



APPENDICES

ลิขสิทธิ์มหาวิทยาลัยเชียงใหม่

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APPENDIX A
MALCOLM BALDRIDGE NATIONAL QUALITY AWARD
(MBNQA) QUESTIONS

1 Leadership

1.1 Senior leadership

a. Vision, values, and mission

(1) How do senior leaders set organisational vision and values? How do senior leaders deploy your organisation's vision and values through your leadership system, to the workforce, to key suppliers and partners, and to students and stakeholders, as appropriate? How do senior leaders' personal actions reflect a commitment to the organisation's values?

(2) How do senior leaders personally promote an organisational environment that fosters, requires, and results in legal and ethical behavior?

(3) How do senior leaders create a sustainable organisation? How do they create an environment for organisational performance improvement, the accomplishment of your mission and strategic objectives, innovation, competitive or role-model performance leadership, and organisational agility? How do they create an environment for organisational and workforce learning? How do they develop and enhance their personal leadership skills? How do they participate in organisational learning, in succession planning, and in the development of future organisational leaders?

b. Communication and organisational performance

(1) How do senior leaders communicate with and engage the entire workforce? How do senior leaders encourage frank, two-way communication throughout the organisation? How do senior leaders communicate key decisions? How do they take an active role in reward and recognition programs to reinforce high performance and a focus on the organisation, as well as on students and stakeholders?

(2) How do senior leaders create a focus on action to accomplish the organisation's objectives, improve performance, and attain its vision? What

performance measures do senior leaders regularly review to identify needed actions? How do senior leaders include a focus on creating and balancing value for students and other stakeholders in their organisational performance expectations?

1.2 Governance and societal responsibilities

a. Organisational governance

(1) How does your organisation review and achieve the following key aspects of your governance system?

- Accountability for management' sanctions
- Fiscal accountability
- Transparency in operations and selection of and disclosure policies for board/ policymaking body members, as appropriate governance
- Independence in internal and external audits
- Protection of stakeholder and stockholder interests, as appropriate

(2) How do you evaluate the performance of your senior leaders, including the head of your organisation? How do you evaluate the performance of members of your governance board/policymaking body, as appropriate? How do senior leaders and your governance board/policymaking body use these performance reviews to further their development and to improve both their personal leadership and that of your board and effectiveness leadership system, as appropriate?

b. Legal and ethical behavior

(1) How do you address any adverse impacts on society of your programs, offerings, services, and operations? How do you anticipate public concerns with current and future programs, offerings, services, and operations? How do you prepare for these concerns in a proactive manner, including conserving natural resources and using effective supplier management processes, as appropriate? What are your compliance key processes, measures, and goals for achieving and surpassing regulatory, safety, accreditation, and legal requirements, as appropriate? What are your key processes, measures, and

goals for addressing risks associated with your programs, offerings, services, and operations?

(2) How does your organisation promote and assure ethical behavior in all your interactions? What are your key processes and measures or indicators for enabling and monitoring ethical behavior in your governance structure, throughout your organisation, and in interactions with students, stakeholders, suppliers, and partners? How do you monitor and respond to breaches of ethical behavior?

c. Societal responsibilities and support of key communities

(1) How do you consider societal well-being and benefit as part of your strategy and daily operations? How do you consider the well-being of environmental, social, and economic systems to which your organisation does or may contribute?

(2) How does your organisation actively support and strengthen your key communities? What are your key communities? How do you identify these communities and determine areas for organisational involvement, including areas related to your core competencies? How do your senior leaders, in concert with your workforce, contribute to improving these communities?

2. Strategic planning

2.1 Strategy development

a. Strategy development

(1) Process how does your organisation conduct its strategic planning? What are the key process steps? Who are the key participants? How does your process identify potential blind spots? How do you determine your core competencies, strategic challenges, and strategic advantages (identified in your organisational profile)? What are your short- and longer-term planning time horizons? How are these time horizons set? How does your strategic planning process address these time horizons?

(2) How do you ensure that strategic planning addresses the key factors listed below? How do you collect and analyze relevant data and information pertaining to these factors as part of your strategic planning process?

- Your organisation's strengths, weaknesses, opportunities, and threats
- Early indications of risks or major shifts in technology; educational programs, offerings, and services; student and community demographics; markets; student and stakeholder preferences; competition; or the regulatory environment
- Long-term organisational sustainability, including needed core competencies
- Your ability to execute the strategic plan

b. Strategic objectives

(1) What are your key strategic objectives and your timetable for accomplishing them? What are your most important goals for these strategic objectives?

(2) How do your strategic objectives address your strategic challenges and strategic advantages? How do your strategic objectives address your opportunities for innovation in educational programs, offerings, services, and operations and your business model? How do your strategic objectives address current and future core competencies? How do you ensure that your strategic objectives balance short- and longer-term challenges and opportunities? How do you ensure that your strategic objectives consider and balance the needs of all students and key stakeholders?

2.2 Strategy deployment: how do you deploy your strategy?

Describe how your organisation converts its strategic objectives into action plans. Summarize your organisation's action plans, how they are deployed, and key action plan performance measures or indicators.

a. Action plan and development deployment

(1) What are your key short and longer-term actions plans? What are the key planned changes, if any, in your programs, offerings, and services; your students, stakeholders, and markets; and how you will operate?

(2) How do you develop and deploy action plans throughout the organisation to your workforce and to suppliers, key partners, and collaborators, as

appropriate, to achieve your key strategic objectives? How do you ensure that the key outcomes of your action plans can be sustained?

(3) How do you ensure that financial and other resources are available to support the accomplishment of your action plans, while meeting current obligations? How do you allocate these resources to support the accomplishment of the plans? How do you assess and manage the financial and other risks associated with the plans?

(4) How do you establish and deploy modified action plans if circumstances require a shift in plans and rapid execution of new plans?

(5) What are your key human resources or workforce plans to accomplish your short- and longer-term objectives strategic and action plans? How do the plans address the potential impacts on people in your workforce and any potential changes to workforce capability and capacity needs?

(6) What are your key performance measures or indicators for tracking the achievement and effectiveness of your action plans? How do you ensure that your overall action plan measurement system reinforces organisational alignment? How do you ensure that the measurement system covers all key deployment areas, student and segments, stakeholders?

b. Performance projection

For the key performance measures or indicators identified in 2.2a(6), what are your performance projections for both your short- and longer-term planning time horizons? How are these projections determined? How does your projected performance compare with the projected performance of your competitors or comparable organisations? How does it compare with key benchmarks, goals, and past performance, as appropriate? if there are current or projected gaps in performance against your competitors or comparable organisations, how will you address them?

3 Customer focus

3.1 Customer engagement

a. Educational programs, offerings, and services, and student and stakeholder support

(1) How do you identify and innovate educational programs, offerings, and services to meet the requirements and exceed the expectations of your students, stakeholders, and market segments (identified in your organisational profile)? How do you identify and innovate to attract new students and educational programs, offerings, and services stakeholders and provide opportunities for expanding relationships with existing students and stakeholders, as appropriate?

(2) How do you determine your key mechanisms to support use of your educational programs, offerings, and services and enable students and stakeholders to seek information and otherwise utilize your offerings, and services programs? What are your key means of student and stakeholder support, including your key communication mechanisms? How do they vary for different students, stakeholders, or market segments? How do you determine your students' and stakeholder' key support requirements? How do you ensure that student and stakeholder support requirements are deployed to all people and processes involved in student and stakeholder support?

(3) How do you keep your approaches for identifying and innovating educational programs, offerings, and services and for providing student and stakeholder support current with your organisation's needs and directions?

b. Building a student and stakeholder culture

(1) How do you create an organisational culture that ensures a consistently positive student and experience and contributes to stakeholder customer engagement? How do your workforce performance management system and your workforce and leader development systems reinforce this culture?

(2) How do you build and manage relationships with students and stakeholders to

- Acquire new students and stakeholders
- Meet their requirements and exceed their expectations at each stage of their relationship with you; and
- Increase their engagement with you?
- How do you keep your approaches for creating a student- and stakeholder- focused culture and building student and stakeholder relationships current with organisational needs and direction?

3.2 Voice of the customer

a. Student and stakeholder listening

(1) How do you listen to students and stakeholders to obtain actionable information and to obtain feedback on your educational programs, offerings, and services, and your student and stakeholder support? How do your listening methods vary for different students, stakeholder groups, or market segments? How do your listening methods vary across the stages of their relationships with you? How do you follow up with students and stakeholders on the quality of educational programs, offerings, and services; student and stakeholder support; and transactions to receive immediate and actionable feedback?

(2) How do you listen to former students and stakeholders, potential students and stakeholders, and students and stakeholders of competitors to obtain actionable information and to obtain feedback on your programs educational, offerings, and services; stakeholder support; and transactions, as appropriate?

(3) How do you manage student and stakeholder complaints? How does your student and stakeholder complaint management process ensure that complaints are resolved promptly and effectively? how does your complaint management process enable you to recover your students' and stakeholders' confidence, and enhance their satisfaction and engagement? how does your complaint management system enable aggregation and of complaints for use in improvement throughout your organisation and by your analysis partners, as appropriate?

b. Determination of student and stakeholder satisfaction and engagement

(1) How do you determine student and stakeholder satisfaction and engagement? How do these determination methods differ among student and stakeholder groups and market segments, as appropriate? How do your measurements capture actionable information for use in exceeding your students' and expectations and securing their stakeholders' engagement? How do your determination methods enable aggregation and analysis of data for use in improvement throughout your organisation and by your partners, as appropriate?

(2) How do you obtain and use information on your students' and stakeholders' satisfaction relative to their satisfaction with your competitors? How do you obtain and use information on your students' and stakeholders' satisfaction relative to the satisfaction levels of students and stakeholders of other organisations delivering similar educational services or to industry benchmarks, as appropriate?

(3) How do you determine student and stakeholder dissatisfaction? How do your measurements capture actionable information for use in meeting your students' and stakeholders' requirements and exceeding their expectations in the future? How do your determination methods enable aggregation and of data for use in improvement throughout your organisation and by your analysis partners, as appropriate?

c. Analysis and use of student and stakeholder data

(1) How do you use information on students, stakeholders, and the market, and on programs, offerings, and services to identify current and anticipate future student and stakeholder groups and market how segments? Do you consider students and stakeholders of competitors and other potential students and stakeholders, and markets in this segmentation? How do you determine which students, groups, and market stakeholder segments to pursue for current and future programs, offerings, and services?

(2) How do you use information on students, stakeholders, and the market, and on programs, offerings, and services to identify and anticipate key student and stakeholder requirements (including program, offering, and service features)

and changing expectations and their relative importance to students' and stakeholders' enrollment, purchasing, or relationship decisions? How do you identify and anticipate How these requirements and changing expectations will differ across students, stakeholder groups, and market segments, and across all stages of their relationships with you?

(3) How do you use information on students, stakeholders, and the market, and on programs, offerings, and services, to improve marketing, build a more student and stakeholder-focused culture, and identify opportunities for innovation?

(4) How do you keep your approaches for student and stakeholder listening; determination of student and stakeholder satisfaction, dissatisfaction, and engagement; and use of student and stakeholder data current with your organisation's needs and directions?

4. Measurement analysis, and knowledge management

4.1 Measurement, analysis, and improvement of organisational performance

a. Performance measurement

(1) How do you select, collect, align, and integrate data and information for tracking daily operations and for tracking overall organisational performance, including progress relative to strategic objectives and action plans? What are your key organisational performances measures, including key short-term and longer-term budgetary and financial measures? How frequently are these measures determined? How do you use these data and information to support organisational decision-making and innovation?

(2) How do you select and ensure the effective use of key comparative data and information to support operational and strategic decision-making and innovation?

(3) How do you keep your performance measurement system current with educational service needs and directions? How do you ensure that your performance measurement system is sensitive to rapid or unexpected organisational or external changes?

b. Performance analysis and review

How do you review organisational performance and capabilities? What analysis do you perform to support these reviews and to ensure that conclusions are valid? How do you use these reviews to assess organisational success, performance relative to competitors and comparable organisations, and progress relative to strategic objectives and action plans? How do you use these reviews to assess your organisation's ability to respond rapidly to changing organisational needs and challenges in your operating environment?

c. Performance improvement

How do you translate organisational performance review findings into priorities for continuous and breakthrough improvement and into opportunities for innovation? How are these priorities and opportunities deployed to faculty, staff, other work groups, and functional-level operations throughout your organisation to enable effective support for their decision-making? When appropriate, how are the priorities and opportunities deployed to your feeder and/or receiving schools and to your suppliers, partners, and collaborators to ensure organisational alignment?

4.2 Management of information, knowledge, and information technology

a. Data, information, and knowledge management

(1) How do you ensure the following properties of your organisational data, information, and knowledge?

- Accuracy
- Integrity and reliability
- Timeliness
- Security and confidentiality

(2) How do you make needed data and information available? How do you make them accessible to your workforce, students, stakeholders, suppliers, partners, and collaborators, as appropriate?

(3) How do you manage organisational knowledge to accomplish?

- The collection and transfer of workforce knowledge;
- The transfer of relevant knowledge from and to students, stakeholders, suppliers, partners and collaborators;
- The rapid identification, sharing, and implementation of best practices; and,
- The assembly and transfer of relevant knowledge for use in your strategic planning

b. Management of information resources and technology process.

- (1) How do you ensure that hardware and software are reliable, secure, and user-friendly?
- (2) In the event of an emergency, how do you ensure the continued availability of hardware and software systems and the continued availability of data and information?
- (3) How do you keep your data and information availability mechanisms, including your software and hardware systems, current with educational service needs and directions and with technological changes in your operating environment?

5. Workforce focus

5.1 workforce engagement

a. Workforce enrichment

- (1) How do you determine the key factors that affect workforce engagement? How do you determine the key factors that affect workforce satisfaction? How are these factors determined for different groups and segments?
- (2) How do you foster an organisational culture that is characterized by open communication, high-performance work, and an engaged workforce? How do you ensure that your organisational culture benefits from the diverse ideas, cultures, and thinking of your workforce?
- (3) How does your workforce performance management system support high-performance work and workforce engagement? How does your workforce performance management system consider workforce compensation, reward, recognition, and incentive practices? How does your workforce performance

management system reinforce a focus on students, stakeholders, and the organisation, as well as achievement of your action plans?

b. Workforce and leader development

(1) How does your learning and development system address the following factors for your workforce and your leaders?

- Your organisation's core competencies, strategic challenges, and accomplishment of its action plans, both short-term and long-term
- Organisational performance improvement and
- Ethics and ethical business practices innovation
- The breadth of development opportunities, including education, training, coaching, mentoring, and work-related experiences, as appropriate

(2) How does your learning and development system address the following factors for your workforce?

- Their learning and development needs, including those that are self-identified and those identified by supervisors and managers
- The transfer of knowledge from departing or retiring workers
- Their enforcement of new knowledge and skills on the job

(3) How do you evaluate the effectiveness and efficiency of your learning and development systems?

(4) How do you manage effective career progression for your entire workforce? How do you accomplish effective succession planning for supervisor, administrator, and other leadership positions? How do you ensure that faculty and staff are appropriately certified or license

c. Assessment of workforce engagement

(1) How do you assess workforce engagement? What formal and informal assessment methods and measures do you use to determine workforce engagement and workforce satisfaction? How do these methods and measures differ across workforce groups and segments? How do you use other indicators, such as workforce retention, absenteeism, grievances, safety, and productivity to assess and improve workforce engagement?

(2) How do you relate your workforce engagement assessment findings to key organisational reported in category 7 to identify opportunities for improvement in both results and organisational workforce engagement results

5.2 workforce environment

5.2 workforce environment: how do you build an effective and supportive workforce environment?

Describe how your organisation manages workforce capability and capacity to accomplish the work of the organisation. describe how your organisation maintains a safe, secure, and supportive work climate within your response, include answers to the following questions: a. workforce capability and capacity.

(1) How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels?

(2) How do you recruit, hire, place, and retain new members of your workforce? How do you ensure your workforce represents the diverse ideas, cultures, and thinking of your hiring and student and stakeholder community?

(3) How do you manage and organize your workforce to accomplish the work of your organisation, capitalize on the organisation's core competencies, reinforce a focus on students and stakeholders and on the organisation, exceed performance expectations, address your strategic challenges and action plans, and achieve the agility to address changing organisational needs?

(4) How do you prepare your workforce for changing capability and capacity needs? How do you manage your workforce, its needs, and your needs to ensure continuity, to prevent workforce reductions, and to minimize the impact of workforce reductions, if they do become necessary?

b. Workforce climate

(1) How do you address workplace environmental factors to ensure and improve workforce health, safety, and security? What are your performance measures and improvement goals for each of these needs? What are any significant differences in these factors and workforce performance measures or targets for different workplace environments?

(2) How do you support your workforce via policies, services, and benefits? How are these tailored to the needs of a diverse workforce and different workforce groups and segments?

6. Process management

6.1 work systems

a. Work systems design

(1) How do you design and innovate your overall work systems? how do you decide which processes within your overall work systems will be internal to your organisation (your key work processes) and which will use external resources?

(2) How do your work systems and key work processes relate to and capitalize on your core competencies?

b. Key work processes

(1) What are your organisation's key work processes? How do these processes contribute to delivering student and stakeholder value, student learning and success, financial return, organisational success, and sustainability?

(2) How do you determine key work process requirements, incorporating input from students and stakeholders, suppliers, partners, and collaborators, as appropriate? What are the key requirements for these processes? How do you anticipate and prepare for individual differences in student learning capabilities, rates, and styles? How is information on student segments and individual students used in the design of your key work processes to engage all students in active learning?

c. Emergency readiness

How do you ensure work system and workplace preparedness for disasters or emergencies? How does your disaster and emergency preparedness system consider prevention, management, continuity of operations, and recovery?

6.2 Work processes

a. Work process design

How do you design and innovate your work processes to meet all the key requirements? How do you incorporate new technology, organisational knowledge, and the potential need for agility into the design of these processes? How do you incorporate cycle time, productivity, cost control, and other efficiency and effectiveness factors into the design of these processes?

b. Work process management

(1) How do you implement and manage your work processes to ensure that they meet design requirements? How does your day-to-day operation of these processes ensure that they meet key process requirements? How is input from your workforce, students, stakeholders, suppliers, partners, and collaborators used in managing these processes, as appropriate? What are your key performance measures or indicators and in-process measures used for the control and improvement of your work processes?

(2) How do you prevent variability in the implementation of your work processes that may lead to variations in student learning or student success, as appropriate? How do you minimize overall costs associated with inspections, tests, and process or performance audits, as appropriate? How do you prevent errors and rework?

c. Work process improvement

(1) How do you improve your work processes to?

- Maximize student success;
- To improve educational programs, offerings, and services;
- And to keep the processes current with educational needs and directions?

(2) How do you incorporate a measurement plan that makes how effective use of formative and summative assessment? how do you incorporate the results of the organisational performance reviews discussed in response to item 4.1 into the systematic evaluation and improvement of your work processes? how are process work improvements and lessons learned shared with other organisational units and processes to drive organisational learning and innovation?

7 Results

7.1 Student learning outcomes

a. Student learning results

What are your current levels and trends in key measures or indicators of student learning and improvement in student learning? How do these results compare with the performance of your competitors and comparable organisations and of other appropriate student and market segments?

7.2 Customer-focused outcomes

a. Student and stakeholder focused results

(1) What are your current levels and trends in key measures or Indicators of stakeholder satisfaction and dissatisfaction? How do these results compare with the student and stakeholder satisfaction levels of your competitors and other organisations providing similar programs, offerings, and services?

(2) What are your current levels and trends in key measures or indicators of student and relationship building and engagement? How do these results compare over the course of time as students and stakeholders utilize your programs and services, as appropriate?

7.3 Budgetary, financial, and market outcomes

a. Budgetary, financial, and market results

(1) What are your current levels and trends in key measures or indicators of budgetary and financial performance, including aggregate measures of cost containment or financial viability, as appropriate?

(2) What are your current levels and trends in key measures or indicators of market performance, including market share or position, market and market share growth, and new markets entered, as appropriate?

7.4 Workforce-focused outcomes

a. Work force results

- (1) What are your current levels and trends in key measures or indicators of workforce engagement and workforce satisfaction?
- (2) What are your current levels and trends in key measures or indicators of workforce and leader development?
- (3) What are your current levels and trends in key measures of work force capability and capacity, including staffing levels and appropriate skills?
- (4) What are your current levels and trends in key measures or indicators of your workforce climate, including workforce health, safety, and security and workforce services and benefits, as appropriate?

7.5 Process effectiveness outcomes

a. Process effectiveness results

- (1) What are your current levels and trends in key measures or indicators of the operational performance of your work systems, including work system and workplace preparedness for disasters or emergencies?
- (2) What are your current levels and trends in key measures or indicators of the operational performance of your key work processes, including productivity, cycle time, and other appropriate measures of process effectiveness, efficiency, and innovation?

7.6 Leadership outcomes

a. Leadership and societal responsibility result

- (1) What are your results for key measures or indicators of accomplishment of your organisational strategy and action plans?
- (2) What are your key current findings and trends in key measures or indicators of governance and fiscal accountability, both internal and external, as appropriate?
- (3) What are your results for key measures or indicators of regulatory, safety, accreditation, and legal compliance?

(4) What are your results for key measures or indicators of ethical behavior and of stakeholder trust in the senior leaders and governance of your organisation? What are your results for key measures or of breaches of indicators ethical behavior?

(5) What are your results for key measures or indicators of your organisation's fulfillment of its societal responsibilities and your organisation's support of its key communities?

APPENDIX B

GOVERNANCE INTERVIEW FORM

:Thesis Title An Integrated Management Model of Governance, Risk Management and Compliance for the Faculty of Affiliated Public Universities in Thailand

Interviewing

Interview Date.....

Subject: Governance in Public Affiliated Universities in Thailand

Time..... **Place**.....

Questions in this interview are based upon the framework of governance presented in the Open compliance & Ethics Group (OCEG)'s GRC Capability Model (OCEG, 2009)

Interview Questions

Section 1: Context and Culture – Questions in this section relate to the external and internal context of governance in Thai universities as well as the culture, values and objectives of effective governance.

- 1.1 What is your definition of governance as it relates to universities in Thailand?
- 1.2 Why is governance important to public affiliated universities?
- 1.3 How does governance in Thai public universities compare internationally to other universities or higher education systems?
- 1.4 How does the culture of a university affect its governance?
- 1.5 In your opinion, what are the important components of governance in pulic affiliated universities in Thailand?
- 1.6 What are the key objectives of governance in Thai public affiliated universities?
- 1.7 Can you tell me more?

Section 2: Organize and Oversee – The questions in this section relate to the overall governance approach and the related roles and responsibilities.

- 2.1 Who is responsible for governance in Thailand's public affiliated universities? (e.g. University council? Government? University presidents?)

- 2.2 How has governance changed, or how is it different in the newly created public affiliated/ autonomous universities?
- 2.3 Is governance the sole responsibility of higher education management?
- 2.4 What is your opinion about the role of the University Council to support governance for university management?
- 2.5 Are there any specific governance roles or other similar roles within Thai public affiliated universities?
- 2.6 In considering public affiliated universities in Thailand, does governance permeate throughout the entire organization?
- 2.7 How are the tone, objectives and expectations of governance distributed throughout the organisation?
- 2.8 Can you tell me more?

Section 3: Assess and Align – The questions in this section are about how governance aligns with risk and a wider GRC framework.

- 3.1 In your opinion, how are risk and governance related?
- 3.2 How might governance change in the future for Thai universities?
- 3.3 How do universities/ management distribute/ allocate governance responsibilities across the entire organisation?
- 3.4 Governance, Risk Management and Compliance (GRC) have a clear synergy and relationship with each other, what are your opinions about GRC in public affiliated universities in Thailand?
- 3.5 How are the interests of university stakeholders (e.g. students) balanced against management duties and decisions when directing the organisations? (e.g. the immediate needs of students may differ from management decisions/ requirements and long-term VS. short term decisions.)
- 3.6 Now Thailand is facing the forthcoming AEC 2015, what are your opinions about governance in the educational sector, and the effects on risk for higher education in Thailand?
- 3.7 Can you tell me more?

Section 4: Prevent and Promote – This section includes questions regarding the promotion of governance throughout Thai universities and the prevention of issues related to governance.

- 4.1 How is governance promoted throughout public affiliated universities?
- 4.2 What are the specific policies, frameworks or codes of conduct relating to governance?
- 4.3 Are there any incentives to ensure good governance?
- 4.4 Can you tell me more?

Section 5: Detect and Discern – This part relates to notifications surveys and inquiries that relate to governance in the organisation.

- 5.1 How are governance weaknesses detected inside Thai public affiliated universities?
- 5.2 Are there any measures to deal with undesirable (unethical) conduct or system weakness related to governance?
- 5.3 Can you tell me more?

Section 6: Respond and Resolve – This section relates to internal measures to control governance, as well as responses to third-party inquiries or investigations.

- 6.1 Are there any internal review or investigation measures to ensure effective governance is being achieved in Thai universities?
- 6.2 How can third parties check the governance of a Thai university?
- 6.3 Can you tell me more?

Section 7: Monitor and Measure – Questions in this section pertain to monitoring and evaluating performance related to governance.

- 7.1 How is governance measured or monitored in Thai public affiliated universities (i.e. are there any success criteria?) and by who?
- 7.2 How is governance evaluated and improved upon in Thai public affiliated universities?
- 7.3 How is governance modified in Thai public affiliated universities to respond to a changing environment and how often?

7.4 Can you tell me more?

Section 8: Inform and Integrate – This section is about information management, technology and infrastructure.

8.1 How do universities document and record governance information?

8.2 How do universities get the right information to the right people at the right time?

8.3 How do universities ensure governance information flows up, down and across the organisation, both effectively and accurately?

8.4 To what extent does governance allow an understanding of information for decision making?

8.5 How do universities use governance to make risk aware decisions?

8.6 To what extent is technology used to ensure effective governance?

8.7 Can you tell me more?

Sincerely yours

APPENDIX C
RISK MANAGEMENT INTERVIEW FORM

:Thesis TitleAn Integrated Management Model of Governance, Risk Management and Compliance for the Faculty of Affiliated Public Universities in Thailand

Interviewing

Interview Date.....

Subject: Governance in Public Affiliated Universities in Thailand

Time..... **Place**.....

Questions in this interview are based upon the framework of risk management presented in the Open compliance & Ethics Group (OCEG)'s GRC Capability Model (OCEG, 2009)

Interview Questions

Section 1: Context and Culture – Questions in this section relate to the external and internal context of risk management in Thai universities as well as the culture, values and objectives of effective risk management.

- 1.1 What is your definition of risk management as it relates to universities in Thailand? i.e. What does risk management mean to you?
- 1.2 Why is risk management important for public autonomous universities?
- 1.3 How does risk management in Thai public universities compare internationally to other universities or higher education systems? Are there any specific aspects of risk management in Thailand universities you would like to share?
- 1.4 In your opinion, what are the important components of risk management in public autonomous universities in Thailand?
- 1.5 What are the key objectives of risk management in Thai public autonomous universities?
- 1.6 Can you tell me more?

Section 2: Organize and Oversee – The questions in this section relate to the overall risk management approach and the related roles and responsibilities.

- 2.1 Who is responsible for risk management in Thailand's public autonomous universities? (e.g. University council? Government? University presidents?) At CMU, is it individual faculties, the university council, or specific individuals?
- 2.2 How has risk management changed, for public autonomous universities?
- 2.3 Is risk management the sole responsibility of higher education management or should everyone be involved?
- 2.4 What is your opinion about the role of the University Council and risk management?
- 2.5 Are there any specific risk management jobs/ roles or other similar roles within Thai public autonomous universities?
- 2.6 How are risk management requirements distributed throughout the university?
- 2.7 Can you tell me more?

Section 3: Assess and Align – The questions in this section are about how compliance aligns with risk and a wider GRC framework.

- 3.1 How might risk management change in the future for Thai universities?
- 3.2 Governance, Risk Management and risk management (GRC) have a clear synergy and relationship with each other, what are your opinions about GRC in public affiliated universities in Thailand?
- 3.3 How are the interests of university stakeholders (e.g. students) balanced against Risk management with the organisations?
- 3.4 Now Thailand is facing the forthcoming AEC 2015, what are your opinions about risk management in the educational sector, and the effects on risk for higher education in Thailand? Is risk management more important? Does it need to change?
- 3.5 Can you tell me more?

Section 4: Prevent and Promote – This section includes questions regarding the promotion of risk management throughout Thai universities and the prevention of issues related to risk management.

4.1 How is risk management promoted throughout public autonomous universities to make sure everyone is aware?

4.2 Are there any incentives for faculties/ staff to ensure effective risk management?

4.3 Can you tell me more?

Section 5: Detect and Discern – This part relates to notifications surveys and inquiries that relate to risk management in the organisation.

5.1 How are risk management weaknesses detected inside Thai public autonomous universities?

5.2 Are there any methods to deal with undesirable (unethical) conduct or system weakness related to risk management?

5.3 Can you tell me more?

Section 6: Respond and Resolve – This section relates to internal measures to control risk management, as well as responses to third-party inquiries or investigations.

6.1 Are there any internal review or investigation measures to ensure effective risk management is being achieved in Thai universities?

6.2 How can third parties check the risk management of a Thai university?

6.3 Can you tell me more?

Section 7: Monitor and Measure – Questions in this section pertain to monitoring and evaluating performance related to risk management.

7.1 How is risk management measured monitored or checked in Thai public autonomous universities (i.e. are there any success criteria?) and by who?

7.2 Can you tell me more?

Section 8: Inform and Integrate – This section is about information management, technology and infrastructure.

8.1 How do universities document and record risk management information?

8.2 How do universities get the right risk management information to the right people at the right time?

8.3 How do universities ensure risk management information flows up, down and across the organisation, both effectively and accurately?

8.4 How do universities use risk management to make risk aware decisions?

8.5 To what extent is technology used to ensure effective risk management?

8.6 Can you tell me more?

Sincerely yours

APPENDIX D
COMPLIANCE INTERVIEW FORM

:Thesis TitleAn Integrated Management Model of Governance, Risk Management and Compliance for the Faculty of Affiliated Public Universities in Thailand

Interviewing

Interview Date.....

Subject: Governance in Public Affiliated Universities in Thailand

Time..... **Place**.....

Questions in this interview are based upon the framework of compliance presented in the Open compliance & Ethics Group (OCEG)'s GRC Capability Model (OCEG, 2009)

Interview Questions

Section 1: Context and Culture – Questions in this section relate to the external and internal context of compliance in Thai universities as well as the culture, values and objectives of effective compliance.

1.1 What is your definition of compliance as it relates to universities in Thailand? e.g. What does compliance mean to you?

1.2 Why is compliance important for public autonomous universities?

1.3 How does compliance in Thai public universities compare internationally to other universities or higher education systems? Are there any specific aspects of compliance in Thailand universities you would like to share?

1.4 In your opinion, what are the important components of compliance in public autonomous universities in Thailand?

1.5 What are the key objectives of compliance in Thai public autonomous universities?

1.6 Can you tell me more?

Section 2: Organise and Oversee – The questions in this section relate to the overall compliance approach and the related roles and responsibilities.

- 2.1 Who is responsible for compliance in Thailand's public autonomous universities? (e.g. University council? Government? University presidents?) At CMU, is it individual faculties, the university council, or specific individuals?
- 2.2 How has compliance changed, for public autonomous universities?
- 2.3 Is compliance the sole responsibility of higher education management or should everyone be involved?
- 2.4 What is your opinion about the role of the University Council and compliance?
- 2.5 Are there any specific compliance jobs/ roles or other similar roles within Thai public autonomous universities?
- 2.6 How are compliance requirements distributed throughout the university?
- 2.7 Can you tell me more?

Section 3: Assess and Align – The questions in this section are about how compliance aligns with risk and a wider GRC framework.

- 3.1 In your opinion, how are risk and compliance related? Does compliance increase or reduce risks to the university?
- 3.2 How might compliance change in the future for Thai universities?
- 3.3 Governance, Risk Management and Compliance (GRC) have a clear synergy and relationship with each other, what are your opinions about GRC in public affiliated universities in Thailand?
- 3.4 How are the interests of university stakeholders (e.g. students) balanced against management duties and decisions when directing the organisations? (e.g. the immediate needs of students may differ from management decisions/ requirements and long-term VS. short term decisions.)
- 3.5 Now Thailand is facing the forthcoming AEC 2015, what are your opinions about compliance in the educational sector, and the effects on risk for higher education in Thailand? Is compliance more important? Does it need to change?
- 3.6 Can you tell me more?

Section 4: Prevent and Promote – This section includes questions regarding the promotion of compliance throughout Thai universities and the prevention of issues related to compliance.

4.1 How is compliance promoted throughout public autonomous universities to make sure everyone is aware?

4.2 Are there any incentives for faculties/ staff to ensure effective compliance?

4.3 Can you tell me more?

Section 5: Detect and Discern – This part relates to notifications surveys and inquiries that relate to compliance in the organisation.

5.1 How are compliance weaknesses detected inside Thai public autonomous universities?

5.2 Are there any methods to deal with undesirable (unethical) conduct or system weakness related to compliance?

5.3 Can you tell me more?

Section 6: Respond and Resolve – This section relates to internal measures to control compliance, as well as responses to third-party inquiries or investigations.

6.1 Are there any internal review or investigation measures to ensure effective compliance is being achieved in Thai universities?

6.2 How can third parties check the compliance of a Thai university?

6.3 Can you tell me more?

Section 7: Monitor and Measure – Questions in this section pertain to monitoring and evaluating performance related to compliance.

7.1 How is compliance measured monitored or checked in Thai public autonomous universities (i.e. are there any success criteria?) and by who?

7.2 Can you tell me more?

Section 8: Inform and Integrate – This section is about information management, technology and infrastructure.

8.1 How do universities document and record compliance information?

8.2 How do universities get the right compliance information to the right people at the right time?

8.3 How do universities ensure compliance information flows up, down and across the organisation, both effectively and accurately?

8.4 How do universities use compliance to make risk aware decisions?

8.5 To what extent is technology used to ensure effective compliance?

8.6 Can you tell me more?

Sincerely yours

APPENDIX E

GRC ON CAMT MBNQA

Table E.1 GRC on the CAMT MBNQA

GRC Code	Descriptions	Types
<i>Organisational Profile</i>		
G_MBNQA 0.1	CAMT is strong in governance and alignment with Thai governance rule, namely rule of law, ethics, transparency, participation, responsibility, accountability, value for money.	Information
R_MBNQA 0.1	The AEC 2015	Information
C_MBNQA 0.1	Government information or others related organisations to set CAMT strategy, namely <ul style="list-style-type: none"> • Student loan information is from student loan office • QA information is from office for national education standards (ONESQA) and quality assessment (QA) and office of higher education commission (OHEC) • Educational concept is from Thai higher educational president meeting. • To set up CAMT strategy according to Chiang Mai provincial strategic planning • Strategy of office of the national economic and development board • Country creative economy strategy 	Information
<i>Leadership</i>		
G_MBNQA 1.1	Responsibility and accountability of CAMT Dean and administrative department such as the honesty of the administrators.	Information
G_MBNQA 1.2	Executive staff should be the role model and should have professional ethics.	Knowledge
R_MBNQA 1.1	Risk in transparency and accountability in CAMT administrators such as the legibility of the authority	Information
R_MBNQA 1.2	Risk in experience of CAMT administrators such as being new administrators	Information
C_MBNQA 1.1	CAMT dean will be a mentor for others leaders such as autorising Vice and assistance deans to have responsibilities and learning knowledge of CAMT management by using modern information technology, accounting, finance, research, policy and planning affairs, educational services for student affairs. Especially using QA, as technique to share experience and knowledge in job for reducing risks in CAMT by setting workshop for staff in CAMT.	Knowledge
C_MBNQA 1.2	The best management is changing in CAMT organisation before CAMT was affected with external impactions such as learning and testing education knowledge in advance to change management in CAMT. Also, CAMT Dean will concern that changing better management before CMU requirements.	Knowledge
C_MBNQA 1.3	<ul style="list-style-type: none"> • CAMT Dean should be evaluated by board and CMU committee. • CAMT should set administrative assessment and feedback by; <ul style="list-style-type: none"> ▫ Assessing results of administrative operation <ul style="list-style-type: none"> ▫ The minimum of the teaching workload ▫ Ability to plan and process QA ▫ Ability to control compliance ▫ Ability to report and inform ▫ Ability to manage budget ▫ Ability to manage and develop personnel 	Information

GRC Code	Descriptions	Types
	<ul style="list-style-type: none"> ▫ Ability to find revenue ▪ CAMT should set five levels of assessment) <ul style="list-style-type: none"> ▫ Level 1: General management ▫ Level 2: Administrators can control their work ▫ Level 3: Administrators can solve problems ▫ Level 4: Administrators can develop and coach their work ▫ Level 5: Administrators can create new job and innovation ▪ CAMT assesses and sends feedback to administrators every semester 	
<i>Strategic Planning</i>		
G_MBNQA 2.1	<p>CAMT should set strategies to maintain good relationship with CMU and Chiang Mai provincial government, while align CAMT strategies with the plan and policies of the university and government to assess the efficiency and effectiveness. Then alignment CAMT strategy with plan and policy of CMU and Chiang Mai provincial governments and assess efficiency and effectiveness of CAMT strategy with these method</p> <ul style="list-style-type: none"> • Alignment with 10-year strategic developmental plan and the annual policies • Arrangement of CAMT BSC • Align CAMT projects with CMU strategies • CAMT follows-up action plans and reports to CMU • CAMT organises meetings twice a month 	Knowledge
R_MBNQA 2.1	Risk in strategic setting such as CAMT strategy is not alignment with CMU or Chiang Mai community.	Information
R_MBNQA 2.2	<p>Risk in operational strategy such as</p> <ul style="list-style-type: none"> • Environmental changes <ul style="list-style-type: none"> ▪ Economic changes both national and international such as industry and IT employment. ▪ Admission competition with group of science and technology faculty such as faculty of business administration, computer science program, computer engineering program. It influences the number of students enrollment/ it influences the choice of students. ▪ It influences the number of students enrollment/ it influences the choice of students • Human resource strategy • Academic strategy • Assets strategy 	Information
R_MBNQA 2.3	Risk in financial strategy such as CAMT has low budget from government and 93% of its revenue is self-funded	Information
R_MBNQA 2.4	Risk in compliance to set strategy such as a lack of update information to set strategy or setting insignificant strategy.	Information
C_MBNQA 2.1	<p>How to set CAMT strategy</p> <ul style="list-style-type: none"> • Using QA to <ul style="list-style-type: none"> ▪ Design business processes ▪ Train personnel as business process ▪ Develop of business processes to better with Plan do check act (PDCA) ▪ Control budget with Performance-based management 	Knowledge

GRC Code	Descriptions	Types
	<ul style="list-style-type: none"> ▪ Assess work load of CAMT staff ▪ CAMT will reject projects, which do not align with CAMT QA • Using E-learning to; <ul style="list-style-type: none"> ▪ Retrieve the teaching content of each subject ▪ In case any lecturers need to stop teaching (i.e. Pursue higher degree or attend training programs), e-learning can help other lecturers to replace the vacancy ▪ Setting E-learning Franchise with other institutions that are teaching IT To share or exchange knowledge. ▪ Using e-learning as a measurement to evaluate lecturers' workload for lecturers who start to create E-learning. ▪ Setting The maintenance of e-learning content as one-hour workload of lecturers ▪ Lecturer can use E-learning to get higher academic position. • Using Micro Lab <ul style="list-style-type: none"> ▪ Improve technology skill of bachelor students to work in industry ▪ To support students to do in project and research independent study and thesis ▪ To be a model as a future laboratory ▪ To set 5% of income for Micro Lab ▪ To encourage lectures to study PhD and attract them to continue working when they graduate CAMT is excellence in KM. CAMT should maintain KM as the best practice and show KM to customers. ▪ To store knowledge of Ph.D. student and assess qualification ▪ To learn and work in KMS ▪ To use KMS in staff and board meetings • CAMT will set ISO standard for professional software skill such as ISO series 15504/12207/29110/25000/27000 to be unique academic competitiveness when comparing curriculum with the program of computer science and computer engineering. Also, CAMT use ISO to increase opportunity of work for graduates students. • CAMT provides ISO standard to students as; <ul style="list-style-type: none"> ▪ A requirement of students who will graduate from CAMT ▪ A quality management ▪ A research method of how to integrate with standard ISO 9001/2008 29110 25000 27000 • Using BSC to adjust CAMT Strategy • Linking research with academic services 	
C_MBQA 2.2	<p>How to transfer action plans to achieve strategic goals and key strategies.</p> <ul style="list-style-type: none"> • Providing annual CAMT policy based on CMU policy • Using QA as training and developing staff and lecturers to achieve strategic plan 	Knowledge
C_MBQA 2.3	<p>How to achieve in strategic human resources plan and action plans.</p> <ul style="list-style-type: none"> • Having 80 percent of Ph.D. lecturers by; <ul style="list-style-type: none"> ▪ Giving full time Ph.D scholarship. ▪ Sandwich program with European university ▪ E-link Scholars with European university ▪ E-link project with European university ▪ CMU scholars • Having higher academic position of lecturers through by; 	Knowledge

GRC Code	Descriptions	Types
	<ul style="list-style-type: none"> ▪ Using E-Learning to encourage lecturers to have higher academic position ▪ Provide post-doctorate program with E-link scholars ▪ Providing scholarship to students to work in e-learning project • Supporting master degree staff to be consultants via by; <ul style="list-style-type: none"> ▪ Providing a scholarship to study master degree in CAMT by working with CAMT projects ▪ The ratio of staff and lecturers should be 3: 1 	
Customer Focus		
G_MBNQA 3.1	CAMT focuses on student's benefit and quality by setting major budget to support students academic and activities. CAMT set school of academic as a students' academic and educational activities.	Knowledge
G_MBNQA 3.2	CAMT provides relationships with stakeholders <ul style="list-style-type: none"> • Setting student community and appointing lecturers as advisors. • Promising service mind of staff • Joining the board of province • Complying with regulations • Join various committees, CMU activities, financial supporting • Participating in with government activities • Coordinating with mind service, providing souvenirs in important events • Warm welcome to visitors • Providing higher profession and supporting staff to have higher degree (master, Ph.D.), • Promoting ownership feeling, extra income and having well welfare • Identifying risk in students who have low grade and improper behavior. Then reporting to their parents, following student, Having loan information, Setting ethic camp to students • Providing transparency and fairness to traders who connected CAMT transparency and fairness • Providing parking, restaurant, safety, lighting, security guards 	Knowledge
G_MBNQA 3.3	CAMT proves requirements and expectations of stakeholders <ul style="list-style-type: none"> • Learning student requirements and expectations through by student community meeting to promote students action in problems and requirements. • Listening to suggestion of employers • Surveying on students satisfactions to improve and adjusting curricula • The dean should attend CMU administrative meeting to know the CMU requirements Getting satisfactions of lecturers from others faculty who serve CAMT courses • Investigating the satisfaction of the administrators • Setting orientation to parents of new students 	Knowledge
R_MBNQA 3.1	Risk of operational in quality students such as <ul style="list-style-type: none"> • High drop-out percentage in the first year • Improper behavior of student such as drug-addicted students 	Information
R_MBNQA 3.2	Risk of stakeholder requirements and expectations	Information
C_MBNQA 3.1	CAMT categorises customers and stakeholders, namely <ul style="list-style-type: none"> • Customers <ul style="list-style-type: none"> ▪ Students ▪ Academic service customers ▪ Communities in 4 upper northern provinces: Chiang Mai, 	Information

GRC Code	Descriptions	Types
	<p>Lam Phun, Lam Phang and Mae Hong Sorn</p> <ul style="list-style-type: none"> ▪ Business sectors where had corporation in cooperative education program ▪ Employer of CAMT graduated students • Stakeholders <ul style="list-style-type: none"> ▪ Thai Office of Higher Education Commission ▪ CMU ▪ Government which support funding to CAMT ▪ Other faculties where serving CAMT students on teaching ▪ Foreign universities for academic ▪ Cooperation with CAMT ▪ CAMT staff ▪ CAMT parents ▪ Visitors ▪ Communities are colleges such as the faculty of Economics, CMU library 	
C_MBNQA 3.2	<p>How to improve quality of students</p> <ul style="list-style-type: none"> • To solve problems in quality of students' with amount of drop-outs in the first year and the number of students who graduated and got a job. In the future, CAMT will improve academic activities for the first-year students and recruit 5% more students whose grade point average (GPA) is more than 3.5 • To promote skill of students. CAMT focuses on cooperative education, prepare student into corporative education. 	Knowledge
C_MBNQA 3.3	<p>How to manage student activities.</p> <ul style="list-style-type: none"> • Participating in CMU student activities along with the policy of CMU student clubs • Setting CAMT committee to arrange academic activities • Providing five categories of student activities namely <ul style="list-style-type: none"> ▪ Academic activities ▪ Sports and healthy activities ▪ Community service ▪ Recreation ▪ Arts and culture preservation • Training CAMT students to meet the CMU graduation standard • Providing software professions • Fostering CAMT values and branding 	Knowledge
C_MBNQA 3.4	<p>How to measure satisfaction / dissatisfaction, and ensure using fact information</p> <ul style="list-style-type: none"> • Questionnaire • Feedback box • Telephone • Personal relationship • Meeting with board of directors and consider the feedback received. If it can solve problems, problems should be solved as soon as possible 	Knowledge
C_MBNQA 3.5	<p>How to improve negative impacts in the society.</p> <ul style="list-style-type: none"> • To clarify if students and staff have done anything wrong. • To use customer social responsibility (CSR) as social responsibility such as using information technology to teach disabled children and monks. • To align with CMU law by providing scholarships to students who 	Knowledge

GRC Code	Descriptions	Types
	lack student tuition fee by employing students to work in CAMT such as library or CAMT projects	
C_MBNQA 3.6	How to maintain relationship with CMU <ul style="list-style-type: none"> • The responsibilities of CAMT administrative office is to coordinate with administration in staff, financial, accounting, procurement, and academic services 	Knowledge
C_MBNQA 3.7	How to support communities to be strengthened by <ul style="list-style-type: none"> • Supporting tourism community such as Wua Lai community. • Chiang Mai Tourism Association through aligning with CAMT and CMU missions. • Communities in Lam Phun because these communities are under CAMT responsibility such as Jum Kee Nok community and community around Lam Phun industry region. • Providing software for elderly, disabled, disadvantaged people 	Knowledge
Measurement Analysis and Knowledge Management		
G_MBNQA 4.1	Information characters of CAMT are: comprehensiveness, speed, accuracy, modernity, linkages, reliability, the ability to access, the ability to detect, corporations information, security, confidentiality.	Information
R_MBNQA 4.1	Risk in CAMT information <ul style="list-style-type: none"> • Incorrect information or a lack of information • Hiding mistakes in incorrect • The secret of business information was stolen or was loss Information • Mishandling of personal information • Information was damaged • Errors in analysing information 	Information
C_MBNQA 4.1	CAMT Information technology regulations; <ul style="list-style-type: none"> • Leader as a designer • Using information in real management • Aligning with CMU regulations • Using information for management and work • Monitoring departments, financial accounting and quality assurance • Everyone in CAMT has personal computer or notebook • Having a QA meeting twice times a year • Using COSO I / II 	Knowledge
C_MBNQA 4.2	<ul style="list-style-type: none"> • CAMT uses information the same as CMU such as information to assess lecturers and advisors, which use to assess lecturers and adviser • CAMT provides individual information in organisation which are; • CMU regulations of lecturers • Student loan information • Students risks who have low grade and abnormal behavior <ul style="list-style-type: none"> ▪ Store information and align with QA 	Knowledge
C_MBNQA 4.3	CAMT uses monthly CMU financial statement before the 5 th day of month to analyse the cash flow in CAMT administrative meeting	Information
C_MBNQA 4.4	CAMT uses CMU MIS Projects, Information from CMU registration department, QA and financial information to evaluate job assessments (JA) and TOR for paying over workload and disciplinary punishment of CAMT staff	Knowledge

GRC Code	Descriptions	Types
C_MBNQA 4.5	CAMT uses business intelligence on Microsoft Share Point and update information to use information in administrative board and KM committee every month	Knowledge
C_MBNQA 4.6	How to manage CAMT BSC <ul style="list-style-type: none"> • CAMT BSC initiatives must be aligned with QA projects and used to be CMU administrative agreement • To set targets and create initiatives based on the former BSC 	Knowledge
C_MBNQA 4.7	How to manage software and hardware to support and serve CAMT information <ul style="list-style-type: none"> • Using higher for hardware and software • Investment cost should be variable cost • Setting replacement cost as in 10% of CAMT income annually, especially center server • CAMT will use more open source software 	Knowledge
Workforce Focus		
G_MBNQA 5.1	CAMT responsiveness in professional ethics of lecturers to be conscious and accountable of the students' tuition fee	Knowledge
G_MBNQA 5.2	CAMT factors to increase personnel with happiness <ul style="list-style-type: none"> • Administrators <ul style="list-style-type: none"> ▪ Proud to be CAMT employee as their own business • Staff and Lecturers <ul style="list-style-type: none"> ▪ Students, staff and lectures recognized themselves as parts of CMU ▪ Provide stable future for welfare, education, intensive ▪ Getting extra revenue to be able to live with dignity in the society 	Knowledge
R_MBNQA 5.1	Staff and lecturers lack experience	Information
R_MBNQA 5.2	Staff and lecturers have complaints and grievances	Knowledge
C_MBNQA 5.1	How to train new staff to have responsibilities and ethics <ul style="list-style-type: none"> • CAMT sends staff to attend CMU new staff orientation. • CAMT has announced a code of ethics of staff and students • Employment retired lecturers as consultants to teach staff in academic and student service • Employ staff from CMU Office of President to be mentors to teach CAMT staff in academic and student service 	Information
C_MBNQA 5.2	How to develop local workforce to promote themselves in official duties <ul style="list-style-type: none"> • Lecturers: Assign duties to contact with their local organisations such as school or government offices. This method encourages lectures to use their relationship to help their communities with research or academic service • Staff: Assign their jobs to contact with department in CMU, to promote CAMT, and to improve their research and academic service skill in their local communities • Balance between workload and income by using research and academic service and encouraging lecturers to have higher academic position 	Knowledge
C_MBNQA 5.3	How to promote the use of knowledge and new skills <ul style="list-style-type: none"> • Dean will attend CMU activities, then requires staff in CAMT to work before CMU requirements 	Knowledge

GRC Code	Descriptions	Types
	<ul style="list-style-type: none"> • Using team competency model to be self-assessment and setting goal for CAMT head office as the trainee (Using job to train employee) • Using CMU mission to train CAMT administrators • Using KM on share point business intelligence • Using self assessment report (SAR) for training • Using CMU quality guide line • Using CAMT quality manual • Using QA action plans as a guide be work direction • Providing work flow and regulations • Using KPI of OHEC, ONESQA, OPDC, CMU QA • Using the Asian and Global university rank system to measure the position of CAMT 	
C_MBNQA 5.4	<p>How to develop local workforce to promote themselves in official duties</p> <ul style="list-style-type: none"> • Lecturers: Assign duties to contact with their local organisations such as their former schools or government offices in their hometown. This method encourages improve lectures to use their relationship to help their communities with research or academic service • Staff: Assign their jobs to contact with departments in CMU, to promote CAMT, and to improve their research and academic service skill in their local communities • Serve the community to improve the skills of CAMT staff and to win competitiveness in the 8 upper northern provinces, particularly in tourism 	Knowledge
C_MBNQA 5.5	<p>How to develop staff to achieve goal and balance and align with staff needs</p> <ul style="list-style-type: none"> • Executive committees have the authority to allocate funds to solve problems immediately • To assign assistant dean to supervise to supervise policy making, planning, quality assurance and financial (Plan Do Check Act all management process by one administrative person with an objective of training a dean candidate (Objective is traning to be dean) • Using QA to evaluate job description. • College teaching load is one course of the college teaching load is divided into sections and assigned to at least 25 people. 4 people are responsible for one section so that they can replace each other in the same subject. • Using E-learning courses to develop lecturers in planning, teaching and preparing to teach. • The research is used to load Micro Lab work • Each lecturer should publish at least 1 paper per year • QA workload for staff use academic workload • The QA workload for each staff should meet the standard of CMU QA average workload • Using team competency to help each other in group of staff to achieve goals and align with CMU QA, TQA in Category 4 , KM, MIS, personnel scorecard (TQR & JA) and HR Scorecard (Team competency), and risk management 	Knowledge
C_MBNQA 5.6	<p>How to support and give intensive revenue or welfare to CAMT workforce</p>	Knowledge

GRC Code	Descriptions	Types
	<ul style="list-style-type: none"> • Administrators <ul style="list-style-type: none"> ▪ To visit collaborative partners abroad on behalf of CAMT ▪ Funding academic presentations at international conferences abroad ▪ Funding exchange program with partner universities ▪ Funding scholarship to study at the doctoral or post-doctoral degree in CAMT and aboard • Staff and lecturers <ul style="list-style-type: none"> ▪ Providing health insurance ▪ Providing transportation such as van service ▪ Giving scholarship to study higher degree in CAMT (Master, Ph.D.) ▪ Providing CAMT fund for staff loans ▪ Giving scholarship as staff foreign exchange, which is incentive grants to encourage staff to master in Sandwich Program and courses in CAMT • Lecturers and staff are encouraged to get extra revenue from knowledge management innovation center (KIC) • Supporting staff to work over time and study higher degree in CAMT 	
C_MBNQA 5.7	<p>How to evaluate personnel effectiveness of the education and training</p> <ul style="list-style-type: none"> • CAMT assess individual performance every semester • Using human resource (HR) scorecard to improve workforce • CAMT staff and lecturers have to work full time • Using competency-based management to do job description (JD) and job specification (JS) • Using CMU assessment standard to evaluate staff before signing new contacts such as calculating 35 hours as a minimum workload to do TOR and JA (Job Assessment) and paying extra money for minimum overtime workload and to increase salary, bonus and sign new contacts 	Knowledge
<i>Process Management</i>		
G_MBNQA 6.1	CAMT value, culture and branding created based on 4 missions of CMU (Academic, research, academic service and culture preservation), which are under CMU QA processes.	Knowledge
R_MBNQA 6.1	Risk in finance such as low budget	Information
R_MBNQA 6.2	Risk in compliance such as lack of knowledge in law and regulation	Information
C_MBNQA 6.1	<p>How to CAMT actives in Thai governance guidelines.</p> <ul style="list-style-type: none"> • Rule of law: CAMT manages organisation under financial and accounting compliances of CMU, Thai law, research and academic regulations with accountability and transparency. • Ethics: CAMT is professional in academy. There are ethic committees who support ethics and morality along with sufficiency economy for staff assessment. • Transparency: CAMT's strategy, There is CMU revenue committee to manage, assess, and solve problem every month. Also, The management of CAMT was audited and assessed management by Northern government sectors in for financial, account and procurement. Moreover, there is CMU internal audit to assess CAMT. • Participation: CAMT gives a chance for staff at all levels to participate in the management as committees of CAMT in projects 	Knowledge

GRC Code	Descriptions	Types
	<p>and activities.</p> <ul style="list-style-type: none"> • Responsibility: CAMT board has delegated responsibility for the management of all levels. Also, there is a clear term of reference (TOR) with agreement of CAMT staff. CAMT supports all departments to be aware of their functions and responsibilities by giving CAMT staff to report problems or obstacles in performing every month. They can analyse causes of troubleshooting and give solutions in meeting CAMT committee. • Accountability: CAMT has a clearly vision, missions, goals, objectives and strategies. Also, supporting all people in CAMT to be involved in organisation as their ownership of CAMT. CAMT uses coordination, time management, communication and decision techniques in term of reference (TOR) of staff, lecturers and administrators to help to achieve CAMT targets. Moreover, CAMT has backup plan to measure and evaluate staff with BSC and QA in case over expectations happen. • Value for money: CAMT has focused on efficiency in resources such as sharing printer, information sharing on Knowledge Management System (KMS), using KMS conferencing system to save paper. CAMT set campaign to save energy e.g. In order to save electricity, it is encouraged not to use air conditioning in the morning when it is not too hot. 	
C_MBNQA 6.2	<p>How to create, design and implementation CAMT value</p> <ul style="list-style-type: none"> • CAMT complies organisational value within and outside CAMT namely, CAMT quality manual, action plan, work flow, SAR, CMU guide line, CMU quality assurance (QA) and KPIs, regulations from office of higher education commission (OHEC), Office for National education standards and quality assessment (ONESQA), Office of the public sector development commission (OPDC) <p>CAMT categorises the implementation of CAMT value into four sections, namely: Academic</p> <ul style="list-style-type: none"> • Approved by the Cabinet, CAMT set up ICT institutes to provide undergraduate and graduate programs in the upper northern provinces of Thailand, namely: <ul style="list-style-type: none"> ▫ Bachelor's degree; CAMT produces undergraduates students who have characteristic as international knowledge worker ▫ Master's Degree; CAMT improves skill of staff who work in the industry ▫ Ph.D.; CAMT creates new knowledge of industry, namely software, handy craft and tourism. ▫ CAMT designed four Different IT curricula, namely <ul style="list-style-type: none"> ◆ Enterprise Software ◆ Mobile Software ◆ Graphic Software ◆ Embedded Software ▫ Minor subjects in the curriculum <ul style="list-style-type: none"> ◆ The Software engineering (SE) curriculum focuses on designing and developing enterprise software, mobile software, embedded software ◆ The Animation curriculum focuses on graphic software) ◆ The Modern Management curriculum focuses on 	Knowledge

GRC Code	Descriptions	Types
	<p>applying Enterprise software in the industry of estate industry, e-Tourism , e-government</p> <ul style="list-style-type: none"> ◆ KM curriculum focuses on applying IT to solve problems and help with decision making Research ▪ CAMT focuses on Micro lab policy. CAMT uses 5% of budget to develop skill of students in skill of students at all levels through projects and contests ▪ Research topics in CAMT curricula, namely <ul style="list-style-type: none"> ▫ Knowledge management (KM) researches focus on utility, community, government, e-tourism, artificial intelligence (AI) and knowledge engineering, health care, and university research management ▫ Software engineering (SE) researches focus on very small enterprise software, mobile technology, Model-driven architecture ▫ , service-oriented architecture (SOA), multi-agent systems (MAS) ▫ Animation researches focus on culture and creative economy, cognitive science and learning, serious game ▫ Modern management and information technology (MMIT) curriculum focuses on operational management and simulation, competency and workplace learning, information system such as enterprise resource planning (ERP), supply chain management logistic and customer relation management (CRM) • Academic service <ul style="list-style-type: none"> ▪ CAMT set academic services in KM. It aligns with Chiang Mai provincial strategy namely, tourism, handy craft and software, new media studio. • Arts, and culture preservation <ul style="list-style-type: none"> ▪ CAMT develops and maintains relationship with communities both inside and outside CMU, namely CMU arts, and culture preservation activities, Thai national culture, ministry of culture, World intellectual property and intangible culture heritage framework, culture communities in 8 upper northern provinces 	
C_MBNQA 6.3	<p>How to succeed in objectives of business processes</p> <ul style="list-style-type: none"> • Academic <ul style="list-style-type: none"> ▪ Providing academic activities for added academic skill such as pre-college such as summer CAMT to prepare CAMT students with academic skills before formally enter the university in the first year ▪ Using Micro Lab to improve skills of students, contest projects and thesis ▪ Using professional standards software (ISO) 12207/29110/15504/25000/27000/9001: 2008 ▪ Using QA experience to train and coach personnel, HR scorecard, personal scorecard risk management, and knowledge management ▪ Using E-Learning to develop teaching ▪ Setting knowledge management innovation centre • Research <ul style="list-style-type: none"> ▪ Aligning Ph.D. curriculum with research. Students who finish the first-year project must publish at least one international conference paper 	Knowledge

GRC Code	Descriptions	Types												
	<ul style="list-style-type: none"> ▪ Setting a rule for full-time Ph.D students who are required to publish two journals; for part-time students who are required to publish one journal. In the first publication, students should be registered as the first author, followed by co-authors and advisors. In the second publication, the key advisor should be registered as the first author, followed by the students' name and other advisors/ co-authors ▪ Lecturers are required to publish at least one paper per year ▪ Lecturers who study PhD are supported with lighter workload (10 hours/ week) • Academic service <ul style="list-style-type: none"> ▪ Using KM to be best practice for development of excellence in research and academic services ▪ Setting incentive system for lecturers and staff ▪ Sharing CAMT resources with private sectors or co-project or renting resources • Arts and culture preservation <ul style="list-style-type: none"> ▪ Setting PhD groups about culture and knowledge management in culture) 													
C_MBNQA 6.4	<p>How to manage CAMT finance</p> <ul style="list-style-type: none"> • CAMT design three centre to manage CAMT budget; <ul style="list-style-type: none"> ▪ The administrative office is the cost center of CAMT. CAMT will keep low cost in this section because CAMT is self-funded (93%), The main revenue is from students tuition fee. ▪ The academic schools is the quality center of CAMT , which has objectives to produce qualified graduates students. ▪ The KIC is the profit center of CAMT, who earns budget from academic service and consultant to focus on the profitability of existing knowledge and resources and to earn income from research projects and outreach programs with public and private outside agencies. • CAMT controls finance tuition by; <ul style="list-style-type: none"> ▪ 93% self-funding ▪ Controlling fixed cost not over 20% of income ▪ Controlling salary and intensive revenue is not over 30% of income ▪ Separating student tuition fee of CAMT revenue and borrow money from CMU. ▪ Auditing current cash by CMU internal audit and governmental auditor ▪ Separating KIC account and audit by external audit who has authorized by Thai federation of accounting professions. ▪ KIC shares its revenue with CAMT and CMU in a ratio of 30: 20: 50 ▪ Following CMU law and regulations • Knowledge Management and Innovation Center (KIC) is the profit center. There is advanced intensive system with structured model: <table border="0" style="margin-left: 20px; width: 100%;"> <tr> <td>CMU Fee</td> <td style="text-align: right;">3%</td> </tr> <tr> <td>Training in academic service Expense</td> <td style="text-align: right;">10%</td> </tr> <tr> <td>CAMT Fund</td> <td style="text-align: right;">3%</td> </tr> <tr> <td>KIC administrative expense</td> <td style="text-align: right;">10%</td> </tr> <tr> <td>Standard profit</td> <td style="text-align: right;">15%</td> </tr> <tr> <td>Total</td> <td style="text-align: right;">33%</td> </tr> </table> 	CMU Fee	3%	Training in academic service Expense	10%	CAMT Fund	3%	KIC administrative expense	10%	Standard profit	15%	Total	33%	Knowledge
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Training in academic service Expense	10%													
CAMT Fund	3%													
KIC administrative expense	10%													
Standard profit	15%													
Total	33%													

GRC Code	Descriptions	Types
	<p>Research and academic expense 40%</p> <ul style="list-style-type: none"> ▪ Intensive revenue for KIC manager (CAMT staff) should not exceed 30,000 Baht ▪ Intensive revenue for Staff who work in KIC (Extra work) should not exceed 40% of the salary ▪ Intensive money for being consultant 1,200 per hour ▪ KIC will pay 60% to staff who have specific competencies to work in some projects <ul style="list-style-type: none"> • Proportion of expenditure per revenue <ul style="list-style-type: none"> ▪ Standard margin 15% ▪ Total average 5% ▪ CAMT sets three departments, namely cost center, quality center and profit center. ▪ CAMT sets cost 30-35% per departments <p><u>Net Profit</u></p> <p>Revenue 100%</p> <p>Gross Cost 65%</p> <p>Net Cost 95%</p> <p>Net Profit 5%</p> <p>Total Assets 50 million baht</p> <p>Net Profit per year 10 million baht</p> <ul style="list-style-type: none"> • Return on asset <ul style="list-style-type: none"> ▪ CAMT Building costs 60 million baht in total/ totally costs 60 million baht ▪ Equipment totally costs 20 million baht ▪ Budget for integrated software engineering (SE) is totally 80 million baht and SE assets total 60 million baht ▪ Return of asset should be more than 5% per year • Return on investment <ul style="list-style-type: none"> ▪ Investment cost, building and equipment totally cost 78 million baht ▪ Software engineering and animation Totally costs 80 million baht ▪ Modern management information technology totally costs 60 million baht ▪ Return on investment should be more than 4% • Return on capital <ul style="list-style-type: none"> ▪ Government set up CAMT and set aside budget for SE and Animation curriculum ▪ SE total 80 million baht ▪ Animation total 60 million baht ▪ Return on capital should be more than 7% 	
C_MBNQA 6.5	<p>How to share experiences</p> <ul style="list-style-type: none"> • CAMT categorises experiences sharing into 5 levels, namely <ul style="list-style-type: none"> ▪ Level one (Project level): Before finishing projects, CAMT reviews them to improve and prevent error. ▪ Level two (Action plan): CAMT adjusts action plans twice a year to prove all steps in projects) ▪ Level Three (Organisation level): Internal and external audit will audit projects once a year and report SWOT in each category. Also, CAMT compares the reports from auditors with KPIs of SAR and benchmark with QA committees 	Knowledge

GRC Code	Descriptions	Types
	assessment report <ul style="list-style-type: none"> ▪ Level 4 (Balance scorecard): CAMT will adjust internal business process in strategic map of BSC to set new initiative and review every year. Results of reviewing will be used to adjust objectives and develop strategic process. Initiatives use to roll out in every department of CAMT. ▪ Level 5 (International level): CAMT will collaborate with European partner universities in quality management standard (QMS) (ISO 9001 : 2008 Software Profession series 12207 / 15504 / 29110 / 25000 / 27000). CAMT will prove them every year to check and adjust quality check points in academic work flow and research how to teach students to reach international standard. CAMT provides international software profession training for students 	
C_MBNQA 6.6	How to design quality assurance (QA) <ul style="list-style-type: none"> • CAMT designs QA with regulations of OHEC, ONEQA, OPDC, CMU QA, QMS ISO 9001: 2008 in square project for MMIT and software profession ISO series 12207 / 15504 / 29110 / 25000 / 27000, TQA, MBNQA 	Knowledge
C_MBNQA 6.7	How to be an international college <ul style="list-style-type: none"> • CAMT develops language and culture skill with international projects with universities in Europe such as France, UK and Canada 	Knowledge
Results		
G_MBNQA 7.1	Rate of trust, transparency, ethics about; <ul style="list-style-type: none"> • Removal of employees • Admission of student • Exploitation on time, assets, resources and budget • Budget of reception and travel of executive staff • Involvement in the work. • Addiction drug alcohol and gambling • Inappropriate dress • No professional ethics in their work 	Information
G_MBNQA 7.2	To produce international graduated students. CAMT was set up to develop human resource capacity in the upper north and has strategy to support tourism craft industry and industrial software. CAMT's Vision is knowledge "College for Knowledge Workers' Innovation" to develop northern youth to be international knowledge worker as amount one hundred per course. Now CAMT has three undergraduate courses: software engineering, animation and modern management.	Knowledge
C_MBNQA 7.1	Efficiency and effectiveness of CAMT academic management <ul style="list-style-type: none"> • Re-grade students in the same subjects. (Repetition rate) should be less than 100 students per year. • Student who can not pass the first year should not exceed 15% of the total number of the registered students. • The end result (Yield), the total number of the graduate students should be more than 90% of the total number of the registered students • Students get training at an industry standard such as TQS, ISO 29110, ISO 25000, ISO 27000, ISO 9001/2008. • The rate of the students who get unsatisfaction from the partner agencies in the cooperative education program should not exceed 10% of the total number of the program participants • Lecturer per students 1: 12. • Score of Chiang Mai university quality assurance (CMU QA) 	Information

GRC Code	Descriptions	Types
	<p>should be 90%.</p> <ul style="list-style-type: none"> • 100% of CAMT students have been prepared to get into industrial by training professional skills in international, English language programming and project management • Modern management information technology system (MMIT) should have quality management standard (QMS) with square projects. All courses in CAMT should be international programs • Credit transfer to foreign universities with QMS and international standard organisation (ISO) 9001/2008 	
C_MBNQA 7.2	<p>Efficiency and Effectiveness of CAMT academic service</p> <ul style="list-style-type: none"> • Software industry staff should be trained by CAMT over 300 people per year. • Growth rate of money and property donated 5% per year • 50 people (children and elderly people) are expected to benefit from CAMT academic services per year • 150 young students are expected to attend educational programs provided by CAMT academic service per year • Donated computer equipment 10 units per year. • Growth rate of research and technical services is 5% per year 	Information
C_MBNQA 7.3	<p>Efficiency and effectiveness of CAMT preservation of cultural</p> <ul style="list-style-type: none"> • The number of participants of communities in four provinces in the Upper North provinces, namely Chiang Mai, Lam Phun, Lam Pang and Mae Hong Son will get service from CAMT 	Information
C_MBNQA 7.4	<p>Efficiency and effectiveness of stakeholder's satisfactions and expectations</p> <ul style="list-style-type: none"> • Parents of students Whose children have low grades or improper behaviors will get reports from CAMT • Satisfaction of the community should be higher than 50% 	Information
C_MBNQA 7.5	<p>Efficiency and effectiveness of CAMT workforce results</p> <ul style="list-style-type: none"> • Turnover rate of workforce in the first year does not exceed 20% • The passing rate of Trial job in CAMT should be 95%. • Staff vacancy rate of should not be over 1% • The length of training time should be at least 18 hours per year • More than 50% of the staff should receive 3,000 baht scholarship for each person per year • 80% of the lecturers should be PhD • 100% of the staff should have got master's degree • 100% of the CAMT staff should understand their work • 20% of the CAMT staff can solve problems in their jobs • 20% of the CAMT staff can be coaches to other staff • 10% of the CAMT staff can improve their working performances • 5% of the lecturers can be promoted to higher positions • More than 1% of the CAMT staff should be granted scholarship by the Thai research center or the Ministry of Finance • Number of new researchers who can get funding should be five persons per year. • Working satisfaction should be more than 95% • Staff complaints should be decreased less than 2 times per year. • The rate of sick does not exceed three times per year per person • Turnover rate should not exceed over 5% per year. • Absenteeism rate does not exceed one per person per year. • Re-skill of staff in technology for competition 50 persons per year • At least 50% of the staff should attend staff development programs each year 	Information

GRC Code	Descriptions	Types
	<ul style="list-style-type: none"> • 10 people of CAMT should create new knowledge in the travel, craft and software sectors each year 	
C_MBNQA 7.6	Number of complaints from law and regulations <ul style="list-style-type: none"> • Complaints from students about being sexually abused from student activities should not exceed more than five times per year. • Revision number of the audit should not be more than five times per year. • Error work or defect rate, which submitted to office of president, namely planning, financial, student affair division should not excess % of the work submitted. • No psychological services • No infringement of the local community. 	Information
G_MBNQA 7.7	Efficiency and effectiveness of CAMT Financial results <ul style="list-style-type: none"> • The income of CAMT income should increase at least 10% per year • Salary should not exceed 30% of CAMT tuition revenue from student fees. • The budget plan should not be higher or lower than 5% of budget • Budget saving rate should be more than 5% of budget • Proportion of the administrative budget (management cost) should not exceed more than 20% of income • Cost of maintenance of information systems should not exceed more than 5% per year. • Management costs (productivity) should not exceed 20% of income • CAMT should pay 10 million per year back to CMU for the debt of CAMT foundation • 2.5 million loans per year to pay the debt in five years (30% of the amount borrowed money) • Receiving tuition fees from CMU in 4 months per semester • Maintenance information system should be 100% according to plan • Learning and development budget should exceed than 3,000 baht per staff per year 	Information
C_MBNQA 7.8	How to prevent error and failure of result <ul style="list-style-type: none"> • In action plan of each project can integrate check and act steps for assessment. • Using QA to manage budget in project. CAMT will not support projects, which can't get QA KIPs • Using recommendation of QA committees to improve the quality of work • Using recommendations of internal audit to improve the transparency of financial and procurement. 	Knowledge

APPENDIX F
THE UNIVERSAL LIST OF RISKS FROM UNIVERSITY
OF CALIFORNIA BERKELEY CATALOGUE

Table F.1 The Universal List of Risks from University of California Berkeley Catalogue

HAZARD RISKS	
R_B1	Catastrophic natural event (earthquake, fire, etc.)
R_B 2	Domestic terrorism (animal rights activists, eco-terrorists, stem-cell research opponents, etc.)
R_B 3	Facilities and grounds safety
R_B 4	Laboratory safety
R_B 5	Pandemic
FINANCIAL RISKS	
R_B 6	Budget impairment
R_B 7	Conflicts of interest in financial transactions and agreements
R_B 8	Improper governmental activities including fraud, embezzlement, or misuse of university resources
R_B 9	Improper Use of Funds
R_B 10	Ineffective auxiliary management
R_B 11	Insufficient oversight over third-party vendors
R_B 12	Loss of federal/state or private healthcare funding due to quality of health care issues and / or noncompliance with funding source requirements
R_B 13	Non-compliant cost transfers
INFORMATION TECHNOLOGY RISKS	
R_B 14	Decentralization of systems leading to data inconsistencies and fragmentation
R_B 15	Disclosure of confidential information (personally identifying information (PII) or health care info)
R_B 16	Inability to recover from system loss or extended downtime
R_B 17	Lack of comfort with third-party vendor system security
R_B 18	Lack of common data definitions
R_B 19	Obsolescence of systems/technology
R_B 20	Security Breaches, including unauthorized access
R_B 21	Unauthorized/Inappropriate data modification
HUMAN RESOURCES RISKS	
R_B 22	Employee recruitment and retention
R_B 23	Liability (Patents, Property, etc)
R_B 24	Personnel issues or workplace violence
R_B 25	Workers' compensation claims
RESEARCH RISKS	
R_B 26	Inadequate lab processes and practices for the promotion of environmental health and safety
R_B 27	Intellectual property infringement
R_B 28	Research misconduct, such as falsification of data or results, or non-disclosure of research dangers
R_B 29	Threats to safety of researchers
R_B 30	Unethical/unapproved human/animal subject research
COMPLIANCE RISKS	
R_B 31	Agreement terms and conditions not met, but funds used
R_B 32	Assumption of inappropriate liability exposure

R_B 33	Cost sharing procedures are not compliant with government requirements
R_B 34	Effort reports inaccurate, insufficient, or incomplete
R_B 35	Failure to maintain equipment inventories in accordance with grant requirements
R_B 36	Inconsistent application of compliance policies and investigation techniques
R_B 37	Insufficient response to new regulation
R_B 38	Non-compliance with sponsoring agency regulations and agreement terms and conditions
R_B 39	Regulatory fines or penalties
R_B 40	Sub-recipients not managed appropriately
CAMPUS LIFE RISKS	
R_B 41	Acts of Intolerance
R_B 42	General safety and security of students and visitors, on and off campus
R_B 43	Inappropriate athletic recruiting
R_B 44	Sports/public event disturbances
R_B 45	Student mental health
FACILITIES & MAINTENANCE RISKS	
R_B 46	Deferred maintenance
R_B 47	Equipment/facility malfunction
R_B 48	Increase in energy costs
R_B 49	Property Damage/Loss from fire

APPENDIX G

CAMT GRC ON CAMT LEADERSHIP EXPERT

Table G.1 CAMT GRC on CAMT Leadership Expert

GRC Code	Descriptions	Types
<i>Organisational Profile</i>		
G_E 0.1	University should explain the reason of becoming the affiliated universities to be affiliated universities	Knowledge
R_E 0.1	AEC competition	Information
R_E 0.2	Renew assets risk because there is less investment capital. The expense of the salary is too high	Knowledge
C_E 0.1	Universities law	Information
<i>Leadership</i>		
G_E 1.1	The relationship between the leaders and the employees such as Dean should take care appropriate welfares because of low standard salary in CMU, comparing with salary in private sectors. Moreover, Staff welfares in CMU are not difference from private sectors. They use same Thai social security insurance. This results in low working efficiency.	Knowledge
R_E 1.1	Leaders set inappropriate requirement such as leaders cannot balance budgets and reduce expenses or reducing. The investment in capital and marketing	Knowledge
C_E 1.1	Leaders should be a role model in governance such as having more academic workload than other lecturers.	Knowledge
<i>Strategic Planning</i>		
G_E 2.1	Strategic planning should be empowered. e.g. Staff, lecturers and students should be a part of strategic planning	Knowledge
R_E 2.1	Real information should be used, not only in theoretical strategic planning. Leaders should go into the field, e.g. - go to roadshow at school. CAMT needs students from Lam Phun, there are more than 1000 pupils who graduated from Lam Phun province. CAMT should do research about where these students are enrolled. The results can use to plan CAMT strategy to promote CMU campus in Lam Phun where CAMT provides MMIT curriculum.	Information
R_E 2.2	CAMT lacks capital investment.	Information
C_E 2.2	The budget in salary should not exceed 30% of the total budget. CAMT need to apply flexible rather than fixed salary system to attract more professional staff	Information
C_E 2.3	The ratio between number of lecturers and staff should be 3: 1, not the opposite way	Information
<i>Customer Focus</i>		
G_E 3.1	Students should have same academic standards	Information
G_E 3.2	USR should work with communities in person, not only sending theoretical papers: the most important is stakeholder satisfaction	Knowledge
R_E 3.1	CAMT is an international college , but the support to improve English using and learning is insufficient	Knowledge
C_E 3.1	Lecturers don't follow CAMT advisor manual, so when students have problems, lecturers cannot help students: the result is parents have problems and are not satisfied	Knowledge
C_E 3.2	Ph.D. advisors don't have enough time to give advice to Ph.D. students: CAMT earns money from students, advisors should give advice to them	Knowledge

Measurement Analysis and Knowledge Management		
G_E 4.1	KPIs should challenge and measure efficiency and effectiveness more than only process input/output. Should be proud to disclose KPIs and should use KM to manage.	Information
R_E 4.1	No information, wrong or incorrect information, fake information. e.g. replacement cost of computers are approximate 3 years, office instruments 5 years: but there is no management in CAMT	Information
R_E 4.2	Replacement of human resources	Knowledge
C_E 4.1	Effective implementation of human resources	Knowledge
Workforce Focus		
G_E 5.1	Assessment by Dean should set by dean: staff can explain their TOR	Knowledge
G_E 5.2	Professional staff cannot be employed the same as general staff. If CAMT would like to employ, CAMT must explain reasons	Knowledge
R_E 5.1	New staff, high risk	Knowledge
R_E 5.2	Academic risk ,e.g. lecturers correct wrong examination and give wrong grades to students	Information
C_E 5.1	Staff in CAMT must work full office hours (9-5) because they should work on all CMU missions.	Information
Process Management		
G_E 6.1	CAMT uses QA as a major standard to manage CAMT. If staff cannot pass QA, they should be punished	Information
R_E 6.1	Lecturers can't develop their work. They should use the latest teaching methods because things change rapidly. A lot of lecturers use the same methods.	Knowledge
C_E 6.1	Follow financial regulations: Lecturers cannot avoid regulations. Use budget for students and should see how much value students can receive value from budget.	Information
Results		
G_E 7.1	CAMT should show the results/ how CAMT uses the budget because CAMT receives less government budget and earns revenue from tuition fees from the tuition fee paid by the parents	Information
G_E 7.2	Education business should invest in staff, lecturers and students	Knowledge
R_E 7.1	CAMT shows the result of the net profit Which can be described in a formula as the net profit= inflation rate- depreciation - interest 3-5%	Information
R_E 7.2	Open new resources, e.g. CAMT receives scholarships from Europe	Knowledge
R_E 7.3	Academic services should find new blue ocean and align with big picture of CAMT	Knowledge
C_E7.1	Business gain: should measure with intellectual capital rather than business gain	Knowledge

APPENDIX H
STRUCTURAL KNOWLEDGE MAP FOR GOVERNANCE, RISK
MANAGEMENT AND COMPLIANCE ON MBNQA IN THAI
PUBLIC AFFILIATED UNIVERSITIES

Table H.1 Description of Structural Knowledge Map for Governance, Risk Management and Compliance on MBNQA in Thai Public Affiliated Universities

Governance Code	Descriptions	Types	Sources
Organisational Profile			
G_G1 More autonomy in Thai Affiliated Universities	In the future, more autonomy is expected in Thailand's public affiliated universities (Kirtikara, 2002; Liefner and Schiller, 2008) along with a further shift from civil service guidelines to create governance guidelines suited to individual organisations. While there may be a continued move away from the civil service legacy, external audit will naturally become more important for Thai public affiliated universities and thus there is a strong need to link governance with issues of compliance.	Knowledge	G_A
Leadership			
G_G2 Responsibility for Governance	Responsibility for governance in Thai public affiliated universities is dependent on the individual organisation, with two models representing either a strong presidential style of leadership, or a strong university council/board. This also impacts the communication of governance information across the university and who is responsible for governance within the organisation. For example, with a strong president, the responsibility for governance may lie with one individual (the president), but if there is a model of leadership with a strong council or board, then members of that council or board may take responsibility for individual aspects of the key governance pillars (finance, workforce, academic)	Knowledge	G_C
Strategic Planning			
G_G3 Internationalisation for Strategic Planning	Issues of governance must also be aligned with the forthcoming ASEAN Economic Community in 2015, which should be seen as an internationalisation tool for Thai universities, but again requires appropriate governance to ensure that public affiliated universities respond appropriately to the AEC 2015.	Knowledge	G_A
G_G4 Continuous Improvement of Governance	Governance is promoted throughout public affiliated universities via a variety of methods specific to the individual institution, but the common focus should be on continuous improvement throughout the organisation.	Knowledge	G_P

Customer Focus			
G_G5 Academic Governance	Academic governance affects to students and parents.	Information	G_O
Measurement Analysis and Knowledge Management			
G_G6 Dialogue Communication for Governance	In terms of dialogue and communication within Thai public affiliated universities, board meetings and official management meetings are often formal, structural and functional as opposed to encouraging open dialogue and free communication regarding governance. Governance is not diffused across the whole organisation within Thai public affiliated universities and there is a need to encourage communication and consideration of governance issues though dialogue rather than structural or functional systems. All parties within the organisation should be encouraged to communicate without the boundaries of specifically defined roles, and this should be considered in creating the integrated GRC model. In terms of setting an appropriate organisational tone for GRC, dialogue and communication should be encouraged through the organisation; something which knowledge management could be leveraged to provide.	Knowledge	G_C G_O
G_G7 Measurement Governance	Internal measures to control governance within the Thai public affiliated universities consist of auditing and key performance indicators (KPIs). However, it is argued that there are currently too many auditing and KPI processes and a focus on quantitative data with a lack of consideration for qualitative indicators.	Knowledge	G_R
G_G8 Auditing Governance	Governance is currently monitored through KPIs and audits. KPIs are often argued as being too quantitative and easily manipulated to hide the true performance of an organisation (Dixon et al., 1990). There should also be a focus on qualitative aspects of evaluating governance and an inclusion of peer assessment.	Knowledge	G_M
Workforce Focus			
G_G9 Workforce Governance	Workforce governance issue is internal governance in Thai higher education.	Information	G_C
Process Management			
G_G10 Legacy Aspects of Governance	In the past, Thailand's public affiliated universities tended to copy existing and legacy aspects of governance rather than rethinking governance and responding to the needs of Thailand's higher education.	Information	G_C
G_G11 Components of Governance	Governance in Thai higher education has two main parts, consisting of internal and external university governance. In terms of internal governance, there are three main pillars consisting of finance, workforce and academic governance issues.	Information	G_C
G_G12 Traditional Public Universities	While the Thai public affiliated universities are organised and managed differently to traditional public universities, the distinction is less clear than in the past. The main difference between public and affiliated public universities is now in terms of financial control and autonomy. Financial	Knowledge	G_C

Governance Code	Descriptions	Types	Sources
	governance is thus especially important to Thai public affiliated universities		
G_G13 Thai University Governance	Thai public affiliated universities are not required to follow governmental controls and can create their own individual acts and control mechanisms, but often emulate existing governmental guidelines and regulations, which can sometimes constrain the university in its development. While the affiliated universities must be accountable to the external governance requirements set by the Thai Ministry of Education.	Knowledge	G_O
G_G14 Aligning governance	Aligning governance to issues of risk is challenging, as many types of risk exist, but any risk other than finance is inherently difficult to quantify. As such, risk other than finance is often overlooked or not assessed.	Knowledge	G_A
G_G 15 Governance Weakness	Governance weaknesses should be detected through effective management of the higher education institution, and currently this depends on the strength of the organisation's management. Both internal and external auditing serves as methods to detect and discern undesirable organisation in the organisation	Knowledge	G_D
Results			
G_G 16 Appropriated Knowledge for Governance	When using governance to inform the organisation and provide information related to decision-making, there should be a balance between qualitative and quantitative aspects in order to achieve appropriate understanding and collect appropriate knowledge.	Knowledge	G_I
G_G 17 Achieve Effective Governance	To achieve effective governance and make appropriate organisational decisions requires an understanding of risks, yet higher education institutions in Thailand currently focus predominantly on financial risk, as it is easily quantifiable. However, there is significantly less focus on the more intangible, less quantifiable aspects of risk.	Knowledge	G_I
Risk Management Code	Descriptions	Types	Sources
Organisational Profile			
R_R1 The AEC 2015	The AEC 2015 is one of the key factors currently affecting risk management. This represents risk brought about from increased staff and student mobility and a free flow of academic services.	Information	R_A
Leadership			
R_R2 Risk Responsibilities	Risk management is considered by executive management (e.g. the university council). Thai public affiliated universities, risk committees are responsible for identifying and analysing risk, but risk should be the responsibility of everyone with a higher education organisation (COSO, 2004).	Information	R_O
R_R3 Risk Committee	Risk committee is set by the university president and approved by the university council.	Information	
Strategic Planning			

Governance Code	Descriptions	Types	Sources
R_R4 Key Objective of Risk	The key objectives of risk management within Thai public affiliated universities are to ensure that people, process and technology are risk aware and are empowered to respond appropriately to risks.	Knowledge	R_C
Customer Focus			
R_R5 Customer and Stakeholders	Students, parents, Staff, internal and external organisations, communities, Employer of graduated students are customer and stakeholders who are affected on universities' risk.	Information	R_C
Measurement Analysis and Knowledge Management			
R_R6 COSO ERM and COBIT; Frameworks for Managing risk	The tools used as a framework to manage risk are also used to monitor and check the effectiveness of risk management. The methods of disseminating risk information are through meetings, traditional documentation and the management information system. Risk management in Thai public affiliated universities which is currently based on COSO ERM, but should more toward a COBIT framework for risk management, as COBIT reflects risk from an increasingly important IT perspective. Thai public universities act upon risk information.	Information	R_M R_I
Workforce Focus			
R_R7 Staff and Risk Culture	Thai public autonomous universities represent a new organisational structure, but significant risk exists from the legacy culture and civil service mentality of the major of staff.	Knowledge	R_C
Process Management			
R_R8 Risk Components	In context of Thai higher education, risk can be defined as events, which are unexpected, but destroy or affect goals. Risk can be separated into five components of risk which affect the public affiliated universities (academic, staff, financial, assets and It risks)	Information	R_C
R_R9 Cultural Risk in Thai Public Affiliated Universities	Risk management is therefore particularly important for Thai public affiliated universities as they face significant challenges and opportunities risks, but with a constraining legacy culture, may not have the capability to appropriately respond to these risks.	Knowledge	R_O
R_R10 Legacy in Risk	The Thai universities' risk committee is a legacy structure from the Thai MOE, and was established in traditional public universities.	Knowledge	R_O
R_R11 Individual Risk Management	Risk is currently assessed using individual risk management processes across the public affiliated universities and their individual departments and faculties.	Knowledge	R_D
R_R12 Standard Framework for Managing Risk	There is no standard framework for managing risk within the public autonomous universities of Thailand, an appropriate risk management framework is a mandatory requirement of the National Education Act, 1999 (MOE, 2008) and its amendments in 2002. External audits from the Office for National Education Standards and Quality Assessment aim to ensure that an appropriate risk management strategy is followed. They are focusing	Knowledge	R_R

Governance Code	Descriptions	Types	Sources
	on lacking indicators, which show past risks rather than preparing for future risks.		
R_R13 Risk Requirement and Method	Risk management requirements are recorded and distributed throughout the organisation via a variety of methods including: risk management manual, regular risk meeting, risk committee and audit, department/faculty risk management committee, risk management through appropriated quality assurance measures	Knowledge	R_O
R_R14 QA, the main mechanism for ensuring effective risk management in Thai public affiliated universities	The main mechanism for ensuring effective risk management in Thai public affiliated universities comes from quality assurance (QA).	Knowledge	R_P
Results			
R_R15 Risk Response	In comparison to traditional public universities, risk management is arguably more important to the public affiliated universities. This is because with more autonomy comes more risk, and in terms of budget, there is a requirement to earn income as well as receiving governmental support. This constitutes a risk to the public autonomous universities, as without earning appropriate income, the sustainability of the university will be affected.	Knowledge	R_O R_R
Compliance Code	Description	Types	Sources
Organisational Profile			
C_C1 University Compliances	<p>Compliance should be the responsibility of everyone in the university, though more specifically, compliance is categorised according to who is responsible for each part. This illustrates the complexity of compliance issues within the public affiliated universities and the need for an effective model to manage compliance, but more importantly link it to the other important aspects of managing and creating a sustainable higher education institution (governance and risk management).</p> <ul style="list-style-type: none"> • The government has a compliance role to play in designing, enacting and updating the public affiliated university laws, while These components must also be linked to the government category to ensure university level compliance does not conflict with the external compliance (law) set by the Thai government. • The university president must leverage compliance to effectively manage the organisation. • The university council or management board must design, enact and update compliance in four components: academic, financial, assets and staff. 	Knowledge	C_O

Governance Code	Descriptions	Types	Sources
Leadership			
C_C2 Administrative task and compliance	Compliance is seen mainly as an administrative task, with some departments and faculties being more efficient than others in meeting compliance requirements and promoting compliance in the organisation.	Knowledge	C_P
Strategic Planning			
C_C3 Strategic Planning for University Compliance	The AEC 2015 presents interesting challenges and potential changes for compliance in Thai public affiliated universities. The AEC is likely to require new compliance mandates from the Thai MOE, particularly related to language such as English. There are also likely to be compliance related issues arising from the increased student mobility and potential standardization of education across the ASEAN region. This again corroborates the need to produce an integrated GRC model, which allows universities to effectively understand and respond to the challenges and opportunities presented by the AEC.	Knowledge	C_A
Customer Focus			
C_C4 Customer involvement and Compliance	In terms of compliance responsibility and involvement, all individuals within a university have a role to play. This is because: <ul style="list-style-type: none"> • The university council must develop, set out and enact issues of compliance. • Staff and students use, and are under control of compliance • Compliance can change rapidly and requires continuous assessment to ensure it is suited to the organisations' needs 	Knowledge	C_C C_O
C_C5 Stakeholder's needs and Compliances	By following compliance in terms of general law, specific educational law and university regulations, the organisation can achieve effective governance. This highlights the importance of the integration of G, R, and C to create a synergistic model, which is able to leverage each aspect related to governance, risk and compliance to build a sustainable organisation that meets the needs of its stakeholders.	Knowledge	C_C
C_C6 Customers affect with University Compliance	Students in Thai higher education are not likely to protest against issues of compliance and in line with the Thai culture, will accept compliance as mandated by anyone in power (e.g. the university council). Conversely, at the request of those in power (e.g. university president, university council), students will often join in protesting against issues of compliance. For example, students at Khonkaen University joined university management and other stakeholders to protest against the proposed transformation to become a public affiliated university (Khonkaen University, 2012).	Knowledge	C_A
Measurement Analysis and Knowledge Management			
C_C7 University Compliance Vs.	Compliance in Thailand's public affiliated universities should have clear objectives and clear	Knowledge	C_C

Governance Code	Descriptions	Types	Sources
Measurement	meaning so issues of compliance can be fully understood by stakeholders. Compliance should also enable the university to be flexible in responding to change, facilitate effective management and should promote the development of the university in a rapidly changing global economy and education system.		
C_C8 How to Check University Compliance	Compliance under Thai law is checked via internal and external audits, and measured by people with a direct interest in the outcome of such audits.	Knowledge	C_R C_M
Workforce Focus			
C_C9 Staff Compliance	Staff within public affiliated universities must also meet compliance needs in their day-to-day work. They use, and are under control of compliance.	Information	C_O
Process Management			
C_C10 Cultural Compliance	Compliance is important for Thai public affiliated universities to ensure that people within the organisation follow the same rules, and that disparate parties and stakeholders within the university conduct the university's business in the same way. Traditional public universities have a more rigid structure in terms of their compliance, with public affiliated universities commanding more flexibility. In principle, the concept of compliance in Thai public affiliated universities compares to international universities and higher education systems, but in reality, as with governance, there are issues related to the legacy civil service culture. This has contributed to bureaucracy and sometimes increased aspects of compliance beyond that required in a traditional public university. An integrated GRC model for the affiliated public universities of Thailand must therefore encompass appropriate compliance issues, while minimizing aspects associated with a bureaucratic legacy culture. Thai public affiliated universities have often retained existing legacy compliance structures and have not developed innovative compliance guidance to meet the challenges facing Thai higher education	Knowledge	C_C C_O
C_C11 Component of Compliance	Compliance in Thai higher education consists of two key components: law, and regulations. There are four compliance components important to Thai public affiliated universities, which are academic, financial, personnel/staff and assets.	Information	C_C
C_C12 Relationship of Compliance VS. Governance and Risk Management	As with governance, risk forms a key part of compliance and again corroborates the need for an integrated GRC model for Thai public affiliated universities. Too many compliance issues can slow the organisation down and contribute to risk, while a lack of compliance can also lead to risk in terms of not providing enough guidance to the organisation. While the affiliated universities are more autonomous than their traditional public counterparts, they still earn a significant proportion of their budget from the government and must	Knowledge	C_A

Governance Code	Descriptions	Types	Sources
	closely follow Thai law and MOE mandates. The relationship between governance and compliance is also an important one, with the need for effective governance in order to ensure compliance is achievable. For example, without effective governance, any mandated compliance will create high risks. This supports the notion of an integrated GRC model and verifies the literature, which suggests GRC should be considered in an integrated and holistic way as opposed to individual piecemeal components. Compliance in Thai universities is also inextricably linked to Thai culture and thus culture has significant impacts on compliance		
C_C13 Compliance Management	Rewards, management and incentives to promote compliance and effectively meet the requirements of any compliance issues are highly dependent on individual departments and their administrative design.	Knowledge	C_P
C_C14 Integrated Compliance	Information related to compliance is recorded mainly through paper-based documents, but some data is uploaded and stored electronically. Issues of compliance are stored and recorded according to the main responsibilities and sections of compliance, which are: <ul style="list-style-type: none"> • Finance • Staff • Academic • General 	Knowledge	C_I
Results			
C_C15 The result there is a need to create a new culture and framework for compliance	Compliance in Thai public affiliated universities is still heavily based on the Thai governmental culture, and is slow and inflexible. As a result there is a need to create a new culture and framework for compliance, which could be instigated through the proposed GRC model. The methods to identify and respond to issues of compliance are based on detection within individual departments and a reporting system up the chain of command to the public affiliated university council. A relevant and integrated GRC model should attempt to minimise issues of compliance and focus on creating a proactive rather than reactive culture.	Knowledge	C_D

APPENDIX I

THE GRC COMPONENTS OF THE CAMT GRC MODEL

Table I.1 The CAMT GRC Model

GRC Code	Descriptions	Sources
<i>Organisational Profile</i>		
G0.1	To be affiliated universities	G_E 0.1
G0.2	Be strong in governance and alignment with Thai governance rule	G_MBNQA 0.1
R0.1	The AEC 2015	G_E0.1, R_MBNQA 0.1
R0.2	Low renew assets	R_E 0.2
C0.1	University law, compliances and regulations	C_E 0.1, C_MBNQA 0.1
<i>Leadership</i>		
G1.1	Good relationship of leaders and staff	G_E 1.1
G1.2	Responsibility and accountability of Leaders	G_MBNQA 1.1,
G1.3	Strong ethic	G_MBNQA 1.2
R1.1	Inappropriate requirement	R_E 1.1
R1.2	Transparency and accountability in management	R_MBNQA 1.1
R1.3	Experience of CAMT administrators.	R_MBNQA 1.2
R1.4	UCB risk of leadership	R_B 10-11
C1.1	Leadership compliance	C_MBNQA 1.1-1.3
<i>Strategic Planning</i>		
G2.1	Empowerment strategy	G_E 2.1
G2.2	To be assistances by helping stakeholders	G_MBNQA 2.1
R2.1	Lacks of capital investment	R_E 2.2
R2.2	COSO Risk	R_E 2.1, R_MBNQA 2.1-2.4
C2.1	Salary budget	C_E 2.2
C2.2	Ratio of lecturers to staff	C_E 2.3
C2.3	Setting CAMT strategy	C_MBNQA 2.1
C2.4	Transferring action plans to achieve strategic goals and key strategies.	C_MBNQA 2.2
C2.5	Achieving in strategic human resources master plan and action plans	C_MBNQA 2.3
<i>Customer Focus</i>		
G3.1	Students should have same academic standards.	G_E 3.1
G3.2	USR should work with communities in person	G_E 3.2
G3.3	Student's benefit and quality.	G_MBNQA 3.1
G3.4	Relationships with stakeholders	G_MBNQA 3.2
G3.5	Requirements and expectations of stakeholders	G_MBNQA 3.3
R3.1	Risk of quality students	R_E 3.1, R_MBNQA 3.1
R3.2	Risk of stakeholder requirements and expectations	R_MBNQA 3.2
R3.3	UCB risk of customer	R_B 41-45
C3.1	Customers and stakeholders compliances	C_E 3.1-3.2, C_MBNQA 3.1-3.7
<i>Measurement Analysis and Knowledge Management</i>		
G4.1	Challenge KPIs	G_E 4.1
G4.2	Information characters of CAMT	G_MBNQA 4.1

GRC Code	Descriptions	Sources
R4.1	No information, or incorrect information	R_E 4.1
R4.2	Replacement of human resources.	R_E 4.2
R4.3	Risk in CAMT information	R_MBNQA 4.1
R4.4	UCB risk	R_B 18,R_B 34, R_B 35 , R_B 36
C4.1	Effective implementation of human resources.	C_E 4.1
C4.2	Relevant Compliance	C_MBNQA 4.1-4.7
<i>Workforce Focus</i>		
G5.1	Assessment by Dean	G_E 5.1
G5.2	Professional staff	G_E 5.2
G5.3	Professional ethics	G_MBNQA 5.1
G5.4	Personnel with happiness	G_MBNQA 5.2
R5.1	New staff, high risk	R_E 5.1
R5.2	Unreverse Risk	R_E 5.2
R5.3	Lack of experience	R_MBNQA 5.1
R5.4	Complaints and grievances	R_MBNQA 5.2
R5.5	UCB risk of workforce	R_B 22, R_B 23, R_B 24 , R_B 25
C5.1	Full office hours	C_E 5.1
C5.2	Developing staff of faculty	C_MBNQA 5.1-5.7
<i>Process Management</i>		
G6.1	QA as major standard	G_E 6.1
G6.2	Value, culture and branding created base on 4 missions of CMU.	G_MBNQA 6.1
R6.1	Developing work.	R_E 6.1
R6.2	Financial risk	R_MBNQA 6.1
R6.3	Compliance risk	R_MBNQA 6.2
R6.4	UCB risk of process management	R_B1-9, 12-17,19-21, 26-33, 37-40, 46-49
C6.1	Financial regulations	C_E 6.1
C6.2	Quality process management	C_MBNQA 6.1-6.7
<i>Results</i>		
G7.1	Faculty budget	G_E 7.1
G7.2	Education business	G_E 7.2
G7.3	Rate of trust, transparency, ethics	G_MBNQA 7.1
G7.4	To produce international graduated students.	G_MBNQA 7.2
R7.1	Result of net profit	R_E 7.1
R7.2	Open new resources	R_E 7.2
R7.3	New blue ocean	R_E 7.3
C7.1	Business gain	C_E 7.1
C7.2	Efficiency and effectiveness results	C_MBNQA 7.1-7.8

APPENDIX J

GENERALISATION AND EVALUATION THE FACULTY GRC MODEL

Table J1 Generalisation and Evaluation The Faculty GRC Model

Expert I: Code: GE_A	
Governance	<ul style="list-style-type: none"> • Vision of leaders • How to set BSC; balance between financial and customer • Financial supports customer such as student having more quality domitory. Now students having in old domitory. Parents will be happy to know that their children are stay in good domitory • Comparing with famous university both in Thailand and international. Students fee having higher than CMU, but poor students can learn in university <ul style="list-style-type: none"> ○ Poor but being smart students can every university (Some famous university invite them) ○ Poor students can learn in local universities where are lower students fee than famous universities
Risk Management	<ul style="list-style-type: none"> • Now most of government buget paid for salary • Less budget for new technology and equipments • Using faculty budget to support (% research, academic service, and part time curriculums) • Students who lack of money will receive scholarships • How to manage risk from student fee; providing risk managemnt program <ul style="list-style-type: none"> ○ Long term; providing information to parents ○ Providing scholarship ○ Advance nnnounment ○ Analyse information such as student's family revenue status (% of students who can pay for new rate of student fee, % of student who can not pay, % of scholarship) ○ Then announce to students and give information to parents who can not support new rating of student fee, having standard grade can receive scholarship
Compliance	Student fee: accual cost per unit higher than current student fee
Expert I: Code: Code: GE_N	
Governance	<ul style="list-style-type: none"> • Reflecting fact student fee for stakeholder's needs
Risk Management	<ul style="list-style-type: none"> • To be affiliated university less support budget from government • Providing accounting and management information; current costing compare compettors and market costing • Providing value added to student or graduated students • Faculty focuses facilities, activities to compettion • Faculty should recieve clear policy in advance about incresing student fee than giving information to students and parents • Faculty can giving information to students on roadshow to school • When they are student in faculty, Administrator can giving information in meeting parents. • Faculty must provide new technology and computers to students because when students graduated. Employer needs them to having technology skill. There are costs such as programe have licence per year, staff who mainatance and controlling and computers in laboratory.
Compliance	<ul style="list-style-type: none"> • To reflect accual costing; now costing is higher is not reflect fact • Student qaulity costing frome policy from government such as more facilities for students, increasing students, lecturers must graduated Ph.D, recruit smart

	<p>staff and lecturers (More smart more salary)</p> <ul style="list-style-type: none"> • University should give clear information and alignment with information for faculty • Announcement to increase student fee as same time in every faculty • Student fee from full time students must lower than past time student because there is funding from government to support
Expert III: Code: Code: GE_ W	
Governance	<ul style="list-style-type: none"> • Student fee arrange by costing (different curriculum different rate such as amount of lecturer per students, equipments and technology, international program, international lecturers)
Risk Management	<ul style="list-style-type: none"> • Being affiliated faculty • less funding support from government • Self funding so less student fee can not manage and develop organisation • To develop organisation must use more funding • Nature of Thai people. Parents will not satisfy to pay more money for student fee. • Providing information to stakeholders such as comparing with others famous universities in Thailand • Preparing good communication
Compliance	<ul style="list-style-type: none"> • Providing scholarship • Providing past time job in faculty
Expert IV: Code: Code: GE_ C	
Governance	<ul style="list-style-type: none"> • Basic principle of curriculum such as technology faculty must invest in technology equipments which change every years. • Investment in equipment on students benefit
Risk Management	<ul style="list-style-type: none"> • Academic management such as teaching expense to other lecturers outside faculty because CMU is multi disciplinary. Students must study with main faculty. • High rotation of IT equipments and program licenses
Compliance	<ul style="list-style-type: none"> • Policy of OHEC is university must give academic opportunity to students. University can not reject student because of lack of student fee • There are student loan for students • Student who can not receive student loan. They can receive scholarship or working past time job

APENDIX K

College of Arts, Media and Technology Risk Analysis

How likely are the following to occur?

1. No Information or Incorrect Information = CAMT does not have enough information or information input is wrong so staff can not work well

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Hiding Mistakes in incorrect Information = Staff do something wrong, but they try to hide it. They do not want other people or management to know and punish them

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Cheating / Dishonest Behaviour = Staff cheating CAMT out of money/ stolen or use their power to force other people to do the wrong thing or do not have ability in their position

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Loss of Secret of Business Information = Competitors know business information and can win in bids

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Mishandling of Personal Information = Salary, increasing salary/ intensive or personnel passwords are discussed with others – no provacy

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Damage to Information = Documents are damaged by thieves, fire, computer viruses

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Errors in Analyzing Information = Staff analyzed wrong information or do not use information correctly

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. Lack of Knowledge in Law, Regulation and Compliance = New staff do not understand law/ regulation and compliance

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

9. Management Sets Wrong Strategy = Management/ CAMT administration set incorrect strategy without update new situation or set weak strategy / low vision, mission

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Staff Lack Necessary Knowledge and Experience = Staff jobs do not match with their ability, staff do not have enough training or they have a lot of responsibility

1	2	3	4	5	6	7
Could never happen	Could happen, but very unlikely	Unlikely	Neither likely or Unlikely (Neutral)	Likely	Highly likely	Definitely
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Thank you

What would be the impact of the following if they happened?

1. No Information or Incorrect Information = CAMT does not have enough information or information input is wrong so staff can not work well

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2. Hiding Mistakes in incorrect Information = Staff do something wrong, but they try to hide it. They do not want other people or management to know and punish them

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3. Cheating / Dishonest Behaviour = Staff cheating CAMT out of money/ stolen or use their power to force other people to do the wrong thing or do not have ability in their position

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4. Loss of Secret of Business Information = Competitors know business information and can win in bids

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5. Mishandling of Personal Information = Salary, increasing salary/ intensive or personnel passwords are discussed with others – no provacy

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. Damage to Information = Documents are damaged by thieves, fire, computer viruses

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

7. Errors in Analyzing Information = Staff analyzed wrong information or do not use information correctly

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

8. Lack of Knowledge in Law, Regulation and Compliance = New staff do not understand law/ regulation and compliance

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

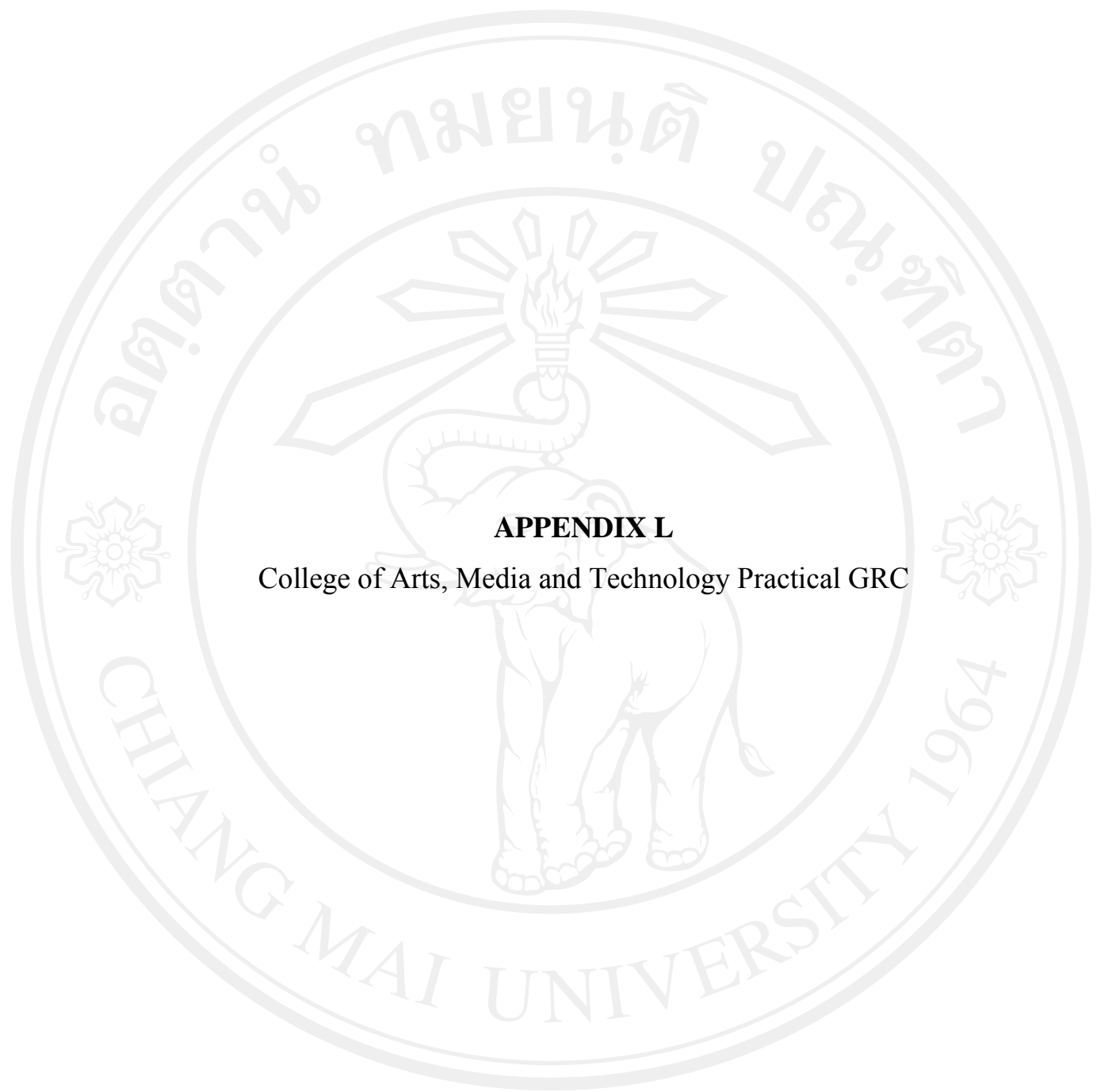
9. Management Sets Wrong Strategy = Management/ CAMT administration set incorrect strategy without update new situation or set weak strategy / low vision, mission

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

10. Staff Lack Necessary Knowledge and Experience = Staff jobs do not match with their ability, staff do not have enough training or they have a lot of responsibility

1	2	3	4	5
No impact at all	Some impact, but small	Moderate impact	Significant impact	Highly significant impact
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Thank you



APPENDIX L

College of Arts, Media and Technology Practical GRC

ลิขสิทธิ์มหาวิทยาลัยเชียงใหม่

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Table L.1: CAMT SIPOC Model

CAMT SIPOC Model

Supplier	Inputs	Process	Outputs	Customers
<ul style="list-style-type: none"> • Student from eight provinces in the northern Thailand • Lecturers from the partner universities of the international projects e.g. Erasmus Mundus • Staff who want to pursue a master's degree 	<ul style="list-style-type: none"> • CAMT students • Budget • International Projects • Lecturers • Staff 	<p>Academic</p> <ul style="list-style-type: none"> • Providing five categories of student activities namely <ul style="list-style-type: none"> ○ Academic activities ○ Sports and healthy activities ○ Community service ○ Recreation ○ Arts and culture preservation • Training CAMT students to meet the CMU graduation standard • Providing software professions • To use customer social responsibility (CSR) as social responsibility such as using information technology to teach disabled children and monks. • To align with CMU law by providing scholarships to students who lack student tuition fee by employing students to work in CAMT such as library or CAMT projects <p>Academic Service</p> <ul style="list-style-type: none"> • Supporting tourism community such as Wua Lai community. • Chiang Mai Tourism Association through aligning with CAMT and CMU missions. • Communities in Lam Phun because these communities are under CAMT responsibility such as 	<ul style="list-style-type: none"> • Graduate Students • Publication • Tuition fee • Revenue from academic service • Quality Assurance 	<ul style="list-style-type: none"> ▪ Students ▪ Communities in 4 upper northern provinces: Chiang Mai, Lam Phun, Lam Phang and Mae Hong Sorn ▪ Business and industry sectors who collaborating with universities in the cooperative education programs ▪ Employers of CAMT graduated students ▪ The Office of the Higher Education Commission of Thailand ▪ CMU ▪ The government who funded CAMT ▪ Other faculties who provide teaching service to CAMT students ▪ Foreign universities for academic

		<p>Jum Kee Nok community and community around Lam Phun industry region.</p> <ul style="list-style-type: none"> • Providing software for elderly, disabled, disadvantaged people <p>Management</p> <ul style="list-style-type: none"> • Using QA to <ul style="list-style-type: none"> ▪ Design business processes ▪ Train personnel as business process ▪ Develop of business processes to better with Plan do check act (PDCA) ▪ Control budget with Performance-based management ▪ Assess work load of CAMT staff ▪ CAMT will reject projects, which do not align with CAMT QA • Using E-learning to; <ul style="list-style-type: none"> ▪ Retrieve the teaching content of each subject ▪ In case any lecturers need to stop teaching (i.e. Pursue higher degree or attend training programs), e-learning can help other lecturers to replace the vacancy ▪ Setting E-learning Franchise with other institutions that are teaching IT To share or exchange knowledge. ▪ Using e-learning as a measurement to evaluate lecturers' workload for lecturers who start to create E-learning. ▪ Setting The maintenance of e-learning content as one-hour workload of lecturers ▪ Lecturer can use E-learning to get higher academic position. • Using Micro Lab <ul style="list-style-type: none"> ▪ Improve technology skill of bachelor students to work in industry 	<ul style="list-style-type: none"> ▪ Oversea partner universities who collaborate with CAMT CAMT staff ▪ CAMT parents ▪ Visitors ▪ Communities are colleges such as the faculty of Economics, CMU library
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		<ul style="list-style-type: none"> ▪ To support students to do in project and research independent study and thesis ▪ To be a model as a future laboratory ▪ To set 5% of income for Micro Lab ▪ To encourage lectures to study PhD and attract them to continue working when they graduate ▪ CAMT is excellence in KM. CAMT should maintain KM as the best practice and show KM to customers. ▪ To store knowledge of Ph.D. student and assess qualification ▪ To learn and work in KMS ▪ To use KMS in staff and board meetings • CAMT will set ISO standard for professional software skill such as ISO series 15504/12207/29110/25000/27000 to be unique academic competitiveness when comparing curriculum with the program of computer science and computer engineering. Also, CAMT use ISO to increase opportunity of work for graduates students. • CAMT provides ISO standard to students as; <ul style="list-style-type: none"> ▪ A requirement of students who will graduate from CAMT ▪ A quality management ▪ A research method of how to integrate with standard ISO 9001/2008 29110 25000 27000 • Using BSC to adjust CAMT Strategy • Linking research with academic services • Having 80 percent of Ph.D. lecturers by; <ul style="list-style-type: none"> ▪ Giving full time Ph.D scholarship. ▪ Sandwich program with European university ▪ E-link Scholars with European university ▪ E-link project with European university ▪ CMU scholars • Having higher academic position of lecturers 		
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		<p>through by;</p> <ul style="list-style-type: none"> ▪ Using E-Learning to encourage lecturers to have higher academic position ▪ Provide post-doctorate program with E-link scholars ▪ Providing scholarship to students to work in e-learning project <ul style="list-style-type: none"> • Supporting master degree staff to be consultants via by; <ul style="list-style-type: none"> ▪ Providing a scholarship to study master degree in CAMT by working with CAMT projects ▪ The ratio of staff and lecturers should be 3: 1 	
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Table L2: CAMT GRC on MBNQA

MBNQA and GRC Categories	Governance	Risk Management	Compliance
Organisational Profile	<ul style="list-style-type: none"> University should explain the reason of becoming the affiliated universities to be affiliated universities 	<ul style="list-style-type: none"> AEC competition Renew assets risk because there is less investment capital. The expense of the salary is too high 	Universities law
Leadership	<ul style="list-style-type: none"> The relationship between the leaders and the employees such as Dean should take care appropriate welfares because of low standard salary in CMU, comparing with salary in private sectors. Moreover, Staff welfares in CMU are not difference from private sectors. They use same Thai social security insurance. This results in low working efficiency. 	<ul style="list-style-type: none"> Leaders set inappropriate requirement such as leaders cannot balance budgets and reduce expenses or reducing. The investment in capital and marketing 	Leaders should be a role model in governance such as having more academic workload than other lecturers.
Strategic Planning	<ul style="list-style-type: none"> Strategic planning should be empowered. e.g. Staff, lecturers and students should be a part of strategic planning 	<ul style="list-style-type: none"> Real information should be used, not only in theoretical strategic planning. Leaders should go into the field, e.g. - go to roadshow at school. CAMT needs students from Lam Phun, there are more than 1000 pupils who graduated from Lam Phun province. CAMT should do research about where these students are enrolled. The results can use to plan CAMT strategy to promote CMU campus in Lam Phun where CAMT provides MMIT curriculum. CAMT lacks capital investment. 	<ul style="list-style-type: none"> The budget in salary should not exceed 30% of the total budget. CAMT need to apply flexible rather than fixed salary system to attract more professional staff The ratio between number of lecturers and staff should be 3: 1, not the opposite way
Customer Focus	<ul style="list-style-type: none"> Students should have same academic standards USR should work with communities in person, not only sending theoretical papers: the most important is stakeholder satisfaction 	<ul style="list-style-type: none"> CAMT is an international college, but the support to improve English using and learning is insufficient 	<ul style="list-style-type: none"> Lecturers don't follow CAMT advisor manual, so when students have problems, lecturers cannot help students: the result is parents have problems and are not satisfied

			<ul style="list-style-type: none"> Ph.D. advisors don't have enough time to give advice to Ph.D. students: CAMT earns money from students, advisors should give advice to them
Measurement Analysis and Knowledge Management	<ul style="list-style-type: none"> KPIs should challenge and measure efficiency and effectiveness more than only process input/output. Should be proud to disclose KPIs and should use KM to manage. 	<ul style="list-style-type: none"> No information, wrong or incorrect information, fake information. e.g. replacement cost of computers are approximate 3 years, office instruments 5 years: but there is no management in CAMT Replacement of human resources 	Effective implementation of human resources
Workforce Focus	<ul style="list-style-type: none"> Assessment by Dean should set by dean: staff can explain their TOR Professional staff cannot be employed the same as general staff. If CAMT would like to employ, CAMT must explain reasons 	<ul style="list-style-type: none"> New staff, high risk Academic risk ,e.g. lecturers correct wrong examination and give wrong grades to students 	Staff in CAMT must work full office hours (9-5) because they should work on all CMU missions
Process Management	<ul style="list-style-type: none"> CAMT uses QA as a major standard to manage CAMT. If staff cannot pass QA, they should be punished 	<ul style="list-style-type: none"> Lecturers can't develop their work. They should use the latest teaching methods because things change rapidly. A lot of lecturers use the same methods. 	Follow financial regulations: Lecturers cannot avoid regulations. Use budget for students and should see how much value students can receive value from budget.
Results	<ul style="list-style-type: none"> CAMT should show the results/ how CAMT uses the budget because CAMT receives less government budget and earns revenue from tuition fees from the tuition fee paid by the parents Education business should invest in staff, lecturers and students 	<ul style="list-style-type: none"> CAMT shows the result of the net profit Which can be described in a formula as the net profit= inflation rate- depreciation - interest 3-5% Open new resources, e.g. CAMT receives scholarships from Europe Academic services should find new blue ocean and align with big picture of CAMT 	Business gain: should measure with intellectual capital rather than business gain

Table L3: GRC from University Experts

Governance	Risk Management	Compliance
<ul style="list-style-type: none"> • University Councils have responsibilities to set up organisational objectives to meet the expectation of the stakeholders • Staff governance is to provide every one with good welfare and opportunities in order to improve their competencies • Assets governance: earning the maximum with the limited resources • Investment governance: Investing in human resources (Students, lecturers, staff) • Academic governance: the budget is used to improve the quality of the students in the research and competitions. 	<ul style="list-style-type: none"> • Organisational Risk: The AEC 2015 • Financial risk: balancing the revenue and expenses • Strategic risk: plan with accurate information • Compliance risk: the university needs to balance its expenses with limited staff and budget • Information risk: such as lacking data or information, wrong information, fake information • Workforce risk such as defensive routine • Academic risk: a need to find new resources 	<ul style="list-style-type: none"> • Following university law • Leadership should be a role model, e.g. the teaching load of the leader should be the same as the lecturers' • Revise regulations or compliances which do not align with objectives such as to revise the ratio of the lecturer and staff to be 3: 1 instead of 1:3 • Lecturers should understand the lecture manual • Working full time from 9 am. to 5 pm. to fulfill all the missions of the university • Following financial and procurement regulations • Assessing work load with both business gain and intellectual capital

CURRICULUM VITAE

Name Ms. Paipan Thanalerdsopit
Date of Birth May 31st, 1975
Educational Background

2000	M.Acc., Master's Degree in Accounting, Chiang Mai University, University, Chiang Mai, Thailand. <i>Independent Study: "Performance Analysis of Select Convenience Store in Muang District Chiang Mai Province During 1996-1999"</i>
1998	B.B.A., Bachelor's Degree in Business Administration (Accounting), Chiang Mai University, Chiang Mai, Thailand.
1994	High School (Science-Math), Chiang Mai University Demonstration School, Chiang Mai, Thailand.

Carrier Achievement (1997 – Present)

Present College of Integrated Science and Technology, Rajamangala University of Technology Lanna, Chiang Mai, Thailand, Position : *Lecturer*

2007 The Office of Internal Audit, Rajamangala University of Technology Lanna, Chiang Mai, Thailand, Position: *Head of Internal Audit Office*

2002 – 2007 Chiang Mai Rajabat University, Chiang Mai, Thailand, Position: *Accounting Part time Lecturer*, Subject: *Accounting 1, Cost Accounting 1, Internal Audit, Managerial Accounting, Accounting System*

Maejo University, Chiang Mai, Thailand, Position: *Accounting Part Time Lecturer*, Subject : *Accounting 1*

- 2002 Department of Development in Financial Management System, Office of Finance, Chiang Mai University, Chiang Mai, Thailand, Position: *Accountant*
- 1998 Office of President, Chiang Mai University, Chiang Mai, Thailand, Position: *Secretary of Vice President*
- 1997 Kamtheng Anusorn School, Position: *Lecturer*

Publications (2010 – Present)

International Journal

Thanalerdsopit, P., Meksamoot, K., Chakpitak, N., Yodmongkol, P., and Jengjarern, A., "The ASEAN Economic Community 2015: A Case Study of Challenges in Thai Higher Education," *International Journal of Management in Education (IJMIE)*, 22 pages, in press.

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Research

- 2009 Research Scholarship from the National Research Council of Thailand National Research Council of Thailand, Title: " The Government Internal Audit : Past , Present and Future", Position : *Head of Research Project*
- 2008 from the shipolarhResearch ScNational Research Council of Thailand National Research Council of Thailand, Title: " Performance of Accounting on the Generally Accepted Accounting Principle for the Accountant of the Village Fund on Case: Moo Rai Dong Phung T.Kluwmung A.Sarapee Chiang Mai", Position: *Head of Research Project*
- 2008 Research Scholarship for New Researcher from Rajamangala University of Technology Lanna, Title: “Readiness of Rajamangala University Technology Lanna for the System of Budget , Storage , Finance and Fund Accounting by Using a Three Dimensional Basis”, Position : *Head of Research Project*
- 2008 Research Scholarship for Class Room Research from Rajamangala University of Technology Lanna, Title: “Knowledge Management of Accounting and Computer Information Technology for the System of Computer Information Technology Student, Faculty of Business Administration and Liberal Art , Northern Campus Chiangmai Area Rajamangkala University of Technology”, Position: *Head of Research Project*