student, parent— hopes to communicate to the intended receiver. The exact form of the message depends to a large extent on the channel and medium that are used to carry it. Channel or encoding and decoding is the routing pattern that the message follows. One channel is vertical (up and down, the hierarchy of authority), and another is horizontal (across the same level of hierarchy). The channel can also be formal or informal. In any case, the idea becomes a physical reality in the channel as opposed to a psychological reality in the sender's mind. Lastly, the receiver is the person who decodes the message. These four parts of the communication process are important elements of both the formal and informal communication.

Formal Communication

Formal communication flows along the official paths prescribed by the organization's chain of command, reinforcing the authority structures related to the formulation of purpose and the transmission of coordinating prescriptions for action. The flow depends on staff ability to communicate with those willing to cooperate, and the flow of orders, directives and control media from higher-level management down. The receivers are controlled and guided by these directives in the implementation of their responsibilities and tasks and in their reports back to the hierarchy that the job has been accomplished (Hamilton and Parker, 2001, p.34; Guthrie and Reed, 1986; Barnard, 1968; Scheneider, Donaghy, and Newman, 1975). This flow of communication can move downward, upward or horizontally.

Downward Communication

Downward communication includes formal messages of information that flow from people at higher levels(supervisors) to those at lower levels(subordinates) in the organizational hierarchy through instructions, speeches, meetings, the use of telephones, loudspeaker and even the grapevine (Hamilton and Parker (2001, p. 35; Koontz et al (1984, p.530; Certo (1997, p.338; Davis, 1967).   The following five types of information are usually communicated from superiors to subordinates (Pace and Faules, 1994, p. 127 cited by Katz & Kahn, 1966) as follows: (1) information about how to do a job, (2) information about the rationale for doing jobs, (3) information about organizational policies and practices, (4) information about an employee's performance, and (5) information to develop a sense of mission. Pace and Faules (1994, p. 128; Hanson, 1985, p.115) revealed that the effectiveness of different combinations of methods and types of communication situations can vary. They are written only, oral only, written followed by oral and oral followed by written. However, the most effective in six of ten situations is oral followed by written.

Upward Communication

Upward communication includes formal messages or information that flow upward from people at lower levels (subordinates) to those at higher levels (supervisors and managers) and continues up the organizational hierarchy. Effective decision- making depends on timely, accurate, and complete information traveling upward from subordinates to encourage gripes and grievances procedures, face-to-face conversation, written and oral reports, suggestion systems to cultivate appreciation and loyalty and helping subordinates cope with their work problems and strengthen their involvement in their jobs and with the organization (Hamilton and Parker, 2001, p.36; Pace and Faules, 1994, p. 130; Koontz, Donnell, and Weihrich, 1984, p313; Certo, 1997, p.338 and Quible, 1992, p.39). Pace and Faules (1994, p. 132) outlined the following seven principles of successful upward communication as applicable:

(1) it must be planned, (2) operate continuously, (3) use the routine channels, (4) stress sensitivity and receptivity in entertaining ideas from lower levels, (5) involve objective listening, (6) involve taking action to respond to problems, and (7) use a variety of media and methods to promote the flow of information.

Horizontal Communication

Horizontal communication or lateral organization communication occurs as messages flow laterally between persons of the same rank or position and is more informal than the organization chart (Hamilton and Parker, 2001, p.37; Quible, 1992, p. 41; Certo, 1997, p.338). In addition, Goldhaber (1993, p. 163) Beisler et al (1987, p. 35) describe the importance of horizontal communication in an organization when used to coordinate tasks (with employees or departments) for interpersonal rapport, to solve problems, to share information and to resolve conflicts. Moreover, Quible (1992, p. 41) describes effective horizontal communication as being influenced by the communication abilities and interpersonal relations skills of both the sender and the receiver and include face-to-face conversations and small group meetings. Horizontal communication consists of sharing information among peers within the same work unit comprised of individuals who are located at the same authority level in the organization and have the same superior. Communication between faculty members in one department and faculty members in another department is what we shall call cross-channel communication—that is, information is shared across functional boundaries, or work units and among people who are neither subordinate nor superior to one another.

Koontz et al (1984, p.532) state that crosswise communication includes a horizontal flow of information with people on the same or similar organizational levels and a diagonal flow with persons at different levels who have no direct reporting relationship. This kind of communication is used to speed information flow and to improve understanding, and to coordinate efforts for the achievement of

organizational objectives.   The importance of cross-channel communication in organizations prompted Davis (1967) to suggest that the application of three principles would strengthen the communication role of staff specialists: These include staff specialists must be trained in communication skills; staff specialists need to recognize the importance of their communication role; management should recognize the role of staff specialist and make greater use of it in organizational communication.

Both horizontal and cross-channel communication involve lateral relationships essential to effective organizational communication as shown in Figure 2.6 below:

Informal Communication

Not all messages flow along the official paths prescribed by the organization's chain of command. Many messages flow along an informal network commonly called the grapevine *(*Hamilton and Parker, 2001, p.38 ; Certo, 1997, p. 340).   This kind of informal communication exists when there are weaknesses in the formal networks. As Conrad and Poole (1998) explain:
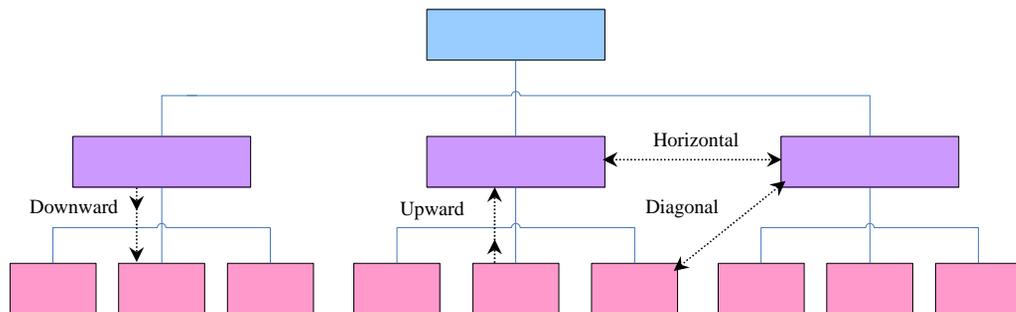
Figure 2.6 Information flow in an organization showing that horizontal and
diagonal communication flows have some common characteristics.
(Koontz, Donnell and Weihrich, 1984, p. 531)

> *"Formal communication networks allow people to handle predictable, routine situations but they are inefficient means of meeting unanticipated communication needs, for managing crises, for dealing with complex or detailed problems, sharing personal information, or exchanging information rapidly (p. 91)".*

Certo (1997, p.341) describes the grapevine as having three main characteristics including it springs up and is used irregularly within the organization; it is not controlled by top executives, who may not even be able to influence it and it exists largely to serve the self-interests of the people within it and it.

Hamilton and Parker (2001, p.38) revealed the results of research which identified five important aspects of the grapevine as: the type of information the grapevine carries indicates the health of the organization. Gossip is necessary to the maintenance of the grapevine - without it the network would dry up (March and Sevon, 1982). Information carried by the grapevine is 75 to 95 percent accurate (Caudron, 1998; Walton, 1961, pp. 45-49). Information carried by the grapevine travels fast(Hymowitz, 1988; Simmons, 1985). People who regularly use the grapevine are more satisfied with their jobs and more committed to the organization (Caldwell and O'Reilly, 1982; Conrad and Poole, 1998; p.89; Eisenberg, Monge and Miller, 1983). And effective managers use the grapevine (Hitt, Ireland, &Hoskisson, 1999, p.76).

Certo (1997) provides four models of the grapevine (Figure 2.7 below). These describe in number (1) single-strand grapevine tends to distort messages more than any other; (2) gossip grapevine informs everyone else on the grapevine more effectively than others; (3) probability grapevine communicates randomly to inform other grapevine members in the same way; (4) cluster grapevine selects and conveys information in the grapevine traveling only to selected individuals. As Sproull and Kiesler, 1992 cited by Hamilton and Parker (2001, p.41) mentioned the grapevine used to flourish around the water cooler or department coffee pot but currently it

1. Single Strand

2. Gossip

3. Probability

4. Cluster
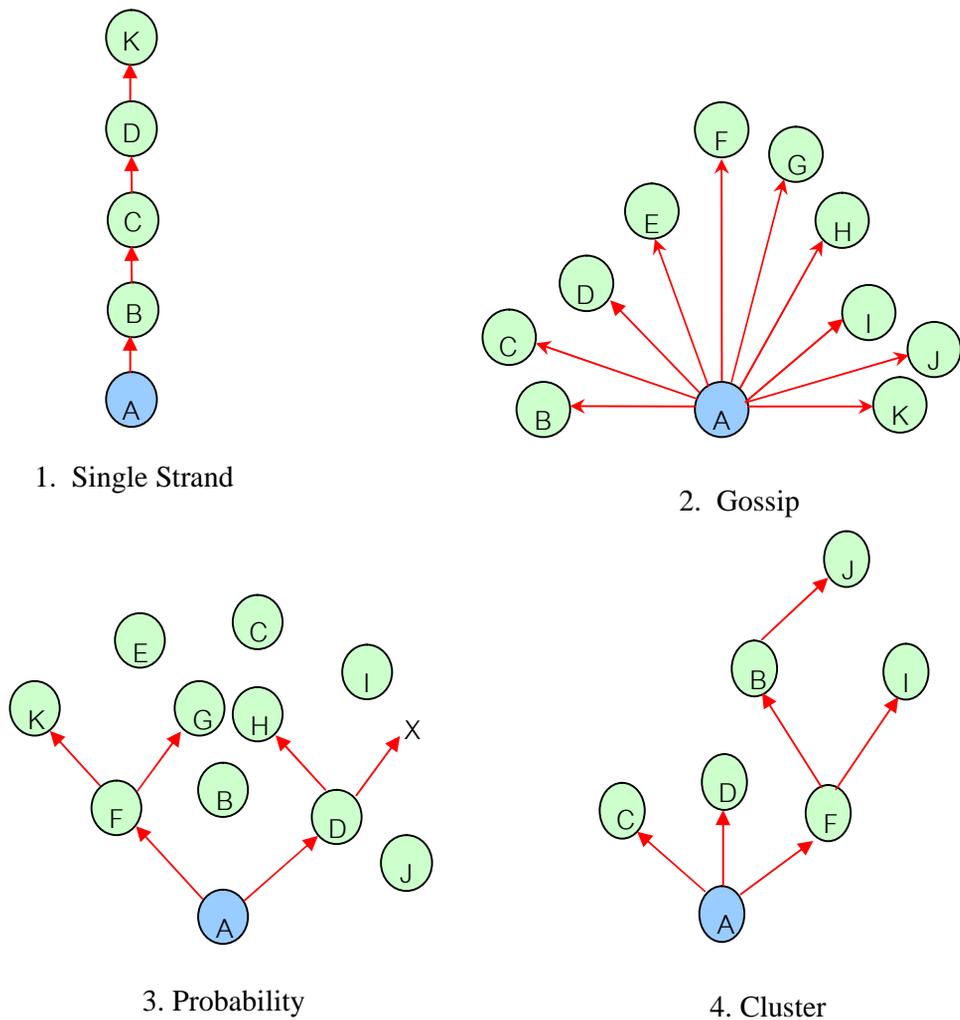
Figure 2.7 Four Models of Organizational Grapevines Certo (1997, p.341)

occurs in electronic forums and electronic bulletin boards to allow employees to transfer information and inspire creative ideas.   In addition, Certo (1997, p. 342) states that some writers argue that managers should encourage the development of grapevines and strive to become grapevine members in order to gain feedback that could be very valuable in improving the organization.

Connecting Leadership and Communication

In connecting leadership and communication, Daft (2005, p. 343) states that leadership involves communicating with others in such a way that they are influenced and motivated to perform actions that further common goals and lead toward desired outcomes. Barrett (2006, pp. 2-3) states that good leaders should guide, direct, motivate and inspire others and be able to communicate effectively. As leadership communication is about relationship building in all of its many dimensions Mai and Akerson (2003, p.14) integrating leadership communication constructs relationships and helps effectively influence and motivate others to participate or follow effectively.

Leadership Communication Factors

Barrett (2006) classifies leadership communication factors as layered, expanding skills from core strategy development and effective writing and speaking to the use of these skills in more complex organizational situations (p.6). Barrett explains that core skills are derived from strategy development and effective writing and speaking. The strategy consists of core communication skills, managerial communication skills, and corporate communication skills.

Core communication skills refer to leaders' capabilities to structure and write effective simple and complex correspondence and documents from e-mails and memos to proposals and reports. Leaders need to be able to communicate clearly, correctly and concisely and create and deliver oral presentations confidently and persuasively. Barrett (2006, p. 3) states that good communication skills enable, foster, and create the understanding and trust necessary to encourage others to follow a leader.

In managerial communication skills the capabilities more directly involve managing others, from one-on-one contact to interacting with groups and the broader organization (Barrett, 2006, p. 6), beginning with emotional intelligence and cultural literacy. Thus managerial skills expand into the corporate communication skills needed to lead an organization and address a broader community. Here, communication becomes even more complex when you need to think about how best to communicate to all internal and external stakeholders.

As Daft (2005, p. 344) points out leaders often communicate the big picture and vision rather than facts and pieces of information. Whereas a manager acts as an information processor to disseminate data accurately, a leader can be seen as a communication champion (p.344).

Communication Champion

Daft (2005) points out that good leaders do not communicate just to convey information, but to persuade and to influence others. They use communication skills to sell others their vision and influence them to behave in ways that achieve goals and help accomplish that vision. Leaders needs to establish their credibility, build goals on common ground, make their position compelling to others and connect emotionally. Good leaders are able to persuade others by emotions and adjusting their approach to match the audience's ability to receive their message(p. 357). However, Mai and Akerson (2003) point out that the four champions of organizational renewal consist of critic, provocateur, learning advocate, and innovation coach (p.168). Here, the critic refers to the ability to see things clearly and dispassionately, continually questioning and probing the status quo to standardize "best practices," in the organization. The provocateur is able to deal with conflicts and turn them into opportunities to solve problems, resolve issues, and make decisions necessary for moving ahead (p.189). The learning advocate meets new situations and challenges to adapt to changing environments by rethinking or reinventing the rules for success

(p.205); and the innovation coach, adapts to new situations, taking advantage of new opportunities and creating a new and different organization in the process (p.225).

In agreement with Mai and Akerson (2003), Daft (2005) believes that communication champions require that leaders communicate frequently and easily with others in their organization. However, for some individuals, communication experiences are unrewarding, so they may consciously or unconsciously avoid situations where communication is required.

Strategic Conversations

Daft (2005, pp346-347) states that strategic conversations take place across boundaries and hierarchical levels and are about the group or organization's vision, critical strategic themes and values that help achieve desired outcomes. Daft classifies the necessary elements of strategic conversations into four key components including open communication climate, active listening, discernment, and dialogue. Open communication includes sharing all types of information throughout the corporation, especially across functional and hierarchical levels. Good leaders want communication to flow in all directions (p.347); Good listening involves the skill of leaders grasping and interpreting a message's genuine meaning (p.349), thus expanding their role in the eyes of others and enhancing their influence(p. 351). Similarly, effective communication with followers depends on discernment. Lastly, dialogue is necessary to create a stream of shared meaning that enables people to understand each other and share their view of the world (p.533). In agreement with Daft (2005), Mai and Akerson (2003) believe that strategic conversations help employees to understand how their actions interact with and affect others and draw benefit from all their colleagues' minds.

Communicating in a Crisis

Communicating in a crisis has always been part of a leader's job. Daft (2005) points out that a leader's skill at communicating becomes even more crucial during times of rapid change and crisis. Skills for communicating in a crisis include staying calm, listening harder, being visible, telling the truth and communicating a vision for the future. A leader's emotions are contagious, so leaders have to stay calm and focused to absorb peoples' fears and uncertainties (p. 369). They also need to avoid wanting to hide and deal with their own emotions to develop a strategy for tackling the problem. However, being a leader means being visible and stepping out immediately, both to reassure followers and respond to public concerns. People want to know that their leaders care about them and what they're going through (p. 369). In a crisis, good leaders need to tell the truth and do their best to determine the facts, informing their employees and the public as soon as possible (p.369). Lastly, they need to communicate a vision for the future as the group, organization or community has to keep going, and most people want to be a part of a rebuilding process to feel that they have something to look forward to. Thus moments of crisis present excellent opportunities for leaders to communicate a vision for the future that taps into people's emotions and desires for something better (p.369).

Emotional Intelligence

Daft (2005, p.191) explains that emotional intelligence refers to a person's ability to perceive, identify, understand, and successfully manage emotions in their self and others. He classifies the components of emotional intelligence into four fundamental categories. Including self awareness, social awareness and relationship management. Self-awareness can be considered the basis of all the other competencies and includes the ability to recognize and understand one's own emotions and how they affect your life and work. This component also includes the ability to accurately assess your own strengths and limitations, along with a healthy sense of self-confidence. Self-

management is the ability to control disruptive or harmful emotions. Leaders learn to balance their own emotions so that worry, anxiety, fear, or anger does not get in the way, thus enabling them to think clearly and be more effective. Social awareness is the ability to understand others. Socially aware leaders practise empathy, which means being able to put themselves in other people's shoes, sense their emotions, and understand their perspective. Such leaders are capable of understanding divergent points of view and interacting effectively with many different types of people and emotions. Lastly, relationship management is the ability to connect with others and build positive relationships. Leaders with high emotional intelligence treat others with compassion, sensitivity, and kindness. Daft (2005) believes that leaders who have these four characteristics build a strong base of emotional intelligence to more effectively guide teams and organizations.

2.9 Motivation and Inspiration

Motivation and inspiration can be defined as the result of processes, either internal or external to the individual, that provide direction, intensity and persistence, thereby arousing enthusiasm to pursue a certain course of action and to behave in a way that ensures the accomplishment of some goal or outcome (Kanfer, 1990, p.243; Certo, 1997, p. 380; Aswathappa, 2002, p. 314; Lussier and Achua, 2004, p.74; Daft, 2005, p.294). Owens (2004, p.350) divides primary source motivation into two major approaches: extrinsic and intrinsic. He states that the extrinsic approach can be defined as a concept in which people who are hurt tend to move in order to avoid pain, and people who are rewarded tend to repeat the behavior that brought the reward. Daft (2005, p. 295) states that extrinsic rewards are given by another person, compelling an individual to engage in a task/behavior for an outside source that provides them with what they need, for example, money to survive in modern society. Thus, extrinsic motivation is highly influential in management thought.   In the same manner, universities often practise an "up-or-out" policy to motivate newly appointed junior faculty members.

Owens (2004, p.350) states that intrinsic approaches come from the cognitive and humanistic views of motivation that spring from an understanding of people as unfolding and developing both physiologically and psychologically from biological givens. He says the internal capacities of individuals, primarily emotional and cognitive, give rise to feelings, aspirations, perceptions, attitudes and thoughts.   Daft (2005, p.295) mentions that intrinsic rewards are the internal satisfactions a person receives in the process of performing a particular action. Similarly, Hughes, Ginnett, and Curphy (2002, p.257) point out that intrinsic motivation comes from the personal satisfaction and increased feelings of competence or control one gets from doing it. They explain that the key to good leadership practice is to identify the activities followers like to perform (within reason) and increase their opportunities to perform such activities.

Daft (2005, p. 295) describes system-wide rewards as applying equally to all people within an organization or within a specific category or department, and individual rewards as differing among people within the same organization or department. He explains that an intrinsic, system wide reward would be the sense of pride that comes from within by virtue of contributing to a "winning" organization. An extrinsic, individual reward is a promotion or bonus cheque. An intrinsic, individual reward would be a sense of self-fulfillment that an individual derives from his or her work. Further to the above, Certo (1997, pp.382-383) cites Porter and Lawler, to point out that rewards are very important in motivating people. Here, Certo stresses three other characteristics of the motivation process. The first of these is that value of a reward is determined by both intrinsic and extrinsic rewards that result in need satisfaction when a task is accomplished. The intrinsic rewards come directly from performing the task, while extrinsic rewards are extraneous to the task. The second characteristic is seen when an individual effectively accomplishes a task determined primarily by two variables: the individual's perception of what is required to perform the task and the individual's ability to perform the task. The effectiveness of accomplishing a task increases as the perception of what is required to perform the task becomes more accurate and the ability to perform the task increases. The third characteristic occurs

when a perceived fairness of reward influences the amount of satisfaction produced by that reward.

Motivation Theories

Theories of motivation are based on the recognition of needs. Lussier and Achua (2004, p.78-80) describe three major classifications of motivation theories. The first of these is Maslow's Theory which identifies a hierarchy of basic needs including food, achievement or monetary reward and proposes that humans are motivated by multiple needs existing in this particular order. Numerous writers believe that these needs are the source of an internal drive that motivates behavior to fulfill needs (Certo (1997, p.380; Aswathappa, 2002, p. 314; Daft, 2005, p.298; Owens, 2004, p.350; Hughes, Ginnett, and Curphy, 2002, p.257). According to Maslow's hierarchy of basic human needs, they are physiological and include security, affiliation with other people (belongingness), self-esteem and self-actualization. Applying Maslow's Theory to leaders these writers assert that they may only be successful in motivating follower behavior if they take account of their follower's position in relation to the needs hierarchy. Hughes, Ginnett, and Curphy (2002) explain that the implementation of this kind of leadership practice would be as follows:

> *"if leadership practitioners want to use Maslow's hierarchy of needs to motivate employees to work harder, then they need to determine where their followers fall on the needs hierarchy and ensure all lower-order needs are satisfied before appealing to their followers' self-esteem or self-actualization needs. Leadership practitioners should watch for "mismatches" between their motivational efforts and followers' lowest (on the hierarchy) unsatisfied needs"(p.250).*

However, a second Needs Theory has been developed by Herzberg's Theory derived from research results showing that satisfaction and dissatisfaction among hundreds of workers was quite different from those pertaining to satisfaction alone. This

prompted the notion that two factors influence work motivation, hygiene and motivation (Certo, 1997, p.380; Hughes, Ginnett, and Curphy, 2002, p.252; Aswathappa, 2002, p. 314; Daft, 2005, p.300). Herzberg looked at job satisfaction and meeting higher-level needs such as achievement, recognition and opportunity for growth, through examining working conditions, pay, policies and interpersonal relationships. Herzberg recommends: '…as a leader, recognize that individuals have multiple needs. Use factors as good working conditions, satisfactory pay and comfortable relationships to reduce dissatisfaction. Spur greater follower satisfaction and enthusiasm by employing motivators such as challenge, responsibility, and recognition' (p.301).

A third Needs Theory, developed by McClelland, is the Acquired Needs Theory. This theory focuses on the needs that people acquire. They are not born with these needs but may learn them through their life experiences (Certo, 1997, p. 387; Lussier and Achua, 2004, p.80; Daft, 2005, p.302). He maintains that the need for achievement (nAch) motivates employees with a high need for achievement. They have the desire to accomplish something difficult, attain a high standard of success, master complex tasks, surpass others and derive satisfaction from their set goals. McClelland believes that the need for achievement can be learned. Need for Power (nPower) includes the desire to control, influence or be responsible for others and have authority over others. Individual satisfaction with a high nPower is derived from being in a position of influence and control. Lastly, need for Affiliation (nAff) is a dominant motive to derive satisfaction from social and interpersonal activities, High-nAff individuals will choose their friends, exhibit the desire to maintain close personal relationships, avoid conflict, and establish warm friendships (Certo, 1997, p. 387; Aswathappa, 2002, p.326; Gainess et al., 2003, p.234; Lussier and Achua, 2004, p.80; Daft, 2005, p.302).

Lussier and Achua (2004, p.80) outlined McClelland's Acquired Needs Theory as important for understanding the close links between traits, behavior and motivation. Acquired Need is widely classified as both a trait and a motivation, since needs are

considered to be based on personality traits. McClelland sees the need for affiliation as essentially the same as Maslow's belongingness need; and power and achievement as related to esteem, self-actualization, and growth. Hughes, Ginnett and Curphy (2002, p.253) encouraged leaders to apply all three above theories, starting by determining if lower-level needs or hygiene factors are being satisfied. They maintain that in most cases it will be difficult for followers to exhibit the behaviors necessary for group success if these lower-level needs are not being met; therefore, leaders should do all they can to help followers meet these needs. In addition, Khaliq (2001, p.89) states that, in the field of management, leadership plays a significant role in affecting the motivation, commitment and predisposition of the workforce in that it provides focus, meaning and inspiration to those who work for a company. Lastly, DuBrin (1995) argues that effective leaders are outstanding motivators and coaches in modifying their workers' behavior. This type of behavior modification is a widely used motivational strategy in which effective leaders choose an appropriate reward or punishment, supply ample feedback, do not give everyone the same reward, schedule rewards intermittently and change rewards periodically.

However, Ramsden (1996) warns that appears "Motivating others… should not be confused with manipulatory practices used by strong personalities to dominate weaker ones. Leadership exists in its most natural form among equals. It is not the same as domination or the exercise of power. True leaders respect the integrity of others. Bosses demand respect; leaders give respect" (p.139).

What is Inspiration?

Secretan (2004) describes inspiration as an inner knowing that transcends any external motivation. Inspiration is a different class of experience from motivation, as natural to humans as motivation and both are an essential part of our whole. Secretan explains that motivation, which is based on fear, comes from the personality. Fear is the shadow of love and the enemy of inspiration. Fear has seeped into the lives of all

of us, diverting our attention from tasks and people and therefore, reducing our mastery and effectiveness as humans (Secretan, 2004, p.40).

According to Secretan (2004, p.xxiii) inspiration is one of the greatest needs of the human spirit. A key priority of individuals and organizations is to both be inspired and to inspire. Inspiration occurs in all of life; it is the oxygen of the soul, coming from love, not fear. Similarly, Kotter (1990, p. 63) states that inspiration often comes from the heart, whereas controls are purely driven by the head. Kotter explains that one focuses on the deepest reaches of the human soul, the other on surface behavior and its effects. Secretan believes that inspiration is as natural to humans as motivation and both are an essential part of our whole. He says that inspiration is a subject that engages us in every aspect of our lives—not just in some compartments of it, therefore a leader who does not inspire is like a river without water. Covey (2004, p.118) description of the process of inspiring others to find their voice can be summarized in two words "Focus" and "Execution". He says that for leaders to model and promote pathfinding, they need a voice of influence. Being a model involves finding attitude. They need to be trustworthy as modeling character and competence lays the foundation for trust in every relationship and organization. You cannot have trust with out trustworthiness. Knowledge of this principle, and of the principle underlying the pathfinding, aligning and empowering roles are the doorway to influence.

Modeling also involves developing strong relationship "skills" that build trust and blending voices —creating third-alternative solution to your challenges and differences with others. Furthermore, pathfinding involves leaders creating with others a common "vision" about your highest priorities and the values by which you will achieve their highest priorities.

In describing leaders, Secretan (2004) compares what he calls "new story leaders" with "old story leaders". He explain that the old story leader uses power to control others and to steal the power from them, whereas the new story leader seeks to give

power to others— the literal meaning of empowerment. This is the difference between old story leadership and new story leadership— the difference between working from the personality alone on the one hand and aligning the personality and the soul on the other—the difference between doing and being, the difference between being unconscious and becoming conscious.

Moreover, Secretan (2004, p.19) describes the creation of the model of new story leaders as consisting of the following four steps:

1. Develop a shared vision and mission. New story leaders craft a shared vision together with their leadership team—as a sort of bonding exercise.
2. Orchestrate the buy-in to the vision. Once the vision and mission statements are created and approved by all of the stakeholders, the new story leaders hit the road to drum up support for them.
3. Develop a strategy to achieve the vision. The next task for new story leaders is to develop the strategic plan that will move the organization toward the new vision.
4. Motivate employees and implement the strategy. Last, the new story leaders assemble the team that will implement the strategy.

Clearly motivation is central to leadership, nurturing a willingness to achieve the vision of an organization (Ahmad, 2001). Motivating and inspiring people by satisfying their basic human needs for achievement, giving them a sense of belonging, recognition, self-esteem and a feeling of control over their lives and the ability to live up to their ideals is vital. Good leaders motivate people in a variety of ways including coaching, feedback and role modeling, thereby helping them grow professionally and enhancing their self-esteem (Kotter, 1999). However, the task of motivating people has become complicated and taken on greater importance in the more recent downsizing of organizations with flattened management hierarchies. Empowered employees are making more decisions and managing themselves better, so that reward systems must be replaced by empowerment (Rick, 1995).

Theoretical Framework

Following an extensive review of the literature, three approaches have been selected as suiting the theoretical framework, fulfilling the purposes of this research. These include: trait approaches; situational approaches to leadership and transactional and transformational leadership.

Trait Approaches to Leadership

The Trait approach is derived from the "great man" theory called so, because it concentrates on dissertation of the inborn qualities and characteristics possessed by great social, political, and military leaders including Gandhi, Abraham Lincoln, and Napoleon (Northouse, 2004, p.15). Yukl (2002) explains that the trait approach emphasizes attributes of leaders including personality, motives, values and skills. Hughes, Ginnett and Curphy (2002, p.168) address the relationship between personality and leadership success. Hogan (1991, p.875) explains that this involves a person's behavior and that the trait approach to personality assumes that people behave the way they do because of the strengths of the traits they posses. However, Certo (1997, p. 351) describes the trait approach to leadership. This view sees the personal characteristics of individuals as the main determinant of how successful they will be as a leader. He explains that the trait approach to leadership is based on a belief that a good leader is born. As a result, it describes successful leaders as precisely as possible in order to identify individuals who should and should not be placed in leadership positions. This approach sees successful leaders as possessing intelligence (including judgment and verbal ability), past achievement in scholarship and athletics, motional maturity and stability; dependability, persistence, and a drive for continuing achievement; the skill to participate socially and adapt to various groups and a desire for status and socioeconomic position.

In agreement, Certo (1997) and Hoy and Miskel (1991) examined leadership positions and some personality traits, individual qualities and behaviors that are thought to be consistent with effective leadership. They used a multidisciplinary approach, using theories and methods from sociology, economics, history, psychology and many others. They found that differences in economic stability and emotional maturity rather than inborn traits can mean a leader is well-adjusted, calm, and secure or the reverse. They found that a leader who is emotionally stable handles stress well, is able to handle criticism and generally does not take mistakes and failures personally (Daft, 2005, p. 127).

Situational Approach to Leadership

Yukl (2002, p. 13) describes a situational approach which emphasizes the importance of contextual factors influencing leadership processes. Major situational variables include the characteristics of followers. Hersey and Blanchard (1988 cited by Carnall, 2003) offer an outwardly practical approach to situational leadership. They identify the 'maturity' of followers as a key factor in deciding on an appropriate leadership style and believe that the leader's task behavior (providing guidance and direction) and relationship behavior (team building, providing socio-emotional support) should accord with the maturity of followers. They identify four leadership styles: delegating, participating, selling and telling. Each style represents a different combination of task and relationship behavior by the leader. They described a 'telling' style as suited to those of 'low maturity', including people who are unable or unwilling to take responsibility. They recommended a 'selling' style for those who, although willing to take responsibility, are unable to do so. This includes providing direction combined with explanation, support and feedback to maintain motivation. A 'participating' style, is described as appropriate for those with 'high maturity'. They suggest that this is appropriate for able people whose motivation and commitment might be increased by involvement in decision making. Lastly, a 'delegating' style

allows 'high-maturity' followers to take responsibility for what needs to be done. Similarly, Northouse (2004, p. 87) stresses that situational leadership is composed of both directive and supportive dimensions. These situations are based on the assumption that employees' skills and motivation, the essence of situational leadership demands that a leader match his or her style to the competence and commitment of the subordinates. Consequently, he identifies leadership style and development level of subordinates within the dynamics of a situation. He classifies leadership style into four distinct categories of directive and supportive behaviors. These include directing, coaching, supporting and delegating. Firstly, a directing approach is seen as a high directive-low supportive style in which the leader focuses on one-way communication aimed at goal achievement. This approach establishes goals and methods of evaluation through setting time lines, defining roles, and showing how the goals are to be achieved. Secondly, a directive-high supportive style, referred to as a coaching approach, requires the leader to involve themselves with subordinates through giving encouragement and soliciting subordinate input. Thirdly, a supporting style approach requires the leader to take a high supportive-low directive style. The style includes listening, praising, asking for input, and giving feedback. Lastly, the fourth approach is a delegating style called a low supportive-low directive style. In this approach, the leader offers less task input and social support, facilitating employees' confidence and motivation in reference to the task. This kind of leadership lessens his or her involvement in planning, control of details, and goal clarification. Development levels refer to the degree to which subordinates have the competence and commitment necessary to accomplish a given task or activity (Blanchard et el., 1985 cited by Northouse, 2004). Another situational leadership approach described by Certo (1997, p.352) is seen as a relatively modern. This approach suggests that successful leadership requires a unique combination of leaders, followers and leadership situations.

Transactional and Transformational Leadership

Transactional leadership refers to as an exchange relationship in which the leader and followers are engaged in some kind of trade or exchange process. Transformational leadership is referred to as "New Leadership" (Bryman, 1992) which is a process that changes and transforms individuals.

Transactional Leadership

Transactional leadership provides pay and other benefits in return for work effort, including values, honesty, fairness, responsibility and reciprocity (Yukl, 2006, p. 251). Yukl sees the exchange process as concerning rewards for compliance. Components of this kind of transactional behavior consist of three factors referred to as: "contingent reward"; "active management by exception"; and "passive management by exception" (Bass, 1985; Yukl, 1994). Northouse (2004) describes components of transactional behavior as consisting of two factors: "contingent reward" and "management by exception". A central element of contingent rewards refers to exchange processes between leaders and followers. Working requirements are needed to obtain rewards and incentives and contingent rewards are used to influence motivation. Active management by exception includes both monitoring of subordinates and corrective action to ensure that the work is carried out effectively. Lastly, passive management by exception includes the use of contingent punishments and other corrective actions to be taken in response to obvious deviations from acceptable performance standards. In addition, Owens (2004) describes the heart of Burns' analysis of transactional leadership as two basic types of leadership involving the relationship between leaders and followers, based on quid pro quo transactions between them. Owen says that transactional educational leaders can and do offer jobs, security, tenure, favorable ratings and more in exchange for the support, cooperation and compliance of followers.

Transformational Leadership

Daft (2005, p.153) states that transformational leadership is characterized by the ability to bring about significant change. Transformational leaders have the ability to lead changes in the organization's vision, strategy and culture as well as promote innovation in products and technologies. Burn (1978, p.20 cited by Yukl, 1994) identifies transformational leadership as involving shaping, expressing and mediating conflict among groups of people in addition to motivating individuals. Yukl (1994) maintains that transformational leadership refers to the process of building commitment to the organization's objectives and empowering followers to accomplish these objectives. Some theories of transformational leadership also examine how leaders change the culture and structure of their organization to be consistent with management strategies for accomplishing organizational objectives. Further to this, Certo (1997, p.368) defines transformational leadership as involving inspiration of organizational success by profoundly affecting followers' beliefs in what an organization should be, as well as their values, such as justice and integrity.

Certo (1997) sees transformational leadership as closely related to concepts including charismatic leadership and inspirational leadership. He argues that transformational leaders perform several important tasks. Firstly, they raise their followers' awareness of organizational issues and their consequences. He maintains that members of organizations must understand high-priority issues. Secondly, transformational leaders must create a vision of what the organization should be, build commitment to that vision throughout the organization and facilitate organizational changes that support the vision. Transformational leadership, therefore, is consistent with strategy developed through an organization's strategic management process.

Charismatic Leadership

In contrast to trait, situational, transactional and transformational leadership styles, Bass (1998, p.5) describes charismatic leadership as inspiring the follower,

intellectually stimulating and considerate to individual needs of people. These components are identified with leaders and emulate them in order to inspire their followers through challenge and persuasion providing meaning and understanding, expanding their followers' use of innate abilities through support, mentoring, and coaching (Bass, 1985; Howell and Avolio, 1993; Bycio, Hacket, and Allen, 1995; Avolio, Bass, and Jung, 1997).

Transformational leaders are admired, respected, and trusted. Followers identify with these leaders and want to emulate them. Such leaders are seen by their followers as having extraordinary capabilities, persistence and determination. They are seen as willing to take risks and as consistent rather than arbitrary. They can be counted on to do the right thing and demonstrate high standards of ethical and moral conduct (Yukl, 1994, p. 351).

Northouse (2004, p. 175) sees charismatic leaders as transformational leaders who motivate and inspire those around them by providing meaning and challenge to their followers' work, arousing a team spirit. Enthusiasm and optimism are displayed as leaders get followers involved in envisioning attractive future states. They create clearly communicated expectations that followers want to meet and demonstrate commitment to goals and the shared vision. He says that transformational leaders stimulate their followers' efforts to be innovative and creative by questioning assumptions, reframing problems and approaching old situations in new ways. Creativity is encouraged. New ideas and creative problem solutions are solicited from followers, who are included in the process of addressing problems and finding solutions. Further to this transformational leaders pay special attention to each individual follower's needs for achievement and growth by acting as coach or mentor. Followers and colleagues are developed to successively higher levels of potential. Individualized consideration is practised when new learning opportunities are created along with a supportive climate. Individual differences in terms of needs and desires are recognized. The leader's behavior demonstrates acceptance of individual

differences. A two-way exchange in communication is encouraged and management by walking around work spaces is practised. Interactions with followers are personalized. The leader delegates tasks as a means of developing followers. Delegated tasks are monitored to see if followers need additional direction or support and to assess progress (Northouse, 2004, p. 177).

Transactional versus Transformational Leadership

Burns (1978, p.20 cited by Yukl, 1994) differentiated transactional and transformational leadership from influence, based on bureaucratic authority. In his theory, bureaucratic organizations emphasize legitimate power and respect for rules and tradition, rather than influence based on exchange or inspiration. Yukl (2002) describes the essence of his theory as distinguishing between transformational and transactional leadership. He defines two types of leadership in terms of component behaviors used to influence followers and the effects of the leader on followers. With transformational leadership, the followers feel trust, admiration, loyalty and respect towards their leader and are motivated to do more than they originally expected. However, Bass (1985 cited by Yukl, 2002 p. 253) argued that transformational and transactional leadership are distinct but not mutually exclusive processes. Transformational leadership increases follower motivation and performance more than transactional leadership, but effective leaders use a combination of both types of leadership.

Bass (1998, p.33) defined the transactional leader as one who concentrates on simple rewards and punishments. However, demands by followers for immediate gratification will cause them to be prone to accepting hasty, poorly thought-out decisions. Despite public pressure for them to "act now", transformational leaders are more likely to delay premature choice among options and to call for reconsideration of proposals. When their followers are engaged in defensive avoidance, transformational leaders bring them back to reality. Panic can be reduced or avoided by inspirational leadership, pointing the way to safety. In general, groups with leaders

that are transactional or transformational, are likely to cope better with stress than those without such leadership. Added to this , inspirational leadership will be expected to revise missions, define common objectives, restructure situations, and suggest solutions to deal with the sources of stress and conflict (Downton, 1973 cited by Bass, 1998).

Downton (1973, cited by Bass (1998) found that transactional leadership can service the structure of relationships and readiness that is already in place whereas transformational leadership adds to the structure and readiness by helping followers transcend their own immediate self-interests and increase their awareness of larger issues. Transformational leaders shift goals away from personal safety and security towards achievement, self-actualization and the greater good. Transformational leaders may have the charisma to fulfill frustrated needs for identity and alleviate any lack of social support felt by followers.

2.10 Conclusion

Leadership is a dialectical process concerned with the art of influencing, leading, directing and mobilizing a group of people with potential in a cohesive and coherent way toward accomplishment of the goals of the organization. Leadership in higher education needs to take new directions to be innovative and creative and to manage the reformation and change taking place in a globalizing world. The new direction needs to include ethics, collaboration and accountability in the context of privatization, international and distance education, volunteerism and multiculturalism. As Thai university leaders face three great challenges including integration of traditional art and humanities curriculum, limited resources, and public perception they must also deal with new levels of academic freedom, flexibility and accountability.

The roles of leadership are significant in encouraging managerial activities which direct and mobilize a group of people to achieve goals. A good leader requires the

interpersonal behavior skills to serve as leader, liaison, and figurehead; information processing skills to serve as monitor, disseminator and spokesman and decision-making skills to serve as entrepreneur, disturbance handler, resource allocator, and negotiator. At the same time the role of leader focuses on being the person responsible for the motivation and activation of subordinates. Additionally, the roles of leadership in today's rapidly changing world requires a delicate balance of direction setter, change agent, spokesperson and coach roles. At the same time, pathfinding, aligning, empowering and modeling are significant roles in leadership, energizing and mobilizing the group of people to achieve goals in the organization. Leadership

characteristics are seen to focus on personality traits related to good leadership, general personality traits and task-related personality traits through leaders' and followers' relationships. Here, the key aspect of leadership qualities are passion,

humor and empathy strength of character, general maturity, patience, wisdom, common sense, trustworthiness, reliability, creativity, sensitivity, vision, ability to communicates, values, knowledge, skills and attributes.

 Aligning people is a basic function of a leader who focuses on organizational structure, system and operational process in achieving the mission and vision. The organizational structure is made up of formal and informal structures, based on levels of authority and responsibility. Communication in an organization indicates a formal or informal flow of information in order do keep people share, exchange and transmit information to achieve the goals, mission and vision.

The available literature on motivation addresses the primary sources and processes of motivation, focusing on both intrinsic and extrinsic aspects, both involving rewards. These rewards influence people to work to achieve goals. Three major needs theories have been formulated to understand the nature and process of motivation. These include : Maslow's Theory which identifies basic needs including physiological, security, belongingness, self-esteem and self-actualization; Herzberg's Theory of two factors which includes hygiene factors of working conditions, pay, policies and interpersonal relationships, as well as motivator factors including achievement,

recognition and opportunity for growth and McClelland's Acquired Needs Theory includes the need for achievement (nAch), need for Power (nPow) and need for affiliation (nAff). Leaders who apply these three theories are able to directly affect the performance and satisfaction of their subordinates. Inspiring others addresses a basic need of the human spirit and implementation of this process involves both "Focus and Execution", including the concerns of attitude, trust, knowledge, skills, creating vision, aligning goals and empowering. Finally, good leaders need to inspire and motivate their subordinates in order to achieve the best outcomes. In overviewing the review of literature, a theoretical framework for this thesis has been devised to include three approaches: trait approaches, situational approaches to leadership and transactional and transformative leadership.

Chapter 3

Descriptions of Administration in three
Thai Universities

Introduction

This chapter briefly addresses the history of three Thai Universities and examines the key aspects of administration, academic, personnel and financial organization. Currently, Most Thai Universities operate under an administrative system governed by the Ministry of Education (MOE) which is responsible for supervision of all educational levels. The private and public universities are under the jurisdiction of the Office of Higher Education Commission (OHEC) in the Ministry of Education (MOE) through policy formulation and planning within the framework of the ninth National Education Development Plan (B.E. 2545-2549 or 2002-2006) (Kirtikara, 2002, p.12-13). These two agencies have responsibly for the standardization of curricula, personnel management, and recommendations for budget allocations including budgetary control.

History of Thai Universities

Over ten decades ago, Thai higher education vocational insititutes were established to train civil servants in law, administration, medicine and engineering. These institutes were amalgamated into Chulalongkorn University in 1917 (Ketudat, 2003, p. 63). Since 1933 three more universities have been created. During 1950-1999 there were

numerous Thai universities established both in the central part of Thailand (Bangkok) and also regional universities, including private universities. There are a number of institutes in Thailand that have been received full university status in accordance with the National Education Act in 1999. Now the number of universities in Thailand has increased to over one hundred. Currently, the Thai universities represent three major systems which are public, state autonomous, and private universities. These three types of universities are at present under the control of the Office of Higher Education Commission (OHEC) and the Ministry of Education (MOE). The three universities studied in this research were developed in this period.

Wongsothorn (2002) explains that the evolution of the effort to make state universities autonomous can be conceptualized into four periods: the first, Springboard (1964-1973); Plan (1974-1986); Beginning of the "New" (1987-1997); and the last, the ransformation of the "Old" (1999-present) (pp.1-2). Wongsothorn says that the first and second period of state universities becoming autonomous were unsuccessful because the majority were not in favour of the government proposal. There was not any action taken throughout the life of the plan (National Economic and Social Development Plan, 1982-1986). However, in the 1990's in the beginning of the "New", the state universities were successful in effecting autonomy because the ruling Cabinet required them to reconsider their proposals for them to become autonomous. One of the government 's policies was that new universities must be established as autonomous universities. Suranee University of Technology was established as the first autonomous university in 1990. Walailak University was established as the second autonomous university in 1992 and Mae Fah Luang University was established as the third autonomous university in 1998. More recently, since 1999, transformation of the "Old" has assisted state universities to progress towards becoming autonomous. The government has agreed to a policy making all public universities become autonomous by 2002 as set by the Asian Development Bank (ADB). The three universities that have been used as the focus of this study are: Suranaree University of Technology (SUT), King Mongkut's University of Technology Thonburi (KMUTT) and Burapha University (BUU).

Administrative Principles of Thai Universities

Administration of Thai Universities under the Office of Higher Education Commission (OHEC) (MUA, 2004, p.1) has been designed for both public and state autonomous universities and adapted to suit different organizational styles. The major role of the OHEC is to supervise and coordinate both public and private higher education institutions, except for specialized professional training falling under the jurisdiction of other ministries. Its major responsibility is formulation of educational policy within the framework of the National Education Development Plan and standardization of curricula (Office of the National Education Commission, 1998-99). The OHEC (2005, p.1) ensures that public universities in Thailand have their own acts, empowering University Councils to function as governing bodies. The university president is the chief administrator responsible for operating the university according to policy laid down by a University Council comprised of Chairman, President, Deans, Directors of Institutes of the university and other qualified persons not salaried by the university. The Dean's Council and the Faculty Senate are two advisory bodies that also take part in governing the university.

Thai Public University Governance

The public universities can be created either by the legislative branch through enactment of an Act of Parliament or by the executive branch through promulgation of a Royal Decree. An autonomous university is a creation of the first of these two options (Kirtikara, 2002, p. 6). Kirtikara explains that public universities being part of the civil services have been accorded privileges similar to all civil service agencies. However, difficulties have arisen when a public university that used to be a part of the civil service has become a state autonomous university and when a civil servant has become an autonomous university employee because of the requirements that state autonomous universities management control operating costs, salaries and quality of education (Vargo, 2002, p. 2).

Thai Autonomous University Governance

For State Autonomous Universities, the OHEC (SUT, 2005, pp. 1-5) has introduced innovative administration to promote flexibility of university operations. These universities are self-governing with full autonomy, having their own administrative structure and budgeting system which allows for decision-making on administrative and management matters of the university to be handled by the university itself. Currently, SUT and KMUTT operate under this system and efforts are being made to encourage other public universities to follow these examples and move away from the old bureaucratic system.

The autonomous management of academic matters, personnel and finance are the three functions of Thai autonomous universities (Kirtikara, 2002, p.6). Kirtikara states that good governance will be an important issue in management of Thai autonomous universities. An university council needs to be strengthened as it represents the government and the public interest in overall internal management of an university. He argues that an university council in a new management context is extremely important in setting the vision and direction of an university, formulating policy on education and research, managing the personnel system, and managing the budget and finance. Performance evaluation of faculties, functional units and senior administrators are to be carried out by an university council. Moreover, Kirtikara explains that an internal audit unit needs to be similarly strengthened to do internal auditing and performance evaluation, in order to simply conduct the auditing of accounts normally carried out by the National Audit Office. Reporting, auditing and assessment are to become regular features and are the manifestation of transparency and accountability dimensions of good governance.

In addition, there are many senior leaders both in the west and in the east who debate basic characteristics of good governance in universities. For example, Elson (2004) argues that "good governance isn't really innovative as it's just going back to basics. It's going back to the fact that the key to business is that operation drive accounting,

not the other way around (p.36)." His argument is based on the popular culture promoting the idea that business is not corrupt and shows that ethical behavior is the most effective in generating the greatest profit. Reddy (2004, p.36) discusses the global market and agrees with a framework of governance based on universal principles. He also explains that the main challenge of governance facing Indian corporations is related to these differences in approach to quality and integrity among some of the regulatory and governance institutions—the differences contributing to India's low rank in international transparency. King (2004, p.35) addresses a legislative approach to governance. Bisoux (2004, p.1) says that four of the world's authorities in governance illustrate widely varying viewpoints on the issue with no consensus on any one point. Underlying the national differences and legal minutiae is a common, attainable goal—to assure the accountability, transparency and integrity of corporations and their management.

Thai senior leaders in both universities and businesses argue that good governance in Thai universities is very important in running an university. Success or lack of success of an university depends very much on how well an university is governed. For instance in Thailand, Suvannavong (2003, p. 48) outlines six major characteristics of a university's good governance which consists of: (1) fairness, (2) transparency, (3) participation, (4) freedom, (5) effectiveness, and (6) flexibility. However Pscheid (2003, p. 52) indicates different factors from Suvannavong, in saying that the good university contains three aspects: providing courses with international standards, to fit with benchmarks and audits and repairing students who are in demand by industry and who are prepared for life not just for getting a job. Pscheid explains that the university of the future will have more jobs with less money. That means we have to increase efficiency. Pscheid's recommendations focus on building trust, making use of e-technology on campus and providing this to students. The important points of Pscheid's suggestions are: to standardize the process, to create trust and to implement e-campuses.

Abhisit (2003, p. 54) believes the key to the success of both the transition to autonomous universities and the running of an autonomous university in Thailand lies

in the governance issue. Abhisit identifies the key elements of good governance: as clear vision, effective and efficient systems of managing universities as a whole, transparency, academic flexibility for universities, financial freedom (freedom and flexibility to manage personnel and so on), responsibilities, honesty, participation of stakeholders and accountability. This is important because this will involve some key decisions concerning public policy, public funds and the relationships between universities and government, including quality education and producing quality graduates.

Mendosa (2003, p. 59) outlines definitions of autonomy, as involving strategic, operational, and academic autonomy, market-driven institutes and market driven schools. We have to know our market and respond to our market. Ketudat (2003, p.63) indicates that the key indicators concerning state autonomous universities are culture, location, temporal specific, and academic freedom. Ketudat maintains that all aspects including academic freedom, autonomy and social responsibility and the two major principles of universities, good management and good governance are the keys to success. Ketudat also mentions that state autonomy is the necessary degree of independence from external interference that the university requires in respect to its internal organization and governance.

Lastly, Suvannavong (2003), Abhisit (2003) and Mendosa (2003) argue that Thai universities have less autonomy and academic freedom than universities in other societies. University roles should not only respond to need but also be proactive towards well-being and be the conscience of Thai society. A public university does not have committed ownership. Good governance of universities must assure relevant, efficient, and effective management, transparency, accountability with quality output in teaching, learning and research because universities use the resources of the country be they public or private. The issues as discussed above relate to the most important aspect central to this thesis which is leadership. For an autonomous university to work successfully, it needs good leadership.

Good Governance in Thai Universities

The term "Governance" comes from the Greek words 'kybernan' and 'kybernetes'. meaning 'to steer and to pilot or be at the helm of things' (Net, 2003, p.1). The United Nations Economic and Social Commission for Asia and the Pacific (UNESCAP, 2003, p. 1) identifies the concept of "Governance" as the process of decision-making and the process by which decisions are implemented (or not implemented) in civilization. Good governance is an important mechanism of management in world universities. UNESCAP (2003, p.2) identifies the major characteristics of good governance into nine major characteristics. Similarly and in agreement with the review in Chapter 2, the United Nations Development Programme (1997, p.21) identifies characteristics of good governance in universities undergoing change in developing countries as follows:

- *Participation—academic and non-academic staff should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their intention. Such broad participation is built on freedom of association and speech, as well as capacities to participate constructively(p.21);*

- *Rule of law—legal frameworks should be fair and enforced impartially, particularly the laws on human rights (p.21);*

- *Transparency—transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them (p.21);*

- *Responsiveness—requires that institutions and processes try to serve all stakeholders within a reasonable timeframe (p.21);*

- *Consensus oriented— good governance requires mediation of the different interests to reach a broad consensus in society on what is in the best interest of the group, and where possible, on policies and procedures(p.21);*

- *Equity and inclusiveness*:*academic and non-academic staff have opportunities to improve or maintain their well being(p.21);*

- *Effectiveness and efficiency— processes and institutions produce results that meet the needs of society while making the best use of resources at their disposal. The concept of efficiency in the context of good governance also covers the sustainable use of natural resources and the protection of the environment(p.21);*

- *Accountability—decision-makers in government, the private sector and civil society organizations are accountable to the public, as well as to institutional Stakeholders. This accountability differs depending on the organizations and whether the decision is internal or external(p.21);*

- *Strategic vision— leaders and the public have a broad and long-term perspective on good governance and human development, along with a sense of what is needed for such development. There is also an understanding of the historical, cultural and social complexities in which that perspective is grounded(p.21).*

With these guidelines in mind, leaders in Thai universities, specifically those included in the present study, are in the process of actualizing good governance procedures. To provide a context for the three case studies, the backgrounds of SUT, KMUTT and BUU are following.

Background of Suranaree University of Technology (SUT)

The first case study is Suranaree University of Technology (SUT). This university is located in the western part of Thailand on 1,120 hectares of dilapidated forest in the Huay Yang Reservation area, Muang District of Nakorn Ratchasima. According to SUT (2005, p.14), this university was founded upon Suranaree College, created in 1984 during the period of the fifth National Economic and Social Development Plan. At that time, the Royal Thai Government promoted the creation of higher education

opportunities to the regional and rural areas. However, in 1988, the Royal Thai Government realized the urgency in establishing more universities in the region in response to the national development need and upgraded SUT's status to that of university . Hence, the Cabinet resolved to upgrade "Suranaree College" to Suranaree University of Technology as the first state regional university. It was also deemed to be a national and international university not under the Thai civil service system in 1990, operating its teaching processes in the same year**.**

Suranaree University of Technology is a middle-sized university sprawled over a huge green and brown color grassy field. SUT (2005, p.15) describes itself as having an exceptionally beautiful campus populated with lush lawns, no high buildings. It has the same color and style, a token symbolic tower model, and the SUT Tree ("Peep Thong" or Jasmine Tree) whose flowers are orange (one of the two university colors). It is a very attractive community. The campus has buildings gathered in clusters consisting of administrative, academic, and research buildings; a classroom complex; a library; a scientific complex; a student affairs complex; two general purpose buildings; suraniwes (student dormitories); staff housing; canteens; a university farm; a technopolis complex; a sports and health center including services building, gymnasium; and other structures and utilities. These facilities play a role in supporting and encouraging the vision and mission of the campus. The function of each building meets the requirements of the university administrative system which is called "Combined Services and Coordination of Responsibility" (CSCR). The CSCR makes use of available competent private-sector services to minimize duplicated effort, ensure economy, and increase performance efficiency (SUT, 2004-2005, p.3). The university has faculties in the Institute of Science, Institute of Agricultural Technology, Institute of Social Technology, Institute of Engineering, and Institute of Medicine. In the five faculties there are 167 academic staff with Masters and Doctoral degrees, some of whom hold leadership positions and about 714 support staff. Personnel throughout the university are employed on a contract basis. SUT enrolls more than 2,000 students per academic year.

Administrative Principles of SUT

SUT (2002) claims to be the first state autonomous university with its own managerial system. SUT has provided direction for its management by identifying a pledge, vision, mission and five strategies for development as follows:

Pledge

> *"SUT is a university town which aims to promote internal and external efficiency and academic freedom in its operations and to be a community of scholars in the arts, sciences and technology, to benefit both the individual and society. This university hereby pledges itself to excellence in all its missions: to improve the quality of life and to collect and create knowledge, moral ethos and wisdom for the everlasting development of mankind" (p.7).*

Vision

> *" Suranaree University of Technology is firmly determined to become a first class university of Thailand and a leading university in science and technology in Asia, an academic resource and a repository of knowledge, maintaining excellence in all its missions, collecting and creating knowledge, moral ethos, and wisdom for the sustainable development of the individual and society" (p.7).*

Mission

> *"1. To train high-level scientific and technological personnel to meet national development needs.*
>
> *2. To engage in research for the creation and enhancement of knowledge, and to use the results for the development of the country.*
>
> *3. To adapt, transfer, and develop suitable technology to increase Thailand's technological self reliance.*
>
> *4. To provide academic services to the public and to organizations in both governmental and private sectors.*
>
> *5. To provide national and regional cultural enrichment, especially in the arts and culture of the Northeast" (p.8).*

Five Strategies for Development

> *"1. Careful expansion through prioritization of strengths in those areas of high demand in the period of 2002-20ll, in which SUT can perform best.*
>
> *2. Making full use of resources and strengths, including generation and*

development of resources for the full use in all missions, this also includes
generating funds to support financially needy students.

3. Creating competitive advantages through the creation of innovations and quality
factors, employing suitable technology along with aggressive public relations activities
to attract faculty, personnel and students. This includes striving for excellence in all
missions to be competitive both nationally and internationally.

4. Maintaining strengths and continue to develop with transparency and accountability
for increased efficiency and effectiveness. Possible areas of focus include being a state
autonomous university; SUT's system of combined services-coordinated tasks; and
privatization.

5. Creating intellectual property arising from SUT's research and development and
followed by academic services to the public and consultation" (p.8).

Being an autonomous state university in Thailand**,** rather than a government or government agency, "SUT" was able to identify a model of organizational structure. as follows: *"SUT has instituted its own administrative structure and system in accordance with the principle of authority decentralization for self-governance and full autonomy so that decision making on administrative and management matters of the University is practically entirely with the University itself. To ensure a high degree of flexibility and efficiency in task performance, it is necessary that the organizational structure of the university be compact, but highly efficient and cost effective" (p.3-4).*

SUT (2003-2004, p.4) has identified two major organizational structures forming the highest administration authorities of the university, comprised of a body of highly qualified individuals. These include the University Council with primary responsibility for overseeing the overall operation of the university and the Academic Senate with primary responsibility for overseeing academic undertakings of the university.

According to SUT (2003-2004) the University Council is the highest body responsible for specific matters pertaining to: policies and plans; budgeting, finance and property; unit delineation; promulgation of rules and regulations pertaining to personnel administration; appointment of high-ranking administrators and granting of diplomas.

The SUT Office of Internal Auditing, reporting directly to the University Council, audits internal working bodies of the university, as well as matters involving accounting and finances, property and purchasing, computers, administration systems and other matters deemed appropriate. It is also responsible for interfacing with external auditing agencies to check internal auditing operations, accuracy of data and reporting and provide suggestions of methods to prevent possible losses or dishonest practices. The SUT Council is comprised of professional honorary members selected from prominent people in both official and private sectors, along with the Chairman, Rector, members selected from the Vice-Rectors, the Deans and Directors, the President of the Faculty Senate, representatives of university lecturers and two representatives of the non-academic staff. The Rector of the University is the executive head of the university. (SUT, 2003-2004).

The Academic Senate is the highest administrative body with primary responsibility for academic undertakings pertaining to teaching, research and academic services to the society, and safeguarding overall academic standards and quality of the university. SUT (2004-2005) explains that the Academic Senate consists of (1) the Academic Senate President, who is the Rector; (2) ex-officio members, who are Institute Deans, Center Directors, Institute Directors, Heads of Units equivalent to Institutes and Centers, and Professors; and (3) members selected from the faculty of the teaching institutes, three per Institute.

As shown in Figure 3.1, the Academic Senate of SUT has created six major supporting units including:

1. Office of the Rector, whose main responsibilities are coordination of policies for various aspects of work, including personnel administration and business management, which works closely with the administrative divisions of other primary structural units (SUT, 2004-2005, p. 5).
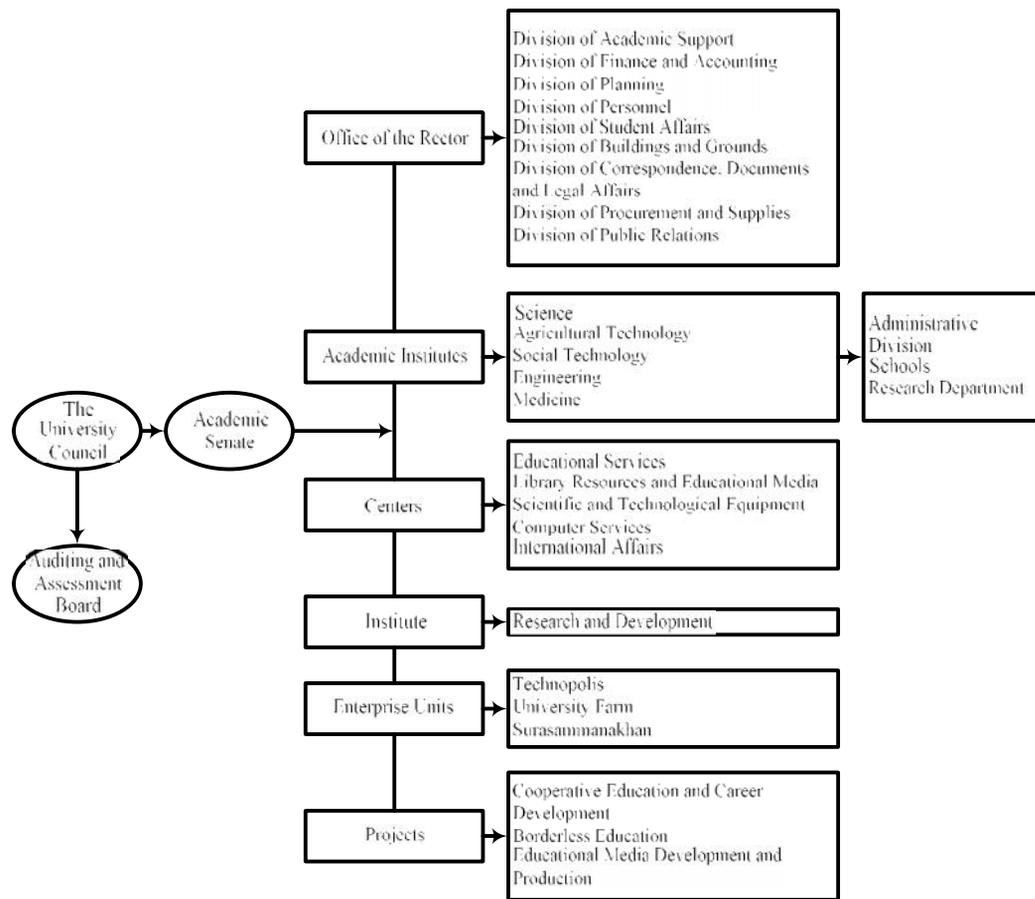
Figure 3.1 Organizational Structure of SUT (SUT, 2002, p.19)

2. Academic Institutes, whose main responsibilities are teaching and research, are composed of an administrative division, schools in the corresponding fields of study, and a research department (SUT, 2004-2005, p.5);

3. Centers, whose main responsibilities are provision of academic services to other units of the university and external agencies, and implementation of local and national culture preservation programs (SUT, 2004-2005, p.5);

4. Supporting Institute, whose main responsibilities are provision of research and development (R&D) (SUT, 2002, p.19);

5. Enterprise Units, whose main responsibilities are provision of technopolis, university farm, and surasammanakhan (a name of hotel on the SUT campus) (SUT, 2002, p.19);

6. Projects, whose main responsibilities are provision of cooperative education and career development, borderless education, and educational media development and production (SUT, 2002, p.19).

Administrative Procedures of SUT

The administrative procedures of SUT are based on its managerial system which focuses on four key aspects: finance and property; personnel; academic administration; and general administration (SUT, 2003-2004). SUT states that finance and property relate of the university income of a block-grant budget from the government. This system operates under its own financial and assets regulations according to the determination of the University Council. The Office of the Board for Follow Up, Auditing and Evaluation of Operations Output, directly under the University Council, assesses the administration of budget, operations and general administration of the University, and the National Office of the Auditor audits SUT's accounts afterwards (SUT 2002, p.21). Further to this, SUT participates in the National Office of the Auditor's Project to increase accuracy, relevance and transparency in other government organizations. The general public is also provided the opportunity to take part in the auditing of performance, collection of revenues and procurement of goods and services using suitable media, including electronic, so that others may be informed in a timely fashion.

The personnel administration system of SUT operates under principles of merit as "difficult entry and easy exit" (SUT, 2003). Employees are provided with adequately competitive remuneration to attract and retain highly qualified personnel in SUT (p.3). The academic administration system operates under a multi-disciplinary and integrative approach including a cooperative education principle (to ensure proper

balance between theory and practice), team effort, and extensive use of technology for promoting academic quality and efficiency (p.3). SUT staff (totaling 961 in 2003) are divided into three categories, academic administration, academic, and support.   The majority of academics have achieved doctoral level, holding positions of professor, associate professor, assistant professor, lecturer, and expert researcher. The Faculty of Education includes staff that are both Thai and non-Thai (p.22).

Lastly, SUT (2003) states that the general administration system focuses on an administration and service management system based on the principle of "combined services and coordination of responsibilities (CRCS)" to enable timeliness and efficiency in operations. This includes the use of available competent private-sector services to minimize duplicate effort, ensure economy, and increase performance efficiency. "Self-Governance" is another key word, enabling most of the university decision-making to end up at the University Council, the highest governing body of SUT. As shown in Figure 3.1, the university's organizational structure itself is flat, with a clear and simple division of units. Unlike other traditional systems, the academic units are arranged in clusters according to fields, allowing the university to apply its administrative and educational innovations with ease (p.3). Thus, the operations and administrative processes of SUT have become a prototype of a successful state autonomous Thai university to communicate and illuminate the concepts and experiences of autonomy.

Background of King Mongkut's University of Technology Thonburi (KMUTT)

The second case study of interest to this thesis is the King Mongkut's University of Technology, Thonburi (KMUTT), located in Bangmod Sub-District, Thungkru District, Bangkok, in the central part of Thailand. KMUTT (2004, p.1) reports that its development occurred in several steps over a period of three decades. This began with the Department of Vocational Education of MOE combining three technical

institutes of the Thonburi Technological Institute (TTI), to form (KMIT). In 1974, KMIT Thonburi campus was transferred from the MOE to the MUA and became an autonomous institute, the King Mongkut Institute of Technology, Thonburi (KMITT). In 1998 KMITT was transformed into a state autonomous university with the new title of King Mongkut's University of Technology, Thonburi (KMUTT). KMUTT is the first public university in Thailand to receive full autonomy. Presently, it is the only public university that has been transformed from a university under the Civil Services to become an autonomous public university (Kirtikara 2002, p. 4). The new 1998 University Act in the Royal Gazette gave KMUTT total control over its budget, allowing it to own and manage property and granting it authority to set up new facilities and departments as well as introduce new academic programs.

KMUTT (2004, p.1) explains that its administrative system is now patterned after international government owned universities. The size of KMUTT campus is 52 acres containing many same style inside high buildings, lush lawns, and leafy trees. The university offers more than 30 undergraduate and 50 graduate programs, granting doctoral degrees in limited areas. KMUTT enrolls over 3,000 students in each academic year. The university has eleven faculties and schools: the Faculties of Engineering, Industrial Education and Science; the schools of Architecture and Design, Bioresources and Technology, Energy and Materials, Information Technology, Liberal Arts; the Graduate School of Management and Innovation including the Institute of Field Robotics and The Joint Graduate School of Energy and Environment. The aim of the university is to produce technicians and practical engineers and technical instructors for technical colleges at the bachelor degree level; and to provide academic programs in science and technology by offering bachelor degree programs in engineering and multidisciplinary technologies. New areas in science, engineering and multidisciplinary technologies are covered at bachelor, master and doctoral degree levels, resulting in increased emphasis on research, development and international academic cooperation. Five doctoral programs in engineering and multidisciplinary technology are offered and a masters program in

applied linguistics. More recently, a bachelor program in architecture has been initiated and technical service units established.

Administrative Principles of KMUTT

The administrative principle of KMUTT is to achieve a high-ranking research status among Asian universities. The main objectives of the university are to produce undergraduate and graduate students in technological fields, conduct research into high technology and transfer new technology to private industry and business (KMUTT, 2004, p.5). The University Act establishes KMUTT as a semi-autonomous university, responsible for its own planning, budgeting and management, while remaining accountable to the government. The University Council believes that their new model of strategy and organization encourages efficiency under government governance and identifies managerial principles of philosophy, vision and mission as well as strategies for development as follows:

Philosophy

> *"KMUTT is both an educational and industrial park, producing high quality graduates and skillful human resources with a strong moral ground, conducting research and development projects, as well as providing academic services to enhance the economy and quality of lives" (KMUTT,2004, p.1)*

Vision

> *"Committed to the search for knowledge*
> *Determined to be at the forefront of technology and research*
> *Maintaining the development of morally correct and proficient graduates*
> *Endeavoring for success and honour in order to be the pride of our community*
> *Striving to become a world-class university" (KMUTT, 2004, p.4).*

Mission

> *"To develop its personnel to be capable of learning, and to develop its students*
> *to be the best academically, to have virtue, morality and work ethics; to develop the*

educational systems, educational quality assurance systems, learning systems and continuous quality management systems; and to conduct research and to utilize the findings to formulate knowledge and develop the Thai community" (KMUTT,2004, p.5).

Strategies for Development

One of the strategies for development in KMUTT is the establishment of a major direction for strengthening management and the development of a sub-unit in the university, based on government policy. This is to encourage technology uses for public management and modern management to be achieved and to support the requirement of economic and society development in the country. Particularly focus will be on using information technology; selecting available technology, low cost, able to develop and extend the life of equipment, and using information technology to develop management processes. In addition, both academic and administrative staff need to develop a quality attitude where the staff are aware of and have a "service mind" applicable to all stakeholders.

Furthermore, strategies for development include: develop laws, rules and regulations processes in a flexible public management system which is also effective, along with transparency, accountability, effective evaluation system and integrity. In regard to performance, strategies for performance include a major direction management system development for quality learning; developing laws, rules and regulations that will support educational administration effectiveness. For example, performance culture reform; to develop technology systems including Ed-net, E-office, GFMIS, MIS, GIS; and communication for administration (KMUTT, 2004, p.1).

Administrative Procedures of KMUTT

KMUTT (2004, p.8) has designed its administrative system within three dimensions including academic, financial and property and personnel management. Firstly,

academic management aims to develop undergraduate programs to meet international standards to serve the needs of Thai society. Students are to be capable of self-study and the university will open more graduate programs and evolve into a research university. At the time of writing this thesis, the university is offering undergraduate and postgraduate level programs; regular (3-4 years) and special (3 years).

The second dimension of administration in KMUTT (2004, p.9) financial and property management, operates within a block-grant budget from the government, combined with other income inside or outside the university. This system operates under its own financial and assets regulations according to the determination of the university council. The third dimension of administration, personnel management, is based on the belief that people are the university's most valuable resource (KMUTT, 2004. p.4). In this dimension faculty members and researchers are encouraged to continually seek knowledge and experience to cope with international academic progress; staff are encouraged to work with quality and efficiency; learning, brainstorming and sharing of experiences are encouraged through dynamic organization (KMUTT, 2004, p.4).

To maintain high academic standards within the faculties and schools of KMUTT (consistent with the belief that people are the university's most valuable resource), a dual personnel management system has been adopted to maintain cohesion between civil servants and academic university employees. Although this system is somewhat cumbersome, it is sensitive to attrition, as two types of personnel are working on the same job but with different compensations. As the university recognizes the need to bring about a peaceful transformation of staff cohesion within the university, the decisions of each individual wishing to change their employment status is carefully considered (Kirtikara, 2002, p.5). Existing civil servants make their own decisions as to when they want to be recruited as university employees. As there is no automatic transformation of status, applications for change must be made and evaluated by the University council. In this arrangement, employee status is accorded and civil servant

position vacancies arising from retirement and resignation are abolished and replaced with new employee positions.

In this new system, all newly employed personnel are employed on a contract basis. The 1998 KMUTT Act stipulates that the initial five years after transformation (March 1998-March 2003) is the promotion period whereby incentives are provided for those civil servants wanting to change their employment status (civil servants to employees status). Kirtikara (2002, p.5) outlines KMUTT performance evaluation system in which the university has established evaluation panels including invited outsiders and respected professionals who evaluate all its faculties, schools, research and services centers and subsidiary units. Evaluation of staff performance is conducted every semester and the data is used when a staff member applies for promotion.

The next page organizational structure of KMUTT shows that the highest administrative authority is vested in the University Council which has primary responsibility for overseeing the overall operation of the university and specific matters pertaining to policies and plans; budgeting, finance and property; unit delineation, and promulgation of rules and regulations pertaining to personnel administration. The KMUTT Council includes the Academic Council, is comprised of honorary members selected from prominent people in various professions, both from the official and private sectors, along with the chairman, the president, members selected from the vice-president, deans and directors and the president of the faculty council, representatives of the university lecturers and two representatives of the non-academic staff.

The president of the university is the executive head of the university. Within the University Council, the academic council, has the primary responsibility of overseeing the academic undertakings of the university and academic standards and quality of teaching, research and academic services to the society. The academic
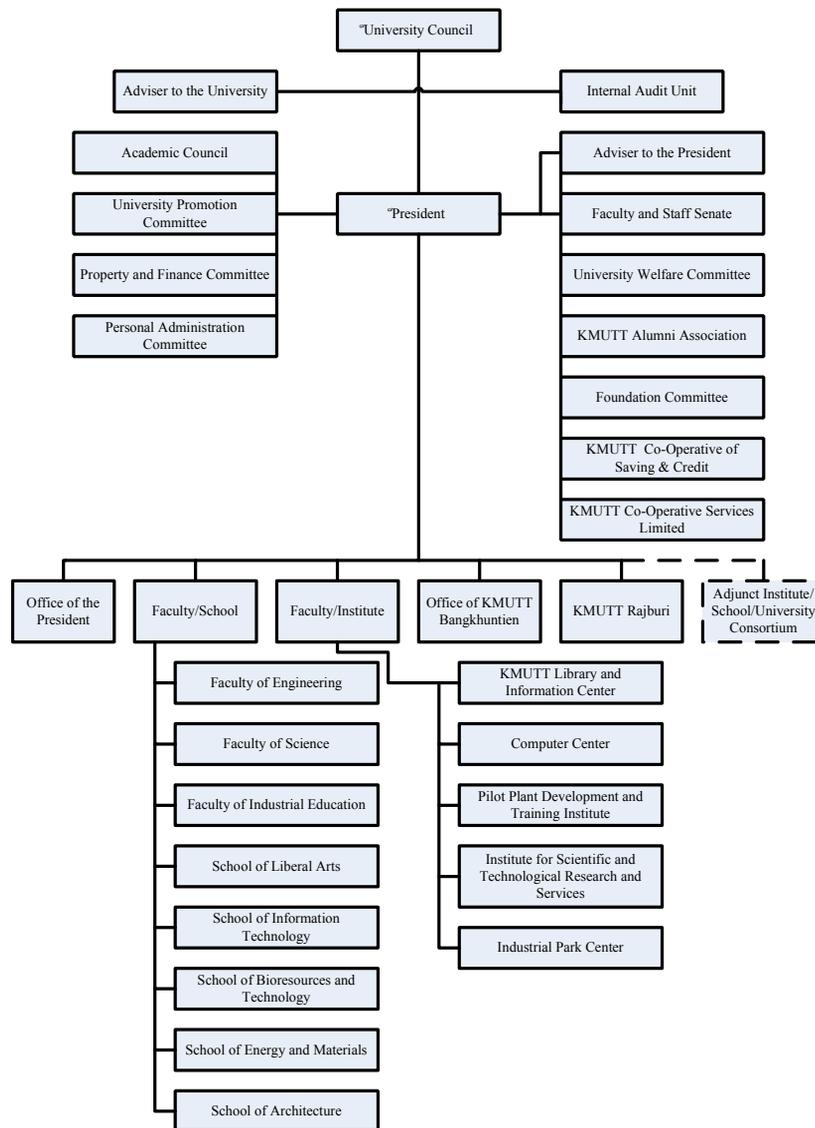
Figure 3.2 Organizational Structure of KMUTT (KMUTT, 2001, p. 3)

council consists of (1) the president, of the university; (2) ex-officio members who are faculty deans, center directors, institute directors, heads of units equivalent to institutes and centers, and professors and (3) members selected from the teaching faculties. In order to support the academic activities of the university, other administrative bodies include: promotion committee, property and finance committee,

personnel administration committee faculty and staff senate, university welfare committee, KMUTT alumni association, foundation committee, KMUTT Co-operative of Saving and Credit and KMUTT Co-operative Services Limited. The eight academic faculties and schools of KMUTT (KMUTT, 2001, p.3) consist of the faculties of engineering; science; and industrial education and the schools of liberal arts; information technology; bioresources and technology; energy and materials; and architecture. The major operating function of these faculties and schools are to provide teaching and learning, research, and academic services; while promoting and preserving the national culture. The five supporting institutes include KMUTT's Library and Information Center, Computer Center, Pilot Plant Development and Training Institute, Institute for Scientific and Technological Research and Services, and Industrial Park Center (see Figure 3.2). Being one of the top technological universities, KMUTT has a mandate to nurture leading scientists and technologists capable of performing research and development (R&D) for the broad purpose of enhancing the standard of living for mankind.

Background of Burapha University (BUU)

Burapha University (BUU) is the subject of the third case study of interest to this thesis. BUU (2002) wrote that it is a public university located in Bangsaen, Chonburi, about 100 km from Bangkok on an area of 256 acres, in the Eastern Seaboard Area of Thailand. As the first tertiary education institution outside of Bangkok, it was established in 1955 as the Bangsaen College of Education (BCE) to produce graduates in teacher education (p.9). In 1984 when the Prasarnmit College of Education in Bangkok was upgraded to university level and named Srinakharinwirot University. Bangsaen College of Education (BCE) was included as a branch campus and started to offer several other degrees besides teacher education. The BCE was included as a branch campus offering several other degrees besides teacher education. In 1990, due to the need for more college-trained personnel to implement the Government's Eastern Seaboard Development Project aimed at industrializing the area, the

Bangsaen Campus was upgraded to full university level and renamed Burapha University, meaning "University of the East" (BUU 2002, p.9).

The exceptionally beautiful BUU campus is situated at Burapha beach, with lush lawns, tall leafy trees and many difference style in and out high buildings and is greatly enhanced by the backdrop of the sun setting into the Gulf of Thailand. This campus has rapidly expanded in recent times, with enrolments in 2004 reaching approximately 12,000 students, with over 500 teaching staff and 300 general staff. There are sixteen faculties and colleges including: the Faculties of Humanities and Social Sciences, Education, Nursing, Public Health, Science, Engineering, Fine and Applied Arts, Science and Liberal Arts, Marine Technology and Medicine; and the Graduate School, Gems College, Maritime College, Graduate School of Commerce, Graduate School of Public Administration and Sport Science College. In addition, the university has a number of advanced research and service centers, such as the Library Center and University Hospital. Burapha University offers more than fifty programs of study, thirty programs at the master's degree level, one Ed.D. program, three Ph.D programs, and many short-course training programs. More Ph.D. programs in many disciplines are being set up and will be offered in the near future. Presently, BUU is in transition to becoming a state autonomous university. The new 2008 BUU Act in the Royal Gazette has been allowed BUU public university into BUU state autonomous university on January 10, 2008.

Administrative Principles of BUU

As the administration of BUU is under the Office of Higher Education Commission (OHEC), unlike KMUTT, it does not have its own system. Nevertheless, BUU (2004) has identified its philosophy, vision and mission for strategic development as follows:

Philosophy

> *"To nurture the intellect, to encourage the search for knowledge and morality, and to guide society" (BUU, 2004, p.9).*

Vision

> *"1.To offer education which nurtures the intellect and high moral standards.*
> *2. To seek new bodies of knowledge as a means towards academic excellence.*
> *3. To provide academic services that promote development, and maintain cultural heritage.*
> *4. To serve as a regional institute of higher learning and aid in the development of the eastern region of Thailand"(BUU, 2004, p.10).*

Mission

> *"1. To graduate scholars with self-directed learning skills and high standards of morality.*
> *2. To build new bodies of knowledge in a spirit of academic excellence.*
> *3. To be an academic resource with a leading role in the development of the eastern region of Thailand and the preservation of regional culture"(BUU, 2004, p.10).*

Strategies for Development

BUU has developed five policies including administrative strategies. The first policy classifies four strategies for performance as listed below (BUU, 2004):

Identifying policy which encourages autonomy for the university. This policy sets up strategies to access autonomous status for BUU:

- To improve the administrative structure of the bureaucratic system as it changes to an autonomous system, in order to have a smooth flowing academic administration, which is efficient and of a high quality.
- To set up modern information technology that provides the groundwork. Developing an information technology system for the management and academic functions of the university.
- To develop a working system that provides combined services and cooperation responsibilities. This system is needed to share administration, and academic services, as well as resources to ensure safety, efficiency, effectiveness, and quality of work.

- To organise, manage and enhance quality of work that meets quality assurance international system organization (ISO) for increasing competence and quality of work.

Supporting and conducting the personnel system of the new BUU status. This policy is needed to finish the end of nine plan (B.E. 2545-2549 or 2002-2006) (BUU, 2004). This policy classifies three strategies for performance as listed below:

- To build an administrative personnel model of BUU, which matches the administrative personnel model of autonomous status.
- To develop an administrative structure that is efficient, by effecting the development of staff, including knowledge, ability, and advancement in duties.
- To set up support and inspiring activity which involves self-development.

The third policy identifies a good governance principle to encourage administrative efficiency. This policy classifies a strategy for practice, to identify obvious policies, a clear and certain performance plan, and transparency for the development of staff, to increase efficiency and competency in the university.

The fourth policy is required to support and encourage full outsourcing from private agencies, units, and other independent organizations. This policy classifies a strategy for practice. Investigating cooperation with those private organizations meets achievement of performance and ensures cooperation for the administration of university development.

The fifth policy identifies building network cooperation with others universities both inside and outside the country. This policy is needed to meet the requirement of a strategy for practice. This required strategy is to cooperate and develop a network for supervising within the university with others universities, both inside and outside the country.

Administrative Procedures of BUU

BUU has an administrative system that covers three aspects; academic, financial and assets and personnel management. First, academic management, typically, academic management relates to two semesters in the academic year. The university offers all its programs in: undergraduate, postgraduate, graduate, and doctoral levels both on a regular program basis and on a special program basis: four-year undergraduate programs through the National Entrance Examination; four-year undergraduate programs through BUU's entrance examination; four-year part-time programs of study; and two-year part-time continuing education programs of study (BUU, 2004, p.8). Second, the financial and assets management, the university receives a block-grant budget from the government and other income to the university. This system operates under the University Financial Committee, and the Ministry of Finance. Third, personnel management, the university is aware that people are its most valuable resource; and actively encourages faculty and researchers to progress academically by obtaining knowledge and experience at all times as well as developing staff so that they become efficient. Like KMUTT, BUU has adopted a dual personnel management system where there are two types of university personnel-civil servants and university employees. This system may be cumbersome as there are two sets of personnel management systems to be observed.

Burapha University is a formal organization which is governed by its university council and members. The University Council Members are made up of various external members and ex-officio members. The organizational structure of the university is based on a functional design. Each administrative unit is linked to the president and dean or directors (senior leaders) through a head of department (middle leaders), secretary of faculty, and director of division or unit (junior leaders) teaching and general staff. This administration features a hierarchical style (see Figure 3.3).
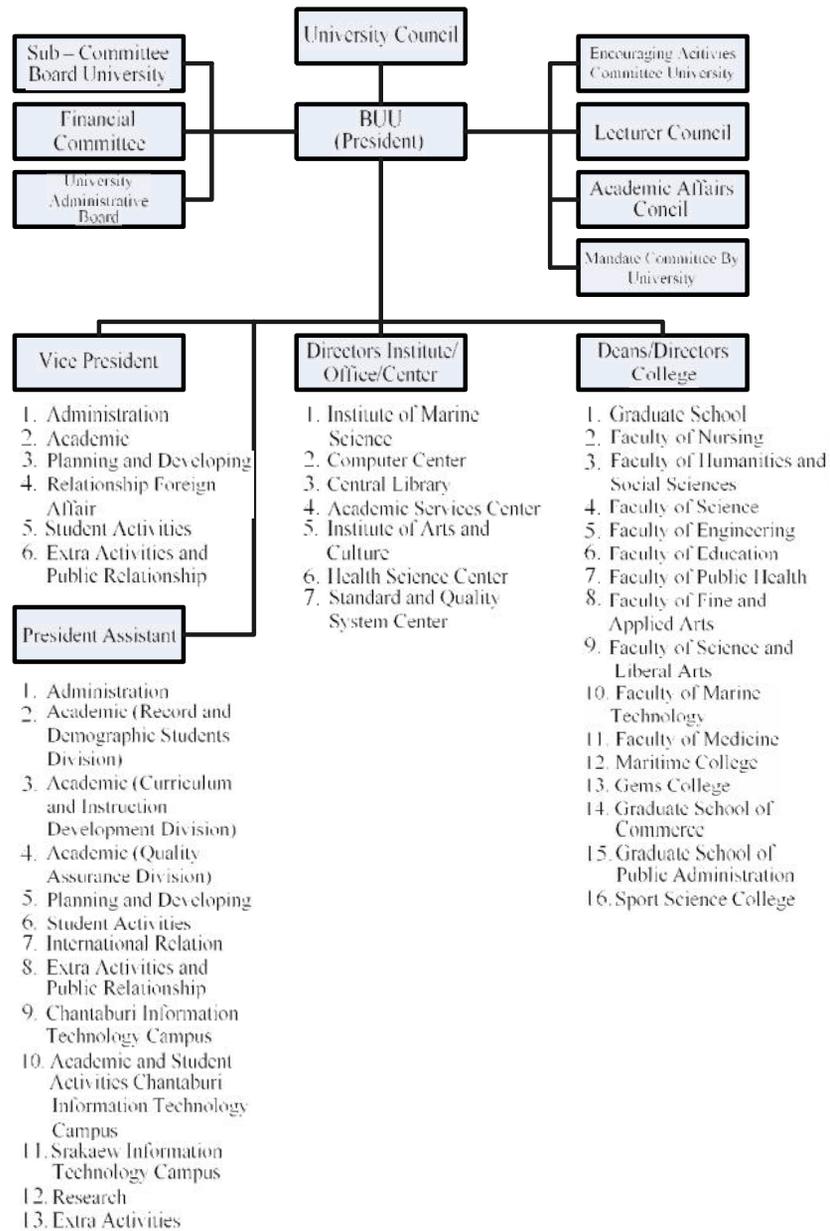
Figure 3.3 Organizational Structure of BUU (BUU, 2004, p.18)

The university is divided into 17 administrative units (BUU, 2002, p. 10): president's office, graduate school, faculties of nursing, science, engineering, fine and applied arts, education, public health, humanities and social sciences, science and liberal arts, marine technology, medicine, gems college, maritime college, sport science college, graduate school of commerce, and graduate school of public administration. In addition to the Bangsaen campus, BUU has two other campuses which are the Chantaburi Campus, and the Srakaew Campus. These two campuses are new and they include: institutes of marine science, arts and culture, social and environmental studies, computer center, health care center, academic service center (Uniserv), standard and quality system center, central library and the Piboonbumpen Demonstration School.

Comparing Models of Administration in the three Thai Universities

In comparing the administrative principles of SUT, KMUTT, and BUU elements concerning administrative leadership in the faculties, departments and supporting unit levels are discussed. In regard to original to SUT, it is the first state autonomous university, located in the North-Eastern part of Thailand and the leading university in science and technology. KMUTT is the first among public universities in Thailand to receive full autonomy and is also the leading university in science and technology, and located in the central part of Thailand (Bangkok). BUU is the first tertiary education institution ever established outside of Bangkok, to produce graduates in teacher education. It is located in the Eastern Seaboard part of Thailand (Bangsaen). Since 2004 BUU has been in the process of moving out of the public university system to autonomy. However, this has not been finalized because there still remain many elements of autonomy that have not been accepted by staff and students of BUU. So, BUU has had an extension granted to becoming autonomous, because it still needs to review some of the elements of changing its status to meet the requirements of the policy of the Ministry of Education (MOE).

In the three Thai universities reviewed, primary elements that drive administration in the various faculties, departments and supporting units are the same, including pledge, vision, mission, strategy for development, and organizational structure. These elements are dynamic and share the mission of teaching and learning, research, academic service and maintenance of art and culture. SUT is the exception in that its mission is to adapt, transfer, and develop suitable technology to increase Thailand's technological self reliance. Identifying the mechanism of administration procedures supports the mission to enhance work and staff effectiveness. It is essential that a clear model of administration is established such as the one that SUT has developed – the CSCR model for administration, along with a trimester system. KMUTT has identified the PPBS model for administration along with two-semesters. BUU has identified the BS model (Bureaucratic System) for administration along with two-semesters.   There are differences in the three of these universities systems, but they all share in good governance and quality assurance as shown below:

Elements of CSCR

- Sharing Resources
- Block grant and university earned-income
- Removes academic barriers

Elements of PPBS

- Separate Resources
- Cost effectiveness in the project block grant and university earned-income
- Maintains academic barriers

Elements of BS

- Separate resources
- Block grant and university earned-income
- Maintains academic barriers
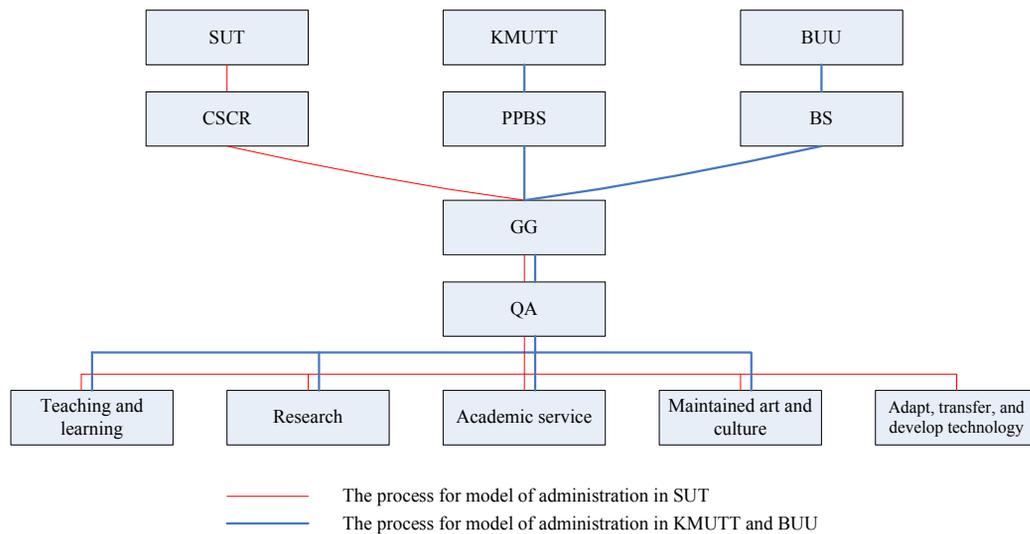
Figure 3.4 Comparing the three models of administration in the three Thai Universities.

The Key Aspects of Administration in the three Thai Universities

All universities in Thailand and other higher education institutions in the world engage in the fundamental functions of providing learning and teaching; conducting research; rendering public services; and promoting and preserving national cultures (Prudtikul, 2003, p. 219). These fundamental functions relate to the three major management functions of the three case studies undertaken here, which are: academic affairs, personnel administration, and financial administration or budget and assets. Kirtikara (2002, p.1) outlines that traditionally when university staff were part of the Thai Civil Services they were controlled by bureaucratic mechanisms. In autonomous university they will enjoy more autonomy in terms of academic affairs, personnel and financial and budget management. These procedures are implemented through faculties, department and supporting units which are clearly operated by directions as follows:

Administration of Academic Affairs

With regard to the academic management in higher education in Thailand, the Office of the Secretary General, Office of Higher Education Commission (OSGOHEC), (1998) states that the administration of the autonomous university's academic affairs depends upon principles of academic freedom under the university council. However, academic performance must be in line with the policies and procedures according to academic standards stipulated by the central authority guidelines as follows:

- *The University Council has authority to approve academic curriculum and courses offered in accordance with the standards and plans stipulated by the OHEC (p. 12);*
- *The University Council has authority to approve, establish, terminate and cancel various units in the university to ensure the greatest efficiency (p. 12);*
- *The university is responsible for development of quality assurance procedures in conformation with the policies of the OHEC (p. 12).*

The Office of Higher Education Commission (OHEC) (2001) identifies the criteria and patterns desired in higher education curriculum by:

- *Creating various curricula in response to the needs for higher education for all (p.7);*
- *Requiring quality assurance in every curriculum by developing the key quality standard index of the curriculum required by the National Education Act 1999(p.7);*
- *Supporting the learning process, research, information technology and language efficiency, advanced academic contents linking to different major field of study, academic activities enhancing interpersonal relationship, learning and working in a real situation, democratism and student-centered approach of teaching (p.7)*

- *Encouraging curriculum development and improvement (p.8);*

- *Supporting research and giving priority to institutional research, and allocating the research budget (p.8);*

- *Managing education to create the knowledge base leading to internationalization (p.8).*

- *Cooperating in producing graduates using an institution fully equipped with facilities and personnel to develop the curriculum, to set up the quality assurance verification and follow-up system for the curriculum guarantee of the graduate quality (p.8).*

The guidelines above are clearly reflected in the authority vested in the university council and its need to have a high level of involvement in the academic work of the university. Typically, the academic work in the three case studies in Thailand concerns teaching and learning, research, and academic services. The scope of teaching and learning covers curricula, teaching and learning management, academic support and control and academic supervision (Wisalaporn, 1999, p. 5-6). The curriculum refers to courses or content offered to students. Thai universities create the curricula for students at all levels of education in accordance with the curricula structure required by the OHEC(OHEC, 1999, p.3-4). The curricula implementation consists of curricula administration, evaluation and improvement (Chuanchom, 2004, p.45). These academic functions also require academic freedom. Ramsden (1998, p.25) indicates that academic freedom in the universities strongest form implies the absolute personal right to pursue the truth wherever it may be uninfluenced by 'management' and accountable only to a community of scholars. Ramsden explains that:

> *"the university as an organization receives limited commitment from its scholars; corporate loyalty, even loyalty to the department, is low: the traditional academic's reference group is the external 'invisible college', the university providing a convenient and comfortable shell in which to practice. Within this system, individuality and excellence are so highly valued that academics often display extreme levels of competitiveness"(p.25).*

Ramsden also outlines two important aspects of academic autonomy to which we need to direct special attention. The first is the curious nature of academic professionalism and its relation to management. The second is the reaction of academics to the quality process (p. 26). Martin (1999, p.4) indicates good teaching, like good contemporary academic work, involves balancing freedom with guidance (or accountability) even through, on the face of it, freedom and accountability or guidance may appear to be opposites.

Personnel Administration

There are many debates that the conceptual differences in personnel administration or personnel management or human resource management are simply interchangeable and retitled to give them a new and more contemporary image (Guest,1989 cited in Warner and Crosthwaite, 1995, p.3). In Thailand, the University Civil Service Commission is responsible for personnel administration of civil servants in all Thai public universities. Currently, the majority of personnel administration has been delegated to the universities (Office of the National Education Commission, 2001, p.30). The OSGOHEC (1998) indicates the principles of administration of personnel in autonomous universities be as follows:

- *University staff will have the status of university personnel and fall under the university's regulations overruling personnel administration (p.6);*
- *During the transitional period of changes and transformation of systems there will be assessments of each individual performance so that recruitment of university personnel can take place. Each institution may determine its own guidelines and criteria for recruitment (p.6);*
- *Salaries and remuneration will be paid according to principles of assessment and salary rates stipulated by the University Council (p.7);.*

- *The University Council will formulate rules and regulations overruling personnel administration that are fair to personnel of each individual institution, which will differ from each other accordingly(p.7);*
- *Welfare and benefits will be stipulated by each individual University Council (p.7).*

In addition, Kirtikara (2002, p.5) notes that personnel of autonomous universities are regularly evaluated like employees in the private sector and employed on a contract basis despite fears that such evaluation could be unfair and personnel could be poorly treated and easily dismissed. In fact, the key principles of the administration of personnel in autonomous universities, as mentioned above, have always involved performance appraisal of some kind. In terms of performance appraisal, Hodgetts and Kroeck (1992, p.329-330) identify it the systematic observation, evaluation and description of work-related behavior (see Figure 3-1). They describe appraisement as being used for a variety of reasons including employment decisions regarding pay rates, promotion decisions and development of job standards. Middlemist, Hitt, and Greer (1983, p. 307) describe the assessment of employee work behavior as the general purpose of determining the degree of employee effectiveness on the job. Performance appraisal has several purposes, including salary administration and employee development (p.307). Similarly, Bohlander and Snell (2004, p.337) identify the two major purposes of performance appraisal, which are administrative and developmental. They indicate that first administrative purposes include:

- *document personnel decisions;*
- *determine promotion candidates;*
- *determine transfers and assignments;*
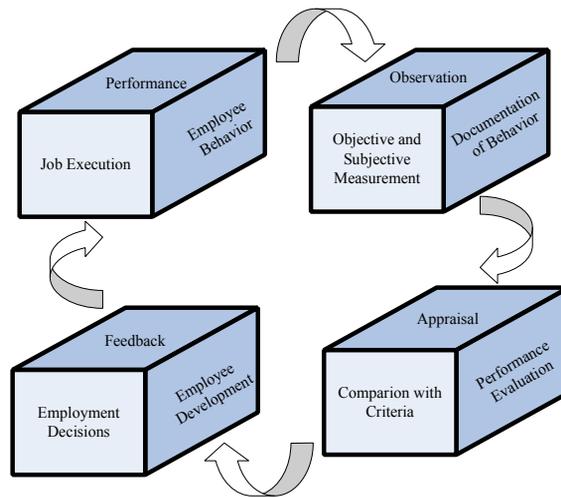
Figure 3.5   Performance Appraisal Process
(Hodgetts and Kroeck, 1992, p.330)

- *identify poor performance;*
- *decide retention or termination;*
- *validate selection criteria;*
- *meet legal requirements;*
- *evaluate training programs/progress;*
- *personnel planning;*
- *make reward/compensation decisions (p.337).*

In terms of development purposes, Aswathappa (2002, p. 171) outlines a formal definition of training and development as 'any attempt to improve current or future employee performance by increasing an employee's ability to perform through learning, usually by changing the employee's attitude or increasing his or her skills and knowledge.   The need for training and development is determined by the employee's performance deficiency". Bohlander and Snell explain the standpoint

of individual development, appraisal provides the feedback essential for discussing strengths and weaknesses as well as improving performance (p.338).   Some developmental purposes they indicate are:

- *provide performance feedback;*
- *identify individual strengths/weaknesses;*
- *recognize individual performance;*
- *assist in goal identification;*
- *evaluate goal achievement;*
- *identify individual training needs;*
- *determine organizational training needs;*
- *reinforce authority structure;*
- *allow employees to discuss concerns;*
- *improve communication;*
- *provide a forum for leaders to help.*

Bohlander and Snell describe salary administration as being concerned with merit systems and the overall evaluation of employee performance linked to pay increases allowed for employees.   They detail employee development and state that performance appraisals are also used for employee development. However, for the teaching staff of a university, it is the cultural changes that are most acute. When managing people it is essential that any institution identifies clearly the objectives that it is seeking to achieve, decides on a process by which change is going to be managed and ensures that it effectively communicates with its staff about the objectives (Warner and Crosthwaite, 1995, p.xii).

Financial Administration (Budget and Assets)

The Office of the Secretary General, Office of Higher Education Commission (OSGOHEC) (1998) identifies the principles concerning budget and assets of an autonomous university, and describes the four categories of budget and assets, of which the first category is principles as follows:

- *The government provides a block grant to the university sufficient to guarantee the quality of education it delivers. This block grant will be considered as the university's own income (p. 7)*
- *The university must stipulate its own system of budget, accounting and finance and assets management. The State Audit Office will subsequently post auditing its accounts and follow up on its budget expenditure (p.7);*
- *The income of each university need not be transmitted to the Ministry of Finance according to the laws regarding treasury reserves and laws concerning budget procedures (p.8);*
- *In cases where income generated is insufficient to sustain the university's operations and funds cannot be procured from other sources, the government should, as deemed necessary, allocate additional funds from the national budget (p.8);*
- *The university can hold ownership rights to its property and assets (p.8);*
- *The university has the right to manage, maintain, use and benefit from property owned by the State Property. Income generated from such operations should be considered as the university's income (p.8);*
- *Assets derived from donors or purchased with the university's income should be considered as property owned by the university. It may utilize and control its utilization and sell or exchange for the benefit of educational purposes (p.8);*
- *Aside from the state-allocated budgets, the income generated by the university from various sources should be utilized as additional resource to strengthen its academic capacity considerably (p.8).*

The second category involves budget allocation, which concern the OHEC in collaborating with the Bureau of the Budget to ensure that operations proceed under the same principles. That is, to see to it that budgets are allocated to the university in terms of these two types of block grants. The first type engages annual budget support to each university and comprises two kinds of recurrent and capital expenditures:

(a) *Recurrent expenditures* which are expenses related to the mission of delivery of the universities. The State provides funding in terms of cost per head so as to ensure the provision of education with at least the minimum standard and sufficient to guarantee the quality of education. Funds are allocated from the national budget while the university's income will be added to the budget with appropriate proportions. Regarding expenditures for other main missions, financial support should be sought from the government according to the project or activity (p.9) and

(b) *Capital expenditures*, where government provides funding for individual projects or according to the specific conditions of each university and availability of the national budget (p.9).

The second type involves the establishment of an endowment fund. In principle each university should set up an endowment fund with the objectives of using its interests for the affairs of the university and top up from to the national budget in cases where that is insufficient income to contribute to academic excellence. The university will contribute to the establishment of the endowment fund on an annual basis and the government adds to it depending on availability of funds from the national budget (pp.9-10).

In terms of budget management, each university should adhere strictly to the principles of transparency and benefit from earnings derived therefrom. The task of managing the budget is the responsibility of each University Council in accordance with the following principles:

- *The national budget is allocated in the form of a block grant and regarded as its income. It is therefore the authority of the University Council to decide on the budget*
- *Allocation according to the project proposals submitted by the university. Other sources of income may also be add up to the annual budget allocation (OSGOHEC, 1998, p.10);*
- *The university is responsible for setting up of its own financial, accounting and supplies systems. The Office of Higher Education Commission has plans to develop unit cost budgeting system for all autonomous universities that could be adapted for future use (OSGOHEC, 1998, p.10);*
- *The State Audit Office will monitor the university's spending according to regulations stipulated by the University Council (OSGOHEC, 1998, p.11);*
- *The Office of Higher Education Commission, in collaboration with related government agencies such as the Bureau of the Budget will develop systems of monitoring and inspection of performance as follows: (1) Performance Monitoring System; (2) Financial Report System; and (3) Annual Report System (OSGOHEC, 1998, p.11).*

Furthermore, in relation to the management of university assets, several universities have made amendments to the present University Acts so as to enable them to be able to maintain and benefit from their immovable properties. The same should apply in the case of autonomous universities, the notion being that the university should have ownership rights to its immovable properties so as to gain full benefits and be able to make use of the income generated. Immovable properties may be categorized as:

- *Immovable properties that are State Property, public land and reserved forests designated for use by the university. It has the freedom to handle, make use as it deems appropriate in ways that are beneficial to education (OSGOHEC, 1998, p.11);*
- *Immovable properties derived from donations or purchased with funds from the university's own income and owned by the university come under the*

control of the said university and may be used for educational purposes or put up for sale or exchange (OSGOHEC, 1998, p.11).

Kirtikara (2002, p.1) outlines the major sources of income of public universities come from annual government budget allocation, student fees, hospital incomes, incomes from research, development and consultancy work, student loans and overseas loans. He explains that higher education reform calls for replacing direct financing to public universities, which have been practiced from the beginning, supply-side financing and into demand-side financing by providing loans to students. In this undertaking, unit costs must be developed.

Neumann (1992, cited by Bass, 1998 p. 30) described financial crises and means of coping with stress in the university. For example, one president provided interpretation, meaning, structure, and implications for the future as their priority deemed was more effective by the faculty in dealing with the financial crisis than was a second president who concentrated on financial analysis, number, codes and technical terms.

Transformation from public universities, under the civil services into autonomous public universities, increases independent administration systems. Changing to a new system is reflected in the administration of leadership positions at all levels including senior leaders (deans or directors), senior staff (heads of departments) and junior staff (secretaries or directors of supporting units) as well as in administrative behavior. Therefore, leaders must incrementally manage art and science in administration simultaneously. The essential element in this situation is good governance.

Conclusion

This chapter emphasized new management in the three Thai universities, namely Suranaree University of Technology (SUT), King Mongkut's University of

Technology Thonburi (KMUTT), and Burapha University (BUU) . In line with Thai government policies, there are paradigm shifts not only in these three Thai universities but also in other universities, colleges, and academic institutions. These policies have an impact on senior and non-senior leaders in the three Thai universities' faculties, departments and divisions or supporting units. In agreement with Daft (2005, p.7) rapid environmental changes are causing fundamental shifts that have a dramatic impact on organizations and present new challenges for leaders. These shifts represent a transition from a traditional paradigm (stability, control, competition, uniformity, self-centered, and hero) to a new paradigm (change and crisis management, empowerment, collaboration, diversity, higher purpose, and humble). Daft describes essential elements of the leadership process which influence the relationship between leaders and followers who intend real changes and outcomes and reflect their shared purposes, including roles, duties, and responsibilities through staff development, professional development and learning organization.

Without good management and good leadership, senior leaders, senior staff and junior staff will be disadvantaged in strategic staff development plans for continually increasing leaders' professional potential. As stated by McCaffery (2004, p.179) staff development at an organizational level needs to be integrated with the institution's overall human resource strategy which includes the institutional policies, programs and procedures which facilitate and support staff . At the individual level, staff development involves new skills; new ways of seeing things; new attitudes; new sets of feelings and a new level of consciousness. Moreover, as McCaffery outlines, the new way of staff development occuring in the UK 'new' university provides a learning opportunity which:

- Enhances the ability of individuals, teams and the institution to deliver to the university's mission and strategic plan;
- Enables staff to carry out their current and future roles effectively and to adapt to change;

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- Assures the quality of teaching, learning and research and the services which supports them. (p.179)

In summary, the ideal of the near-universal tendency among higher education and institutes (HEIs), to promote staff development as a continuous and ongoing process involves anticipation, where senior and non-senior leaders are expected to establish behaviours and practices which actively encourage continuous professional development among staff at all levels.

Chapter 4

Methodology and Procedures

Introduction

In order to develop an informed proposal for change in administrative leadership requirements at the Burapha University (BUU) in Chonburi Province, Thailand, a case study approach focussing on the three levels of administrative practice of three universities in Thailand (SUT, KMUTT and BUU) has been chosen. These universities have been chosen because they provide contrasting experiences in the process of becoming autonomous. This research has been undertaken to find ways to assist senior leaders and administrative staff at BUU to effectively deal with its newly autonomous state, through identifying the most suitable way to establish direction, align people, and nurture motivation for greater job effectiveness.

The research utilises a triangulation approach to discover insights and understanding from the perspectives of those in the process of leadership change in SUT, KMUTT and BUU, in relation to patterns of management, administrative strategies, communication system, performance evaluation approaches, motivation and inspiration and leadership characteristics. Therefore, in order to establish suitable methodological procedures, this chapter discusses the preferred approach of a grounded theory in the conducting of qualitative interviews, observations and document research necessary for composing the three unique case studies.

Case Study Approach

Stake (1995, p.2) indicates that the case is an integrated system with actualities that are dynamic and change all the time. Case studies attempt to convey understanding of a procedure or incident as perceived by the leaders in that incident. Yin (1994) points out that 'a case study is an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident'. In agreement, Stake (1994, 95) believes that a qualitative case study is an intensive, holistic description and analysis of a single instance, phenomenon, or social unit.

Miles and Huberman (1994) emphasize the importance of thinking of a case study as 'a phenomenon of some sort occurring in a bounded context'. They say that a case study may be selected because it is intrinsically interesting to a researcher who could study it to achieve as full an understanding of the phenomenon as possible. Therefore, in the context of this research, the three unique but complementary case studies are treated as single entities, each representing units around which there are set boundaries.

Qualitative Research using a Grounded Theory

In order to understand the processes of leadership in the three Thai universities investigated in this study, the essential elements of leadership in administrative processes have been qualitatively analyzed using a grounded theory approach. As Strauss and Corbin (1998) describe it, employing qualitative research concerns peoples' lives, lived experiences, behaviors, emotions, and feelings, as well as their organizational functioning, as well as social movements, cultural phenomena and interactions between nations (p.11). Furthermore, Merriam (1998) states that using qualitative research inquiry helps researchers to understand and explain the meaning of social phenomena with as little disruption of the natural setting as possible (p.5). Thus,

in agreement with Strauss and Corbin, this study has adopted a grounded theory based on the emergence of data that 'fits the situation', rather than starting with a hypothesis, and systematically organizing this data to describe both explicit and implicit aspects of the phenomena.

Strauss and Corbin (1990, p.24) identify that the purpose of using a grounded theory approach is to develop a theory about phenomena of interest that is faithful to, and illuminates the area under study. They summarize the analytical procedures of this as follows:

- Build rather than only test theory;
- Give the research process the rigor necessary to make the theory "good" science;
- Help the analyst to break through the biases and assumptions brought to, and that can develop during, the research process;
- Provide the grounding, build the density, and develop the sensitivity and integration needed to generate a rich, tightly woven explanatory theory that closely approximates the reality it represents (p.57).

Pandit (1996, pp. 1-2) presents Strauss and Corbin's principle of the three basic elements of grounded theory as concepts, categories, and propositions. Here, it is from the basic units of analysis formed in the conceptualization of data, not the actual data per se, that theory is developed. Firstly, in theorizing the concepts, Strauss and Corbin (1990 cited in Pandit 1996, pp. 1-2) explain:

> *Theories can't be built with actual incidents or activities as observed or reported; that is, from "raw data". The incidents, events, happenings are taken as, or analyzed as potential indicators of phenomena, which are thereby given conceptual labels. If a respondent says to the researcher, "Each day I spread my activities over the morning, resting between shaving and bathing," then the researcher might label this phenomenon as "pacing". As the researcher encounters other incidents, and when after comparison to the first, they appear to resemble the same phenomena,*

then these, too, can be labeled as "pacing". Only by comparing incidents and naming
like phenomena with the same term can the theorist accumulate the basic units for
theory (p.7).

In organizing the data observed, categories, the second element of grounded theory,
are formed. These are defined by Strauss and Corbin (1990) as follows:

> *Categories are higher in level and more abstract than the concepts they represent.*
> *They are generated through the same analytic process of making comparisons to*
> *highlight similarities and differences that are used to produce lower level concepts.*
> *Categories are the "cornerstones" of developing theory. They provide the means*
> *by which the theory can be integrated (p. 7).*

Propositions, the third element of grounded theory, indicate generalized relationships
between a category and its concepts, and between discrete categories. Thus, the
generation and development of concepts, categories and propositions is an iterative
process. Grounded theory is not generated a priori and then subsequently tested. As
Strauss and Corbin (1990) state:

> *..... [grounded theory is] inductively derived from the study of the phenomenon it*
> *represents. That is, discovered, developed, and provisionally verified through*
> *systematic data collection and analysis of data pertaining to that phenomenon.*
> *Therefore, data collection, analysis, and theory should stand in reciprocal*
> *relationship with each other (p.23).*

Unique Case Studies for this Research

The three Thai universities selected as cases studies for this research reflect the three
different stages of transition to an autonomous system being promoted by the Thai
government. Although they do not share the same system of governance, they do share

the processes of administration, decentralization and delegation that are operative under the OHEC and MOE. In these case studies, I describe the practice and procedures of senior leaders and administrative staff, based on the universities' pledges, visions, missions and strategies for development. These procedures have been essential, following the government policies under the MUA in the past and the Office of the Higher Education Commission (OHEC) under the present reform policy.

The first case study is of SUT which has developed an administrative system that is different from other civil service systems in Thailand in order to formulate a highly effective, international level of educational administration. This is a Combined Services and Cooperation Responsibility (CSCR) with its own administrative system under both the OHEC and MOE. The CSCR procedures emphasize a sharing of resources which has resulted in the collaboration of all academic and administrative staff to promote integration of human resources and teaching and learning, together with facilities including an administration building, scientific laboratories, library, computer center and equipment center.

The second case study is of KMUTT the first public university in Thailand to receive full autonomy in March, 1998. Its administrative system is now patterned after other international, government owned universities in Thailand. KMUTT has developed its own administrative system entitled the Programming Project Budget System (PPBS), which includes responsibility for planning, budgeting and management, with the participation of, and accountability to, OHEC and MOE.

The third case study is of BUU is a public, regional university in the east of Thailand that is in the early stages of becoming an autonomous university. Its bureaucratic administrative system(BS) is directly under the control of OHEC and MOE.

Participants

The aim of data collection in formulating the three case studies has been to interview people in leadership situations both willing to and capable of sharing their experiences over a period of time, to act as key informants. Participants chosen to inform the content of the three above mentioned case studies comprised twelve volunteers from both senior and junior management. Firstly, the top-echelon of informants; the top-echelon means senior leaders in three levels included four deans (one each in SUT and KMUTT, and two in BUU); secondly, the senior staff informants included four heads of schools or departments (one each in SUT and KMUTT, and two in BUU); and thirdly, junior staff informants included four Chiefs or Secretaries (one each in SUT and KMUTT, and two in BUU). These volunteers include both male and female and their ages vary from about 44 to 58 years old. Selection of these people was based on having key informants who were personnel with more than ten years' employment at their respective universities (see Table 1 below). These informants were individuals who have provided useful insights into their staff, and steered the researcher towards useful information and contacts. In accordance with Thai culture, the researcher was sensitive to the need for reciprocity between the investigator and the subjects being studied, so that something was able to be returned to them in exchange for their information .

Ethics Considerations

In order to comply with requirements of the Faculty of Human Research Ethics Committee of Victoria University, the twelve selected volunteers including senior leaders, senior staff and junior staff, were officially invited to participate, all signing consent forms prior to participating in the study (see Appendix D). They were offered the right of withdrawal from the project at any given time. Pseudonyms were used to safeguard them against identification and protect confidentiality. Presidents of the three Thai Universities granted formal permission, forwarding three letters to my

supervisor, Professor Maureen Ryan. They also granted formal permission for me to interview senior administrators and senior and junior staff and to have access to the various documents in the three Thai Universities (see Appendix C).

During interviews, participants were informed that if they felt uncomfortable about the recording of individual parts of the interview, the recorder would be switched off. All the administrators agreed on these conditions. At the conclusion of the data collection, each participant received a copy of the final summary of the findings. They were also guaranteed that no one else would listen to the tape recordings or see the transcripts.

Table 1: Background Information for the Participants (Codes Replace Names)

Participants (top – echelons)	Sex	Age	Experiences of Working (more than 4 years in their positions)
A1(SUT)	M	56	7
A2(SUT)	M	54	7
A3(SUT)	F	45	12
B1(KMUTT)	M	58	7
B2(KMUTT)	M	47	6
B3(KMUTT)	M	47	10
C1(BUU)	M	55	7
C2(BUU)	F	56	6
C3(BUU)	M	45	6
C4(BUU)	F	46	5
C5(BUU)	M	45	10
C6(BUU)	F	44	10

Data Collection and Procedures

Preparation for Data Collection

Permission to conduct face-to-face in-depth interviews in three selected universities in Thailand was granted by the Victoria University Ethics Committee prior to endorsement received from SUT, KMUTT and BUU and the study took place between April 1 and August 31, 2004. Copies of an official letter were also sent from my supervisor to the president/rector of the three Thai universities enclosing the ethics application, research proposal and permission for semi-structured and unstructured interviews. Subsequently, the researcher sought information from the Thai Government Organizational Directory 2003-2004 in order to contact the selected key informants by telephone. These informants were then contacted directly by the researcher prior to completing the necessary documentation in order to fulfill the ethics guidelines of Victoria University. Meanwhile, preparation of materials included collection of information relevant to each participant in order to prepare questions for semi-structured and unstructured interviews, a face sheet (the form to collect personal information and action from the interviewee) and field note forms (to note areas of interest, concern, questions or gereral assertions) (see Appendix J). Equipment for tape recordings and videos as well as a digital camera were also organised.

In-depth Interviews

In-depth interviews are a tool of data collection that allows the researcher to freely investigate a situation. However, they require great skills in eliciting and listening if they are to be effective (Coleman and Briggs, 2002, p.149). Eyles (1989) states that 'a semi-structured face-to-face interview is designed to qualitatively analyse respondents' free-format comments on the main subject (p.380). As Flick (1998) explains, semi-structured interviews are widely used due to the expectation that subjects' view-points

are more likely to be expressed in a relatively openly designed interview situation than in a standardized interview (p.76).

In accordance with Eyles (1989) and Flick (1998), the researcher has used semi-structured in-depth interviews to guide the interview process, while at the same time allowing the interviewees freedom to express their full range of experience. Through this, the interviewer was able to gain new insights for further investigation and reconstruct the subjective theories presented. These included assumptions that were explicit and immediate, occurring when the interviewees expressed themselves spontaneously through answering the open-ended questions provided (Flick, 1998, p. 82).   In this research, a total of twelve voluntary participants independently underwent the interview process. They were selected based on working experience and levels of involvement in the top-echelons of their universities. Interview times varied in length from sixty to ninety minutes based on the 'sensitising' concept that allows researchers to quickly grasp meanings implicit in social situations (Glaser and Strauss (1969), Peshkin (2000) and Harry, Sturges and Klingner (2005). All participants were willing to participate in follow-up interviews when more information was required. Interviews were recorded using both note-taking and taping to facilitate minimal interruption in the interview.

Interview Procedures

The opening interviews for case studies of SUT, KMUTT and BUU were conducted in late April and May 2004. Senior leaders were asked to describe their experiences in administration and management including: visions; strategies; roles of leadership; duties and responsibilities; important elements of leadership; characteristics of leadership; communication systems; assessments and indicators of assessments; development, motivation and inspiration of staff; problems and obstacles of leadership; and collaboration of staff. The second round of interviews was conducted during May and June 2004; the third round in late May, June and August 2004; and the final round

during August and September 2004 (see Appendix E). The second and third rounds of interviews explored such things as concepts, categories and sub-categories of uniqueness; patterns of management, administrative strategies; communication system; performance evaluation approaches; motivation, inspiration and characteristics of leadership (see Appendix H).

In undertaking the in-depth semi-structured interviews, the researcher firstly introduced herself and thanked the participants for granting the interviews prior to informing them of the scope of discussion. Interviewees were informed that interviews would be audio taped, and assured them of complete confidentiality. At the start of the interviews participants were invited to include any issues as they arose during the course of the interview. Interviews were aimed at finding out the primary functions of leadership respondents in establishing new directions, aligning people and motivating and inspiring staff to creatively participate in the educational processes of their particular university.

Other Types of Data

The process of data collection in this study not only included individual in-depth, semi-structured interviews, but unstructured interviews, field notes of observations and documentary evidence. This combination of data types has been based on literature discussing leadership processes including establishing direction, aligning people, and motivating and inspiring through the process of research questions (Kotter, 1990). Here, initial questions were followed by probes in order to receive complete information covering all dimensions of the research. Available information reflecting the occurrence of significant issues leads to an increase in the expression of experiences, ideals, feelings, attitudes, and values from the viewpoint of interviewees. Following the completion of individual in-depth interviews, the researcher transcribed recordings and began to interpret the transcripts, identifying codes to record concepts, properties and dimensions to verify, enhance and complete the recording of data.

Prior to their interview, participants were requested to supply relevant documents to assist in the triangulation of data to establish the trustworthiness of administrative leadership responses in the study. These documents consisted of university acts, annual reports, policies, quality assurance manuals, rules and regulations, papers and newsletters.

Triangulation Techniques and Data Analysis

Triangulation Techniques

Denzin (1970) proposes that the use of a triangulation approach provides greater validity and reliability than a single methodological approach. As Coleman and Briggs (2002) state, triangulation compares many sources of evidence in order to determine the accuracy of information or phenomena (p. 68). These authors maintain that the two main triangulation techniques involve using several methods to explore the same issue, and asking the same questions of many different participants. Therefore, a triangulation technique has been used in this research to enhance reliability and provide descriptive confirmation to enhance validity of the research findings using both semi-structured and unstructured interviews and document analysis (Brewer and Hunter, 1989; Bryman, 1992; Denzin, 1978; Jick, 1979). Stake (1995) outlines four basic types of triangulation:

- data triangulation, involving time, space, and persons;
- investigator triangulation, which consists of the use of multiple, rather than single, observers;
- theory triangulation, which consists of using more than one theoretical scheme in the interpretation of the phenomenon;

- methodological triangulation, which involves using more than one method and may consist of within-method or between-method strategies (pp. 112-114).

Dixon et al. (1988) assert that most hypotheses and research objectives can be investigated using more than one technique of data collection. In agreement, Yin (1994) suggests that using different data collection methods can provide more detailed information about the phenomena under investigation, help obtain different perceptions of the phenomena under investigation, assist in understanding what is happening, and reveal patterns which may be repeated in similar situations.

Validity

Coleman and Briggs (2002) state that the concept of validity is used to judge whether the research accurately describes the phenomenon which it is intended to describe (p.65). Stake (1995) recommends a variety of strategies for improving the probability that findings and interpretations have been produced through confirmation. He insists on the need for accuracy to ensure consequential validity of the descriptive data. Therefore, to increase validity and reliability in this research, multiple data sources have been used across different levels of leadership in three Thai Universities. Individual in-depth interviews have been triangulated to verify a piece of data in the practice of senior leaders and senior and junior staff, who described their feelings, attitudes and experiences in procedures related to patterns of management and administrative strategies, communication system, performance evaluation approach, motivation and inspiration and instillation of leadership characteristics.

Furthermore, Stake (1995) argues that ethical obligations are needed to minimize misrepresentation and misunderstanding of participants. In this direction, the ethics committee of Victoria University of Technology indicated that in order to minimize risk

to the research subjects, they must be provided with a transcript of their interview, and given the opportunity to amend any material prior to analysis of data.

Internal Validity

Coleman and Briggs (2002) argue that internal validity relates to the extent that research findings accurately represent the phenomenon under investigation. Yin (1984) recommends that such concerns should be addressed by using two techniques: having multiple sources of evidence and reviewing these with the assistance of key informants. In this study, qualitative data pertaining to the process of leadership in the three participating universities has been selected from recordings and notes of both semi-structured interviews as well as a comprehensive range of documents issued by participating Faculties, Departments, Secretariats and related sources. In agreement with Minichiello et al. (1995, p. 176), these multiple sources of evidence allowed the researcher to convey the empirical phenomenon to guarantee a nearby match between the data and what the participants actually said about their practices. Weaker assertions that appeared to be unsupported were addressed separately and eventually removed if no other supporting data offered itself, enabling the researcher to adopt as accurate an understanding as possible. Thus, internal validity of this research was validated by the credibility of causal relationships inferred from data among the three participating case studies and cross-checking with key informants for inconsistencies. Strength of validity was based on the amount and quality of supporting information as well as verification of these.

Merriam (1998) points out that reality (citing Lincoln and Guba (1985)), is a multiple set of mental constructions made by humans; their constructions are in their minds and they are in the main, accessible to the humans who make them (p.295). Because human beings are the primary instrument of data collection and analysis in qualitative research, interpretation of reality must be accessed directly through their observations and interviews (p.203). In agreement, Merriam (1998) and Lincoln and Guba (1985)

believed that internal validity displays the convergence or divergence of the interview data, because the data collection instrument has been use among participants who have different experiences of work life.

External Validity

According to Merriam (1998, p.207), Birnberg et al. (1990, p.) and Yin (1994, p.33), external validity refers to the extent to which the findings of one study can be generalized across to a similar situation. However, Strauss and Corbin (1998) argue that the external validity of theory-building research ought to debate the predictive ability of explanations rather than their generalizability (p.267). Strauss and Corbin's idea suggests that the more systematic and widespread the theoretical sampling, the more conditions and variations will be discovered and built into the theory. The theoretical sample in this research was large and diverse enough to saturate the outstanding concepts and produce a rich, integrated theory with no obvious unexplained exceptions.

In this thesis, external validity has been obtained through searching for consistency in patterns and regularities in the understandings and practices of senior leaders and administrative staff across relationships in three divergent Thai universities during their processes of becoming autonomous. Further to this, web pages of worldwide leading universities were accessed from the internet in order to compare information and confirm directions. These results are expected to provide a generalization of leadership practices in establishing direction, aligning people and nurturing motivation for greater job effectiveness and may be applicable to other universities undergoing changes towards autonomy in Thailand. Thus, in agreement with Strauss and Corbin, this research meets the test of external validity in its ability to speak specifically for the populations from which it was derived and is valid for the future understanding of development in BUU in particular (p.267).

Reliability

In discussing reliability, researchers express divergent points of view. For example, Merriam (1998) states that reliability is problematic in the social sciences simply because human behavior is never static (p.205). However, Merriam (1998) points out that the connection between reliability and internal validity from a traditional perspective rests on the assumption that a study is more valid when repeated observations in the same study, or replications of the entire study, have produced the same results (p.205). Yin (1994) believes that reliability is demonstrated through operations within a study - such as data collection procedures, where procedures can be repeated and yield the same results (p.144).

In this research, the data obtained from interviewees at different levels of administration were deemed reliable as they were collected during a series of face-to-face in-depth interviews across three separate case studies to find emerging ideas through reframed interview questions to understand leaders' perceptions. As Lincoln and Guba (1985) point out the notion of reliability can be applied to qualitative case studies. In accordance with Merriam (1998, p.206), the researcher adopt reliable documentation methods, and personal accounts were assessed through various techniques of analysis and triangulation. Furthermore, this study has adopted a logic that relies on repetition for the establishment of truth. A discussed in the open coding phase of the study, a second researcher was employed to independently code three interview transcripts to compare with the coding by the researcher. The high level of agreement achieved provides evidence that the theory is reliable and not just a figment of the investigator's imagination (Ryan and Bernard 2000, p.785). However, although Merriam (1998) believes that absolute reliability is unlikely due to the changing nature of human behavior, the present researcher believes that a replication of these interviews would achieve results that show a significant level of agreement in the core assumptions.

Confirmation

In order to ensure the accuracy of statements regarding experiences of interviewees, participants were requested to confirm the final drafts of interview transcripts via electronic mail. In this way they were given the opportunity to review and clarify what had been written, as well as make further observations and suggestions. After the suggested changes were made, all transcripts were sent for reverification. All data have been verified using this process.

Analytic Process

Managing the Data

In facilitating the transcription of face-to-face in-depth interviews undertaken in this study, the researcher employed an MP3 media player. All interviews and field-note observations were carefully transcribed. To protect the anonymity of subjects, the researcher ensured the omission of all identifying characteristics. For deeper analysis, data management was facilitated using the 'Ethnography' computer program (see Appendix F). This program facilitated line-by-line analysis and coding of data to enable ease of data storage, manipulation and retrieval.   After the coding process was completed, member checking was achieved through follow-up individual in-depth interviews (Lincoln & Guba, 1985).   Data was then analyzed according to the constant comparative method advocated by Strauss and Corbin (1998).

Constant Comparative Approach to Analysis

One characteristic of grounded theory that confirms this approach combining qualitative and quantitative research is the employ of constant comparison.   The

constant comparative method of analysis has carefully been applied in this study. Glaser (1992) points out that the constant comparative approach facilitates coding of the data in order to develop and refine the theoretical categories and properties found in the results. "The purpose of the constant comparative method of combined coding and analysis is to create theory more systematically….by means of precise coding and analytic procedures" (Glaser and Strass, 1967, p. 102). This method consists of two activities, fragmenting and connecting (Dey, 1993) in which the process of fragmenting raises the coded pieces out of the context of the interview. According to Sivesind (1999 cited by Boeije, 2002, p. 394), the final activity makes the context and richness of the data more noticeable as the interview parts are interpreted as one case.

Seale (1999) states that in the constant comparison method consists of four stages: 1) coding of incidents in data into categories with different incidents grouped together and compared to generate ideas about the properties of the category; 2) categories and their properties are integrated; 3) theoretical saturation to assure that no new properties of categories appear and no new interactions occur; 4) relatively straightforward writing of the theory with categories and their interactions providing chapter headings (p.97).

In this research, these four stages of constant comparision indicated steps in the analysis procedure as follows:

- Comparison of single interviews at SUT, KMUTT and BUU.
- Comparison of pairs at the same level at SUT, KMUTT and BUU.
- Comparison of categories at the same and different levels at SUT, KMUTTand BUU.
- Comparison between couples at the same and different levels at SUT and KMUTT; and BUU (Comparison in pairs at the level of couple).

Comparisons between these four steps differed according to four criteria: the data and analysis; the purpose; the questions asked and the results. The four steps all followed the structure of these criteria as follows:

Comparison of Single Interviews at SUT, KMUTT and BUU

In comparing single interviews of SUT, KMUTT and BUU the researcher studied the detailed transcripts, field notes and documents concerning participants A1, A2, A3; B1, B2, B3; and C1, C2, C3, C4, C5, C6 to identify varying trends in each data set. Each idea was listed with similar and different codes and assigned to categories. Similar codes were grouped together and different codes were diverted to create new categories. Here, the researcher drew upon prior knowledge in making initial judgements for early category formulation. Colored markers were used to differentiate codes so that the data would remain in context and provide predicted indications of emerging categories. This analysis process was related to the open coding process in the three universities, and used to sum up the core codes of interviews to establish agreement on the interpretation of fragments.

The purpose of internal comparison in each incident of A1, A2, A3; B1, B2, B3 and C1, C2, C3, C4, C5, C6 of the open coding process was to develop categories and label them with the most appropriate codes. In this way it was possible to create the core idea of each interview, with codes attached, to establish any difficulties, highlights or inconsistencies. This comparison represented an attempt to interpret the parts of the interview in the incident context of the entire story as told to the researcher by the participants.

The important questions concerning comparison in this first phase of analysis were:
- Which codes will be used to label the categories in this particular interview?
- What characteristics do bits with the same code have in common?
- What is the core idea of this interviewee?
- Is the storyline trustworthy? Are there any appearances that are differing?
- How are all the bits related?

The results of comparison within a single interview generated a number of results. The first result was a summary of each interview; the second was a list of provisional codes

which were the beginning of the process of conceptualization; the third was distillation of the interview into an inventory of provisional codes or conceptual profile and the fourth was of memoes describing the process of analysis.

Comparison of Pairs at the Same Level at SUT, KMUTT and BUU

All interviews were enriched as described above, resulting in an increase of memos, and codings. At this stage, the researcher compared each incident in SUT and KMUTT, in pairs A1-B1; A2-B2; and A3-B3. The comparison in this step was between interviews within the same group. These ideas were grouped into codes and different codes were integrated into new categories, comparing each incident in the context of BUU in pairs C1-C2; C3-C4; and C5-C6. This included leaders who share the same experience in management, for example, senior leaders who manage the job allocation of staff in their faculties. Here, the first interview couple A1-B1 were converged with C1-C2 into the principle of good governance, in terms of participation, transparency, and accountability. They also shared major elements of leadership involving organizational potential and human competency. Once more information had been obtained, leaders were carefully selected in order to answer the questions raised by the comparison process. In this case the selection became more closely tied to theoretical ideas and hypotheses, which of course were provisional and needed to be verified in other cases.

In order to further develop the conceptualization of the subject and discover the combinations of codes, axial coding was used. This means searching for properties and dimensions for each concept in order to define that concept (Strauss and Corbin, 1998, p.124). In this study, pieces from different interviews interpreted as dealing with the same theme were given the same code to produce clusters or a typology.

The important questions in this stage were:
- Is interviewee A1 talking about the same category as B1? What do both interviews tell the researcher about the category?

- What are the similarities and differences between interviews A1, B1, A2, B2, A3, B3,....?
- What are the criteria underlying this comparison?
- What combinations of codes/concepts occur?
- What interpretations exist for this?

This step resulted in an extension of the amount of codes (code tree), until no more codes were needed to cover all the various, relevant themes contained in the interviews. The relevant parts of the interviews were those that said something about the research question. When all the coded segments belonging to a given code were put together, it became possible to discover all the relevant properties of the concept in substantial themes and to explain the concepts. In this way the criteria on which some interviews differ from others was identified. These criteria constituted the dimensions on which a typology could be constructed. The dimensions were mostly governed by a combination of codes. These combinations were used to form profiles, clusters and types (Layder, 1993, p.137).

Comparison of Categories at the Same and Different Levels at SUT, KMUTT and BUU.

According to Kimchi et al. (1991), comparison of categories on data triangulation is central to qualitative analysis. Here, interviews from different levels in each of the universities have been compared with regard to the experience of a specific phenomenon. In the administrative leadership study this was done by interviewing A1, A2, A3; B1, B2, B3; and C1, C2, C3, C4, C5, C6. The interviews with top-echelon staff were conducted in the same way as the in-depth interviews, with a view to obtaining additional information from the perspective of the leadership process. These interviews were used to arrive at a better understanding of the practices, perspectives and strategies in administrative leadership of the three Thai universities.

The purpose of comparing interviews was to categorise opinions on the process of leadership as regards establishing direction, aligning people and motivating and inspiring people. These comparisons were also used to validate the leadership practices story. Therefore, important questions in this stage were:

- What does A1 say about clear themes and what does A2 and A3 have to say concerning the same themes; what does B1 say about clear themes and what does B2 and B3 have to say pertaining to the same themes; what do C1 and C2 say about certain themes; and what do C3, C4 and C5, C6 have to say about the same themes?

- Which themes appear in group A but not in groups B or C?

- Why do staff the three universities view issues similarly or differently?

- What distinctiveness, additional detail or new information do other universities provide that is of interest to the other universities.

Although the results of this comparison were not expected to provide a new directory of code words or a new order, this step proposed to deepen the insights and complete the information about top-echelon levels of management obtained in documents.

Comparison between Couples at the Same and Different levels at SUT and KMUTT and BUU

Comparisons of pairs at the level of couples occurred in this phase. The difference between this step and the preceeding ones is the level of analysis. It concerns both partners belonging to a couple. Here the level is top-echelon managers including: deans and heads of department; deans and chief of divisions or faculty secretaries and heads of department and chiefs of divisions or faculty secretaries. Accordingly, the codes from the open coding process in the first step were examined for relationship issues. In fact, at this stage open coding took place on relationship issues and memos were made about the interpretation of the relationship.

Interaction between the top-echelon managers was reconstructed from what the three levels said about each other and their relationship. The comparison produced insights into similarities and differences in perspective including how issues are solved, how communication takes position and agreement or disagreement on relevant themes. These findings with respect to content were conceptualized in the same way as the themes found to be relevant in steps stage one and stage two. The relationship seen from four different perspectives is more complex than it is from the experience at an individual level. So, it is assumed that there is a saturation of information from the selected participants at top-echelon administration level.

The purpose of comparison in couples at this stage was to find information about themes concerning each couple from both perspectives. This step proposed to enhance knowledge about interactions between cohorts and the consitution of the relationships. Thus, important questions in this stage were:

- What is the relationship like from both perspectives? How can it be typified or summarized?
- Which codes are used to cover the core idea?
- Is there disagreement between partners or do they agree with each other on most issues?
- What are the central ideas the couple have to manage and how are they determined?

Results at this stage were similar to those in the first step. The first is a conceptual summary of the relationship and the second provides evidence to the central issues that couples have to deal with in specific situations. In the ongoing comparison of data and concepts, aspects of administrative leadership practice in the faculties, departments and secretariat offices in the three universities (SUT, KMUTT and BUU) emerged as significant to the aims of this study. Data suggested that different elements of the practices of leaders at each level were based on aspects including experience, knowledge, competency and personality. From these elements, six categories were

identified to support the analysis including: patterns of administration; administrative strategies; communication skills; performance evaluation approach; motivation and leadership characteristics.

Document Analysis

Stake (1995) states that almost every study finds some need for examining documents. Coleman and Briggs (2002) outlined a questioning procedure for the researcher to use for suitability of documentary analysis as follows:

- What are the range, location, and feasibility of access for target documents?
- How representative are the documents in hand and how do the link with other documents in a chain or complementary set?
- Is there a need to sample a range of documents such as minutes?
- What is the source, who is the author and what are the channels of transmission or dissemination for the documents?
- What is the intended purpose, how would different participants interpret this and what are the intended or unintended effects of its use?
- What orientations, values, and ideologies does the document represent?
- What is the nature and social functions of the document as text? (p.202).

In agreement with Coleman and Briggs (2002), this research has gathered documentation from daily notes and transcriptions of all in-depth interviews; as well as university acts, annual reports, policies, quality assurance manuals, rules and regulations, papers and newsletters, for review of references related to 'administrative leadership in SUT, KMUTT and BUU. This documentation was accessed from specific faculties, departments and supporting units including the Thai Government Secretariat Office and used in the support of qualitative data in this research. To obtain these documents, faculties, public relations departments and supporting units of each university were approached by telephone calls, official letters and personal visits.

Coding Procedures

Following collection of all documented data relevant to this study, theoretical coding was undertaken in order to develop a grounded theory. In this approach to interpretation of data, 'procedures' for dealing with text can be differentiated into open, axial, and selective coding (Glaser, 1978, 1992; Strauss, 1987 cited by Flick, 1998 p. 179) for naming and comparing activities (Locke, 2001). Using these three types, the 137 categories recorded in three Thai universities initially uncovered seventeen categories. Following this, axial coding redefined these into twenty-four categories, and lastly, selective coding established two propositions including six main categories (see Appendix G).

Open Coding

Open coding, is defined by Strauss and Corbin (1998, p.101) as the analytic process through which the properties and dimensions of concepts discovered in data are identified. This is the initial step in theoretical analysis that pertains to the discovery of categories and their properties (Glaser, 1992, p.39). Strauss and Corbin (1990) explain that the data is broken down into discrete incidents—objects, events, actions, ideas, and so on to find similarities and differences between each incident, event, or other instance of phenomena. Similar events and incidents are labeled and grouped to form "categories" (p.74).

Coding of Transcripts in this Study

In this research, open coding was initiated during the review of literature and transcription of taped data. Specifically, each new piece of data was examined and broken down into concepts. Similar concepts were grouped together and compared

with data already labeled or coded. When dissimilar data were identified, a new category was initiated accompanied by a definition and an explanatory memo.

Open coding initially uncovered seventeen broad categories derived from a set of 137 items including 95 from SUT, 99 from KMUTT, and 86 from BUU (see Appendix G: Table 6). These broad categories included (1) managing (2) managerial strategies; (3) significant elements of leadership; (4) vision and strategies and developing vision and strategies; (5) roles, duties and responsibilities, (6) determining responsibilities, (7) planning to develop staff, (8) communication system, (9) elements of communication, (10) assessment, (11) indicators of assessment, (12) problems and obstacles in achieving their work, (13) motivation and inspiration, (14) employing motivating and inspiring elements, (15) obstacles to leadership preventing (16) motivating and inspiring and (17) collaborating with colleagues (see Appendix A)

Axial Coding

Following open coding of the above broad categories, they were reviewed, compared and contrasted to identify common features in order to cluster them into six major categories and 19 sub-categories using axial coding. Here, these codes and sub-categories were condensed and rearranged to form three major properties. Formation of these major categories required grouping based on common characteristics or relationships, reducing the data to fewer terms with richer meaning.

Concept and Category Development

Axial coding is a second level of coding which tries to find some connection between the codes ascertained in the data (Neuman, 1997, pp. 423-4). This should form the basis for the construction of theory. The theoretical significance of a concept springs from its relationship to other concepts or its connection to a broader gestalt of an individual's experience (Spiggle, 1994, p.494 cited by Goulding, 1999, p.9). Putting it another way,

axial coding involves taking the concepts that have emerged during open coding, and reassembling them according to relationships between those concepts. Concepts that are grounded in the data will integrate without many problems because reality is integrated.

Strauss and Corbin (1990) mention that the use of axial coding to form a paradigm model is more focused, and geared toward discovering and relating categories (p.114). This model has six components that help define the sets of relationships providing links between subcategories and a category (Figure 4.1).

A category operates as the axis on all sides in which the data are reconsidered and reexamined. A model assists description of the sets of relationships that provide the links between subcategories and a category. Stratuss and Corbin (1990) identified six elements to be used to construct the paradigm model: the phenomenon (the central idea, event, or happening of a category), causal conditions (the events or incidents that bring to the happening of development of a phenomenon), the context (setting, dimension, or conditions of actions related to the phenomenon), intervening conditions (elements of a broad, structural nature, the variables that facilitate or constrain the action or reaction to a phenomenon), action/interaction strategies (the process or methods used to respond to a phenomenon), and consequences (the outcome of the response to the phenomenon).

In the process of axial coding above, Peine (2003) outlines four steps that occur almost simultaneously:
- Relating subcategories to categories by denoting the nature of the relationships between them;
- Verifying the statements of relationships against the data;
- Maintaining continual development of the categories, properties, and dimensions; and
- Investigating the differences and similarities among and within categories (p.192).

```
A          Causal conditions
                    │
                    ▼
    B            Phenomenon
                    │
                    ▼
        C          Context
                    │
                    ▼
        D      Intervening conditions
                    │
                    ▼
    E        Action/interaction Strategies
                    │
                    ▼
        F         Consequences
```
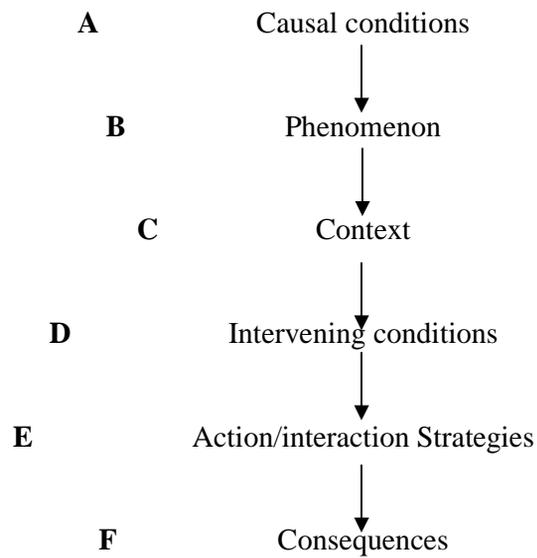
Figure 4.1 The Paradigm Model in Axial Coding

(Source: Strauss and Corbin, 1990, p. 99)

Categories and Sub-categories Relationship

Utilising the above model of Strauss and Corbin (1990) for axial coding (Figure 4.1) and the four steps advocated by Peine (2003), the categories derived from open coding yielded six main categories and twenty-four subcategories as follows:

1. Patterns of Management

CSCR

PPBS

Human Resources

`   BS

Decentralization

Delegation

Good Governance

2. **Administrative Strategies**

   Managerial Work

   Managerial Skills

3. *Communication*

   Communication Skills

   Emotional Intelligence

   Leadership Communication

   Effective Communication

4.. *Personnel Management*

   Planning for Staff Development

   Performance Evaluation Approaches

   Performance Indicators

   Collaboration

   Problems and Obstacles in Achieving their Work

   Problem Solving

5. **Motivation and Inspiration**

   Incentives

   Obstacles to Motivation and Inspiration

6. **Leadership Characteristics**

   Personality Qualities

   Learning

   Leadership Skills

In accordance with Strauss (1987) and Strauss and Corbin (1990), these codings have combined the most closely interrelated (or overlapping) open coding items for which the supporting evidence appears strong. The process of combining the open codes to form axial codes was done through the inductive and iterative process of categorizing open coding into a number of major themes. In order to ensure that appropriate axial coding had been developed, constant reference and comparison to the data was made (see Appendix H). Some codes were collapsed and new categories developed while others were expanded. Notes added as journal entries to keep the audit trail alive

operated to guide the researcher in further data collection and analysis as new ways of seeing the data emerged.

Selective Coding

Following the process of axial coding in which six categories had emerged, the researcher coordinated them to ascertain a core category supported by detailed statements from the interview data. Here, each statement represents an individual experience in the administration of three Thai universities, permitting the voices of participants to provide evidence for the central theory "effective leadership". The theory and interrelated statements are presented as the findings of the study in Chapter 5. This was the final action in coding the data, referred to as selective coding, recording only those concepts that relate to the core descriptive category. The core category reflects the "main theme" of the study, and is summed up in the pattern of behavior representing the substance of what is going on in the data (Glaser, 1978, p. 61).

Strauss and Corbin (1990) emphasized that the central and the most important task of selective coding is to identify and define the 'central phenomenon' considered to be the most significant. They maintain that this final relational process with the categories results in the "rudiments of a theory" (p.133). Identifying the core category involves a reevaluation of the data and the two previous phases of coding. Selective coding recommends the identification of a construct that is broad enough to encompass the study elements and specific enough to give meaning to all of the concepts that have emerged from the previous coding efforts. Thus, the core category basically becomes the grounded theory statement around which the story of the research may be told. Explanation of the theory may be done either through a narrative discussion or propositional statements.

Conclusion

In the present study, the central properties shared by SUT, KMUTT and BUU have been researched. This process encompasses the identification of 'causal conditions', 'context' and 'intervening conditions' of the three universities. According to Strauss and Corbin (1990), the causal conditions are the events or incidents that lead to the occurrence or development of a phenomenon. The context refers to the specific set of properties that pertain to a phenomenon; and the intervening conditions are the conditions that describe the environment in which the individual examples of the phenomenon occur and contribute to the particular phenomenon or the causal conditions.

In order to research perceptions of the necessary elements of leadership in three Thai universities, a grounded theory approach has been used to formulate three, unique case-studies. A multiple-case design has been preferred because it allowed the senior leaders of autonomous Thai universities and public universities to express their concepts of administrative leadership behavior within real-life situations.

Data collection was achieved through recording individual in-depth interviews and reviewing literature related to the processes of leadership including: establishing direction, aligning people, and motivation and inspiration. The process of data analysis follows a grounded theory approach using open, axial, and selective coding to dissemble, reorder and reorganize the data into themes, categories, sub-categories, concepts, properties, and dimensions. These were reduced and refined into six major categories and nineteen sub-categories.

The process of data analysis followed the grounded theory approach described by Strauss and Corbin (1990), using diverged open, axial, and selective coding to dissemble, reorder and reorganize the data into themes, categories, sub-categories, concepts, properties, and dimensions, reducing and refining categories to form the "rudiments of a theory" (p.58).

The above variety of data collection sources and triangulation technique have been used to ensure validity, reliability and descriptive confirmation of the results so that this documentary analysis can be used to obtain clear information on leadership issues relevant to more effective administration within the newly autonomous status of BUU.

Chapter 5

The Findings and Conclusions:
Voices of the Three Thai Universities

Introduction

In this chapter, the researcher presents the findings and conclusions regarding the concept of administrative practice in three Thai Universities.   A description is given as to how twelve senior leaders conceive of the necessary elements of leadership, and their experiences in relation to new administration, and more specifically leadership practices. A change in administrative leadership needs to be made at BUU within the constructs of leadership in order to deal effectively with its new autonomous status.   In order to describe this, quotations from the interview data are used to give meaning and support for each statement.

The researcher employed a grounded theory approach with the concept of leadership processes in becoming autonomous and how the participants with and explained their experiences of leadership practices. Senior leaders in the three Thai Universities, (SUT, KMUTT and BUU), willingly described their own activities in in-depth interviews. They explained what they do and why they do it. The grounded theory research approach states that the researcher reviews all collected data, field notes, memos and codes and utilizes constant comparison in the belief that their data can identify, and allow the emergence of descriptions of leadership practices and processes used by participants. These concepts were analyzed and compared to all other existing pieces of data in an ongoing way.   Contextual factors had clearly

affected the participants' abilities or willingness to endorse processes to deal with followers including both in and outside environments such as the faculties, departments and support units.

Effective Leadership

In this thesis, the basis of effective leadership is described as being action and interaction between leaders and followers. For the purpose of this research, effective leadership was defined as involving the necessary elements of leadership which relate specifically to organizational and interpersonal skills. Data revealed some convergences and divergence in feelings, opinions and interaction behaviors. This chapter identifies two propositions or hypotheses, dealing with six concepts of patterns of management. These include administrative strategies, communication , personnel management, motivation, inspiration and leadership characteristics. Coding of these six concepts included several sub-categories including: good governance, communication skills, elements of communication, managerial skills, the importance for administrative strategies, collaboration from colleagues, obstacles to administrative problem solving, planning for staff development, performance indicators, extrinsic and intrinsic motivation, obstacles to leadership preventing motivation and inspiration, personality qualities and leadership skills.

The two core propositions relating to typologies identified in the three universities are presented in Table 2. These constructs reflect senior leaders' conceptions and experiences involving issues of organizational and interpersonal skills. Linking these elements involves interpersonal communication, patterns of management, administrative strategies, personnel management, motivation and inspiration, and leadership characteristics. These elements are compared between SUT and KMUTT based on research question one. The nesccessy elements of leadership of senior leaders of BUU are based on research question two. The researcher compared administrative leadership between SUT, KMUTT and BUU based on research

question three, "how do senior leaders of autonomours Thai Universities conceive of the necessary elements of leadership? How do senior leaders of Burapha University (BUU) conceive of the necessary elements of leadership? And what changes are needed to be made at BUU in constructs of leadership in order to deal effectively with its new autonomous status?"

Identification of the two core propositions relates to the six constructs based on principles of management or administration, leadership theories, and information from the data. The findings are divided into two main sections the coding of the data (Table 2) and the analysis of the coding.

Section 1: Findings and Conclusions: Coding of Data

The two core propositions of organizational and interpersonal skills are presented in Table 2 in order to explain the story of "effective leadership" in three Thai universities.

Constructs	Typologies		
	SUT/KMUTT (autonomous) (RQ1)	**BUU(RQ2)**	**New changes at BUU**
1. Organizational Skills	**Patterns of Management** Combined Services and Cooperation Responsibility(CSCR)), Programming Project Budget System (PPBS), decentralizations(self-governance), delegation, good governance, **Administrative Strategies** *Managerial Work:* policies, authority, responsibility, strategic planning, committees, paradigm shift, corporate culture, controlling, decision making, human resources, human competency, sharing resources, outsourcing *Managerial Skills*: competency, creative thinking, leading by example, leadership strategies, vision,learning by doing, teamwork, functional competency, thinking and acting together, and communication skills	**Patterns of Management:** Bureaucratic system, decentralization, delegation, good governance, the nature of human beings **Administrative Strategies** *Managerial Work*: policies, strategic planning, authority, responsibility, committees, paradigm shift, coordination, SWOT, set working priorities, *Managerial Skills*: competency, creative thinking, leading by example, leadership strategies, vision, teamwork, functional competency, thinking and acting together	**Patterns of Management** To construct a new system to support autonomous status. **Administrative Strategies** *Managerial Work:* human competency, sharing resources, corporate culture, controlling, human resources decision making and outsourcing *Managerial skills:* learning by doing and communication skills

Table 2 A Comparsion of Significant Elements of Leadership among SUT, KMUTT and BUU (continued)

Constructs	Typologies		
	SUT/KMUTT(AUTONOMOUS) (RQ1)	**BUU(RQ2)**	**New change at BUU**

2. Interpersonal Skills	**Communications:** communication system
	  communication skills : formal, informal communication,
	
	Elements of communication:
	  emotional intelligence(EI),
	   effective communication
	  leadership communication
	
	Personnel Management
	Planning for staff development:
	  encouraging staff to study at a high level, On-Off the job training
	
	Performance evaluation approach:
	  quantitative evaluation, quality of performance
	Performance indicators: teaching load, work load
	
	Collaboration: effective cooperation, good practices
		Communications: communication system
		   communication skills: formal, informal communication
		
		Elements of communication:
		   emotional intelligence(EI),
		  effective communication
		  leadership communication
		
		Personnel Management
		Planning for staff development:
		  encouraging staff to study at a high level, On-Off the job training, self-development
		Performance evaluation approach:
		  quantitative evaluation, quality of performance
		Performance indicators: teaching load, work load
		
		Collaboration: good practice
			Personnel Management
			Effective cooperation

Table 2 A Comparsion of Significant Elements of Leadership among SUT, KMUTT and BUU (continued)

Constructs	Typologies		
	SUT/ KMUTT(RQ1)	**BUU(RQ2)**	**New change at BUU**
2. Interpersonal Skills (continued)	*Problems and obstacles in achieving their work:* *Human:* administrator, ʻdead wood' over confident, self-confident, lack of sincerity, budget *System:* full concept of autonomous university, multiple system *Problem solving*: To review strategies, to consult expertise **Motivation and Inspiration** *Incentives:* *extrinsic motivation*: rewards, praise, welfare, encouraging research scholarship, encouraging staff to study at a high level, academic atmosphere, communication skills *intrinsic motivation*: rewards, sense of belonging *obstacles to motivation and inspiration:* inefficient person, policies, administrators, insufficient functions)	*Problems and obstacles in achieving their work:* self-confident, managerial work, human resources, budget, manpower *Problem solving*: to adjust organization and income payment systems, to review **Motivation and Inspiration** *Incentives:* *extrinsic motivation:* rewards, praise, scholarships, to encourage continuous study, encouraging research scholarship, encouraging staff to study at a high level; *intrinsic motivation*: intrinsic rewards, sharing benefits *obstacles to motivation and inspiration* Managerial skills	 *Problem solving*: to consult expertise **Motivation and Inspiration** Extrinsic: welfare, communication skills, academic atmosphere Intrinsic: sense of belonging *Obstacles to motivation and inspiration* Inefficient person, policies, administrators, inefficient functions

Table 2 A Comparsion of Significant Elements of Leadership among SUT, KMUTT and BUU (continued)

Constructs	Typologies		
	SUT/ KMUTT(AUTONOMOUS) (RQ1))	**BUU(RQ2)**	**New change at BUU**
2. Interpersonal Skills (continued)	**Leadership Characteristics** *Personality quality* **Ethics:** fairness, trustfullness, sincerity, service mind, respectful (obedient), gifted, integrity, decision making) decisive **Values (**attitude, hospitality**,** equanimity*(upekkha),* caring, vision, thinking before talking, commitment, *Learning:* knowledge,creative thinking, leading by example, supporting and facilitating, competency, experiences, teamwork, transparency, able to use IT,managerial skills, functional competency**,** strategics planning) *Leadership skills:* coaching	**Leadership Characteristics** *Personality quality* **Ethics**: agreeableness, faithfulness, integrity, service mind, trustfullness **Values**: commitment *Learning:* leading by example, creative thinking, enthusiasm, competency: ability, transparency, sensitivity to change, proactive *Leadership skills:* coaching	**Leadership Characteristics** *Personality quality* **Ethics***: fairness, sincerity, respectful(obedient), gifted, decision making* **Values:** attitude, hospitality, equanimity (upekkha), caring, vision, thinking before talking**.** *Learning: knowledge, supporting and facilitating, experiences, teamwork, able to use IT, managerial skills, functional competency and strategies planning*

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Section 2: Findings and Conclusions: Analysis of the Data

In analyzing the data comparing the significant elements of effective leadership in the three universities, two propositions are made. The first is organizational skills: the second is interpersonal skills.

Proposition 1: Organizational Skills

Organizational skills build good management.   Organizational skills have been defined as two categories including (1) patterns of management, (2) administrative strategies.   The contexts of the three Thai Universities contexts are summarized below:

(1) Patterns of Management

Patterns of management were identified by the researcher through interpreting data, identifying codes, and finding similarities and differences through the process of constant comparison. By filtering through and comparing incidents, the researcher was able to see patterns of related dimensions, properties, subcategories and categories implemented by the participants to reflect their practices of leaders' interactions with followers.

Many grounded theory studies identify processes with sequential steps, or stages, which effect the patterns of management or at least assist the leaders to deal with followers.   However, this research has identified the processes of leadership as actional/interactional behaviors that do not occur in any particular sequence. Senior leaders and senior and junior staff were able to identify the principle of management in their day to day work situations. Certo (1997, p.6) states that management is the

process of reaching organizational goals by working with and through people and other organizational resources. Sergiovanni, et al.(1992, p. 60) point out that administration is generally defined as the process of working with and through others to accomplish organizational goals efficiently.

To understand the senior leaders in Thai universities and their concept of the necessary elements of autonomous leadership across different levels, they were asked to describe management in their office. The particular focuses was on the "process of leadership" in administrative practices. They were asked about when they started to manage establishing direction, aligning, motivating and inspiring people, the scope and variety of patterns of management and the processes of aligning, motivating and inspiring people. At the first interview, the senior leaders focused on the principles of management in the process of management and expressed their feelings and perceptions about the process of leadership. There were a number of issues that the senior leaders explained that seemed to relate to effective leadership.

A1, with seven years of administrative experience, at state autonomous universities, explained that there are three core elements of leadership which ensure excellent organization or effective administration and that these are vision, competence in human resources, and an effective administrative system. Minor elements consist of working with suitable technology, employing information technology to assist management, and to enhance efficiency in planning, decision making, and implementing a corporate culture. These elements are based on good governance criteria. A1 explained that SUT has a different management system from other universities in Thailand (new model). This new model combine services and coordination of responsibilities (CSCR) as follows:

Combined Services and Coordination of Responsibilities (CSCR)

Combined Services and Coordination of Responsibilities (CSCR) appearing in the data from interviews is a new model with effective budget and high benefit. The

uniqueness of the CSCR model has been assured with all resources working together and sharing resources. The important parts of the CSCR model are to integrate resources for better profitability efficiency and to produce graduate students full of knowledge along with ethics and integrity to serve social needs. My observations were that every building had the same design whether they were for teaching and learning, administration, scientific laboratories, library, computer center or, equipment center. This was to combine instructors and administrative staff and to integrate life and sense of service in the university.

> *It does not appear in the faculty of science building, or the faculty of engineering*
> *building at SUT. But it is only appears in the classroom building complex,*
> *laboratories, scientific equipment building complex, computer centre, library*
> *building, including academic and non-academic staff of all of groups or levels.*
> *We need to share material together. Obviously, every employee has multiple tasks*
> *in the same building. This feature is different from the other universities in*
> *Thailand. I want to say it is an obvious objective. For example, if the universities*
> *have a president, the faculties have a dean; the universities have a vice-president*
> *administration; the faculties have an associate dean administration; the universities*
> *have a vice-president for planning and development, and the faculties have an*
> *associate dean for planning and development; the universities have a vice-president*
> *for student affairs, and the faculties have an associate dean for student affairs.*
> *Nevertheless, as part of supporting units in the faculties, there is still a need for the*
> *personnel division, registration division, logistics division, and student activities division.*
> *These are seen as a duplicated university model. For SUT it is not the case. Multiple*
> *activities like these pool resources at a central level, and this is defined as*
> *"central life".*

> *(Interview 1, A1, May 2004)*

A2, with seven years experience, also explained that he had an opinion about a highlight of management as seen in "Combined Services and Coordination of Responsibilities (CSCR)":

A3, with twelve years experience in supporting units also explained that she had an opinion about the operation of an administrative procedure under the "Combined Services and Coordination of Responsibilities (CSCR)"model.

My opinion about an administrative organization chart refers to our university

being similar to the administrative organization chart of other universities.

The Office of the Rector is a support unit for all academic affairs, the support

units in the other universities were disseminated through faculties, centers or

institutes. The Office of the Rector has multiple divisions to work under the

combined services and coordination of responsibilities.

(Interview 1, A3, May 2004)

Programming Project Budget System (PPBS)

Programming Project Budget System (PPBS) is a management concept at KMUTT. PPBS is a new model of management, and is KMUTT's own system. How do the senior leaders manage their work? A review of literature tells the researcher that the academic senate of KMUTT approved the management of the PPBS model (KMUTT, 2004, p.1). Budgets for projects are based on clarity, feasibility, effectiveness, and efficiency. Each department or school takes a careful look at what the department or

school does and how much money is needed to undertake and complete these projects. Elements which are scrutinised include: (1) how departments manage and (2) the balance of weakness in individual teaching and research loads and how these are measured. Curricula are also examined and sometimes revised.

B1, with seven years experience, explained that when he sets up a project under the PPBS model it has two key elements. The first key element includes: considing the vision and mission of the university with identified goals; analysing guidelines which several goals, setting up goal priorities, identifed as faculty's vision and using competent leadership which inspires staff to participate. The second key element consists of foundational elements (human, monetary, raw materials, and capital resources). The two above key elements are part of the good governance process. So, competence are use of resources of the university are essential elements for management.

> *"The university society is not a normal bureaucratic society; it is an academic society,*
> *and it's full of intellectual persons. Approaching communication with these staffs, you*
> *have to use techniques to encourage, control, motivate, and inspire which is a different*
> *way from general people and a leader must take his or her self as a good example*
> *or leading by example in the university society, because staff are always able to analyse*
> *and syntheseise the information and colleagues".*

> *(Interview 1, B1, May 2004)*

And

> *Successful management in the Thai universities means leaders have to get less*
> *benefits, work hard and highly generous and fully encourage all of staff, and be*
> *humble (down to earth).*

> *(Interview 1, B1, May 2004)*

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B1 explained that:

the perspective of the nature of academic staff as super ego person.   They would
not work hard, but they need high respect, and remuneration

B2, with six years experience, explained that the PPBS model emphasized planning to balance the budget, efficiency of its administrative system, and dependency on job descriptions of staff in each project.

This administration is based on academic staff not having to do too much teaching
so that they have more time to do research. At the same time, they have to develop
curricula, and if not, they can not get income from the department.

The leaders strongly believe that a major element in the operation of this model is teamwork. As B2 explained:

I think that teamwork is an important element for administration. This element
enhances participation for working successfully. Specially, if I employ a
commanding and working on a "one man show" style in the university, it made
me unsuccessful.

It was apparent that in the data from interviews, field notes and documents that "building" is important effective leadership in Thai Universities.   The two new systems are divergent about resources. The CSCR model has been implemented to integrate buildings without academic barriers which SUT call academic buildings, research buildings, administrative buildings, classroom complex buildings, library, and scientific laboratories.   The multiple areas are integrated into buildings which

make for effective building management, as well as for accomplishing multiple goals. In terms of integrating buildings, there are several goals: designing the structure of buildings on similar models is a financial saving, encourages an academic atmosphere and corporate culture, and cuts off academic barriers. When academic and non academic staff are working in the integrated buildings, they enjoy their work whether it be closely related or unrelated. The SUT sets up rules and regulations for "supporting and facilitating" teaching staff with a "service mind". Further, they think about combining, multiple areas in the same building is a good model for staff but is difficult for employees who have been experienced life in the state universities to turn around to work in a new model. It is a major change from the traditional culture.

PPBS is not required in integrating buildings at KMUTT. In KMUTT, each building houses one area, such as the faculties of engineering, science, industrial education etc. The same situation applies at BUU as well. These styles are composed of sub-areas in the same faculty, with various styles. When senior leaders look at the budget, an important element is to construct the buildings across the whole university with uniformity. When each of the buildings is designed differently, it is a great financial cost; which is the opposite of the CSCR which uses a lower budget than PPBS and the bureaucratic system (BS).

It was apparent that the "equipment and technology" was an important element in the interview data, field notes, and documents about "effective leadership in Thai Universities". That was especially in issues of science and technology at the SUT, where it has sought to employ technology in all its activities; administration, management, clerical and academic from its founding. Accordingly, SUT acquired and made use of technologies such as computer networks, automatic library systems, laboratories, information technology resources, managerial information systems, and educational media developments and productions. The multiple uses of equipment and technologies present a high cost for investment. Also important is the need to set up a good system of communicating between staff for enhancement of teaching and

learning and for supporting and facilitating staff to work happily together. Included in development of these activities is the need to meet requirements of cost effectiveness.

Human Resources

The term "human resources" used at SUT, refers to employees and their status across the entire university. This is different from the KMUTT and BUU with regard to staff status, as there are no civil servants at SUT. There are two categories of staff: academic and administrative. The academic staff are still separated into administrators and non-administrators (teaching staff) who support major missions— to train high-level scientific and technological personnel to meet national development needs; to engage in research for the creation and enhancement of knowledge; and to use the results for the development of the country; to provide academic services to the public and to organizations in both government and private sectors; academic service, adapting, transferring, and developing suitable technology to increase Thailand's technological self reliance; and providing national and regional cultural enrichment, especially in the arts and cultures of the Northeast of Thailand. Academic and administrative staff share academic, research, and administrative buildings. There are nine divisions in the administrative building and they share their work in the one building. The literature review reports that Kasem does said that SUT was established as a university of technology during the boom years to help alleviate a serious shortage of engineers and technologists. Given an even more severe dearth of teachers in this area, Kasem said, "It would have been almost impossible to be in the civil service and try to recruit highly qualified staff" (Fredrickson, 2002, p.57).

The term human resources at KMUTT refers to status of employees and civil servants statuses which is similar to BUU. There are two types of staff: academic and administrative. The academic staff are separated into administrators and non-administrators (teaching staff) who support key university goal.

Bureaucratic System

Traditionally, a bureaucratic system has been used for management at BUU. This was organized for BUU to meet the requirements of the Office of Higher Education Commission by decentralization. BUU does not provide any model for administration through "effective leadership". As BUU is now becoming an autonomous university, senior leaders feel that the autonomous status will bring a new model. However, they lack confidence about an autonomous system as the interview data tells the researcher that it has been a BS for a long time. When these leaders face a new system it challenges their work in the faculties. They have experienced difficulties in their changed status resulting in a loss of security.

Decentralization

There was a convergence of opinion of senior leaders, senior and junior staff, revealing that there was an element of good management and "effective leadership" in Thai Universities. This relates to patterns of good management. CSCR and PPBS models are used by the three universities who all share decentralization. The senior leaders expressed preference for decentralization within the state autonomous status, which means self-governance as a decision making process under the University Council of the Thai state autonomous universities. This process establishes its own system for administration according to good governance principles. Decentralization is a situation in which a significant number of job activities and a maximum amount of authority are delegated to subordinates, and public universities as well. The University Council has full authority to function as the governing body. The President, as chief administrator, operates universities according to the policies laid down by the University Council which is comprised of Chairman, President, Deans, and Directors of Institutes of the university. The viewpoint from all levels of the senior leader shows a crucial convergence about the decentralization models. It is obvious that the decentralized universities' policy operates through all faculties,

departments or schools and supporting units (A1,A2, A3; B1,B2,B3; C1,C2,C3,C4, C5,C6).

Delegation

Interview field notes and documents revealed that there were delegated responsibilities in faculties, departments or schools, and supporting unit levels through "effective leadership". What do the senior leaders think about these processes and what do they do about them? When the leaders participate with the followers, the delegation is a process of assigning job activities and related authorities to specific individuals or groups of people who jointly determine "effective leadership". Yukl (2006) states that authority involves the right prerogatives, obligations and duties associated with particular positions in organizations or social systems (p.148). A leader's authority usually includes the right to make particular types of decisions for the organizations. The degrees of authority influence the policy. The authority is the right to perform or command. It allows its holder to act in certain designated ways and to directly influence the actions of others through orders. Many of the activities of administrators include performing and implementing decisions, including planning work, solving technical problems, selecting subordinates, determining pay increases and making job assignments.

B1, with seven years' experience explained that he uses official and non-official delegation to his staff. For example, he identifies criteria of management present to Faculty board committee approval. He uses criteria of committee including faculty board; and ICT system for the decision making processes. Urgently case, he uses delegation to associate Dean and under good governance criteria able to accountability.

C1, with seven years' experience explained that he integrates delegation with the nature of human being according to "Theory y". He believed that "everyone is born

good then they will be willing to do good thing". Such as understand nature of person; responsibility to encourage self-development and creative thinking.

C2, with six years' experience explained that her management uses delegation both individual and group committee, because she needs her staff participation. The participation contributes her staff creation, thinking and acting together. This view points gain various ideals to build more understand while working together.

A2 with seven years' experience explained that delegation was guided by the SUT regulations. The Heads of schools have various degrees of authority which were arbitrary and could not be the main bases for effecting promotion. For example, I have been delegated a new academic staff member for undergraduate classes which are an elective and extra-curricular course. This new academic staff member has determined content and method of teaching by himself, because he is highly competent in his subject.   I believed in his capability to work, because I was able to evaluate this by certain statements. I have encouraged freedom of performance for administrative staff.   Also, the staff needs freedom to do their work, because they all have specializations. I have delegated academic work more than ordering work. For example, in the case of academic staff they need to go to academic conferences or seminars, and they are supported by the university.   These people often make conference or seminar reports. If they make a conference or seminar report, they use it for gaining knowledge in their field but they do not make a report to their heads of school even though the heads or school observe them, and consider whether they are able to apply their knowledge through classroom teaching, research topics, and in creating new projects.

B2, with six years' experience explained that he uses delegation under the PPBS model toward individual along with "put the right man into the right job". The PPBS model encouraged higher competency academic, safe time, and increasing effective research. For example, B2 explained that for his delegation was emphasizing teamwork, participation and not employing a command approach in management.

"Because academic staff have high competency for working, I do not necessarily control, but I use clear communication".

C3, with six years' experience explained that he employs delegation toward individual responsibility by informal type. Because he needs academic staff to participate and accountability. These delegation were clearly direction including planning, function and work load. C3 explained the way of delegation that:

> *I employ various theories integration with my experience to delegate*
> *responsibilities to academic staff. Previously, working with any person.*
> *I will study their background, what kind of work they expert, and what*
> *things they work well.*

> Interview 1, C3, June 2004)

C4, with five years' experience explained that she used direct contact and collaboration along with delegation both individual and committee or group. Because she needs understand clearly.

A3 with twelve years' experience explained that delegation was setting out to guide the way that administration is carried out, whether routine or non-routine. Delegation has often been direct or indirect, based on the benefits to be gained in the undertaking.

B3, with ten years' experience explained that he takes responsibilities of delegation toward his staff including financial, logistics, set up system and follow up evaluation performance his staff. Formal and informal delegations of his style based on put the right man into the right job.

C5, with ten years' experience explained that she receives delegation of her job from the President. She organizes and delegates some activities toward her staff, including students' services.

C6, with ten years' experience explained that he obtains policies from the boss and to delegate job for his staff to implement because he needs sharing decision and participation work together well. For example, there were divisions in his official structure . Each division has 2-3 person working together. He delegates activities for his staff to design for their jobs. This situation makes staff work well and quickly.

Good Governance

The research and literature review has revealed nine major characteristics of good governance: participation; rule of law; transparency; responsiveness; consensus orientation; equity; effectiveness and efficiency; accountability and strategic vision. Operating these administrative procedures requires three characteristics which are participation, transparency, and accountability. The "good governance" element for "effective leadership" in Thai Universities is revealed in the interview data which tells the researcher that the administrative procedures must meet the requirements of three characteristics including participation, transparency and accountability.

Similarities and differences of sharing and separating resources are different conditions which relate to corporate culture. Kotter (1990) mentions corporations that have some minimum continuity of personnel and purpose eventually develop cultures, both for the organization as a whole and for different subunits. These cultures can become very strong and weak cultures can influence the level of effective leadership and power (p. 127). The literature review showed that patterns of management include a set of elements which create unity in the university and includes honesty, politeness, cleanliness, and safety (A1).

A1, with seven years' experience explained that he integrates his ideas in to three major elements including vision, competent of human resources and effective administration system. These procedures of three major elements operate under

principles of good governance. He focuses on the factors of participation, transparency and accountability.

B1, with seven years' experience explained that his management he uses simply principle of the process of good governance including participation, transparency and accountability.

C1, with seven years' experience explained that his viewpoint focused on fairness which applies to academic and administrative staff who participate under good governance processes of accountability to his management.

C2, with six years' experience explained that she integrates varying types of strategies including visions, philosophy, action plan, thinking and acting together to present for Faculty board approval. The Faculty board includes the dean, associate deans, heads of departments and extra members who represent academic staff. The Faculty board operates under good governance processes, focused on participation, transparency and accountability.

C4, with five years' experience explained that she integrates participation, transparency and accountability management in her department. For example there is a performance evaluation approach. The process of performance evaluation operates under the criteria set by the committee.

(2) Administrative Strategies

Strategy means being clear about the organization's objectives, being aware of the organization's resources and integrating both into being consciously responsive to a dynamic environment. The interview data tells the researcher that the principle of administrative strategies in the Thai state autonomous university involves two keys elements, managerial work and managerial skills. These two activities underly the

modern model (CSCR, PPBS) in Thai state autonomous universities and BUU as well. The perspectives of managerial work, administrative strategies, managerial work and managerial skills are described following:

Managerial Work

Managerial work as a concept of "effective leadership" and "good management" exists at SUT, KMUTT and BUU. The perspectives of senior leaders and senior and junior staff show that there are significant difficulties in management involving personnel and systems at SUT. Findings reveal various elements in the managerial work, which include policies, committees, human competencies, strategic planning, thinking and acting together, authorities, corporate cultures, paradigm shifts, controlling and responsibilities. Some managerial work including sharing physical human resources demonstrate patterns of management.

"Human competencies" were apparent from interview data, field notes and documents. Academic and administrative staff have combined knowledge, experience and conceptual skills to perform functions and fulfill responsibilities devoting themselves with commitment to the mission of teaching and learning, research, academic service and conservative arts.

A1 explained that regarding human competencies :

> *In the society, universities are full of intelligent persons, with highest degrees.*
> *Specially, working under the CSCR model at SUT. One requirement is smart*
> *and intellectual persons including the leaders who are not fixed in their mind,*
> *which is more difficult. This means I have to encourage and support them along*
> *with the CSCR model. It has been essential to use facilitation, fairness,*
> *creative thinking, and thinking and acting together as elements in order to achieve*
> *the visions and missions of the institutes effectively.*

> *(Interview 1, A1, May 2004)*

And

*Important elements in strategic management are human resources, because
human resources have more value than things like jewelry and gold, and
minds, accomplishments, and happiness to work, are valuable if they have
positive attitudes to the universities. For example: I believe that in the
perspective of man, Buddha classified man into four groups, which relate to
human resources in university society four groups:*

*1. Lotus flower germinates in the darkness below to compare with the people
he called "dead wood or dead head" they are not intelligent and are not diligent
in work .*

*2. Lotus flower emerges below the water, I compare with the people he called
"problem shine" and one important problem is a negative attitude in the
organizations this he called high passions.*

*3. Lotus flower emerges equal in the water to compare with the people he called
"work moss" like a person who is like moss. They need close supervision, and
constant coaching, and a lot of help.*

*4. Lotus flower emerges above the water to compare with the people he called
a "star" which is not bright but diligent, and I encourage them to move up in
academic positions and through academic and research scholarships.*

(Interview 1, A1, May 2004)

A1 gave the reason why he chooses this example was because reasonable leaders
enable highly competent persons to achieve academic excellence and support as in
the CSCR model. 'Similarly' prior to Hersey, Blanchard and Johnson (2003, p. 174).

*One has to be sensitive to individual human feelings, because, if communication
is not affective, conflict and poor work will be the result.*

(Interview 1, A1, May 2004)

Policies

It was apparent from the interviews data, field notes and documents that "policies" were the guidelines for the future to manage academic work and to energize staff, to create research and academic service projects and as papers for publication. The senior leaders in state autonomous universities reveal that policies are an essential element for "effective leadership" at faculty, department, school, and supporting unit levels. The policy, as a basic statement, serves as a guide for administrative action. A2 with seven years' experience explained that he determines policies and guidelines for academic and administrative staff first. He brings policies through implementation, because staff have full knowledge and conceptual skills for working. The leaders use communication skills to take policies to followers.

Strategic Planning

It appeared in the interview data, field notes and documents that "strategic planning" is a key element of management in the organization. Various degrees of strategic planning were present for management in the Thai state autonomous universities (SUT and KMUTT) as well as the public universities (BUU). Policies determine strategic planning. The senior leaders determined that strategic planning and SWOT analyses were elements that helped to move academic staff to more creative thinking and encouraged them to take risks and to develop more loyalty and positive attitude for the SUT (A1).

C3 with six years' experience explained that the direction of administration is identified by planning with extensive conversations, regarding functions and workloads. "For example I organized international conferences that were effective and efficient. I always employed strategies planning and group conversation techniques to do any work with reasonable, accepting groups in order to avoid conflicts because I believe that sharing knowledge and informal conversations encourages the perception of collective goals".

SWOT analysis, as an analytic method, identifies factors that may affect the desired future outcomes of the universities. The SWOT model is based on identifying the universities' internal strengths and weaknesses, and opportunities and threats of the external environment, and consequential identifying the university's distinctive competencies and key success factors. These effective leadership elements, along with the considerations of societal and university values, lead to creation, evaluation and choice of strategy. SWOT's objective is to recommend strategies that ensure the best alignment between the external environment and the internal situation. When the researcher reviewed the interview data, the interview data for B3 with ten years' experience included the following regarding SWOT:

> SWOT analyses planning in terms of staff and organization; and creates
> creates networks, revises administrative procedures as these strategies are
> part of positive management.

> (Interview 1, B3, May 2004)

Strategic planning for implementation of activities is a formal process of defining the requirements for delivering high payoff results. This includes maintaining an optimal alignment with the most important elements of the environment within which the university resides. It relates to mission, vision, values, goals, objectives, roles and responsibilities, and timelines. Conceptual skills are a key element of the skills model in top management in organizations. Various degrees of conceptual skills were present in top management in the three Thai universities. These were related to strategic planning. There are obvious conceptual skills in terms of effective management at SUT, KMUTT, and BUU, because conceptual skills are abilities to work with ideas and concepts (Northouse, 2004, p. 38).

An action plan includes the steps required to reach strategic goals. It includes: who will do what, when and how and how we address current issues and emerging trends as unforeseen contingencies arise. The PDCA model provides a framework for the

improvement of a process or system. The junior staff at KMUTT used the PDCA model for vision and strategic development. It is a checklist of the four stages which one must go through to get from "problem-faced" to "problem solved".

B3 with ten years' experience describes the four PDCA cycle as:

> *I choose improvement area for plan(P), and implement the change as*
> *I plan to carry out the change (Do), after I have implemented the change.*
> *I determine how well it is working (Check). It is a result which fit with the*
> *plan. I make a working standard plan. If it is not suitable I will adjust*
> *the plan and continue(A)*

<div align="right">(Interview 1, B3, May 2004)</div>

It was apparent that the term "delegation" in the data from interview field notes and documents meant the delegation the faculties, departments, schools and supporting units level through "effective leadership". When the leaders participate with the followers, delegation is a process of assigning job activities and related authority to specific individuals or group of people jointly to determine "effective leadership".

Committees

It was apparent from the interview data, field notes and documents that there were various degrees of formal and informal committees working for "effective leadership" in the Thai Universities (SUT, KMUTT and BUU). For example, there are the university council committees, university administrative board, academic senate committees, university personnel committees, and quality assurance committees. Faculty board, quality assurance committees at faculty or institute, departments or school, and supporting units also exist. Specially, a faculty board is responsible for policies, curricula, academic positions, and controlling academic standards. Additionally, there are sub-committees in each activity. The senior leaders, senior

and junior staff converged in there about the committees. Because there are similarities, the universities can act similarly. The senior leaders at the faculties or institutes could decide to form a committee as a decision making process. This process needs participation in seriously considering improving academic standards. The primary purpose of these committees is to help university administrators ensure that appropriate decisions are made, to improve the quality of decision making, to develop decision making processes and to encourage an expression of fairness of opinions, including academic standards and good financial and personnel management. All of these factors allow the committees to meet the good governance process, including participation, transparency and accountability.

Voices from three Thai Universities

A1 explained that his role used committees frequently. For example, he employs committees to communicate regarding performance evaluations planning for academic work in the future, developing spirit in subordinates and encouraging creative thinking.

B1 also explained that his role as chairperson is one who often rephrases ideas clearly, so that everyone understands them and participates in the decisions. The results of disscusions are implemented at department, institute and supporting unit levels.

C1 with seven years' experience explained that, he uses the committees to share ideas about vision, strategy and direction of the faculty at least one time per year.

C2, with six years' experience explained that she manages her faculty by faculty board committee, and for collective thinking. Representatives take responsibility and delegation individually or collectively.

A2, with seven years' experience, uses committees for thinking and acting together both formally and informally. For example, he employs committee participation in decision making with regard to academic work.

B2, with six years' experience explained that he uses a committee to take action. He belives that using committee members allows staff to share decision making in academic work.

C3, with six years' experience, also explained that he allows participation in decision making for staff in meetings.

C4, with five years' experience, explained that her management allows her staff to share in decision making. For example, in performance evaluation approaches, she employs a committee to evaluate performance of staff because she values participation, transparency and accountability.

A3 described committees especially her responsibility on the quality assurance committee, graduate committee and on the academic senate committee. These committees control academic standards.

B3, with ten years' experience, explained that he uses committee elements and indicators to guide the administrative staff .

C5, with ten years' experience, explained that she allows staff to share opinions for determinating vision and development of the supporting unit.

C6, with ten years' experience explained, that there is an information technology committee to encourage policies about information technology and to support decision making of administrators.

Controlling

Data from interviews, field notes and documents from the three Thai Universities (SUT, KMUTT and BUU) revealed the category of "controlling". The degree of control influences human resources. In essence, control is making things happen at Thai universities in the way that management has planned with the senior leaders, as well as with senior and junior staff. When the Thai universities management realized that actual effective management objectives were falling far below planned levels, it was decided to take action to ensure the quality of outcomes (graduating students). Control in the three Universities is closely linked to their strategic planning activities. Senior leaders as well as senior and junior staff were concerned with academic standards, and with financial and personnel management processes. For example, A1 indicated that high quality teaching and learning follows the university's philosophy "CSCR". The dean takes responsibly for supporting unit committees, in order to control valuable service standard for academic staff such as maintaining material or expensive equipment.

B1 expressed his experiences in setting goals for effective management that they need to be clearly quantifiable. "We must have clearly identified subjects, budgets, work loads, and performance indicators" he said in agreement, with A2.

C1 indicated that performance evaluation is essential to provide staff awareness to change to better working behaviors.

C2 described her feelings that controlling the performance evaluation approach produced much more details. The details allowed the academic staff using the form to present their work load more effectively.

A2 indicated that the university policy determines the tri annual performance evaluation approach. It is reflected through all of the university employees. There are two patterns including contract continuation or termination of the contract.

B2 indicated that for good management of his department he has decided to pool money for academic work under the PPBS model. This style functions along with the job descriptions.

C3 explained how good management in his department follows the university policy, in meetings or on paper and is transparent. Identified strategies are used in planning the following year with goals and objectives for the departments' performance.

C4 indicated that determining the vision of the department follows the university's vision. Thus, the department follows work as the university has planned. She also to needs to further the vision to improve the academic standard for internationalization of her students.

A3 explained that the division of academic support is organized along the lines of teaching and learning at every level and coordinated centrally regarding graduate education regulations or charters.

B3 explained that the essential information element is good planning for work.
For example, he makes a list of information required for the ISO management system including customer and suppliers.

C5 explained that the university policy allows her responsible implementation, as Vice-President Student Affairs, to take action precisely along with rules and regulations. For example, she sets up her work into four categories; including urgent and important, not urgent and important, not relevant to her work but urgent, not relevant to her work not urgent and not important.

C6 explained that the administrators' policies allowed him to bring these policies through to implementation. Each unit has participated in the determination of these policies.

Going one step further, controlling at Thai universities is a necessary process that management goes through in order to maintain programs. This process includes taking steps to compare universities' performance to predetermined university plans, standards and objectives. The ultimate goal of controlling is to ensure that Thai university resources are being used in the most effective and efficient way possible, to achieve corporate objectives.

Corporate Culture and Paradigm Shift

The terms of "corporate culture", "paradigm shift" and "sharing resources" are important for Thai university control. Corporate culture has influenced the paradigm shift and sharing resources in their management. The government policy was designed for Thai universities to move out of the bureaucratic system to an autonomous one. It is a huge change for all leaders, so the leaders have to learn more about these changes. Sharing resources to integrate both physical and human is necessary in order to get more financial benefit and staff support of the CSCR system. An outstanding feature is the integration of buildings together with human resources, teaching and learning buildings, administrative buildings, scientific laboratories, library, computer center and equipment center, in order to combine instructors, to combine administrative staff, integrate life, and provide a sense of service. These events have created a new paradigm model for a new society.

Backup, Compromise and Outsourcing

The term "backup" is the act of creating and storing a duplicate copy of important plans, including procedures and rules for ensuring that adequate amounts and types of plan backups are made, including frequent suitable testing of the process for restoring the original production system from the backup copies. "Compromise" is an agreement (or proposed agreement) to accept a situation in which the parties settle for

different conditions from what they originally sought, to achieve a compatible outcome.

B2 expressed the way that he uses backup and compromise as strategic management in his department.

> *I felt the paradigm shift today.   The environment is always dynamic so it influences*
> *management procedures.   Therefore, I plan to set up many programs in order to*
> *support the academic staff to enjoy their work.   If any programs failed, we still have*
> *others programs to use, that I call "backup".   The backup allows the department to*
> *get income from the others programs.*

> *(Interview 1, B2, May 2004)*

B2 also believed that in this dynamic situation, compromise allows effective academic work, reduces conflicts and encourages teamwork.

B1, with seven years' experience explained that he has been sharing academic staff of graduate programs from out side universities.   He designed a new graduate programs and a new outsourcing procedure among universities in the same location.

A2 described the managerial strategy that he uses as an "action plan".   The action plan obtains policies from SUT for implementation.   A2 allows his staff to participate in the activities of the school.   A2 uses outsourcing for research projects and for exchange of academic staff. For example, A2 stated:

> *I have sought interchange of academic staff among universities in Thailand,*
> *which have been designing the same courses, in order to share human resources*
> *such as staff or instructors, building and class schedules in order to ensure*
> *full utilization of resources.   This resources in cost effectiveness and*
> *enhanced efficiency.   Performance based, efficiency, cost effective are*

> *emphasized. If it is not performance based, it may not be cost effective or*
> *afford able. Administrators should emphasize effective resources management*
> *in order to obtain reasonable investment for their money.*

> *(Interview1, A2, May 2004)*

C3 explained principles of strategic management where he emphasized planning for four years with goals and objectives for the performance of the department. This plan concentrates on "risk"

> *I avoided risk by employing Buddhism principles " Avoid overconfidence*
> *and be careful"*

> *(Interview 1, C3, June 2004)*

C4 explained that she uses "coordination". This strategy is adopted with collaboration from her staff because she believes that coordination obtained in this way allows effective collaboration for meeting her plan.

A3 gave a guideline of managerial strategies that are "task oriented" in emphasis. The "task-oriented" guideline has various degrees of experience such as leading by example, special, competent, effective communication and responsibility. These elements were all related to human competency. She believed that a person with full worth and competency should be able to be applied to the CSCR model.

B3 discussed managerial strategies that emphasized the use of are "action plan". He believed that the action plan is the heart of successful management and that it enhances effective performance.

C5 felt that move information technology was needed saying that there was too little equipment so too much time was spent working manually. The information technology would allow her to share resources in her daily work.

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C6 explained managerial strategies that he emphasized in varying degrees; such as policies and responsibilities of his staff. He not only allows participation from his staff, he encourages his staff to participate.

Thinking and Acting Together

"Thinking and acting together" as a administrative strategy for working with academic and administrative staff sets up reasonable strategic plans and opens opportunities for academic and willing administrative staff to participate together.

A1, explains that:

> *A position of dean has a term, so to employ "thinking and acting together"*
> *as necessity elements, all persons must participate without exception in*
> *order to achieve better human resources and academic development.*

> *(Interview 1, A1, May 2004)*

C2, with six years' experience explained that she employs strategies management along with "thinking and acting together". She needs her staff to participate such as action plan public hearing for implementation. She uses "thinking and acting together" like tool to determine direction for staff work well and participation. This tools related to creative thinking, leading by example and good governance process.

A2, with seven years' experience explained that he employs thinking and acting together as a tool for "meeting strategy" both formal and informal communication. His provision of the action plan both short and long plan and academic area were development his staff.

C4, with five years' experience explained that she employs "thinking and acting together" along with decision process including meeting of department. She needs her staff to share opinions involvement of financial or quality of work or quality of students (product of her department).

A3, with twelve years experience explained that she uses "thinking and acting together" as a tool for solving problems and obstacles. She needs all of her staff cooperate understanding and participating to solve problems and obstacles. Because these problems and obstacle came from their staff.

Managerial Skills

The term managerial skills refers to the ability to establish effective and cooperative relationships for "effective leadership"in the three Thai universities. These skills are determined jointly using the techniques and behavioral guidelines of senior leaders, as well as senior and junior staff to participate. These skills focus on interpersonal processes to understand the feelings, attitudes and motives of followers from what they say and do. There are various degrees of managerial skills including competency, creative thinking, coaching, functional competency, leading by example, strategic leadership, vision, learning by doing and teamwork.

It was apparent in the interview data, field notes and documents that "competency" was a key factor accounting for effective performance at SUT, KMUTT and BUU. The properties of these competencies are problem-solving, social judgment skills and knowledge. Problem-solving skills are described in terms of strategic review as a technique to investigate the vision and strategies of supporting units, departments and faculties.

A1, for example stated:

> *I believed that the SUT academic staff full had technological knowledge; capabilities to apply the research and to provide academic productions and devotion to academic work. There were more capabilities than staff in the bureaucratic system in a ratio of one per two.*

(Interview 1, A1, May 2004)

C3 stated the opinion that competence is an important element in strategic management because he needs his staff to show their competency in academic work. He needs to know that they have high competency and can show capability, realistically and valuably. Every person needs praise and encouragement from their manager so he often employs equity strategies to extract competence because he expects efficiency in the future. It was apparent in the interviews data, field notes and documents that there were consulting expertise knowledge gains from their experiences that allowed then to solve problems in supporting units, departments and faculties. This was necessary to adjust the organization and income payment system, and to set up rules and regulations for compensation in the same system. For example, the university needs accounting from every unit to know if they are in excess of income over and above the requirements of the universities need for efficiency and appropriateness. They need to provide accurate information to adjust, analyze and evaluate programs and activities.

Social judgment skill is the capacity to understand people and social systems (Northouse, 2004, p.42). This may involve awareness and understanding of facts, truths or information gained in the form of experience or learning. Daft (2005) states that for competence in a set of skills; once these specific skills are acquired through personal experience and work, all one has to do to succeed is put them into action (p.176).

Creative Thinking

It was apparent from the interview data, field notes and documents that "creative thinking" is conceptualizing a series of incremental steps to build and integrate strategies and plans to benefit the overall university vision, while allowing for flexibility and change.   A1 described that creative thinking is essential for effective leadership. Because he encouraged his academic staff "to think", they were able to accomplish something in their fields. They were aware of creative thinking and that provided encouragement from them under the CSCR model.

C1, with seven years' experience explained that he uses "creative thinking" along with flexibility to acept changes. He also believed that good leaders requiste to be changer and good listener. Because he believed that everybody obtain equal freedom. The leadership management requires to be hear the problem first. Then bring them to analyse and access problem.

A2, with seven years' experience explained that he avoid be in command of direct his management, because he needes encouragement his staff "creative thinking" in their work. Because working in university involves academic work. The academic work were needed academic freedom. The academic staff are specialization.

C4, with five years'experience explained that she presents an academic project along with scholarship toward the Faculty. Including motivates and inspires her staff "to create" academic text and handout. The academic text and handout have been contributed the quality both of teaching and learning and the students (outcomes).
For example, the Faculty set up scholarship.

A3, with twelve years' experience explained that she believes that human resources are more valuable than anything else. So, she encourages her staff "creative thinking" by training. For example to enhance competency regarding information technology,

to utilize technology and to develop creative thinking including training about to write official letters by computer or to utilize email to send documents for meeting which will replace having to write official letters by hand or posing official letters.

Proposition 2: Interpersonal Skills

Interpersonal skills build good leadership. Interpersonal skills have been defined as four categories including (1) communication, (2) personnel management (3) motivation and inspiration and (4) leadership characteristics. The contexts of the three Thai Universities contexts are summarized below:

 Interpersonal communication derives from formal and information communication simultaneously. Formal communication occurs along with organizational structure. The most common functions concern listening, talking and conflict resolution. Types of interpersonal communication vary from verbal to non-verbal, from situation to situation.   Analysis of data has revealed four categories including personnel management, communication, motivation, inspiration and leadership characteristics

(1) Communication

Many of the communication models enacted by CSCR, PPBS and BS shared in the process of leadership in terms of communication skills.   The communication skills enhanced "effective leadership" in the three Thai universities.   Communication system refers to action and interaction between leaders and followers in both formal and informal communication in the interview data, field notes and documents. The two communication paths allow the senior leaders to communicate with senior and junior staff along the lines of an organizational chart. For example, top-down and bottom-up. The senior leaders described the top-down and bottom-up processes that they use saying that management is responsible so the process is often top-down.

Informal Communication

It was apparent in the interview data, field notes and documents that there was a significant amount of informal communication including casual discussions, verbal exchanges and notes, or memoranda which adhered less strictly to rules and conventions. These informal methods included face-to-face conversion, small group meetings and emails.

Emotional Intelligence

Yukl (2006) states that emotional intelligence is another attribute that appears to be important for "effective leadership"(Goleman, 1995; Mayer and Salovey, 1995). Emotional intelligence is a capacity to understand and express emotions constructively in order to understand others' feelings and establish cooperative interpersonal relationships.

B1, with seven years' experience of management in the universities, describes that:

> *The dean is the top management at a faculty. Communication skills are a necessary*
> *skill for the dean because the dean position has a term. When the dean*
> *participates with followers there should be clear and down to earth communication.*
>
> *(Interview 1, B1, May 2004)*

Barrett (2006) discusses the kinds of effective informal communication skills used by the senior managers, employment recruiters, and business school alumni, faculties and deans in this study.

A2, for example, stated:

> *Normally, I use direct contact by electronic systems such as e-mail, mobile*
> *telephone, which is well-to-do.   It is not necessary to use an official letter.*
> *This action is like a functioning culture.*

> *(Interview 1, A2, May 2004)*

A1, senior leader, explained how communication systems in his management consists of both formal and informal communication. The formal communication comprises two factors including top-down and bottom-up. Hamilton and Parker (2001); Koontz, Donnell, and Weihrich (1984); Certo (1997) discuss various degrees of the top-down (downward) management including instruction, speeches and meetings. He uses telephones, loudspeakers, and even the grapevine.   A1, for example, states:

> *I use meeting as a communication system. The meeting committee conveys*
> *information to staff.   In this way, if any staff members have any information*
> *they are able to transfer the message to supervision by bottom-up.*

> *(Interview 1, A1, May 2004)*

This system is effective because a flat organization also improves communication. However, the purpose of a meeting needs to be extremely clear in dissemination to staff for example. He provides formal meetings for the staff outside SUT, in order to inform them about the annaul report, performance evaluations and promotion. Email is also an essential element to convey information to staff.

B1 also used a top-down and a bottom-up system integrating varying degrees of communication; for example, email, fax, memos and direct contact, which are all examples of two-way communication. He felt that the integration of "communication system" enhanced effective communication and clear understanding. B1 stated that:

I have more meetings for management under PPBS project because the PPBS

project needs to balance financial aspects..

This communication system is effective and efficient and B1 works like this everyday.

C1 also used a top-down and a bottom-up system and integrated various factors to communicate with his staff. He integrated both documents and electronic systems for effective communication, for example, official letters, documents, university network system (intranet), email, mobile phone, fixed phone, memo, informal sheets, and newsletters. The most effective factors are official documents, meetings and direct contacts (individual conversation). He states:

I have organized annual meeting staff to talk about the direction of our

faculty "autonomous status" self-help, individual-development, and excellence

of units.

C2 also recognized her communication with staff by meeting with the faculty board and by "meeting the dean". "Meeting the dean" means Dean and Associate deans inform and indicate with staff the results of performance each semester. Nevertheless, many factors are included to enhance effective desimination by sub-committees, bulletin, website and mobile and fixed telephone (in urgent cases).

A2 emphasized informal communication such as email, direct contact and urgent management by mobile telephone. However, he also felt integrating factors of communication affected communication.

> *In my opinion, informal communication is the best direct contact because one*
> *does not have to write or type official letters, or make a telephone call. I use*
> *e-mail because I am able to keep a copy.*

<p align="center">*(Interview 2, A2, May 2004)*</p>

B2 also used formal and informal communication with his staff, especially informal
communication such as lunch meetings, extra activities, small group meetings,
face-to-face conversations (individual) email and mobile and fixed telephone. "The
integrated communication model is appropriate with our staff".

C3 also expressed the feeling that effective communication uses both formal and
informal communication but he recognized electronic systems, for example, email
because he felt correspondence is fast and convenient and provides accountability
and fast reaction.

> *I employed responsibilities for training so our staff can understand automatically*
> *how to do their work. I chose this example, because of responding formally while*
> *working is a difficult adjustment for all staff because it takes a long time to use*
> *formal methods of communication.*

<p align="center">*(Interview2, C3, June 2004)*</p>

C4 also explained that she uses the two factors of formal and informal communication
as well as top-down and bottom-up communication. The effective factor is to conduct
a meeting to inform the staff quickly, For example C4 stated :

> *I invited the staff to a committee meeting in order to consider "grade score".*
> *The first set up, (urgent) I use direct contact by face-to-face conversation,*
> *and follow by official letter. I get full collaboration for a successful meeting.*

<p align="center">*(Interview 1, C4, May 2004)*</p>

A3 also explained that there were two factors in effective communication. The two

factors are formal and informal communication. She integrated these factors for example, using an official document system (such as minutes), as well as electronic system (such as email), mobile and fixed telephone, newsletter, direct contact or individual conversations because she likes to share information through multiple channels for staff members to benefit. For the academic senate meeting she sets up an agenda by email and sends it to the committee in order to confirm documents for the meeting. From the meeting, she receives informal evaluations and feedback. For example, she receives for review an "Excellence services" action plan from the monthly meeting.

B3 also emphasized formal and informal communications. The formal communication was comprised of official documents. The direction of communication is top-down; such as, ordering from supervisors and bottom-up such as reports. The two factors include electronic systems, namely email. Effective communication is used as an important factor in meetings and performance reports, because, it allows the staff to share and exchange ideas, to convey problems and obstacles to administrators, to examine performance reports with job descriptions and to encourage staff morale.

C5 also employed formal and informal communications. The formal communication pertains to official documents (such as minutes). The informal involve face-to-face conversation, small group meetings and electronic systems such as, email, fax, mobile and fixed telephone. These factors enhance effective communication quickly and easily. C5 for example, stated:

> *Well, let me tell you about the process for "booking the conference room".*
> *We have designed an application form and regulations for booking the conference*
> *room. The application form needs to be approved by the Director of Student Unit.*
> *The form is then copied, and one copy is given to the user with another to be posted on*
> *the board, and one to be kept as a record of the booking. The system enables us*
> *to contact the user by fixed or mobile telephone in the case where a priority booking*
> *arises. The regulations outline the activities of which the need to service students*
> *is the number one priority.*
>
> *(Interview 2, C5, June 2004)*

C6 also used the two factors of formal and informal communication for his management. The formal communication consists of top-down and bottom-up styles. The informal communication uses channel intranet network inside his office. These factors in effective communication include quick and precise completed messages, and the ability to achieve on the mail server, so it is not necessary to save white sheets (hard copy). C6, for example stated:

> *I send to the committee an official letter for meeting by email. An agenda is*
> *attached to the email notification. The meeting agenda allows the committee*
> *to study before the meeting time. This email agenda reduce time and cost as*
> *well as paper.*

<div align="right">

(interview 3, C6, May 2004)

</div>

C6 went on to say that: "Formally, I sent a meeting agenda to the committee by hard copy. We used white sheet (hard copy) too much. Now, I changed the way of sending "meeting agenda" to send "meeting agenda" to committee by email and then attaching document file, I found that it saves paper and costs also, and produces a more effective meeting".

(2) *Personnel Management*

Planning for Staff Development

Personnel management is a primary function of leadership at top levels. It focuses on roles, duties responsibilities and performance evaluation approaches for staff. Among the three universities there were varying approaches to personnel management. Data showed that the senior leaders had two viewpoints concerning planning for staff development. Two sub-categories of encouraging staff to study high level on or off the job training used approaches of quantitative evaluation and

quality of performance. In performance indicators there were two sub-categories including teaching load and work load. In "collaboration" there were also two sub-categories including effective cooperation and good practices of the two Thai state autonomous universities (SUT and KMUTT). At BUU, a sub-category of collaboration as effective cooperation was found.

It was apparent that setting direction converges with the policy of university and social needs. In the interview data, field notes and documents including the policies enacted by SUT, KMUTT and BUU showed planning for staff development is required as a road map for universities. The road map refers to any action that motivates and inspires staff to gain knowledge and create academic products and to increase basic skills for administrative staff. Essentially, senior leaders tried to encourage their staff in order to achieve such policies and fit into the functions that fulfilled expectations.

A1, with seven years' experience described the legitimate roles, duties and responsibilities involving decision making and chairing of faculty board. The faculty board is an authority concerned with curricula, improving curricula, academic positions, and personnel management. He explained that he plans development of his staff in two categories. The first category is encouragement of academic staff to study at high levels, for example, doctoral and postdoctoral levels and also to take extra-work outside the university such as with consulting companies. The second category is encouragement of administrative staff to enhance career paths, and to work in rotation.

B1, with seven years' experience, described how he plans development of his staff in two categories. The first category encourages staff to study at higher level such as doctoral and post doctoral encouraging presentation of research or academic papers supporting scholarships from university income or government scholarships by extra agencies; encouraging other scholarships for research projects relevant to goals of

university. The aim is to provide people with highly conceptual skills and to administrators to move up senior leaders.

C1, with seven years' experience, described his roles as setting up policies along with visions and performance evaluation of his staff. He also explained the development of job descriptions that include routine and extra jobs. The guidelines consisted of three categories: encouraging staff to study at high levels to training and conduct research. The three categories were supported by staff scholarships or other scholarships, because he believed that "developing people is better than the others things", that gains it increase knowledge, creative thinking and positive attitudes for work. Global of technologies are dynamic. Developing staff increases competence in both human resources and the general organization.

C2, with six years' experience explained that the two key factors of personnel and financial management were part of her roles, duties and responsibilities. Also she has networks in these same area with the others agencies . Development staff fit job descriptions, reviewing teaching and adjusting work loads. She emphasized that more and more staff study at high levels and attend training and conferences or seminars both in country and aboard. She showed the same ideas as C1 who believed that "developing people is better than the other things", so she plans staff development to fit in to goals of the faculty through university scholarship or extra scholarships. For example her first important plans to encourage staff to study at high level such doctoral or postdoctoral. The second plans training staff both in and outside country, for administration development according to the road map for the faculty and university.

A2 overviews the roles, duties and responsibilities concerning purely academic management. There are various degrees of duties and responsibilities obtained for the university that allow him to develop curricula and human resources. These include drops, registrations, re-registrations, approval and educational cooperation. The heads of schools have authority to punish staff. A2 stated:

Here, the concept of autonomous university focuses on pure academic management.
It is different others universities.

(Interview 1, A2, May 2004)

A2, with ten years' experience of planning human resources development, explained that he emphasized the main concepts of less manpower with high competency by recruiting new very competent Ph.D.'s. "If the university is unable to recruit Ph.D., staff, we recruit a person who has high competence in a Master degree, appropriate to Ph.D. study." He encourages staff to study both aboard and in Thailand in appropriate subjects which will receive scholarships for Ph.D.'s. For administrative staff development he is encouraged by the road map of his university which requires yearly performance evaluation and supports exchanges of administrative staff.

B2, felt that his role with seven years' experience described the leader as survival including financial, personnel and curricular management, identifying responsible staff by position and delegating appropriate to "put the right man into the right job".

B2, with six years' experience in planning staff development explained that he provides short and long plans for staff development according to his visions of his department. For example, short course training in English language; long plan for academic staff to study at high levels (doctor and post doctor) and research scholarship.

C3, with six years' experience explained that his roles, duties and responsibilities follow university regulations and that he leads by example under good governance. With BUU becoming autonomous it needs to employ good governance principles, including consultation and mentoring, facilitating and servicing for academic staff. "For example, I am committed to working in order to lead by example for new academic staff. Just as supervising a student with poor knowledge law in the very interested matter of students not just only was teaching. The reason for example that

we needed a quality of students to meet requirements of social expectations. So we develop department cultures which consist of patience, and honesty. These factors is a requirement of the other universities, In addition we need to avoid conflicts and to be transparent". Also he classified responsibilities of academic and administrative staff as delegation styles, for example: sharing work or specialization, committees, assistant department head roles, secretary of department quality assurance committees, academic journal committees and student committees. He planned development of his staff through study at high levels and on-off the job training. These developmental processes helped research teams gain scholarships and design teaching development and access point for the students. These factors are important elements and related to achieving the goals of the organization. "For example, we organized international conferences by academic staff who have high competence in work on these project. The project is a partnership. The aims of international conferences are to inspire academic staff in order to do research. It is very successful project which has good planning and is able to succeed".

C4, with five years' experience explained her role as coordinating the class schedule for undergraduate students and for academic staff in the faculty, as well as overseeing the Faculty Board committee. The policy of the faculty is decided by the Faculty Board. She is relied upon to attend meetings and inform staff about academic matters in a clear and concise manner. For example, the main role focuses on teaching and learning, and helping students with any problems they may encounter in their course work. Also, she organizes the department's strategic plan, because teaching and learning is the main function of the head of department as it relates directly to the students.

C4 takes special care to keep in contact with the students enrolled in her department. She classified responsibility of her staff into two categories: teaching and non-teaching. The teaching load is related to subject area, and the skills competency of each academic staff member. For example, she sets up subjects depending on the

skills competency of staff. Each academic staff member will receive a teaching load that is equally balanced in each semester.

C4 explains that in some semesters it is not always possible to allocate equal loads to all staff because this depends on the subjects that are offered in a particular semester. Because she tries to be fair in the distribution of teaching load to all staff, this creates a sense of justice and fairness among all staff in the department. She develops her staff by promoting and encouraging academic staff to improve their academic positions by undertaking higher level studies and by gaining further knowledge by attending conferences and seminars.   An important aspect of academic staff development is scholarship. C4 for example, stated:

> *I set up the goals of planning to develop our staff to support the autonomy of*
> *the university. The goals of the department are designed carefully to include the*
> *offering of extra classes to earn income for the department, as well as provide*
> *a quality education for students. The income that is derived from these extra*
> *classes can then be used to develop our academic staff with further skills and*
> *knowledge, at the same time lifting their morale. I believe that the good technology*
> *that we have may not be worthwhile if we do not have well-trained, quality staff*
> *using this technology.*

> *(Interview 1, C5, June 2004)*

C4 said that BUU is in transition to becoming an autonomous University. "It is therefore necessary to ensure that new academic staffs are fully competent with the necessary skills to support our academic endeavors".

A3, with twelve years' experience also explained that he developed his staff under the road map of the university policies. For example, training, on-off-the-job training yearly, in such things as teamwork, and motivating techniques, in order for them to enhance teamwork and understand that working together increases alliances.

> *"Encouraged administrative staff are often energized to work. For example,*
> *develop teamwork as a technique and a methodology. It is a good example*
> *and easy to understand and reflect in working life. However, sometime a weak*
> *point is fewer budgets for administrative staff development. The career paths*
> *are unclear and encouraging enhanced study without scholarship and*
> *issuing degree as official document".*

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(Interview2, A3, May 2004)

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B3, with ten years' experience explained that his roles concern in various degrees financial, business, accountant, logistics, and evaluation. For example, he lays out the system such as set up administrative chart with position, and delegation, because he needs to gain knowledge and technical skills for his staff. B3 stated:

> *Annual performance allows staff to be successful in the processes because the annual*
> *performance expresses clearly each step of working. It makes availability of the*
> *staff to implemented. I believe that good management allows rotation of the staff*
> *for effective performance.*

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(Interview 1, B3, June 2004)

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B3 determines responsibility for his staff according to competence such as "put the right man in to the right job". He plans development of his staff individual abilities with a road map with the supporting unit such as for on-off the job training. Also staff are encouraged to learn new technology to improve and develop academic services.

C5, with ten years' experience explained that her roles were consulting, problem solving and coordinating. She often uses two-way communication to disseminate information to other organizations and to coordinate both internal and external with the university in matters relating to student services. Currently, she does all jobs on

a day-to-day basis, including functional authority delegation. So, she lacks time to effectively think about creating job descriptions. For example, functional operation of the university dormitory is delegated to her. In the case of there not being sufficient places in the university dormitories to match the number of students requiring dormitory space, it is her responsibility to handle this problem. However, she does not have enough authority to solve this problem. So, she just presents this problem to the Vice President who in turn presents it to a committee board. The committee board deals with this issue and develops university policy to resolve the problem. This reveals problem-solving techniques. The middle administrators can not solve this problem without the authority to do so, and so this problem becomes a matter of policy development for the university. For example, raising a Loan Fund is a new job of the student units that come under her functional control. This is a new policy, and therefore it is necessary to set up a process to handle it. "The process consists of four steps. Firstly, to identify application to Raise a Loan Fund for the Students forms. Secondly, to consider the application forms. Thirdly, to make a contract for each of the students. And fourthly, to present the contract to the Vice-President. At the same time, we continue our planning and facilitation for the students". She sets up job analysis for one administrative staff and he or she undertakes the job to be well done. If a process meets a problem, she considers increasing manpower and technology, as well as attempting to increase efficiency. She said there is lack of planning to develop administrative staff regarding skills in dealing with other organizations. The expense of training has been encouraged by the student unit under rules and regulations of the university. The need or desire to gain knowledge and skills by undertaking higher education studies is not a likely option because staffs are unable to pay for these studies out of their own money.

C6, with ten years' experience explained that his roles held various degrees of responsibility for coordinating, controlling and follow up. For example, he was responsible regarding International Standard Organization (ISO) as an extra job. The ISO system allows him to coordinate with the ISO committees. He determines responsibilities of his staff by job descriptions and competency, such as functional

competency and good coordination. He plans development of his staff annually, for example, on-off the job training and encouraging staff to study at higher levels (Master degree). "Developing staff allows knowledge gain, morale and benefits for the supporting units".

Performance Evaluations Approach

"Performance evaluation approach" is a sub-category of interpersonal skills. Quantitative evaluations of performance and quality of performance are concept of performance evaluation approaches in Thai autonomous Universities. There are varying degrees of performance evaluation approaches. For example, the hierarchy assessment, increasing salary, job description, quality and efficiency and quantitative evaluation at SUT, KMUTT and BUU. These elements encourage "effective leadership" in the three Thai universities.

A1, with seven years' experience explained that he used quantitative evaluation and quality of performance in evaluating his staff. There were various degrees of quantitative evaluation and quality of performance. He integrated the two elements to evaluate his staff under four criteria including excellent, good, middle and poor. These criteria were considered by the performance evaluation committee at an official meeting. He used various degrees of performance evaluation such as leadership vision, creative thinking, responsibility, human relationship, decision maturity as well as performance indicators of work load and teaching load. He evaluated his staff three time per year. These evaluations allowed for fairness and cost effectiveness as well.

B1, with seven years' experience explained that he evaluated his staff by both quantitative and quality of performance twice a year. He integrated the two elements in evaluating his staff. The evaluation enhanced staff development and encouraged functional competence and competitiveness, because he tried to maintain fairness for

staff. He employed various indicators to evaluate his staff in areas such as teaching and workloads.

C1, with seven years' experience explained that he evaluated both his staff performance and workload. These are the two factors evaluated by heads of department and deans of faculty for promoting and increasing staff salaries. He used various indicators such as ability, problem solving, competency, teamwork, self-adjustment flexibility, creative thinking, responsibility and alertness.

C2, with six years' experience explained that she evaluated her staff both quantitatively and according to the quality of performance manual. This instruction manual is accessed by the faculty website. She allots her staff workloads early every semester along with the instructions manual. The instructions manual outlines evaluation by peer review committees and by faculty board committees.

A2, with seven years' experience explained that he evaluated his staff using the trimester credit system. Staff performance efficiency and positive results according to the trimester credit system were evaluated. He evaluated staff at the end of the term according to head of department and committees. The results affect promotion and individual salaries. For example, the department identified the need for increasing rates of 3%, 5% and 7% in individual salaries depending on performance. This is different from the bureaucratic system. He used various types of performance indicators including quality teaching and quality performance based on published research and the number of quality articles. If the article is not sufficient quality or there are other issues such as seminar examinations, the department has discussions, regarding ideals and guidelines in order to efficiently assess staff. "Moreover, we observe supervision of graduate students according to the quality of theses, ability to criticize and evaluate students reflects on performances of staff". He stated:

In bureaucratic systems it is not allowed that the administrators evaluate their staff because indicators are highly abstract.

(Interview 2, A2, May 2004)

For example, he evaluated his staff by quality of student-centered teaching and employs informal evaluation such as walking around the classroom to look at academic staff while they are teaching through one way glass or by using non-participant observation of students' reactions when teaching in the same classroom. He studies how students expresses their actions. Important evaluations were used by staff in designing work protocols for salary increase and promotion.

B2, with six years' experience explained that he evaluated his staff by both quantitative and quality of performance (performance based). He used various means to evaluate his staff such as teaching load and workload. For example, the goals of his department required academic staff "to research two topics per academic year". His department did higher amounts of research than the requirement.   He sought out staff to contribute to his department's success; those staff will get positive performance evaluations.   If every staff member meets the requirements of the department, the success will reflect directly on the department. The whole academic staff will get positive performance evaluations as well.

C3, with six years' experience explained that he used both quantitative assessment and quality of performance to evaluate his staff. The two elements include quality of performance, and amount of performance, with a report and student assessments. He used participant observation techniques to observe while academic staff are teaching in the classroom. The evaluation encourages improvement and development of staff. He used teaching load and workload as the indicators to evaluate his staff including teaching punctually, teaching efficiency, and examples of student assessment. The criteria of performance evaluation were determined by committees, because he needed to train students and improve teaching staff to improve performance for

students by being punctual. He integrated types of indicators to ensure "effective performance evaluation" and "effective leadership".

C4, with five years' experience explained that she evaluated her staff with the university designed assessment system for staff in order for them to gain promotion to higher salary levels. Her opinion as a member of the promotions committees is that some forms of assessment are not fair for staff. Because the qualitative assessment allowed evaluation of each item of assessment it is highly abstract. She felt it was difficult to assess overall because much depends on the responsibility of each person. For example, some departments used both the quantitative and qualitative measures grouped together while some departments did not. She felt it was not fair because there were multiple patterns and indicators not clearly explained to staff.   "These performance measures should encourage staff to raise morale and encourage staff to lift their spirits".

A3, with twelve years' experience explained that she evaluated her staff by quantitative methods and quality of performance. Evaluation may reflect negatively on work, promotions and career paths. The result of evaluation should be done individually and fairly. For example, she evaluated her staff by university indicators such as teamwork, knowledge, devotion, patience and punctuality. The period of evaluation is three times per year and if anyone received "excellence they were informed by official letter. Where, staff are evaluated at moderate levels they are told to improve themselves.

B3, with ten years' experience explained that he used quantitative and qualitative measures of performance according to the job descriptions. He employed various degrees of indicators to evaluate his staff such as responsibilities, self-assessment, precision, quality and timeliness of work. He integrated these elements into positive evaluation of his staff twice a year. Positive measures influenced promotion and increases in the salaries of his staff.

C5, with ten years' experience explained that she evaluated her staff using quantitative and qualitative measures. Performance evaluation is a necessity in her office, because this is a requirement of the university. She does not believe there is a valid and reliable tool for performance assessment. It is difficult to access differentiation on a number five or six scale. Instead she employs indicators to evaluate her staff such as a piece of work and their fulfillment of responsibilities. She believed that these indicators reflected the quality of performance and are useful measures of effectiveness and efficiency.

C6, with ten years' experience explained that he uses quality of performance and quantitative measures in evaluating his staff by comparing performance against the position guidelines forms of the university. He believed that the evaluation consolidated effective management systems and fairness.

Problems and Obstacles in Achieving Good Personnel Management

It was apparent in the interview data, field notes and documents that interviewees faced problems and obstacles in completing their work. The senior leaders, senior and junior staff revealed two main types of problems and obstacles. The two types consisted of human and systemic elements at SUT, KMUTT and BUU. The human factors included various types of problems and obstacles such as staff considered as "dead wood", over confident, self-confident, or lacking sincerity and budget. The systemic obstacles came from limited budgets and the need to move to the full concept of what it means to be an autonomous university.

A1, with seven years' experience explained that his problems and obstacles came from a lack of understanding of the nature of autonomous universities from top agencies such as the Office of Higher Education of Commission and the financial Office. Old culture such as the bureaucratic system inherited by staff influences the new model of "CSCR". The admission of students processes do not fit into the

action plan and there is a lack of administrators at the head of school level. He has various ways to overcome the problems and obstacles including faith and acceptance techniques to seek fully competent academic staff in the head of schools position who can review action plans in a proactive manner. He also communicates with staff who have bureaucratic experience to orientate new academic staff to understand the autonomous system and to explain to the top agencies as well. His evaluation achieves effective collaboration with approximate 80 % "thinking and acting together" from his staff. He uses integrity and fairness to allow collaboration and success under the"CSCR model". This model require sense of service, good communication and sound coordination.

B1 with seven years' experience explained that his problems and obstacles were "human" and "cooperate culture". These two elements derived from a variety of types of staff and the attitude and nature of academic staff in the university. Because many academic staff are full of intelligence, and untouchable, lacking humility and over confident in the academic staff society, this society is difficult to work with. He uses faith techniques to solve and overcome these problems and obstacles. The faith technique derives from motivation and inspiration, effective managerial skills, sincerity, effective communication by direct contact and flexibility. For example, he sets up clear strategies along with key performance indicators (KPI). For organizing, he uses society impact over dynamic force in order to control deadwood to work well. For cooperate culture, he employs leading by example of fairness and good leadership. In this way, he gets effective collaboration from his staff who show good attitudes and willingly help the extra work as first priority and benefit as second priority. His observations were commitment, output and outcome followed term of reference. They made me proud and grateful to reflect to the departments, faculties, universities, societies and country (Thailand). He believed that the leaders must involve "life long learning".

C1, with seven years' experience explained that there were various types of problems and obstacles such as lack of staff, over confident and self-confident staff and rigid

rules and regulation. He used workflow, analysis workload, sharing resources and outsourcing to solve problems and overcome obstacles. In turn, he received good practices such as official and extra work as collaboration influenced the successful achievement of goals and visions of the faculties.

C2, with six years' experience explained that her problems and obstacles were the "system". Her system allows academic staff to be selfish. This it means that academic staff do not make scarifies because they need to score when they work on every job. She uses equanimity *(upekkha)* to solve problems and to invite academic staff who have the same ideas to work together in quality processes such as performance evaluation in solving problems and overcoming obstacles. She gets good collaboration from staff and believes that these elements successfully encourage the faculty.

A2, with seven years' experience explained that his problems and obstacles were "human"(academic staff) in terms of quality of teaching among academic staff. He expected good teaching and a firm quality of teaching. Some academic staff were fully competent and knowledgeable but some were not good teachers. He used ethics and morality to solve the problems and overcome lack of quality among teaching staff. He did this because ethics and morality directly affected students competency. Some staff have good teaching but lack ethics in teaching, and they are not good examples for students. Some staff do not have a teaching mind and are not good examples for students. It is very difficult to encourage them to teach with ethics and morality. Sometimes A2 was unable to change staff behavior because, they have knowledge but not competencies. So, he plans improvement in anything related to change, and helps defend anything unable to be changed. For example, some instructors are not good classroom examples so he tries to adjust students' behavior by talking with them in order to change their understanding of reality and set guideline regarding their ethics and morality. His rigid honesty, ethics and integrity towards students meant he may or may not change the staff behavior but perhaps can

change the students' behavior. He also employs coaching for new staff in planning for problem solving. He uses follow up student behavior and performance in the classroom. His students work as full time employees at a work site during one term for at least sixteen weeks. Work sites reflected the performance of students and the teaching they receive. Sometimes he is unable to identify how individual staff teach from the whole picture. So, he is interested preferably in individual performances. If he can not solve the problems and overcome obstacles, he uses evaluation criteria to measure academic staff in order to solve problem and overcome obstacles. He believes he receives effective cooperation and good practices through delegation, responsibilities, fairness, accountability and transparency.

B2, with six years' experience explained that his problems and obstacles were financial, because his department obtained limited finances. This allowed academic staff to manage more academic service to get more income. So, academic staff adopted proactive working. These types require him to use backup strategies. He solves problem by setting up extra curricula and increasing academic services project and proactive plans. For example, he planned to increase new curricula including both normal and extra curricula. This is his strategy for increasing financial effectiveness. He received good collaboration through teamwork including group researches and participation. He believes that teamwork along with group research and participation encourages effective collaboration and good practices. These elements were solving problems and overcoming obstacles.

C3, with six years' experience explained that his problems and obstacles were over confidence of staff whose ideas diverge and show rigid unacceptance. He uses communication skills such as face-to-face conversations, compromise and follow up to solve problems and overcome obstacles. Thus, he receives collaboration from his staff to effect good practices. He believes that good practices successfully encourage his department.

C4, with five years' experience explained that her problems and obstacles occurred through over confidence. He uses communication skills such as face-to-face conversation to solve problems and overcome obstacles. Thus, she receives good practices such as good cooperation, friendliness and responsibility to solve problems and obstacles.

A3, with twelve years' experience explained that her problems and obstacles were "human" such as lack of competent, uncreative thinking, difficulties in change and difficulties to communication. She used several ways to solve problems and obstacles including face-to-face conversation, learning by doing and participation. For example, she uses real phenomenon such as allowing mistakes and misunderstanding among her staff. She picks up these issues to discuss and analyse them with her staff. "What is problem? Why did the problem and obstacles happen?" These situations are visible, empirical and based on direct experiences, because she needs her staff to learn experiences directly. She receives effective cooperation and good practices. Because the two elements affect positive performance, they help to avoid problems and obstacles, and encourages understanding. Encouraging collaborations brings friendliness and acceptance together, and leads to positive implementation.

B3, with ten years' experience explained that he focuses on various types of the problems and obstacles such as instability of staff, satisfaction of customers, budget, competition and communication. He uses worldwide channels, to develop service system more effective and increases the budget by being proactive in order to attract more money for staff, supporting unit and university. He uses leading by example and participation to solve problems and overcome obstacles in areas such as research projects, academic services projects and strategic planning.

C5, with ten years' experience explained that her problems and obstacles occurred both "human" and "system". These include lack of manpower, process of work, lack of development information technology systems and lack of sharing information. She uses various ways to solve problems and overcome obstacles such as assisting staff, to

gain knowledge through new projects   such as "learning to corporate with encouragement community project", in order to adjust processes of work by experience, to develop staff and increase their ability or capacity.   She receives approximately 50 percent collaboration because her staff do not accept approximately 50 percent collaboration because her staff do not accept approximately fifty percents because her staff not accept it fully.   However, she continues to guide and facilitate her staff to work on the process.

C6, with ten years' experience explained that his problems and obstacles were "human" and "system" including diverging ideas and ISO system.   He used official meetings, evaluation techniques, participation and effective communication to solve problems and overcome obstacles for his staff.   Thus, he received collaboration and good practices.

(3) Motivation and Inspiration

Goetsch (2005) states that one of the characteristic shared by effective leaders is the ability to inspire and motivate others to make a commitment (p.xii).   Senior leaders' interviews explained the various elements of motivation and inspiration of their staff.

Incentives

Incentives were apparent in the interview data, field notes and documents as extrinsic motivation that comes from outside an individual. The motivating factors are external, or outside: tangible rewards such as money or grades. These rewards provide satisfaction and pleasure that the task itself may not provide.   They are tangible as when pay is increased or promotion is given.   They also include intangible rewards such as acknowledgement praise or public commendation.   Examples of extrinsic motivation include rewards, praise, encouraging research scholarship, encouraging

staff to study at higher level, positive academic atmosphere and good comunication. Intrinsic motivation comes from the cognitive and humanistic views of motivation including rewards and a sense of belonging.

Extrinsic and Intrinsic Motivation

Owens (2004) explains that extrinsic approach is a concept in which people who are hurt tend to move away in order to avoid pain, and people who are rewarded tend to repeat the behavior that brought the reward.

Intrinsic motivation is evident when people engage in an activity for its own sake, without some obvious external incentive present. A hobby is a typical example. It was previously thought that the two types of motivation (intrinsic and extrinsic) were additive and could be combined to produce the highest level of motivation. However, more recent authors differentiate between two forms of intrinsic motivation: one based on enjoyment; the other on obligation. In this context, obligation refers to motivation based on what an individual thinks ought to be done. For instance, a feeling of responsibility for a mission may lead to helping others beyond what is easily observable (Owens, 2004).

A1 described various degrees of motivating and inspiring where he integrates both extrinsic and intrinsic motivation. The extrinsic concerns welfare, academic atmosphere, rewards and facilitation. The intrinsic pertains to sense of belonging. Welfare comes from the spirit of senior leaders, who have more experience and value people. The academic atmosphere allows academic staff to feel free to employ equipment and laboratories. In the same way he encourages rewards for excellent research and excellent instruction and excellence administration. A1 provides and example as follows:

I use enforcement to inspire academic staff move up to academic positions. Because SUT has constructed high requirement regulations to move up the academic positions. So, I allow heads of school to manage course work fit to their fields.

(Interview A1, May, 2004)

A1 describes the obstacles to motivating and inspiring his staff to achieve their work as "inefficient persons". "The inefficient persons mean persons I called "dead wood" or "dead head". The efficient person I call "star" and "problem child" because they have driven a faculty to achievement of goals by "acting together". Thus obstacles have been less apparent in my experience, because optimistically, any obstacles are common and simple.

A1 went on to explain that when he feels ignorant about these obstacles, scientists point out :

"Winners always find solutions in every problems, losers always find problems in every solution". I have variously experienced, that perfection needs good planning.

(Interview2, A1, May 2004)

B1 explained the guidelines he uses for motivating and inspirating his staff as "high standard of conduct and ethics". This means that there are ethics and integrities of fairness pertaining to awarding and promoting based on achievement and performance. It is not personal appreciation of favorites. These factors impact on the development of university society.   Positive motivation and inspiration makes staff reach goals. If staff get the fairness, they come to work together. The fairness generates power and the power affects success."

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B1 also explained that communication skills are important in motivation and inspiration, For example:

> *I believed that there were four categories of staff were classified such as*
> *lotus flower emerges above the water, lotus flower emerges equal in the water,*
> *lotus flower emerges below the water and lotus flower germinates in the darkness*
> *below . These staff have diverse knowledge, attitude, and manner for working. Thus ,*
> *I use different communication styles with different kinds of staff. For example*
> *"information input to a concered person in your mission must be done using*
> *appropriate procedures for individual needs".*

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(Interview2, B1, May 2004)

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Barrett (2006) discusses how communication skills refer to leader capabilities regarding speaking and writing clearly. Here B1 stated that the obstacles to motivating and inspiring staff may be overconfidence; and lack of sincerity.

> *The way to overcome the obstacles to motivate and inspire his staff is to be a*
> *good listener and good manager.*

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(Interview3, B1, May 2004)

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Daft (2005) explains that motivation refers to the forces either internal or external to a person that arouse enthusiasm and persistence to pursue a certain course of action.

C1, with seven years' experience explained that he used various degree of rewards to motivate and inspire his staff. These rewards have two factors extrinsic and intrinsic rewards. He described extrinsic rewards, for example: encouraging creative thinking; delegation in line with putting the right man into the right job; praise; rewards; encouraging high work performance and friendliness with staff. He gave his staff independence to think about their own work preferring to change from control to

collaboration. He encouraged staff to be happy to work by putting the right man into the right job. He emphasized extrinsic reward, because:

> *I believe that everyone is born good, and they will be willing to do good things.*
> *I would rather not to believe that people are born lazy and require their boss to offer*
> *rewards or punishment in order to make them work.*

> *(Interview C1, April 2004)*

C1 often tried to motivate others by providing them with the opportunity to satisfy higher needs and become intrinsically rewarded.

> *I encourage each individual to work with their full capacity and provide chances*
> *for them to work according to their wishes.*

> *(Interview1, C1, May 2004)*

And he stated:

> *Any behaviors leading to rewarding results are behaviors that will remain as*
> *suggested by the behavioral psychology that said "that the behaviors of those*
> *leading to satisfactory results the behaviors will be strengthened while the*
> *behaviors providing dissatisfaction or harmful results will gradually disappear".*

> *(Interview1, C1, May 2004)*

C2, with six years' experience explained that she uses both extrinsic and intrinsic rewards. But now she feels that staff prefer extrinsic rewards for example:

> *I had full encouraged "scholarship" for our academic staff, including*
> *study at high level "postdoc". Training short course at Australia; research;*
> *present research, and conference or seminar.*

> *(Interview1, C2, June 2004)*

C2 explained that she would like to encourage her staff to build a particular action in their work. C2 stated for example:

> *I suppose that we have responsibility to take care for a patient, and then the*
> *patient gets well. A patient is satisfied when they get well. I am very proud to*
> *benefit others, as I am a teacher.*

> *(Interview1, C2, June 2004)*

C2 often uses praise with her staff in the Faculty board committee. For example

> *I praised our staff for creating "website" of the department. The website*
> *allows the entire staff to get information about us.*

> *(Interview1, C2, June 2004)*

A2 also described ways of motivating and inspirating his staff. He emphasized both extrinsic and intrinsic rewards, for example meetings, face-to-face conversation and small group meeting. These factors encouraged sharing and exchanging ideas between leaders and followers through delegation and collaboration. He tries to avoid commanding for his staff. For example he stated:

> *I motivate and inspire and encourage staff to achieve their goals using face-to-face*
> *conversation, small group meeting, and leading by example. Because I believe that*
> *most of our staff are highly self-confident and competent, I use what is necessary to*
> *energize them, not to order them.*

> *(Interview1, A2, May 2004)*

A2 explained that policies and administration are obstacles in motivating and inspiring his staff.

I believe that various elements must be constructed gradually, in order to
gradually remove obstacles to inspiration and motivation in the work
comprised of the administrative system. The visions of administrators sometimes
present huge obstacles which are important to manage in order to achieve goals.
Some administrators, at each level, overdo their responsibilities. Some
administrators like to do work which overlaps with that of their subordinates, and
take on too many roles, duties and responsibilities.

(Interview1, A2, May 2004)

B2, with six years' experience explained that he also used communication skill such as face-to-face conversation to motivate and inspire his staff.   He stayed calm and focused, telling the truth along with much information, for example:

I explained how to narrow down and still get benefit, by changing to a new way
for his teaching and learning. The new model is "students centred", because
I need the students to gain knowledge, get practice as well, and are happy to learn.

(Interview1, B2, May 2004)

C3, with six years' experience explained that he uses delegation and responsibilities to motivate and inspire his staff. For example, he delegates some jobs for his staff to work on. He inspired his staff by "following up" what is going on their jobs. He also requires responsibility from his staff.

I often heard students' complain that work alone fulfil their and only
responsibilities alone and slove problems by him/her self.   These voices
allowed me to think about "the administrators adopting problems to share
with staff".

(Intertive2, C3, June, 2004)

C3 often used scholarship as an extrinsic reward to inspire his staff. He encounters crucial rules and regulations, budget, and lack of trustfulness as the obstacles to preventing motivation and inspiration. He reviews rules and regulations to encourage working.

C4, with five years' experience explained that she employs policies, scholarships, facilities and budget to motivate and inspire her staff. For example, her faculty sets up texts to hand out for projects and scholarships for research in order to motivate and inspire academic staff to undertake further academic scholarship and enhance their opportunity for academic promotion, such she said obstacles leadership related to working without a system or direction and narrow vision. She believed that creative thinking and vision is important for leaders. "We need to inspire our staff to become enthusiastic about developing their academic qualifications and increasing the number of academic promotions". She felt that her university is not developing and encouraging the academic staff to produce texts and handouts. She proposes setting up an academic project in order to motivate and inspire staff to be happy to create academic work.

A3, with twelve years' experience explained that she motivated and inspired her staff by performance and assessment systems such as job descriptions, responsibilities, perceptions, duties, and job securities. For example she stated:

> *No things were required for to her staff to be motivated and inspired to do their work. Her staff work well along with functional duties and responsibilities. Her staff do not need any elements to motivate them to conduct good performance. They were professional and do their work on time. If their work is not urgent they follow a different time frame.*
>
> *(Interview2, A3, May, 2004)*

B3, with ten years' experience explained that he motivated and inspired his staff by

responsibility, participation, delegation, promotion and welfare. He integrated these elements to motivate and inspire his staff. He said these elements are important to encourage his staff to work well. B3, for example stated:

> *All staff need encouragement, care and maintenance as "a tree needs water,*
> *soils to be fertile". In the same way the staff need encouragement also.*
> *when the staff is exhausted. I motivate and inspire them through effective*
> *communication skills such as face-to-face conversation.*

> *(Interview3, B3, June 2004)*

B3 describes the multiple systems including the bureaucratic system, employees system and projects system. These elements provide various options for the staff selected. These elements increase the obstacles to leadership in motivating and inspiring his staff.

C5, with ten years' experience explained that she motivates and inspires her staff by the scope of work eliminated. It is important to gain knowledge and to understand a main point and an aim of work, to know the best approach and timeline for the work. For example, her staff had a problem of instruments not working. She supported new instruments and increased staff. She finds that the lack of an acceptable and good working process is an obstacles to motivating and inspiring her staff . She cannot problem solve everything. She says her staff should also take on some the responsibility.

C6, with ten years' experience explained that he motivated and inspired his staff by both extrinsic and intrinsic motivation such as promotion salary, teamwork and welfare. He integrates both extrinsic and intrinsic motivations. His obstacles to motivating and inspiring his staff occurred when managerial skills such as lack of acceptance, ineffective communication skills and unfairness were not apparent. He uses face-to-face conversation to overcome lack of motivation and inspiration in his staff.

(4) Leadership Characteristics

The role of leaders under the new Thai government policy of autonomous state universities involves guiding staff to accomplish organizational goals efficiently. These leadership roles refer to behavior in the relationship between leaders and their staff. In other words, a leader's behavior in Thai culture is based on the belief that "a leader is born, not made". There are three categories involving personality qualities, and learning and leadership skills. These categories consist of several sub-categories of ethics involving fairness, trustfulness, sincerity, service mind, respectful (i.e., obedient), gifted, integrity, and decision making. The second sub-category concerned values including attitudes, hospitality, equanimity*(upekkha)*, caring, vision, thinking before talking and commitment. The third sub-category involves learning knowledge, creative thinking, leading by example, supporting and facilitating, competency, experiences, teamwork, transparency, ability to use IT, managerial skills, functional competency and strategic planning. The third category is leadership skills, consisting of coaching. The senior leaders and senior and junior staff used described varying degrees of "effective leadership" for the functions and respsibilities of leaders.

A1, with seven years' experience explained that he integrates characteristics of leaders using strategic planning integrated with creative thinking, fairness, caring, and equanimity *(upekkha),* to cope with changes especially, equanimity *(upekkha).* The term "human" that he used, included the anger, delusions and greed. Equanimity *(upekkha)* allows him to live without anger, delusions and greed. A1, for example, stated:

> *"If you are an administrator you can not avoid being criticized or admired.*
> *It is similar to standing out doors. When the sun shines one feels warm and*
> *When it rains one gets wet"*

> *(Interview1, A1, May 2004)*

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A1 often uses trustfulness because he believes that staff are more valuable and academic if trusted. He needs to motivate and inspire staff by "thinking and acting together".

B1, with seven years' experience explained, that he integrates the various degrees of characteristics of leaders including attitudes comprising sincerity, honesty, devotion, leading by example and being friendly with followers. Functional competency means full knowledge about the mission of universities. Managerial skills consist of competency, creative thinking, coaching, functional competency, leading by example, strategic leadership, vision, learning by doing, and teamwork as well as service minded consisting of ethics, honesty and morality. He often integrates all these elements to allow "effective leadership" to occur, because of the experience that these elements encourage effectiveness.

C1, with seven years' experience explained, that he uses the various amount of vision, fairness, truthfulness, flexibility and ability to listen. He often uses fairness, flexibility and ability to listen because he believed that the fairness, flexibilities and careful listening allow his staff to participate as well as enhancing the faculty members' accomplishments.

C2, with six years' experience explained the important elements of leadership. She integrated the various degrees of leadership, including functional competency, health, devotion, good human relationships, changing sensitivity, sincerity, give and take, and caring and networking, to enhance "effective leadership". She often integrates all of them for managing her faculty, because she believed that these elements gain benefit through her security members. For example, she likes to know development in her field. What is going on? How do we get information for changes? So, she follows up these changes by networking. She is a member of the committee of her professional association. She, therefore, receives ideas for changing directions in her faculty members, and is able to plan changes in a new way.

A2, with seven years' experience describes how he emphasizes the ideas and visions and consults with his staff about other autonomous university missions. He believes that a good leader is transparent, has integrity and is a facilitator, because administrators are leaders. Leaders have more farsightedness more than others. So, he often employs vision and emphasized guidelines, visions and concepts in order to promote academic work. For example: previously, he enhanced international connections with Europe, America and Australia in order to obtain scholarships, subsidy and opportunity to study in those countries. Now the focus is on Vietnam, Malaysia and China. Currently, university administrators are cutting back on international academic staff and student exchange program projects, and providing fewer scholarships.

B2, with six years' experience, explained, that he emphasizes thinking before talking and was reluctant to provoke conflict because he needs to maintain teamwork in order to achieve the mission of the university.

C3, with six years' experience, explained that he uses various elements of leadership including coaching, small dinner meeting techniques, leading by example, trustfulness and faithfulness. He does not order colleagues and tries to facilitate for his staff ideas. He also encourages self-confidence in academic staff. For example, he has changed teaching courses, so that staff do not mandate any subject for any person. Because he needs to train and allocate his staff, he often employs the techniques of leading by example in order to build trust. This encourages faithfulness and increasing commitment to the organization.

C4, with five years' experience, explains that she emphasizes the spirit of important leadership elements. Because the spirit allows responsibilities she finds that self-confidence, sacrifices and devotion come out of her department. Including this spirit encouraged difficult stories to become easy stories. She often uses responsibilities for management. For example: she holds staff meetings in her department. If she is late,

she will call by mobile phone to inform her staff, because she believes that "coming in time" is an important characteristic of leadership.

A3, with twelve years' experience explained that, she emphasized "gifted" as an important element of leadership. The gifts come in varying degrees of leadership characteristics including encouragement, responsibility, punctuality, admiration of staff and ability to apologize, leading by example, experience, instruction, and positive implementations. These generated acceptances from administrative staff. This evidence is visible in positive reflection through outcome. We are able to evaluate the outcome of a piece of work by its visible success. This is a reason, why, A3 believes that:

> *Leadership must convey valuable things to subordinates,*
> *whose goal is for positive action for success.*

(Interview1, A3, May, 2004)

So, A3 often employs the gifted element, because it increases competency in line with what the Vice-President has encourages for skills to develop in order to increase knowledge and skills in the university.

B3, with ten years' experience explained that he uses varying degrees of important characteristics of leadership, such as vision, leading by example, functional competency and ability to use IT, because vision is likely to raise leadership standards, he often uses vision and IT in leadership. Information technology allows leaders to be alert, to gain functional competency, increase the relationship between leaders and followers and motivate and inspire staff participation. For example, he uses email to transfer document files to subordinates. Moreover he is able to access his information anywhere, because he has the computer always on and it is easy to access. Such technologies allow staff to be effective in their job, by providing access

to precise, quick, complete information, to reduce the number of steps and frees them up for access.

C5, with ten years' experience, described her viewpoint that she uses faith (i.e., must be accepted by line subordinates) is highly responsible, committed to work, and has to competency skills. She explained that:

> *If everybody is highly responsible, it is not necessarily thanks to*
> *a good leader. Because all are able to work to achieve goals.*
> *at the same time, they are difficult to control, so any problems are*
> *outstanding. This is of important concern because they do not*
> *accept a direct line of authority.*

> *(Interview1, A3, May, 2004)*

A3 often uses responsibility in the functional operation of her Office. This is because, she believes responsibility is an important element for every rank of staff with top managers having higher responsibilities, the specialists having specialized responsibility and others have functional responsibilities. She also uses competency skills in working. For example, previously the students returned to their home town in a semester break and a major task that needed to be done was to complete a student card for train fare discount. Hence, as the semester break neared, there was an increase in the services needed for students.

C6, with 10 years' experience, explained that he integrates, to a varying degree for the elements of leadership, including personality, functional competency and selecting the right person for the right job. Because he emphasized the importance of human competency, for example, the way he chooses the right man for the right job encourages his organization to receive the benefit.

Conclusion

In reviewing Table 2 in relation to transcripts of the data, it can be seen that the senior leaders and senior and junior staff of SUT, KMUTT and BUU reported that "effective leadership" was defined by organizational and interpersonal skills. The two constructs combined organizational and interpersonal skills, including in them patterns of management, administrative strategies, communication, personnel management, motivation and inspiration, and leadership characteristics. The perception was that action and interaction between leaders and followers of "effective leadership" had played different roles at different times. As Daft (2005) argues, "the qualities needed for effective leadership are the same as those needed to be an effective follower".

Organizational Skills

In the context of each case study, the researcher identified different and similar phenomena in the CSCR, PPBS and BS models. The leaders at all levels of SUT were in strong agreement that, SUT has been operated according to its mission under the CSCR model through the centralization and decentralization (self-governance). The centralization process included buildings gathered in clusters, for example, administrative, academic, research buildings, and a scientific complex. These models support and encourage academic atmosphere and are reflected in a similarly designed accumulation budget. These approaches also promote the academic position for of academic staff. This situation does not appear at the KMUTT and BUU. The leaders at all levels of KMUTT also are in strong agreement and KMUTT has operated its mission under the PPBS model. The PPBS model has been designed for rigid effective costs. The researcher suggests that BUU integrate the main points of CSCR and PPBS into a new model for effective operation the BUU mission effectively.

All leaders have integrated various concepts into "administrative strategies" including managerial work and managerial skills. The conception of managerial work for all level leaders of SUT have strong similarity in terms of human competency and sharing resources. This is different from KMUTT and BUU.

All level leaders of SUT, KMUTT and BUU are in strong agreement about competency, creative thinking, leading by example, leadership strategies, vision, teamwork, functional competency and thinking and acting together. Currently, new changes are being integrated around these concepts, especially learning by doing and communication skills at BUU.

Interpersonal Skills

Senior leaders and senior and junior staff of SUT, KMUTT and BUU have integrated communication, personnel management, motivation and inspiration, and leadership characteristics into interpersonal skills. All level leaders of SUT, KMUTT and BUU have strong agreement about integration of the similar concepts of communication including formal and informal communication, emotional intelligence (EI), leadership communication and effective communication.

In the concept of "effective leadership" all level leaders in the three case studies have converged integration of personnel management to include planning for staff development, performance evaluation approaches, performance indicators, problems and obstacles in achieving work expectation and problem solving. The conceptions of personnel management of all level leaders of SUT, KMUTT and BUU include similar planning for staff development including encouraging staff to study at a high level, on-off the job training; performance evaluation approaches involving quantitative evaluation and quality of performance, performance indicators to include teaching load and work load, and strong agreement about collaboration ensuring good practices.

SUT operates its performance evaluation approach under principles of merit "difficult entry and easy exit" (SUT, 2003, p.3). KMUTT and BUU operate under two semesters in each academic year while SUT is structured around trimester and staff are evaluated three times a year.

In SUT and KMUTT all level leaders identified human and systemic problems as obstacles in achieving their work. These included staff who were "dead wood", over confident, or lacking in sincerity, multiple budget; systems and diverse ideas about autonomous university systems. SUT and KMUTT have approached these problems by review strategies and consultants' expertise and BUU will do so too.

All level leaders of BUU strongly agree about the importance of extrinsic motivation including rewards, praise, scholarships, to encourage continuous study and research scholarship and about intrinsic motivation such as shared benefits. Obstacles to motivation and inspiration include inefficient people, policies and administrators at SUT and KMUTT, and of managerial skills at BUU.

Chapter 6

Discussion

Introduction

The topic "A Comparative Study of Administrative Leadership in Thai Universities" was selected because of my experience in working in a university in Thailand at a time when many universities including my own were moving from state administration to autonomy. I observed that there are many different management styles employed within universities and changes of leadership roles had impacted greatly on the ways in which departments were being administered universities. I was particularly interested to identify the extent to which this was based on personal qualities and on learned approaches to administration and management. Therefore, the research questions identified for the study were: how do senior leaders of autonomous Thai universities conceive of the necessary elements of leadership? (RQ1); how do senior leaders of Burapha University conceive of the necessary elements of leadership? (RQ2); and what changes are needed to be made at Burapha University in constructs of leadership in order to deal effectively with its new autonomous status? (RQ3)

Through this study I have come to identify effective leadership as the key to success in autonomous universities and to define this according to a combination of a complex set of interpersonal and organizational skills.

The model (Figure 6.1) below summarises the research approach, findings and conclusions.
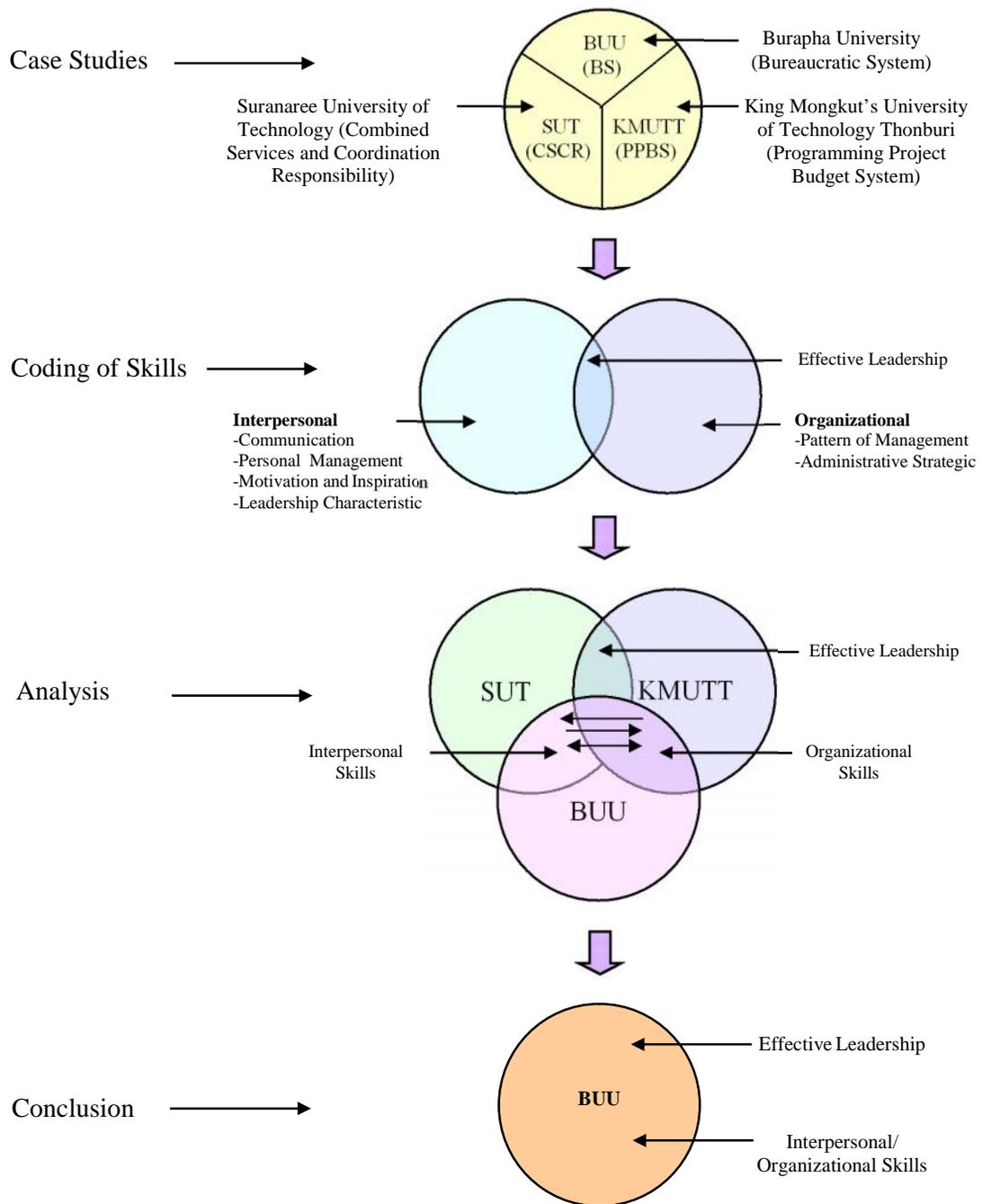
Figure 6.1 Effective Leadership Theory Model

This study has drawn on the theories of Kotter on the process of leadership (1990), McClelland's Acquired Needs Theory (1975), trait approaches, situational approaches to leadership and transactional and transformational leadership and on previous research by Yukl (2006), Northouse (2004) and Daft (2005). Yukl focused especially on influencing people; Northouse, on leaders being born, not made and Daft, on the shift from management to leadership.

The methodology employed in the study was grounded theory. The theory was developed through several stages. This included in depth interviews with four Deans (one each in SUT and KMUTT and two in BUU); Heads of Schools/Departments (one each in SUT and KMUTT and two in BUU); and Faculty secretaries (one each in SUT and KMUTT and two in BUU).   Subsequently the results of the interviews were subjected along with other documentary evidence and researcher's memos to a comprehensive coding analysis. This involved constant comparison and theoretical coding including open, axial, and selective coding.

Full details of this process are included in both Chapter 4 and in the appendices. A, F, G, H and I. It is important in studies of this type to enable the voices of the participants to be heard so this is a large part of Chapter 5.   Some of the most memorable quotes from participants and those that most clearly for me defined effective leadership are as follows:

"Important elements in strategic management are human resources, because human resources have more value than things like jewelry and gold and minds, accomplishments and happiness at work are valuable." (Interview1, A1, May 2004).

"One has to be sensitive to individual human feelings because if communication is not affective conflict and poor work will be the resource" (Interview1, A1, May 2004).

"I avoided risk by employing Buddhist principles to *"Avoiding over confidence"*(Interview 1, C3, June 2004).

"I send to the committee an official letter for meetings by email. An agenda is attached to the email notification. The meeting agenda allows the committee to study before the meeting time. This email agenda reduces time and cost as well as paper" (Interview3, C6, May 2004).

"If you are an administrator you can not avoid being criticized or admired. It is similar to standing out doors when the sun shines one feels warm when it rains one gets wet" (Interview1, A1, May 2004).

"I think that teamwork is an important element for administration. This element enhances participation for working successfully. Specially, if I employ a commanding and work on a "one man show" style in the university, it makes me unsuccessful". (Interview1, B2, May 2004).

These quotes reinforce and reiterate the theoretical perspectives in defining and understanding effective leadership. In addition they reiterate and extend the findings of Daft (2005) and Bratton, Grinnet and Nelson (2005) in describing the shift from management to leadership.

In conclusion, my recommendations are that further research is appropriate in the areas of motivation and inspiration, communication and administrative strategies. Additionally, the opportunity to return to a study of administrative structures at Burapha University and other universities five years into their autonomous status would be particularly beneficial as a means of validating and extending this research.

Burapha University needs to move to forward to becoming autonomous. To do this, human resources, leadership skills including learning by doing and communication skills, effective cooperation, academic atmosphere and sense of belonging need to be improved through staff selection, training and development. However, the rejection by many staff of the move to autonomy makes this very difficult. There is a belief that the interim and new governments should pay attention to other issues such as security

rather than university autonomy. Many students are concerned that autonomous universities will increase fees and although university leaders may endorse the movement to autonomy they also have some concerns about the longevity of their positions.

All of these issues shape the important context of this research. They also emphasise the immense importance for staff, university leaders, students and the broader community of coming to a shared understanding about effective leadership.

In my role at Burapha University I have been integrally involved in the many changes in the movement to autonomy.

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Appendices

Appendix A

Interview questions

For

A Comparative Study of Administrative Leadership in Thai Universities and Recommendations for Changes at Burapha University

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This is an interview form to collect information from Deans or Directors, Heads of Departments and Schools and Faculty Secretaries in Thai Autonomous Universities (SUT, KMUTT), and Burapha University (BUU). This information will be used for the research framework of the study, and will be kept strictly confidential.

Please tell me about experiences you have had in administrative leadership while working in your Faculty/Office. As I ask these questions I want you to think about examples of the management and leadership roles you play:

1. How do you manage your Faculty/Office? What does this mean to you?
   Please give me one example that describes how you manage your Faculty/Office.
   Why did you choose that example?
2. How do you manage your work strategy? What are important elements in how you manage your work strategy? Why do you think about that? Please give me one example about how you manage your work strategy. Why did you choose that example?
3. What do you think are the important elements of leadership? Why do you think that? Which of the elements do you use more in your work? Please describe important elements of leadership and give me one example that you think describes important element of leadership and which of the elements you use more in your work? Why did you choose that example?
4. What are your visions and strategies in your work? Why do you think that? Please give me one example that you think defines that what your visions and strategies are? Why did you choose that example?

5. If the visions and strategies are not able to be achieved, what do you do, and how do you attempt to develop your visions and strategies? Please describe how you do this, and how you develop your visions and strategies, and give me one example of how you do it. Why did you choose that example?

6. What are the roles, duties, and responsibilities in your work? Give me one example that describes your role, duties and responsibilities. Why did you choose that example?

7. How do you determine the work responsibilities for your staff? Please give me one example of how you do this. Why did you choose that example?

8. How do you plan to develop the staff in your Faculty/Office? What does this mean to you?
Why do you do that? Please give me one example of how you develop the staff in your Faculty/Office. Why did you choose that example?

9. What is the communication system in your Faculty/Office? How do you manage the communication system in your Faculty/Office? Why do you do that? Please give me one example of how you manage communication in your Faculty/Office. Why did you choose that example?

10. What are the elements of communication you use to get people to understand and believe in your visions and strategies in your Faculty/Office? Please give me one example of how you do that. Why did you choose that example?

11. Do you assess staff efficiency and positive results of your staff in your Faculty/Office and how do you do it? What does this mean to you? Why do you do that? Please describe how you do that and give me one example of what that you do? Why did you choose that example?

12. What are the indicators you use to measure staff efficiency and attainment of your Faculty's/Office's goals? How do you use them? Why do you use that indicators? Please describe and give me one example of how you measure staff efficiency and the attainment of your Faculty's/Office's goals. Why did you choose that example?

13. What were your problems and obstacles in achieving your work? How do you plan for problem solving and for overcoming those obstacles? Please describe the your problems and obstacles you have in achieving your work objectives and give me one example? Why did you choose that example?

14. How do you motivate and inspire your staff? What does this mean to you? Why do you do that? Please give me one example of how you motivate and inspire your staff. Why did you choose that example?

15. What elements do you use to motivate and inspire staff to be efficient and to produce positive results at work? How do you use to motivate and inspire the staff to be efficient and to produce positive results at work? Please give an example of how you motivate and inspire staff. Why did you choose that example?

16. What are the obstacles to leadership preventing you from motivating and inspiring staff? Why do you think that? How do you do that? Please describe the obstacles to leadership preventing you from motivating and inspiring staff and give me one example. Why did you choose that example?

17. How do you get collaboration from your colleagues? What does this mean to you? Why do you think that? Please give me one example of how you encourage collaboration from your colleagues. Why did you choose that example?

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Appendix B

Interview Questions in Thai

แบบสัมภาษณ์แบบเจาะลึก (In-depth Interview) เพื่อการวิจัย
เรื่อง

การศึกษาเปรียบเทียบภาวะผู้นำทางการบริหารในมหาวิทยาลัยไทย
(A Comparative Study of Administrative Leadership in Thai Universities)

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คำชี้แจง

   แบบสัมภาษณ์นี้เป็นแบบสัมภาษณ์แบบเจาะลึก เพื่อสัมภาษณ์ผู้บริหารระดับคณะ
ได้แก่ คณบดีหรือผู้อำนวยการที่เทียบเท่าคณบดี หัวหน้าภาควิชา และเลขานุการคณะ/สำนัก/สถาบัน
หรือเลขานุการคณะหรือผู้อำนวยการกอง ข้อมูลที่ได้จากการสัมภาษณ์ครั้งนี้จะใช้เป็นกรอบของการ
ศึกษาวิจัย ซึ่งจะเก็บไว้เป็นความลับและไม่มีผลกระทบใด ๆทั้งสิ้นต่อผู้ให้ข้อมูล   ผลที่ได้จากการ
สัมภาษณ์จะนำไปใช้เพื่อการวิจัยเท่านั้น

คำอธิบายสำหรับการสัมภาษณ์

   ขอความกรุณาท่านโปรดอธิบายประสบการณ์ในการทำงานของท่าน ขณะที่ท่านดำรงตำแหน่ง
อยู่ในคณะ/ ภาควิชา/สำนักวิชา/สำนักงานของท่าน เกี่ยวกับแนวคิดภาวะผู้นำในการบริหารงาน ตาม
บทบาทและหน้าที่ของท่านพร้อมยกตัวอย่างประกอบ ดังคำถามต่อไปนี้

   ข้อ 1 ท่านบริหารงานในคณะ/ภาควิชา/สำนักวิชา/สำนักงานของท่านอย่างไร การบริหารงาน
ที่ท่านกล่าวนั้น มีความหมายและความสำคัญอย่างไร โปรดยกตัวอย่าง และอธิบายการบริหารงานของ
ท่าน และทำไมท่านจึงเลือกตัวอย่างนั้น

   ข้อ 2 ท่านบริหารกลยุทธ์ในการทำงานของท่านอย่างไร อะไรเป็นปัจจัยสำคัญในการบริหาร
กลยุทธ์ของท่าน ทำไมท่านจึงคิดเช่นนั้น โปรดยกตัวอย่าง และอธิบายกลยุทธ์ในการบริหารงานของ
ท่านว่าท่านมีกลยุทธ์การบริหารงานอย่างไร ทำไมท่านจึงเลือกกลยุทธ์ในการบริหารงานนั้น

   ข้อ 3 ท่านคิดว่าปัจจัยของภาวะผู้นำที่สำคัญมีอะไรบ้าง ทำไมท่านคิดเช่นนั้น ปัจจัยภาวะผู้นำ
ที่ท่านใช้มากคืออะไร โปรดอธิบายปัจจัยของภาวะผู้นำที่สำคัญพร้อมยกตัวอย่าง 1 ตัวอย่างที่ท่านคิดว่า
เป็นปัจจัยที่สำคัญและเป็นปัจจัยที่ท่านใช้มากในการทำงาน ทำไมท่านจึงเลือกตัวอย่างนั้น

ข้อ 4 วิสัยทัศน์และกลยุทธ์ที่ท่านใช้ในการทำงานมีอะไรบ้าง ทำไมท่านจึงคิดเช่นนั้น โปรด
ยกตัวอย่างวิสัยทัศน์และกลยุทธ์ที่ท่านใช้ในการทำงาน ให้นิยาม 1 ตัวอย่าง ทำไมท่านจึงเลือก
วิสัยทัศน์และกลยุทธ์นั้น

ข้อ 5 ถ้าวิสัยทัศน์และกลยุทธ์ในการทำงานของท่านไม่สามารถบรรลุเป้าหมาย   ท่านทำ
อย่างไร และท่านพยายามพัฒนาวิสัยทัศน์และกลยุทธ์ในการทำงานอย่างไร   โปรดอธิบายว่าท่านทำ
อะไรบ้างในการพัฒนาวิสัยทัศน์และกลยุทธ์นั้น พร้อมยกตัวอย่างว่าท่านทำอย่างไร ทำไมท่านจึงเลือก
ตัวอย่างนั้น

ข้อ 6 บทบาท หน้าที่ และความรับผิดชอบในงานของท่านมีอะไรบ้าง จงยกตัวอย่างบทบาท
หน้าที่ และความรับผิดชอบของท่าน พร้อมอธิบายบทบาท หน้าที่และความรับผิดชอบของท่าน ทำไม
ท่านจึงเลือกตัวอย่างนั้น

ข้อ 7 ท่านกำหนดความรับผิดชอบของบุคลากรในหน่วยงานอย่างไร โปรดยกตัวอย่างพร้อม
อธิบายว่าท่านทำอย่างไร ทำไมท่านจึงเลือกตัวอย่างนั้น

ข้อ 8 ท่านวางแผนพัฒนาบุคลากรในคณะ/ภาควิชา/สำนักวิชา/สำนักงานของท่านอย่างไร
การวางแผนพัฒนาบุคลากรที่ท่านกล่าวนั้น มีความหมายและความสำคัญอย่างไร ทำไมท่านจึงทำ
เช่นนั้น โปรดยกตัวอย่างการพัฒนาบุคลากรในคณะ/ภาควิชา/สำนักวิชา/สำนักงานของท่าน ทำไมท่าน
เลือกตัวอย่างนั้น

ข้อ 9 ระบบการติดต่อสื่อสารในคณะ/สำนักงานของท่านมีอะไรบ้าง ท่านบริหารระบบ
การสื่อสารในคณะ/สำนักงานของท่านอย่างไร ทำไมท่านจึงทำเช่นนั้น โปรดยกตัวอย่าง 1 ตัวอย่างว่า
ท่านบริหารระบบการติดต่อสื่อสารในคณะ/สำนักงานของท่านอย่างไร   ทำไมท่านจึงเลือกตัวอย่างนั้น

ข้อ 10 ปัจจัยในการสื่อสารที่ท่านใช้เพื่อให้บุคลากรมีความเข้าใจและมีความเชื่อมั่นใน
วิสัยทัศน์และกลยุทธ์ในการทำงานในคณะ/สำนักงานของท่านมีอะไรบ้าง โปรดยกตัวอย่าง 1 ตัวอย่างว่า
ท่านทำอย่างไร และทำไมท่านจึงเลือกตัวอย่างนั้น

ข้อ 11 ท่านมีการประเมินประสิทธิภาพ และผลการปฏิบัติงานเชิงบวกของบุคลากรในคณะ/
สำนักงานของท่านหรือไม่ และท่านทำอย่างไร   การประเมินประสิทธิภาพและผลการปฏิบัติงานเชิงบวก
ที่ท่านกล่าวนั้น มีความหมายและความสำคัญอะไรบ้าง ทำไมท่านจึงทำเช่นนั้น   โปรดอธิบายว่าท่านทำ
อย่างไร พร้อมกับยกตัวอย่าง 1 ตัวอย่างว่าท่านทำอะไรบ้าง ทำไมท่านจึงเลือกตัวอย่างนั้น

ข้อ 12 ดัชนีบ่งชี้ที่ท่านใช้ในการประเมินประสิทธิภาพการทำงานของบุคลากรและความสำเร็จ
หรือการบรรลุเป้าหมายของคณะ/สำนักงานของท่านมีอะไรบ้าง ท่านใช้ดัชนีบ่งชี้เหล่านั้นอย่างไร
ทำไมท่านจึงเลือกใช้ดัชนีบ่งชี้นั้น โปรดอธิบายและยกตัวอย่าง 1 ตัวอย่างว่าท่านประเมินประสิทธิภาพ
ในการทำงานของบุคลากรและความสำเร็จหรือการบรรลุเป้าหมายของคณะ/สำนักงานของท่านอย่างไร
ทำไมท่านจึงเลือกตัวอย่างนั้น

ข้อ 13 ปัญหาและอุปสรรคในการทำงานให้บรรลุเป้าหมายในคณะ/สำนักงานของท่านมีอะไร
บ้าง ท่านวางแผนในการแก้ไขปัญหาและผ่านพ้นอุปสรรคเหล่านั้นได้อย่างไร   โปรดอธิบายการแก้ไข
ปัญหาและการผ่านพ้นอุปสรรคในการทำงานตามวัตถุประสงค์ พร้อมยกตัวอย่าง 1 ตัวอย่าง ทำไมท่าน
จึงเลือกยกตัวอย่างนั้น

ข้อ 14 ท่านจูงใจและกระตุ้นหรือดลใจบุคลากรในคณะ/ภาควิชา/สำนักวิชา/สำนักงานของท่าน
อย่างไร การจูงใจและการกระตุ้นหรือดลใจบุคลากรให้ทำงานประสบความสำเร็จมีความหมายและ
ความสำคัญอย่างไร ทำไมท่านจึงคิดเช่นนั้น   โปรดยกตัวอย่างว่าท่านจูงใจและกระตุ้นหรือดลใจ
บุคลากรของท่านให้ทำงานให้บรรลุเป้าหมายอย่างไร   ทำไมท่านจึงเลือกตัวอย่างนั้น

ข้อ 15 ปัจจัยที่ท่านใช้จูงใจและกระตุ้นหรือดลใจบุคลากรในคณะ/สำนักงานของท่านให้ทำงาน
อย่างมีประสิทธิภาพและมีผลการปฏิบัติงานเชิงบวกมีอะไรบ้าง ท่านใช้ปัจจัยเหล่านั้นอย่างไร   โปรด
ยกตัวอย่างว่า ท่านจูงใจและกระตุ้นหรือดลใจบุคลากรอย่างไร ทำไมท่านจึงยกตัวอย่างนั้น

ข้อ 16 อุปสรรคของภาวะผู้นำที่ขัดขวางการจูงใจและการกระตุ้นหรือการดลใจบุคลากรของ
ท่านมีอะไรบ้าง ทำไมท่านจึงคิดเช่นนั้น และท่านทำอย่างไร โปรดอธิบายอุปสรรคของภาวะผู้นำที่
ขัดขวางการจูงใจและการกระตุ้นหรือการดลใจบุคลากรของท่าน พร้อมกับยกตัวอย่าง 1 ตัวอย่าง ทำไม
ท่านจึงเลือกตัวอย่างนั้น

ข้อ 17 ท่านได้รับความร่วมมือในการทำงานจากผู้ร่วมงานอย่างไร ความร่วมมือในการทำงาน
ของผู้ร่วมงานมีความหมายและความสำคัญอย่างไร   ทำไมท่านจึงคิดเช่นนั้น   โปรดยกตัวอย่างพร้อม
กับอธิบายว่าท่านส่งเสริมความร่วมมือในการทำงานของผู้ร่วมงานอย่างไร ทำไมท่านจึงเลือกตัวอย่างนั้น

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Victoria University of Technology

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VICTORIA
UNIVERSITY
OF TECHNOLOGY

Footscray Park Campus
School of Education
Ballarat Road
Footscray

13 February 2004

Dr Tavee Lertpanyavit
Rector
Suranaree University of Technology
111 University Avenue
Nakhon Ratchasima 30000, Thailand.

Dear Dr Lertpanyavit

Mrs Chinda Sriyanalugsana is a student in the Doctor of Education program at
Victoria University in Melbourne, Australia and I am her supervisor.
She has submitted her research proposal on the topic: *A Comparative Study of
Administrative Leadership in Thai Universities and Recommendations for Changes at
Burapha University.*

Chinda aims to collect data through a series of in depth interviews with senior
academic and administrative leaders in each of three universities.

I am writing on behalf of Mrs Chinda Sriyanalugsana to seek your permission for her
to undertake such interviews in your university in the first half of this year.

Chinda is available in the Faculty of Education at Burapha University as I am here to
answer any questions you may have about this process.
Further, Chinda will provide you with copies of the informed consent form which
each interviewee will be required by the Faculty Ethics Committee to sign. This will
be attached to the summary statement about the research project which will be
provided to each interviewee at the same time.

Yours sincerely

Professor Maureen Ryan
School of Education

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Ref.MOE 5601/322

Suranaree University of Technology
111 University Avenue
Suranaree District, Muang
Nakhon Ratchasima 30000, Thailand

9   March 2004

Prof.Maureen Ryan
School of Education
Victoria University of Technology
P.O.Box14428
Melbourne City
MC 8001 Australia
Fax: (03) 9688 4646
    613 9688 4646 ✓

Dear Prof. Maureen Ryan,

I hereby grant permission for Ms. Chinda Sriyanalugsana to conduct interviews at Suranaree University of Technology for her thesis research, " A Comparative Study of Administrative Leadership in Thai Universities and Recommendations for Changes at Burapha University," as requested on her behalf in your 13 February 2004 letter.

Sincerely,

(Dr. Tavee Lertpanyavit)
Rector
Suranaree University of Technology

Center for International Affairs:
            Tel: 66 4422 4141
            Fax: 66 4422 4140

250

111 University Avenue, Muang District, Nakhon Ratchasima 30000, THAILAND. Tel.(044) 216191-8 Fax. (044) 216117

13 February 2004

Dr Krissanapong Kirtikara
President
King Mongkut's University of Technology Thonburi
91 Pracha-utit Road
Thungkru
Bangkok 10140 Thailand.

Dear Dr Kirtikara

Mrs Chinda Sriyanalugsana is a student in the Doctor of Education program at Victoria University in Melbourne, Australia and I am her supervisor.
She has submitted her research proposal on the topic: *A Comparative Study of Administrative Leadership in Thai Universities and Recommendations for Changes at Burapha University*.

Chinda aims to collect data through a series of in depth interviews with senior academic and administrative leaders in each of three universities.

I am writing on behalf of Mrs Chinda Sriyanalugsana to seek your permission for her to undertake such interviews in your university in the first half of this year.

Chinda is available in the Faculty of Education at Burapha University as I am here to answer any questions you may have about this process.
Further, Chinda will provide you with copies of the informed consent form which each interviewee will be required by the Faculty Ethics Committee to sign. This will be attached to the summary statement about the research project which will be provided to each interviewee at the same time.

Yours sincerely

Professor Maureen Ryan
School of Education

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มหาวิทยาลัยเทคโนโลยีพระจอมเกล้าธนบุรี
King Mongkut's University of Technology Thonburi

8 March 2004

Professor Maureen Ryan
Victoria University of Technology
Footscray Park Campus
School of Education
Ballarat Road, Footscray .
Melbourne
MC 8001 Australia

Dear Professor Ryan,

Referring to your letter date of 13 February 2004, I agree that your student (Mrs. Chinda Sriyanalugsana) can conduct her research in the King Mongkut's University of Technology Thonburi (KMUTT). Could you please inform Mrs. Chinda that the KMUTT is agreeable to her interviewing KMUTT's senior staff. We hope to contribute towards her research activity.

With my best regards.

Yours sincerely,

(Dr. Krissanapong Kirtikara)
President

252

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Footscray Park Campus
School of Education
Ballarat Road
Footscray

13 February 2004

Professor Suchart Upatham
President
Burapha University
169 Longhard Bangsaen Road
Bangsaen, Chonburi, 20131
Thailand.

Dear Professor Upatham

Mrs Chinda Sriyanalugsana is a student in the Doctor of Education program at
Victoria University in Melbourne, Australia and I am her supervisor.
She has submitted her research proposal on the topic: *A Comparative Study of
Administrative Leadership in Thai Universities and Recommendations for Changes at
Burapha University.*

Chinda aims to collect data through a series of in depth interviews with senior
academic and administrative leaders in each of three universities.

I am writing on behalf of Mrs Chinda Sriyanalugsana to seek your permission for her
to undertake such interviews in your university in the first half of this year.

Chinda is available in the Faculty of Education at Burapha University as I am here to
answer any questions you may have about this process.
Further, Chinda will provide you with copies of the informed consent form which
each interviewee will be required by the Faculty Ethics Committee to sign. This will
be attached to the summary statement about the research project which will be
provided to each interviewee at the same time.

Yours sincerely

Professor Maureen Ryan
School of Education

253

Professor Maureen Ryan
School of Education
Victoria University of Technology
Ballarat Rd., Footscray, Melbourne
MC 8001 AUSTRALIA

February 25, 2004

Dear Prof. Ryan:

I am writing you this on behalf of Professor Suchart Upatham, the President of Burapha Univerity, regarding your letter to him dated 13 February 2004. This is to inform to you that the proposed research of Ms. Chinda Sriyanalugsana in interviewing with academic and administrative leaders at Burapha University as part of her work towards Doctor of Education is approved.

Please feel free for any further queries you may have relevant to this matter.

Yours sincerely,

(Pichan Sawangwong)
Vice-President for International Relations

Pichan@buu.ac.th

Victoria University of Technology

Sample Consent Form for Subjects Involved in Research

INFORMATION TO PARTICIPANTS:

We would like to invite you to be a part of a study into…
[response to Question 17a to be inserted here.]

CERTIFICATION BY SUBJECT

I,
of

certify that I am at least 18 years old* and that I am voluntarily giving my consent to participate in the study entitled:

being conducted at Victoria University of Technology by:

I certify that the objectives of the study, together with any risks and safeguards associated with the procedures listed hereunder to be carried out in the research, have been fully explained to me by:

*name of researcher

and that I freely consent to participation involving the use on me of these procedures.

Procedures:

I certify that I have had the opportunity to have any questions answered and that I understand that I can withdraw from this study at any time and that this withdrawal will not jeopardise me in any way.

I have been informed that the information I provide will be kept confidential.

Signed: **..**   **}**

Witness other than the researcher: **}**   **Date: ....**

...}

Any queries about your participation in this project may be directed to the researcher (Name:
ph.   ). If you have any queries or complaints about the way you have been treated, you may contact the Secretary, University Human Research Ethics Committee, Victoria University of Technology, PO Box 14428 MCMC, Melbourne, 8001 (telephone no: 03-9688 4710).

[*please note: where the subject/s is aged under 18, separate parental consent is required; where the subject is unable to answer for themselves due to mental illness or disability, parental or guardian consent may be required.]

Appendix E

Schedule table for collecting data

Table 3 : Displaying Collection Data Period Case Study 1

Participants	Round 1	Round 2	Round 3	Round 4 Approval Data
A1	24 May 04	26 May 04	15 Sep 04	29 Dec 04
A2	25 May 04	8 June 04	25 Aug 04	29 Dec 04
A3	26 May 04	8 June 04	25 Aug 04	29 Dec 04

Table 4 : Displaying Collection Data Period Case Study 2

Participants	Round 1	Round 2	Round 3	Round 4	Round 5 Approval Data
B1	17 May 04	19 May 04	22 May 04	30 Aug 04	9 Feb 05
B2	17 May 04	19 May 04	7 June 04	-	2 Mar 05
B3	15 May 04	17 May 04	16 June 04	27 June 04	11 Jan 05

Table 5 : Displaying Collection Data Period Case Study 3

Participants	Round 1	Round 2	Round 3	Round 4	Round 5	Round 6 Approval Data
C1	23 Apr 04	5 May 04	28 May 04	29 May 04	30 May 04	9 Mar 05
C2	6 May 04	13 May 04	15 Jun 04	-	-	18 Mar 05
C3	15 May 04	5 Jun 04	18 Sep 04	-	-	9 Mar 05
C4	2 Jun 04	7 Jun 04	21 Sep 04	-	-	9 Apr 05
C5	3 May 04	6 May 04	12 May 04	13 May 04	29 May 04	18 Apr 05
C6	3 May 04	10 May 04	18 May 04	3 Jun 04	-	27 Apr 05

Appendix F

Example   Analyzing data by ethnography program

has defined policies through	8
Departments to administer	9
the Project Programming	10
Budgeting System (PPBS).	11
The PPBS model is an	12
administrative goal whereby	13
budget processes are clearly	14
aligned to the Project, and	15
that the budget is feasible,	16
and that its implementation	17
is efficient and effective.	18
The way the PPBS model	19
works in a Department	20
depends on planning and	21
meeting to determine what	22
the Department does and	23
how much budget is	24
required to undertake the	25
project. So, the main	26
element of the administration	27
is to start planning such things	28
as: "how to manage the	29
Department to ensure that	30
staff do not teach too much	31
and that they have sufficient	32
time to do research; and when	33
they are not teaching too	34
much that they are able to	35
complete their research."	36
This means that a staff member	37
will teach 2 subjects and be	38
engaged in 2 research projects	39

per year. If a staff member   40

teaches less (meaning that the   41

staff member has a lower   42

teaching load) then that staff   43

member will be required to   44

pick up the load by engaging   45

in curriculum development.   46

How does the Department   47

organize its staff work load   48

when it has less requirement   49

for curriculum development,   50

and there is less income to   51

the Department? For example,   52

it is generally the case in   53

academic institutions that   54

organizing continuing education   55

programs means that staff get   56

paid extra money over their   57

salary. However, there are   58

Appendix G
Table 6 Coding and Meaning of Codes

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
1.	Ability	Ability can be defined as a quality of being able to do something, especially the physical, mental, financial, or legal power to accomplish something. Suitable for or receptive to a specified treatment, capacity; natural or acquired skill or talent.	1	1	1	3						1		1	4
2.	Able to use I.T.	Able to use I.T. can be defined as knowledge to access information technology as a user for work and data collection and information concern in the decision making process.							1	1					1
3.	Academic atmosphere	Academic atmosphere can be defined as the right of scholars to pursue research, to teach, and to publish without control or restraint including laboratory from the institutions for the academic staff. go to conferences or seminars with out formal minute or academic report document. or if academic staff has wrote the	1			1									1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		statement, it should keeping the statement by themselves. By the way, supervisor will focuses on more or less profit reflecting on their work, including research topics, could academic staff joined a network or writing paper to support teaching and learning.													
4.	Accountability	Accountability can be defined as a key requirement of good governance whereby individuals are held liable, or accountable, for how well they use their authority or live up to their responsibility of performing predetermined activities.	1	1	1	3	1	1	1	3	1	1	1	3	9
5.	Action plan	Action plan can be defined as how we get to where we want to go, the steps required to reach our strategic goals. They identify who will do what, when and how; how we address current issues and emerging trends as unforeseen contingencies arise.	1	1	1	3	1	1	1	3	1	1	1	3	9
6.	Administrator	Administrator can be defined as the academic dean, department	1	1		2						1		1	3

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		head or secretariat head who is responsible for the management and fiscal control of a unit within the university. It can also be defined as an administrator affiliated with one or more administrative domains.													
7.	Assessment process	Assessment process can be defined as a principle of evaluation of academic and administrative staff in order to promote and increase salaries. It involves calculating the proficiency of an agency in acquiring resources economically and using those resources efficiently and effectively in achieving outcomes.	1	1	1	3	1	1	1	3	1	1	1	3	9
8.	Agreeableness	Agreeableness can be defined as the degree to which a person is able to get along with others by being good-natured, cooperative, forgiving, compassionate, understanding and trusting.	1/			1						1		1	2
9.	Attitude	An attitude can be defined as leader's personality in the Thai					1	/		1					1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		universities including sincerity – affect (feeling); honesty and responsibility to work, leading by example based on the mission of the university; good relationships with colleagues.													
10.	Authority	Authority can be defined as the right to perform or command.	1	1	1	3	1	1	1	3	2	2	2	6	12
11.	Backup	Backup can be defined as the act of creating and storing a duplicate copy of important plan. This includes following procedures and rules for ensuring that adequate amounts and types of plan backups are made, and frequent testing of the process for restoring the original production system from the backup copies is undertaken.					1	/		1					1
12.	Bottom-up	Bottom-up can be defined as a communication that flows from any point on an organization chart downward to another point on the organization chart.	1	1	1	3	1	1	1	3	2	2	2	6	12
13.	Budget	Budget can be defined as a plan that outlines the government's annual outgoings and a	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		university 's income and operational goals.													
14.	Bureaucratic system	Bureaucratic system can be defined as a specialized administrative staff in a system of power where leaders exercise control over others. This system is reliable and clear, yet allows subordinates independence and discretion. Subordinates ideally can challenge the decisions of their leaders by referring to the stated rules.	1	1	1	3	1	1	1	3	2	2	2	6	12
15.	Caring (down to earth)	Caring can be defined as a process and product which incorporates supports, sharing and respect. It encompasses the unity of mind, body and spirit of the holistic person with the broader content of one's environment. The practice of caring becomes the highest commitment and provides a value-based approach to nursing practice.	1			1	1			1					2
16.	Changes sensitivity	Change sensitivity can be defined as the sensitivity and strength of the feeling a human									2			2	2

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		has towards a particular kind to stimulus. The concept applies to physical as well as emotional feeling.													
17.	Coaching	Coaching can be defined as a leader helping staff and others to help themselves through discussion, guidance, encouragement, observation and assessment.		1		1		1		1		1		1	3
18.	Combined Services and Coordination Responsibility (CSCR)	Combined Services and Coordination Responsibility (CSCR) can be defined as an integrate building together of human resources, teaching and learning building, administration building, scientific laboratories, library, computer center, equipment center in order to combine academic staff, to combine administrative staff.	1	1	1	3									3
19.	Commitment	Commitment can be defined as an agreement or promise to do work according to policy of university and faculty along with loyalty to the interests of your own minority or ethnic group rather than to society as a whole.		1		1		1		1		1		1	3

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
20.	Committee	Committee can be defined as the committee derive from legislate under universities council. For example, University Council Members, University Administrative Board, Faculty Board to make decision in the role of administrators for administrative process.	1	1	1	3	1	1	1	3	2	2	2	6	12
21.	Communication skills	Communication skills can be defined as a set of skills that enables a person to convey information so that it is received and understood. It includes the way a supervisor communicates toward subordinates easy to understand, sincere, trustworthy and faithful.			1	1	1			1		2	1	3	5
22.	Competency	Competency can be defined as knowledge, skill, ability, or characteristic associated with high performance on a job. Some definitions of competency include motives, beliefs, and values, distinguishing high performance from average and low performance.	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
23.	Compromise	Compromise can be defined as an agreement (or proposed agreement) to accept a situation in which participating parties get variations from what they originally sought in order to achieve a compatible outcome for the common good.						1		1		1		1	2
24.	Controlling	Controlling can be defined as a process managers go through to control. It is a systematic effort to compare performance to predetermined standards, plans, or objectives to determine whether performance is in line with those standards or needs to be corrected.	1	1	1	3			1	1	1	1	1	3	7
25.	Coordination	Coordination can be defined as an organized group working together aimed at bringing about a purposeful movement forward.									2	2	2	6	6
26.	Corporate culture	Corporate culture can be defined as a set of elements to create unity among university staff including honesty, politeness, cleanliness, and safety.	1			1	1			1		1		1	3

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
27.	Creative thinking	Creative thinking can be defined as conceptualizing a series of incremental steps to build and integrate strategies and plans to benefit the overall university vision, while allowing for flexibility and change.	1	1	1	1	1			1		2		2	4
28.	Dead wood	Dead wood can be defined as a academic staff who produces nothing, earns no grants, and teaches poorly; it denotes a person who consumes time and money and resources without contributing anything of value. Including someone has behavior like this: his or her research stinks, he or she never publishes anything, his or her lectures are full with out-of-date and inaccurate material, and (to top it all off) he or she's a tyrannical egomaniac. Unfortunately, he or she conned someone into giving he or her tenure, so him or her department is stuck with him or her. Although it's virtually impossible to fire a tenured	1			1	1			1					2

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		professor, deans and department heads and office heads often try to "prune the deadwood" by lowering the person's salary (or refusing to raise it), repeatedly moving the person's lab or office, assigning the person to lots of menial administrative duties, and in general making the person'slife uncomfortable enough that they want to leave.													
29.	Decentralizations(self-governance)	Decentralization (self-governance) can be defined as a decision making process in which a significant number of job activities and a maximum amount of authority are delegated to subordinates.	1	1	1	3	1	1	1	3	2	2	2	6	12
30.	Delegation	Delegation can be defined as a process of assigning job activities and related authority to specific individuals in the Thai universities.	1	1	1	3	1	1	1	3	2	2	2	6	12
31.	Face-to-face conversation	Face-to-face conversation can be defined as conversation between known parties. University delegates may meet in private to discuss specific matters in order	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		to consolidate different views, reach a compromise, and produce an agreed proposal.													
32.	Effective communication	Effective communication can be defined as clearly exchanging knowledge and understanding of the meaning one wishes to convey, and where the receiver interprets the message in such a manner that the intended meaning is received.	1	1	1	3	1	1	1	3	2	2	2	6	12
33.	Effective leadership	Effective leadership can be defined as a build effective leadership skills to achieve success in life and work	1	1	1	3	1	1	1	3	2	2	2	6	12
34.	Effective cooperation	Effective cooperation can be defined as an interaction in which individuals and groups achieve common goals, resolve conflict, and create community cohesion.	1	1	1	3	1	1	1	3					6
35.	Electronic messages	Electronic messages can be defined as to communicate by computer program such internet, intranet, email, document filing, and information technology.	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
36.	Emotional intelligence(EI)	Emotional intelligence can be defined as a capacity to understand and expresses emotions constructively; others' feelings and establish cooperative interpersonal relationships	1	1	1	3	1	1	1	3	1	1	1	3	9
37.	Encouraging research scholarships	Encouraging research scholarships can be defined as an allow budget to do research for academic staff, incremental academy of potential. Enhancing university to research university.	1	1		2	1	1		2	2	2		4	8
38.	Encouraging staff to study high level	Encouraging staff to study high level can be defined as the act of giving hope or support to staff; the feeling of being encouraged; something that encourages: inspiration, motivation, and stimulation.	1	1		2	1	1		2	2	2		4	8
39.	Enthusiasm	enthusism can be defined as the commitment of all our awareness (mind) and emotions (feelings) to the now moment. Whereas, the values of respect, honesty and consistency are largely disciplines of the mind-	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		enthusiasm is the harnessing of that discipline with the full range of positive emotions at our disposal into the now moment.													
40.	Equanimity (Upekkha)	Equanimity can be defined as a seeing things as they are with a mind that is even, steady, firm and fair like a pair of scales; understanding that all beings experience good and evil in accordance with the causes they have created; ready to judge, position oneself and act in accordance with principles, reason and equity.	1			1					1	1		2	3
41.	Ethics	Ethics can be defined as a general term for what is often described as the "science (study) of morality". In philosophy, ethical behavior is that which is "good" or "right." Ethics deals with what we believe to be good or bad and with the moral obligations that these beliefs imply. Ethics involves the rules for deciding right and wrong and the code of conduct that is based on our decisions.	1	1	1	3	1	1	1	3	1	1	1	3	9

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
42.	Experiences	Experience can be defined as knowledge of and skills in something gained through being involved in or exposed to it over a period of time. It generally refers to know-how or procedural knowledge, rather than propositional knowledge. Knowledge based on experience is also known as empirical knowledge or a posteriori knowledge. A person with considerable experience in a certain field is called an expert.		1		1									1
43.	Extrinsic motivation	Extrinsic motivation can be defined as a motivation that comes from outside an individual. The motivating factors are external, or outside, rewards such as money or grades. These rewards provide satisfaction and pleasure that the task itself may not provide. typically a supervisor, such as pay increases and promotions. Including, tangible rewards such as payments, promotions (or	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		punishments), intangible rewards such as praise or public commendation													
44.	Fairness	Fairness can be defined as a concept involving the fair, moral, and impartial treatment of all persons, especially in law. It is often seen as the continued effort to do what is "right." In most of all cases what one regards as "right" is determined by consulting the majority, employing logic, or referring to divine authority, in the case of religion. If a person lives under a certain set law in a certain country, justice is considered making the person follow the law and be punished if not.	1	1	1	3	1	1	1	3	1	2	2	5	11
45.	Faithfulness	Faithfulness can be defined loyalty or allegiance to a cause or a person; 'keep the faith' 'they broke faith with their investors'		1		1	1	1		2	1	1	1	3	6
46.	Flat organization	Flat organization can be defined as an informal communication with many subordinates in the same or different level to	1	1	1	3	1			1					4

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		complete pertain issues before reporting to one supervisor.													
47.	Functional competency	Functional competency can be defined as most jobs are performed most effectively if the person doing them deploys skills, knowledge and behaviors(or attitudes) in combination. Different types of competencies can define each of these facets of performance.	1	1	1	3	1	1	1	3	1	1	1	3	9
48.	Formal organizational communication	Formal organizational communication can be defined as that follows the lines of the organizational chart. For example, bottom-up, top-down, hierarchy system.	1	1	1	3	1	1	1	3	2	2	2	6	12
49.	Full concept of autonomous university	Full concept of autonomous university can be defined as to motivate the academic and administrative staff engage knowledge and illuminate autonomous university principles.	1	1		2									2
50.	Gifted	Gifted can be defined as a gift or present is the transfer of money or goods without requiring something in return (at least not			1	1									1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		immediately); by extension it can be anything that makes the other more happy or less sad, especially as a favor, including forgiveness, and kindness (even when the other is not kind). Anything of value received from any source for which no. repayment or service to the contributor is expected. A transfer of property without receiving some benefit in return. The person making the transfer cannot be obligated in any way to make the transfer													
51.	Good governance	Good governance can be defined as a result of good planning, efficient investment of managerial resources, effective partnerships and sound decision-making. Including participation, transparency, and accountabilities.	1	1	1	3	1	1	1	3	2	2	2	6	12
52.	Good practice	Good practice can be defined as to do or perform something habitually or to do something repeatedly in order to acquire or	1	1	1	3	1	1	1	3	1	1	1	3	9

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		polish a skill, to work at a profession.													
53.	Hierarchy assessment	Hierarchy assessment can be defined as an evaluation process. This process is started evaluation at bottom administrators to extend to top-administrators along with peer review. Including formal critical and document approval by committee of universities.	1	1	1	3	1	1	1	3	2	2	2	6	12
54.	Hospitality	Hospitality can be defined as a responsible for welcoming our staff or new staff, helping Administration with orientation, Open House and testing days, graduation, and organizing newcomer coffees and the newcomer evening.	1			1									1
55.	Human competency	Human competency can be defined as a academic staff compacted knowledge, experience, conceptual skills to do their work and full their responsibilities, to devote, commitment, including teaching and learning, research, academic	1	1	1	3	1			1		1		1	5

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		service, and conservative art. the research supporting this new toolkit is extensive.													
56.	Human resource	Human resource can be defined as a variously defined in political economy and economic, where it was traditionally called labor, one of three factors of production. Its used within corporation continues to define common conceptions of the term, control by contract, creative by their activity, intellectual capital owned and fused by 'management', and natural resource	1	1	1	3	1	1	1	3	2	2	2	6	12
57.	Incentive	Incentive can be defined as pay plans designed to reward the accomplishment of specific results. Awards are usually tied to expected results identified at the beginning of the performance cycle. The plans can be individual, group, universities, or a combination of any. A benefit offered to encourage people to act in certain ways.	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
58.	Increasing salary	Increasing salary can be defined as specialist functions, industry experts have noted a secondary impact on the supply of finance professionals with traditional**.**	1	1	1	3	1	1	1	3	1	1	1	3	9
59.	Individual assessment	Individual assessment can be defined as an intended for evaluation performance a single person separate and distinct from others.					1	1	1	3		1	1	2	5
60.	Information Technology	Information technology can be defined as a provides the "information" used to drive useful information systems. This includes computers, software, Internet/Intranet and telecommunications technology.	1			1			1	1			1	1	3
61.	Informal communication	Informal communication can be defined as a casual discussion, verbal exchange, note, or memorandum that may adhere less strictly to rules and conventions. Including face-to-face, small group meeting, email and so on.	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
62.	Interpersonal communication	Interpersonal communication can be defined as an ability to communicate to people in written as well as verbal communication. Including both a one-on-one and a group setting, being able to handle different people in different situations, and making people feeling as eye contact, body movement, and hand gestures are also part of interpersonal communication. The most common functions are listening, talking and conflict resolution. Types of interpersonal communication vary from verbal to non-verbal and from situation to situation, including face-to-face communication in a way that accomplishes the purpose and is appropriate.	1	1	1	3	1	1	1	3	2	2	2	6	12
63.	Insufficient function	Insufficient function can be defined as a poor performs the functions of management. Academic and administrative		1		1	1			1					2

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		staff lack of functional competence of their job and lack of communication skills.													
64.	Integrity	Integrity can be defined as includes but goes beyond honesty. Honesty is telling the truth — in other words, conforming our words to reality. Integrity is conforming reality to our words — in other words, keeping promises and fulfilling expectations."	1	1	1	3	1	1	1	3	2	2	2	6	12
65.	Intrinsic motivation	Intrinsic motivation can be defined as an evident when people engage in an activity for its own sake, without some obvious external incentive present. A hobby is a typical example. It was previously thought that the two types Of motivation (intrinsic and extrinsic) were additive, and could be combined to produce the highest level of motivation. Some authors differentiate between two forms of intrinsic motivation: one based on enjoyment, the other on	1			1	1			1	1			1	3

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		obligation. In this context, obligation refers to motivation based on what an individual thinks ought to be done. For instance, a feeling of responsibility for a mission may lead to helping others beyond what is easily observable													
66.	Job description	Job description can be defined as a list of specific activities that must be performed to accomplish some task or job	1	1	1	3	1	1	1	3	1	1	1	3	9
67.	Knowledge	Knowledge can be defined as the remembering of previously learned material. This may involve awareness and understanding of facts, truths or information gained in the form of experience or learning.	1	1		2		1		1		1		1	4
68.	Lack of sincerity	Lack of sincerity can be defined as the quality of being insincere; lack of sincerity, or of being in reality what one appears to be; dissimulation; hypocritical; deceitfulness; hollowness; untrustworthiness; as, the *insincerity* of a professed friend;					1			1					1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		the *insincerity* of professions of regard.													
69.	Leading by example	Leading by example can be defined as a work hard to high standards; actively encourage feedback on your own performance, communicate an air of enthusiasm, help out/walk the job, work on your own learning, practice what you preach, openly admit your mistakes, set a good example to others by your own behavior.		1	1	2	1	1	1	3		2		2	7
70.	Learning by doing	Learning by doing can be defined as an exploration of experience, critical incidents and reflection in entrepreneurial learning			1	1			1	1		1		1	3
71.	Leadership communication	Leadership communication can be defined as the controlled, purposeful transfer of meaning by which leaders influence a single person, a group, universities, or a community. Leadership communication uses the full range of communication skills and resources to overcome	1	1		2	1			1		1		1	4

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		interferences and to create and deliver messages that guide, direct, motivate, or inspire others to action.													
72.	Leadership skills	Leadership skills can be defined as an effective writing and speaking to the use of these skills in more complex universities situations.		1		1	1			1		1		1	3
73.	Manpower	Manpower can be defined as a portion of the population which has actual or potential capability to contribute to the production of goods and services.											2	2	2
74.	Managerial skills	Managerial skills can be defined as a theories, techniques, and behavioral guidelines which, if applied properly, will enhance a manager's practice."	1	1	1	3	1	1	1	3	2	2	2	6	12
75.	Memos	Memos can be defines as a communication tools to convey information between supervisor to subordinates in work life in a day to day, including internal document that is generally short, focuses on a. single topic, reports information, makes a request, or recommends.	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
76.	Money (top-up)	Money (Top up) can be defined as a compensation for staff a person who makes income for faculties or universities, which derives from research project fund, academic service project.					1	1	1	3					3
77.	Multiple system	Multiple system can be defined as various systems including bureaucratic and autonomous system, special project. Good opportunity for staff could selected in civil servant or employee of university. The status of staff are subtle including compensation principle, welfare and motivation system.							1	1					1
78.	Official document	Official document can be defined as a various document flows line bottom-up and top-down in a business time.	1	1	1	3	1	1	1	3	2	2	2	6	12
79.	Official meeting	Official meeting can be defined as a board meeting refers to a meeting whereby an entire geographic area is invited to participate in a gathering, often for a political or administrative purpose. It may be to obtain	1	1	1	3	1	1	1	3	1	1	1	3	9

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		community suggestions or feedback on public policies from government officials, or to cast legally binding votes on budgets and policy.													
80.	One-way communication	One-way communication can be defined as a transferred information in only one reassigned direction.	1	1	1	3	1	1	1	3	2	2	2	6	12
81.	On-off the job training	On-off the job training can be defined as a road map develop academic and administrative staff according to faculty and university' policies. Encouraging competence of academic and administrative staff about one or twice per year. *In-service training* is on-site, on-the-job training where job-related skills and knowledge are either provided or strengthened	1	1	1	3	1	1	1	3	2	2	2	6	12
82.	Over confident	Over confident can be defined as a leader has highly confident, do not belief or do not care any person who work with leaders. Failures come from over confident through ineffective leadership.					1			1	1	1	2	4	5

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
83.	Outsourcing	Outsourcing can be defined as a done to save money, improve quality, or free company resources for other activities. Outsourcing essentially refers to share human resources, building, among universities or institutes.					1	1	1	3		1		1	4
84.	Participation	Participation can be defined as a encourage active participation of as many people as possible, including the administration, staff, students, and alumni), engaging them in the ongoing dialogue, and involving them in the strategic planning process, to generate a feeling of ownership of the process and the outcomes throughout the organization.	1	1	1	3	1	1	1	3	2	2	2	6	12
85.	Paradigm shift	Paradigm Shift as a education reform in Thailand, to impact the whole agencies, specially universities, the government policy designed Thai universities to move out bureaucratic to autonomous system. It is a huge changing a leader every level. The leaders have learn more about these change.										1		1	1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
86.	Percentage system	Percentage system can be defined as a assessment process to promote academic and administrative staff, to get high salary, working hard of them to reflect to get high score and also get high percentages.	1	1	1	3	1	1	1	3	2	2	2	6	12
87.	Performance evaluation approach	Performance evaluation approach can be defined as an evaluate efficiency and effectiveness of academic and administrative staff in Thai Universities. Which shall establish a system of performance evaluation for all classified employees. This system of performance evaluation shall be for the purpose of transfer, promotion, demotion, retention, supervisory assistance future employment and withdraw. The method of evaluating an employee's performance which involves tracking, evaluating and giving feedback of actual performance based on key behaviors/competencies	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		established in the goals that support the achievement of the overall organizational mission.													
88.	Performance efficiency	Performance efficiency can be defined as a ratio, usually expressed as a percentage, of actual output to a benchmark or standard output.	1	1	1	3	1	1	1	3	2	2	2	6	12
89.	Performance Indicators	Performance indicators can be defined as a key term of measurement full responsibility for creating and maintaining, efficiency and effectiveness work of academic and administrative staff in a year.	1	1	1	3	1	1	1	3	2	2	2	6	12
90.	PDCA cycle	PDCA cycle can be defined as a checklist of the four stages which you must go through to get from "problem-faced" to "problem solved". The four stages are Plan-Do-check-Act, including **Plan** to improve your operations first by finding out what things are going wrong (that is identify the problems faced), and come up with ideas for solving these problems. **Do** changes designed to solve the							1	1					1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		problems on a small or experiment scale first. **Check** whether the small scale or experimental changes are achieving the desired result or not. Also, continuously check nominated key activities (regardless of any experimentation going on). **Act** to implement changes on a larger scale if the experiment is successful. This means making the changes a routine part of you activity.													
91.	Planning	Planning can be defined as a formalized procedure to produce an articulated result, in the form of an integrated system of decisions." Thinking about and attempting to control the future are important components of planning.	1	1	1	3	1	1	1	3	2	2	2	6	12
92.	Policy	Policy can be defined as a way set up the guideline to go in the future; and to manage academic work and to energize staff to create research and academic		1		1	1	1	1	3	2	2	2	6	10

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		service project, and paper to publication.													
93.	PPBS- Programming Project Budget System	PPBS can be defined to set a project up as responsible for its own planning, budgeting, and management with participation through accountability					1	1		2					2
94.	Praise	Praise can be defined supervisor to encourage staff on public hearing or every meeting concern; the staff able to be example.	1	1		2	1	1		2	2	2	1	5	9
95.	Proactive	Proactive can be defined as an any events or stimulus or process that has an effect on events or stimuli or processes that occur subsequently. Acting before a situation becomes a source of confrontation or crisis.	1	1		2	1	1	1	3	2	2	2	6	11
96.	Personality leadership	personality leadership can be defined as a particular pattern of behaviors and thinking prevailing across time and situations that differentiates one person from another.	1	1	1	3	1	1	1	3	2	2	2	6	12
97.	Poor efficiency person	Poor efficiency person can be defined as an inactivity, wishes					1			1					1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		to avoid responsibility, and will avoid it if possible.													
98.	Quality and efficiency	Quality and efficiency can be defined as an essential and distinguishing attribute of staff and competency. An ability to perform well or to achieve a result without wasted resources, effort, time, or money (using the smallest quantity of resources possible)	1	1	1	3	1	1	1	3	2	2	2	6	12
99.	Quality of performance	Quality of performance can be defined as a characteristic property that defines the apparent individual nature of something and the act of performing; of doing something successfully; using knowledge as distinguished from merely possessing it	1	1	1	3	1	1	1	3	2	2	2	6	12
100.	Quantitative evaluation	Quantitative evaluation can be defined as a relating to the measurement of quantity. In intelligence usage, appraisal of an item of information in terms of credibility, reliability, pertinence, and accuracy.	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
101.	Ranking system	Ranking system can be defined as a step of performance evaluation of academic and administrative staff in Thai universities to promote salary, and money or top-up.	1	1		2	1	1	1	3			1	1	6
102.	Respectful (obedient)	Respectful can be defined as a dutifully complying with the commands, orders, or instructions of one in authority. full of or exhibiting respect; "respectful behavior"; "a respectful glance. Respect is sometimes loosely used as a synonym for politeness or manners, though these are behaviors, whereas respect is an attitude. Intercultural differences in behaviors, self-perception and outward appearance may result in the unintentional appearance of disrespect.	1			1	1			1					2
103.	Responsibility	Responsibility can be defined as a Functioning as the custodian of standard can easily require reducing conflict, redistribution departmental burdens and chores perhaps by interrupting	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		comfortable and familiar routines, promoting affirmative action in a reluctant faculty, as well as attending to the major tasks of faculty and staff evaluation and development.													
104.	Rewards	Rewards can be defined as a commonly in a good sense; to requite; to recompense; to repay; to compensate. Compensation or remuneration for services; a sum of money paid or taken for doing, or forbearing to do, some act.	1	1	1	3	1	1	1	3	2	2	2	6	12
105.	Scholarship	Scholarship can be defined as an amount granted by the universities to academic, administrative staff, and students for tracking development at a high level both in-outside country; including tuition and other educational expenses.	1	1	1	3	1	1	1	3	2	2	2	6	12
106.	Self-assessment	Self-assessment can be defined as an assessments performed by individuals (or universities) to determine how safely they are working and meeting their health						1		1		1		1	2

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		& safety responsibilities toward themselves and others.													
107.	Self-confident	Self-confident can be defined as a self-assured: showing poise and confidence in your own worth;					1			1		1		1	2
108.	Self-development	Self-development can be defined as a term may refer to traditional concepts of education or training, but it is also associated with the New Age movement through professional development business trainers who offer counselling and coaching of personal transformation and "inner pathways" to solve social and psychological issues.	1	1	1	3	1	1	1	3	2	2	2	6	12
109.	Self-management	Self-management can be defined as the ability to control disruptive or harmful emotions. Including skills, and strategies by which individuals can effectively direct their own activities toward the achievement of objectives, and includes goal setting, planning,					1	1	1	3	2	2	2	6	9

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		scheduling, task tracking, self-evaluation, self-intervention,													
110.	Sense of belonging	Sense of belonging can be defined as the most fundamental emotional need to feel unconditionally loved, to be accepted ; awareness of being wanted and accepted, being cared for and enjoyed; by some person or group.	1			1									1
111.	Service mind	Service mind can be defined as the customer as the king. Full feeling to concentrate services for the stakeholders (staff, students and parents), highly ethics and integrity, honesty and moral, sincerity to colleagues, good experience. These characteristic are not underlies in mine of leadership, might be failure effective decision-making process.	1	1	1	3	1	1	1	3	2	2	2	6	12
112.	Set priority working	Set priority work can be defined as the manner in which something operates or functions(*the workings of the mind*).											1	1	1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
113.	Sharing resources	Sharing resources can be defined to integrate building together with human resources, teaching and learning building, administration building, scientific laboratories, library, computer center, equipment center, in order to combine instructors, to combine administrative staffs, integrate life, and sense of service.	1	1	1	3									3
114.	Sharing benefits	Sharing benefits can be defined as a system by which employees receive a share of the profits of a business enterprise. Profit sharing provides an important means of increasing employee loyalty and tying employee compensation to company performance.					1	1	1	3		1		1	4
115.	Sincerity	Sincerity can be defined as the quality of being open and truthful; not deceitful or hypocritical					1			1	1			1	2
116.	Small group meetings	Small group meetings can be defined both formal and informal communication in society supporting units, departments,	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		faculties. This communication is encouraged effective communication, including lunch meetings, coffee bake meetings.													
117.	Strategies Planning	Strategic planning can be defined as a formal process designed to help a university identify and maintain an optimal alignment with the most important elements the environment within which the university resides; including, mission, vision, values, goals, objectives, roles and responsibilities, timelines This environment consists of "the political, social, economic, technological, and educational ecosystem, both internal and external to the university	1	1		2	1	1		2	2	2		4	8
118.	Strategic leadership	Strategic leadership can be defined as a one may define strategic leadership as the ability of an experienced, senior leader who has the wisdom and vision to create and execute plans and make consequential decisions in the volatile, uncertain, complex,					1	1		2	2	2		4	6

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		and ambiguous strategic environment.													
119.	Supporting and facilitating	Supporting and facilitating can be defined as a collaborative process used to help parties discuss issues, identify and achieve goals and complete tasks in a mutually-satisfactory manner. This process uses an impartial third party, the facilitator, who focuses on the processes and procedures of dispute resolution and decision-making. The facilitator is impartial to the issues being discussed, rarely contributes substantive ideas and has no decision-making authority.	1			1	1	1	1	3	2	2	2	6	10
120.	SWOT	SWOT can be defined as an analysis identifies factors that may affect desired future outcomes of the universities. The SWOT model is based on identifying the universities' internal strengths and weaknesses, and threats and opportunities of the external environment, and		1		1		1	1	2		1	1	2	5

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		consequentially identifying the company's distinctive competencies and key success factors. These, along with considerations of societal and company values, lead to creation, evaluation, and choice of strategy. SWOT's objective is to recommend strategies that ensure the best alignment between the external environment and internal situation													
121.	Theory "y"	Theory y can be defined as a people do not inherently dislike work and will commit themselves willingly to work that they care about, as well as exercise self-direction and self-control in the service of objectives to which he or she is committed.									1			1	1
122.	Teaching load	Teaching load can be defined as teaching "workloads" are usually described in hours per week of formal class meetings. As a measurement, this leaves much to be desired	1	1		2	1	1		2	2	2		4	8

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
123.	Teamwork	Teamwork can be defined as the concept of people working together as a team. To emphasize employees working together by manual performance on a job description, projects as clearly identified and separately		1		1	1	1	1	3		1		1	5
124.	Telephone (fixed, mobile phone)	Telephone can be defined as an instrument that converts voice and other sound signals into a form that can be transmitted to remote locations and that receives.	1	1	1	3	1	1	1	3	2	2	2	6	12
125.	Thinking and acting together	Thinking and acting together can be defined as a set up reasonable strategic plan and open opportunity for academic and administrative staff willingly to participate together.	1	1	1	3					1	1		2	5
126.	Thinking before talking	Thinking before talking can be defined as a primary function is social: to enable its owner to communicate with other people. It seems that it has become easy to descend the slippery ... Think before you act--impulsiveness doesn't work. Take responsibility						1		1					1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		for actions and **...** Talk about right and wrong, conscience, empathy and compassion.													
127.	Top-down	Top-down can be defined as a communicate that flows from any point on an organization chart top-down to another point on the organization chart, such as from the dean to send to departments or supporting unit to any staff working in lines.	1	1	1	3	1	1	1	3	2	2	2	6	12
128.	To adjust organization and income payment system	To adjust organization and income payment system can be defined as a set up rules and regulation of compensation same system. For example, the university needs to account for the any unit as they are the excess of income over the requirements of the universities to use efficiently and appropriately. Provide accurate information to adjust, analyze and evaluate programs and activities.										2		2	2
129.	To consult expertise	To consult expertise can be defined as gain knowledge from the expertise, in order to take						1		1					1

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		experiences to solve problems in supporting unit, departments, and faculties.													
130.	To review strategies	To review strategies can be defined as techniques to investigate vision and strategies of supporting unit, departments, and faculties. How to solve problems for successful leadership.	1	1	1	3	1	1	1	3	2	2	2	6	12
131.	To encourage continuous study	To encourage continuous study can be defined as a leader energize staff study at high level Ph.D.; to enhance human competency for staff, specially, academic staff which reflected to output or outcome of university (product-high competency students)	1	1	1	3	1	1	1	3	2	2	2	6	12
132.	Transparency	Transparency can be defined as an exchange of information, access to facilities, and cooperative arrangements undertake to provide ready observation and verification of defense or other activities to staff in society university.	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
133.	Trust(trustiness)	Trustiness can be defined as a condition of commitment and the glue that binds members of a community in cryptology and cryptosystems, that characteristic allowing one entity to assume that a second entity will behave exactly as the first entity expects, and may apply only for some specific function. The critical role of trust in the authentication framework is to describe the relationship between an authenticating entity and a certification authority; an authenticating entity must be certain that it can trust the certification authority to create only valid and reliable certificates					1	1	1	3			1	1	4
134.	Two-way communication	Two-way communication can be defined as a variety of methods for obtaining feedback from the addressees of risk communication. These ranges from granting them opportunities to present their viewpoint, to inviting those concerned to	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		participate actively in the decision-making process.													
135.	Vision	Vision can be defined as a description of mission of university in the future, often distant future, in terms of essence of what it should become. Typically a vision is specific enough to provide real guidance to people; desirability and feasibility. Visual perception it as the senses, consisting of the ability to detect light and interpret(see) it as the perception known as sight or naked eye vision.	1	1	1	3	1	1	1	3	2	2	2	6	12
136.	Welfare	Welfare can be defined as a governmental provision of economic assistance to persons in need foundation committed to supporting organizations that help people overcome barriers to full participation in work life.	1	1	1	3	1	1	1	3	2	2	2	6	12
137.	Work load	Workload can be defined as a faculty member is comprised of the mix of teaching, research and service activities, that are assigned as that faculty	1	1	1	3	1	1	1	3	2	2	2	6	12

Table 6 Coding and Meaning of Codes (continued)

No.	Code	Meaning	SUT				KMUTT				BUU				Total
			D/D	HOD	FS	Total	D/D	HOD	FS	Total	D/D	HOD	FS	Total	
		member's contribution of effort toward achieving the goals of the academic and administrative staff. It is not less that requirement of university.													
	Total					95				99				86	280
						262				277				458	997

All SUT participants made 95 references to the coded categories
All KMUTT participants made 99 references to the coded categories
All BUU participants made 86 references to the coded categories

Table 7   Relationships between Axial Coding and Open Coding

Axial Coding	Meaning	Open Coding		
		Concept (sub-category)SUT	Concept (sub-category)KMUTT	Concept (sub-category)BUU
(1) Patterns of administration	Administration can be defined as an administrative system in Thai University, including CSCR, PPBS, and Bureaucratic system under good governance principles.	4. Accountability 18. CSCR 29. Decentralization 30. Delegation 51. Good governance 84. Participation	4. Accountability 29. Decentralization 30. Delegation 51. Good governance 84. Participation 93. PPBS	4. Accountability 29. Decentralization 30. Delegation 51. Good governance 84. Participation 121. Theory "y"
(2) Administrative strategies	Administrative strategies can be defined as an ideal and principle's senior leader, staff and junior staff. In the sense of overall guidelines or 'mega-policies, to take ownership of their employees or force themselves into a restricted benefits package. Our clients retain complete freedom to subscribe to whatever payroll service or benefit plan they wish.	74. Managerial skills 10. Authority 20. Committee 26. Corporate culture 55. Human competency 85. Paradigm shift 92. Policy 113. Sharing resources 117. Strategic planning 120. SWOT 125. Thinking and acting together 33. Effective leadership 22. Competency 27. Creative thinking 50. Gifted 69. Learning by example	74. Managerial skills 5. Action plan 10. Authority 11. Backup 20. Committee 23. Compromise 24. Controlling 56. Human resources 83. Outsourcing 90. PDCA cycle 91. Planning 92. Policy 117. Strategic planning 120. SWOT 33. Effective leadership 22. Competency 27. Creative thinking 47. Functional competency 69. Learning by example 70. Learning by doing	74. Managerial skills 10. Authority 20. Committee 25. Coordination 85. Paradigm shift 92. Policy 112. Set priority working 117. Strategic planning 120. SWOT 125. Thinking and acting together 33. Effective leadership 22. Competency 27. Creative thinking 47. Functional competency 69. Learning by example 103. Responsibility

Table 7 Relationships between Axial Coding and Open Coding (continued)

Axial Coding	Meaning	Open Coding		
		Concept (sub-category) SUT	Concept (sub-category)KMUTT	Concept (sub-category)BUU
(2) Administrative strategies (continued)		103. Responsibility 135. Vision Collaboration 34. effective cooperation 47. Functional competency 52. Good practice 118. Strategies leadership Obstacles of administration 6. Administrator 13. Budget 28. Dead wood 49. Full concept of autonomous University Problem solving 130. To review strategies Planning staff development 38. Encouraging staff to study high level 81. On-off the job training	103. Responsibility 118. Strategies leadership 123. Teamwork 135. Vision Collaboration 34. effective cooperation 52. Good practice Obstacles of administration 13. Budget 68. Lack of sincerity 77. Multiple system 82. Over confident 107. Self-confident Problem solving 129. To consult expertise 130. To review strategies Planning staff development 38. Encouraging staff to study high level 81. On-off the job training	118. Strategies leadership 123. Teamwork 135. Vision Collaboration 52. Good practice Obstacles of administration 13. Budget 73. Man power Problem solving 128. To adjust organization and income payment system 130. To review strategies Planning staff development 38. Encouraging staff to study high level 81. On-off the job training 108. Self-development

Table 7   Relationships between Axial Coding and Open Coding(continued)

Axial Coding	Meaning	Open Coding		
		Concept (sub-category)SUT	Concept (sub-category)KMUTT	Concept (sub-category)BUU
(3) Communication System	communication system can be defined as a process of sharing information with other individuals.	62. Interpersonal communication 12. Bottom-up 21. Communication skills 31. Face-to-face conversation 35. Electronic messages 46. Flat organization 48. Formal communication 53. Hierarchy system 60. Information technology 61. Informal communication 78. official document 79. Official meeting 80. One-way communication 124. Telephone 127. Top-down 134. Two-way Elements of communication 32. Effective communication 71. Leadership communication 116. Small group meeting	62. Interpersonal communication 21. Communication skills 48. Formal communication 60. Information technology 61. Informal communication 75. Memos 78. Official document 79. Official meeting 80. One-way communication 116. Small group meeting 124. Telephone Elements of communication 32. Effective communication 71. Leadership communication	62. Interpersonal communication 48. Formal communication 60. Information technology 61. Informal communication 78. Official document 79. Official meeting 80. One-way communication 116. Small group meeting 124. Telephone 127. Top-down 134. Two-way Elements of communication 21. Communication skills 32. Effective communication 71. Leadership communication

Table 7   Relationships between Axial Coding and Open Coding(continued)

Axial Coding	Meaning	Open Coding		
		Concept (sub-category)SUT	Concept (sub-category)KMUTT	Concept (sub-category)BUU
(4) Personnel Management	Personal Management can be defined as a function includes a variety of activities, staffing function of the organization. Includes the activities of planning human resources development, determine role , duties and responsibilities of senior leaders, responsibility of staff, recruitment, performance appraisal, motivating and inspiring staff to achieve goals.	87. Performance evaluation approach 53. Hierarchy assessment 58. Increasing salary 66. Job description 86. Percentage system 88. Performance efficiency 98. Quality and efficiency 99. Quality of performance 100. Quantitative evaluation 101. Ranking system 89. Performance indicators 122. Teaching load 137. Work load	87. Performance evaluation approach 53. Hierarchy assessment 58. Increasing salary 59. Individual assessment 66. Job description 76. Money(top-up) 86. Percentage system 88. Performance efficiency 98. Quality and efficiency 99. Quality of performance 100. Quantitative evaluation 101. Ranking system 106. Self-assessment 89. performance indicators 122. Teaching load 137. Work load	87. Performance evaluation approach 53. Hierarchy assessment 58. Increasing salary 66. Job description 88. Performance efficiency 98. Quality and efficiency 99. Quality of performance 100. Quantitative evaluation 89. Performance indicators 122. Teaching load 137. Work load

Table 7 Relationships between Axial Coding and Open Coding(continued)

Axial Coding	Meaning	Open Coding		
		Concept (sub-category)SUT	Concept (sub-category)KMUTT	Concept (sub-category)BUU
(5) Motivating and Inspiring	Motivating and Inspiring can be defined as a forces either extrinsic or intrinsic toward a staff that arouse enthusiasm and persistence to pursue a certain course of action. Including satisfactions their basic human needs. Inspiration is a subject that engages us in every aspect of lives.	Extrinsic Motivation 3. Academic atmosphere 37. encouraging research scholarship 38. Encouraging staff to study high level 43. Extrinsic rewards 94. Praise 104. Rewards 131. To encourage continuous study 136. Welfare Intrinsic Motivation 67. Intrinsic rewards 110. Sense of belonging	Extrinsic Motivation 37. encouraging research scholarship 38. Encouraging staff to study high level 43. Extrinsic rewards 94. Praise 104. Rewards 131. To encourage continuous study Intrinsic Motivation 65. Intrinsic rewards	Extrinsic Motivation 37. encouraging research scholarship 38. Encouraging staff to study high level 43. Extrinsic rewards 94. Praise 104.Rewards 105. Scholarships 131. To encourage continuous study Intrinsic Motivation 57. Incentive 65. Intrinsic rewards 114. Sharing benefits
		Obstacles to motivation and inspiration 6.administrators 92. Policy 97. Poor efficiency person	Obstacles to motivation and inspiration 63. insufficient function	Obstacles to motivation and inspiration 13. Budget 73. Man power

Table 7 Relationships between Axial Coding and Open Coding(continued)

Axial Coding	Meaning	Open Coding		
		Concept (sub-category) SUT	Concept (sub-category)KMUTT	Concept (sub-category)BUU
(6)Leadership characteristics	Leadership characteristics can be defined as a personality emphasizes the underlying, unseen structures and processes inside a person. It consists of honest to express sincerity, integrity and inspire trust.	96. Personality leadership 15. Caring 17. Coaching 19. Commitment 22. Competency 27. Creative Thinking 40. Equanimity(Upekkha) 41. Ethics 42. Experiences 44. Fairness 54. Hospitality 64. Integrity 68. Knowledge 69. Leading by example 72. Leadership skills 102. Respectful (obedient) 109. Self-management 111. Service mind 119. Supporting and facilitating 132. Transparency 133. Trustiness	96. Personality leadership 2. Able to use I.T. 9. Attitude 15. Caring 17. Coaching 19. Commitment 22. Competency 27. Creative Thinking 41. Ethics 64. Integrity 69. Leading by example 72. Leadership skills 109. Self-management 111. Service mind 115. Sincerity 119. Supporting and facilitating 126. Thinking before talking 132. Transparency 133. Trustiness	96. Personality leadership 1. Ability 8. Agreeableness 16. Change sensitivity 17. Coaching 19. Commitment 22. Competency 27. Creative Thinking 39. Enthusiasm 41. Ethics 45. Faithfulness 64. Integrity 69. Leading by example 72. Leadership skills 95. Proactive 109. Self-management 111. Service mind 132. Transparency 133. Trustiness

Table 8   Axial Coding, Open Coding and Theoretical Coding

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(1) Patterns of Management	18. CSCR 29. Decentralization 30. Delegation	29.Decentralization 30. Delegation 93. PPBS	14. Bureaucracy system 29. Decentralization 30. Delegation 121 the nature of human resources	The concept of patterns of administration both of SUT and KMUTT have been emphasized particularly in the administrative system. The highlight of CSCR system is attached to sharing resources, and PPBS connects financial statement of the project. The Bureaucracy system has been accentuated with BUU. The three systems of both autonomous and public universities are covered under decision making of decentralization and delegation. The patterns of administration of BUU classifies the nature of human resources also.
(1) Patterns of Management (continued)	Good governance 4. Accountability 84. Participation 132. Transparency	Good governance 4. Accountability 84. Participation 132. Transparency	Good governance 4. Accountability 84. Participation 132. Transparency	Basically, administrative universities in Thailand comply with good governance processes. The major characteristics of good governance concerns accountability, participation, and transparency. This is a foundation of the mechanism for examination of management processes. Senior leaders and junior staff are aware of these elements. It is reflected in the leadership practices.

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(2) Administrative Strategies	10. Authority 26. Corporate culture : strong and weak culture can influence the amount of effective leadership 85. Paradigm shift 92. Policy 113. Sharing resources	10. Authority 24. Controlling 56. Human resources 92. Policy	10. Authority 25. Coordination 85. Paradigm shift 92. Policy	Sernior leaders and junior staff of SUT and KMUTT conceive necessary elements of administrative strategies, including authority underlying the position of leaders. It has an influence through the subordinates, and is related to controlling which is a process managers go through in order to control. Controlling can be viewed as a subsystem of the overall management system. The purpose of this subsystem is to help managers enhance the success of the overall management system through effective controlling. All of these elements come from theories, techniques, and behavioral guidelines related to leadership practices. A paradigm shift has reflected their responsibility, to change behavior along with external and internal environments. Strong and weak culture can influence the amount of effective leadership. Policy is a way to set up guidelines for the future; to manage academic work and to energize staff to create research and academic service projects, and papers for publication. While BUU leaders' concept of necesssry elements of administrative strategies differ to those of SUT and KMUTT, as

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(2) Administrative Strategies (continued)				BUU engages in a coordination aimed at bringing about a purposeful movement with groups of people working and pulling together.
(2) Administrative Strategies (continued)	92. Policy 93. Planning 117. Strategic planning 120. SWOT	5. Action plan 90. PDCA cycle 92. Policy 93. Planning	93. Planning 120. SWOT	Strategic planning is a management tool. To help an organization do a better job—to focus its energy, to ensure that members of the organization are working toward the same goals, to assess and adjust the organization's direction in response to a changing environment. Being strategic means being clear about the organization's objectives, being aware of the organization's resources, and incorporating both into being consciously responsive to a dynamic environment.
(2) Administrative Strategies (continued)	20. Committee 22. Competency 55. Human competency	11. Backup 20. Committee 22. Competency 23. Compromise 85. Outsourcing	20. Committee 114. Set priority working	The essential concept of administrative strategies of senior leaders, senior and junior staff of SUT and KMUTT concern backup, committee, competency, compromise, human competency, and outsourcing. Related to this concept by senior leaders, senior and junior staff of BUU this involves committee and setting priority to work tasks.

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(2) Administrative Strategies (continued)	27. Creative thinking 33. Effective leadership 47. Functional competency 50. Gifted 103. Responsibility 118. Strategies leadership 123. Teamwork 125. Thinking and acting together 135. Vision	27. Creative thinking 33. Effective leadership 47. Functional competency 70. Learning by doing 103. Responsibility 118. Strategies leadership 123. Teamwork 135. Vision	22. Competency 27. Creative thinking 33. Effective leadership 47. Functional competency 103. Responsibility 123. Teamwork 125. Thinking and acting together 135. Vision	With regard to the important administrative strategies, The senior leaders, senior and junior staff of SUT and KMUTT conceive creative thinking, effective leadership, functional competency, Gifted, learning by doing, responsibility, strategies leadership, teamwork, thinking and acting together, and vision. These concepts are similarly recognised at BUU, accepting gifted, learning by doing, and competency.

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(3) Communication system	12. Bottom-up 31. Face-to-face conversation 35. Electronic messages 46. Flat organization 48. Formal organizational communication 53. Hierarchy assessment 60. Information technology 61. Informal communication 78. Official document 79. Official meeting 80. One-way communication 116. Small group meetings 124. Telephone (fixed, mobile phone) 127. Top-down	12. Bottom-up 31. Face-to-face conversation 35. Electronic messages 46. Flat organization 48. Formal organizational communication 53. Hierarchy assessment 61. Informal communication 75. Memos 78. Official document 79. Official meeting 80. One-way communication 116. Small group meetings 124. Telephone (fixed, mobile phone) 127. Top-down 134. Two-way communication	48. Formal organizational communication 60. Information technology 61. Informal communication 78. Official document 79. Official meeting 80. One-way communication 116. Small group meetings 124. Telephone (fixed, mobile phone) 127. Top-down 134. Two-way communication	Senior leader and junior staff of SUT and KMUTT can consider using various channels to communicate as leadership practices derive from formal and informal communications. This requires a quality communication skills. To be effective communicators, leaders must understand not only general interpersonal communication concepts but also the characteristics of interpersonal communication within the organizations (Thai universities). The organizational communication directly relates to the goals, functions, and structure of human organizations. To a major extent, organizational success is determined by the effectiveness of organizational communication. Central to the organizational communication is communication skills. A leader must be able to communicate effectively. Senior leaders and junior staff employ official documents, official meetings, face-to-face communication, small group meetings, electronic messages and internet to communicate with their staff and have good

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(3) Communication system (continued)	134. Two-way communication 32. Effective communication 36. Emotional intelligence (EI) 71. Leadership communication	32. Effective communication 36. Emotional intelligence (EI) 73. Leadership communication	21. Communication skills 32. Effective communication 36. Emotional intelligence (EI) 73. Leadership communication	communication skills in order to achieve the goals of management. Senior leaders and junior staff of BUU also pertain of communication skills both SUT and KMUTT. The important elements of communication for senior leaders and junior staff of SUT, KMUTT concentrate on effective communication, emotional intelligence, and leadership communication. BUU also concentrates on these elements of communication, including communication skills involved in speaking and writing in the day-to-day worklife.
(4) Personnel Management (continued)	Planning staff development 38. Encouraging staff to study high level 81. On-off the job training	Planning staff development 38. Encouraging staff to study high level 81. On-off the job training	Planning staff development 38. Encouraging staff to study high level 81. On-off the job training 108. Self-development	The senior leaders, senior and junior staff of SUT and KMUTT reveal that encouraging staff to study at a high level and on-off the job training are core to the similar concept of planning staff development. At BUU it is also revealed that encouraging staff to study at a high level, on-off the job training and self-development.

Table 8   Axial Coding, Open Coding, and Theoretical Coding   (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(4) Personnel Management	86. Performance evaluation approach 53. Hierarchy assessment 58. Increasing salary 66. Job description 86. Percentage system 98.Quality and efficiency 99.Quality of performance 100. Quantitative evaluation 101. Ranking system	86. Performance evaluation approach 53. Hierarchy assessment 58. Increasing salary 59. Individual assessment 66. Job description 76. Money(top-up) 86. Percentage system 88. Performance efficiency 98.Quality and efficiency 100. Quantitative evaluation 101. Ranking system 106. Self-assessment	86. Performance evaluation approach 53. Hierarchy assessment 58. Increasing salary 66. Job description 88. Performance efficiency 98. Quality and efficiency 99. Quality of performance 100. Quantitative evaluation	The senior leaders, senior and junior staff of SUT have received performance evaluation approach depending on the job description. SUT 's modeling of performance evaluation have been designed on the trimester credit system. Staff performance efficiency and positive results according to the trimester credit system were evaluated. Academic staff and administrative staff are evaluated at the end of the trimester system by the supporting unit or head of department, committee through peer review. The results have affected promotion, individual salary and extension contract or withdraw contract. These approaches concentrate on performance efficiency and quality and efficiency in working staff. This approach is a hierarchy assessment, along with percentage, and ranking system. Some of the senior leaders, senior and junior staff of KMUTT have been associated with the concept of performance evaluation approach depending on the job description in two semesters by the hierarchy system. It is a similar system with BUU. Staff performance, efficiency and positive results

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(4) Personnel Management (continued)				according to the two semester credit system were evaluated. Academic staff and administrative staff are evaluated at the end of the two semester system by self-assessment, head of supporting unit, heads of department, and committee. The results have affected promotion, individual salary or increasing money (top-up), and extension of contract or withdrawal of contract, where each person is informed directly, with the outcome not revealed to others. The differences between theses processes and those at BUU, are that there is no self-assessment, and the results of performance evaluation is not confidentially given directly to a person but is made public in a general announcement.
	Performance indicators 122. Teaching load 137. Work load	Performance indicators 122. Teaching load 137. Work load	Performance indicators 122. Teaching load 137. Work load	The performance indicators are designed by university policy in all three universities. These are comprised of teaching load, and work loads. Included also are the quality of teaching, teaching effectiveness, and criteria assessment.

Table 8 Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(4) Personnel Management (continued)	collaborating with colleagues 34. Effective cooperation 52. Good practice	collaborating with colleagues 34. Effective cooperation 52. Good practice	collaborating with colleagues 52. Good practice	The senior leaders, senior and junior staff of SUT and KMUTT conceive that collaborating with colleagues includes effective and good practice. Similarly, at BUU, this good practice is a necessary element of the senior leaders, senior and junior staff.
(4) Personnel Management (continued)	problems and obstacles in achieving on their work 6. Administrator 13. Budget 28. Dead wood 49. Full concept of autonomous university	problems and obstacles in achieving on their work 13. Budget 68. Lack of sincerity 77. Multiple system 82. Over confident 107. Self-confident	problems and obstacles in achieving on their work 13. Budget 73. Man power	The senior leaders, senior and junior staff of SUT and KMUTT conceive that obstacles of administration include administrator, budget, dead wood, full concept of autonomous university, lack of sincerity, multiple system, over confident and self-confident. At BUU their conception relates to budget and man power.
	Problem solving 130. To review strategies	Problem solving 129. To consult expertise 130. To review strategies	Problem solving 128. To adjust organization and income payment system 130. To review strategies	The senior leaders, senior and junior staff of SUT and KMUTT conceive necessary elements include to consult expertise and to review strategies . At BUU they conceive that necessary elements involve adjusting the organization and income payment system, and to review strategies.

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(5) Motivation and Inspiration	3. Academic atmosphere 37. Encouraging research scholarship 38. Encouraging staff to study high level 43. Extrinsic motivation 94. Praise 104. Rewards 131. To encourage continuous study 136. Welfare	37. Encouraging research scholarship 38. Encouraging staff to study high level 43. Extrinsic motivation 94. Praise 104. Rewards 131. To encourage continuous study	37. Encouraging research scholarship 39. Encouraging staff to study high level 43. Extrinsic motivation 94. Praise 105. Scholarships 104. Rewards 131. To encourage continuous study	Senior leaders, senior and junior staff in all three universities have conceived extrinsic and intrinsic motivation at the same level in order to encourage enthusiam. Motivation is the inner state that causes an individual to behave in a way that ensures the accomplishment of some goal. Extrinsic motivation can be defined as a motivation that comes from outside an individual. The motivating factors are external, or outside, rewards such as money or grades. These rewards provide satisfaction and pleasure that the task itself may not provide. Typically a supervisor, may offer such incentives as pay increases and promotions.Included, are tangible rewards such as payments, promotions (or punishments), and intangible rewards such as praise or public commendation.

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(5) Motivation and Inspiration (continued)	64. Intrinsic Motivation(16) 65. Intrinsic motivation 110. Sense of belonging	64. Intrinsic Motivation(16) 65. Intrinsic motivation	64. Intrinsic Motivation(16) 57. Incentive 65. Intrinsic motivation 114. Sharing benefits	The senior leaders, senior and junior staff of SUT and KMUTT have the major concept of intrinsic motivation including intrinsic motivation and sense of belonging. Similarly, at BUU, the senior leaders, senior and junior staff have a major concept of intrinsic motivation including incentives, intrinsic motivation, and sharing benefits.
(5) Motivation and Inspiration (continued)	The Obstacles to leadership preventing motivation and inspiration (17) 6. Administrators 92. Policy 97. Poor efficiency person	The Obstacles to leadership preventing motivation and inspiration (17) 63. Insufficient function 92. Policy	The Obstacles to leadership preventing motivation and inspiration (17) 13. Budget 42. Experiences 92. Policy 135. Vision	The senior leaders, senior and junior staff of SUT and KMUTT have the concept of obstacles to leadership preventing motivation and inspiration including administrators, insufficient function, policy, and poor efficiency staff. Similarly, at BUU, the senior leaders, senior and junior staff have the major concept of obstacles to leadership preventing motivation and inspiration including budget, experiences, policy and vision.
(6) Leadership characteristics	19. Commitment 27. Creative Thinking	9. Attitude 19. Commitment 27. Creative Thinking	1. Ability 8. Agreeableness 22. Competency	The senior leaders, senior and junior staff of SUT and KMUTT have the concept of leadership characteristics: personality

Table 8   Axial Coding, Open Coding, and Theoretical Coding (continued)

Axial Coding	Open Coding			Theoretical coding
	Concept (sub-category) SUT	Concept (sub-category) KMUTT	Concept (sub-category)BUU	
(6) Leadership characteristics (continued)	94. Personality quality 40. Equanimity (Upekkha) 44. Fairness 54. Hospitality 64. Integrity 102. Respectful (obedient) 109. Self-management 133. Trustiness	94. Personality quality 41. Ethics 44. Fairness 64. Integrity 109. Self-management 115. Sincerity 126. Thinking before talking 133. Trustiness	94. Personality quality 27. Creative Thinking 39. Enthusiasm 41. Ethics 45. Faithfulness 64. Integrity 95. Proactive 133. Trustiness	quality including attitude, commitment, creative thinking, equanimity (upekkha), ethics, fairness, friendly for follower (down to earth), hospitality, integrity, respectful (obedient), self-management, sincerity, thinking before talking, and trustiness. Similarly, at BUU the major concept of personality quality includes ability, agreeableness, competency, creative thinking, enthusiasm, ethics, faithfulness, integrity, proactive and trustiness.
(6) Leadership characteristics (continued)	71. Leadership skills 15. Caring 17. Coaching 19. Commitment 42. Experiences 69. Leading by example 111. Service mind	71. Leadership skills 2. Able to use I.T. 17. Coaching 19. Commitment 22. Competency 67. Knowledge 69. Leading by example 111. Service mind 119. Supporting and facilitating	72. Leadership skills 16. Change sensitivity 17. Coaching 19. Commitment 69. Leading by example 111. Service mind	The senior leaders, senior and junior staff of SUT and KMUTT have the concept of leadership characteristics: leadership skills consist of being able to use IT, caring, coaching, commitment, experiences, leading by example, service mind, supporting and facilitating, competency and knowledge. Similarly, at BUU they have the major concept of leadership skills comprised of change sensitivity, coaching, commitment, leading by example and service mind.

Appendix J

Field Note Form

A Comparative Study of Administrative Leadership of Thai Universities

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Date..**Code**..

Place ....

In-depth Interview

Items	Keywords
Question 1 How do you manage your Faculty/Office? What does this mean to you? Please give me one example that describes how you manage your Faculty/Office. Why did you choose that example? **Answer 1**	....

Face Sheet

The Information of Interviewer

1) Name-Surname……………………………………………Code No. ……………..……………...

2) Time for Interview……………………………………………………………..………………

   Date of Interview………………………………………Time……………………………………

   Place of Interview………………………….……………………………………………………...

3) Sex………………… Age…………………… Level of Education…………………………….

4) Address……..…………………………………………………………………….……………

5) Occupation…………………………………………………………………………..………….

6) Income…………………………………………………………………………..………………

7) Nationality………………………………………………………………………..……………

8) Religion………………………………………………………………………..………………..

9) Action of Interviewer…………………………………………………………………………...

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10) Action and Feeling of Researcher………………………………………………………………..

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