



Mahidol University

Wisdom of the Land

Code of Good Governance

Mahidol University



Motto

Do unto others as you would have
others do unto you.

Philosophy

True success is not in the learning,
but in its application to the benefit of mankind.

Code of Good Governance Acknowledgement

I acknowledge that I have received and carefully read the

Mahidol University Code of Good Governance.

Furthermore, I understand and accept all of my obligations and responsibilities as outlined in the given code of Good Governance

as my working principle.

Signature

(.....)

Position Faculty / College / Institute

Date



Mahidol University

Message from the President of Mahidol University Council

Mahidol University is a large organization that provides a variety of services to the public which affect both Thai society and the economy. Therefore, it is crucial that Mahidol University is administered morally and ethically, and also with transparency and integrity in its day to day operations and developments in order to enhance the efficiency and quality of all our services.

As the President of Mahidol University Council, I am honored that the University follows the Code of Good Governance, and have prepared this manual as an instrument to convey the principles and practices to all levels of Mahidol University personnel.

Therefore, I would like all University personnel, either working in the capacity of employee or as a committee member, to comply with this Code of Good Governance. I believe that this practice will bring great benefits to you, and strengthen the credibility and sustainability of Mahidol University in long run.

Professor Emeritus Dr. Kasem Wattanachai
President of Mahidol University Council

Wisdom of the Land



Mahidol University Announcement Mahidol University Code of Good Governance

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Mahidol University is determined to become a world-class university.

As such, the university prioritizes the importance of efficiency and integrity within the administration, in accordance with the Code of Good Governance; which consists of the Rule of Law, Ethics, Transparency, Participation, Accountability, and Utility. This Code aims to convey the objectives, policies, principles, and expectations of the University to Mahidol University Council, the Faculty Council, administrators and personnel, as well as stakeholders. The Code of Good Governance is to be implemented as a guideline for efficient administration and operations, and shall be appropriately revised bi-annually.

In order to show commitment, Mahidol University personnel at all levels are requested to sign their names to acknowledge they have read the code; and to uphold the University's policies and principles of good governance from December 1st, 2016.

Dated December 1st, 2016

A handwritten signature in black ink, appearing to read "อุดม คำจันทร์" (Udom Kachintorn).

(Clin. Prof. Udom Kachintorn)
President of Mahidol University



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General Provisions

Vision

Mahidol University is determined to be a World Class University.

Mission

To excel in health, the sciences, the arts and innovation with integrity for the betterment of Thai society and the benefit of mankind.

Organizational Culture



M : Mastery Master profound and logical knowledge; conduct oneself with readiness, intelligence, vision and self-improvement

A : Altruism Be altruistic for the benefit of others; attend to the interests of the public and the organization, have a sense of social responsibility, and prioritize those we are serving

H : Harmony Be harmonious; respect and appreciate colleagues, be united in solidarity, and considerate of others

I : Integrity Show integrity; keep one's word, concern oneself with evidence-based working processes, and adhere to moral and ethical principles

D: Determination Be determined and decisive; have faith in one's duties, build value and demonstrate perseverance

O : Originality Foster originality; excel and distinguish oneself by creating innovations for the future

L : Leadership Exercise leadership; be calm, firm and steadfast, show vision for the future, and possess the power of persuasion

STRATEGIES

Mahidol University's strategic plan for 2016-2019 is as follows:

Strategy 1

Excellence in research that has a global and social impact

- Produce research of an international-standard and develop new knowledge and innovations to serve the needs of society.

Strategy 2

Excellence in outcome-based education for globally-competent graduates

- Outcome-Based Education: Create international-standard curricula that focuses on student learning outcomes.
- Transformative Leader: Develop graduates with knowledge, skills, morals, ethics, and leadership skills for the betterment of society and the country.
- Student/Alumni Engagement: Build bonds and foster pride in Mahidol students and alumni for furthering the University's advancement.

Strategy 3

Excellence in professional services and social engagement

- Enhance excellence in academic services that meet international standards and strive for quality of life improvement, particularly health in the areas of health and well-being.

Strategy 4

Excellence in management for sustainable organization

- | | |
|---|-------------------------------|
| - Finance | - Talented Workforce |
| - Environment | - Administration & Governance |
| - Branding | - IT Infrastructure |
| - Develop supportive departments towards sustainable management, and ensure that they conform with the Eco University guidelines; covering the areas of human resources, finance and accounting, information technology, communications, and international quality development standards. | |

Good Governance

What is “good governance” ?

Good governance is a governing, administrating, managing, and supervising principle based on a code of morals and ethics. It also means good administration which can be applied to both the private and public sectors.

The Office of the Civil Service Commission defines the 6 principles of good governance in the Regulations of the Office of the Prime Minister as follows:

Rule of Laws

Rules and regulations are up-to-date, fair, impartial and prudent. Their enforcement and putting into effect is objective and efficient; which comprises of decentralization, human rights protection, empowerment and freedom with no sanctions.

Ethics

Honesty, diligence, and disciplined. An organization must be free from corruption, misconduct and wrongdoings. It must be ethical and follow the code of Conduct.

Transparency

Access to information is appropriate and traceable.

Participation

Stakeholders or connected persons are kept equally informed, participate and are involved in decision making. This also includes the communication of information.

Accountability

Awareness of duties; a sense of responsibility to the organization; attention and enthusiasm in resolutions; acceptance and respect for different opinions; daring to enforce the law; accepting one's actions and open to be audited.

Utility

Administration conducted in such a way as to bring about the best achievement of the government's vision; which is efficient, cost effective, as well as reducing working procedures, and an official performance assessment adopted.

Why do we need “Good Governance”

To create harmonious work within the organization.

1

To build confidence, reliability and trustworthiness from both inside and outside the organization.

2

To motivate well-behaved and engaged personnel

3

To enhance competitive advantage and build upon the learning processes and initiatives

4

To support operational decisions of the University on the basis of ethics

5

Mahidol and the Code of Good Governance

To fulfill its objectives and missions, Mahidol University upholds the following Code of Good Governance:



Equality in Education



Academic Freedom



Code of Ethics and Morality



Transparency and Responsibility for the Public and Society



Effectiveness and Efficiency within the Administration

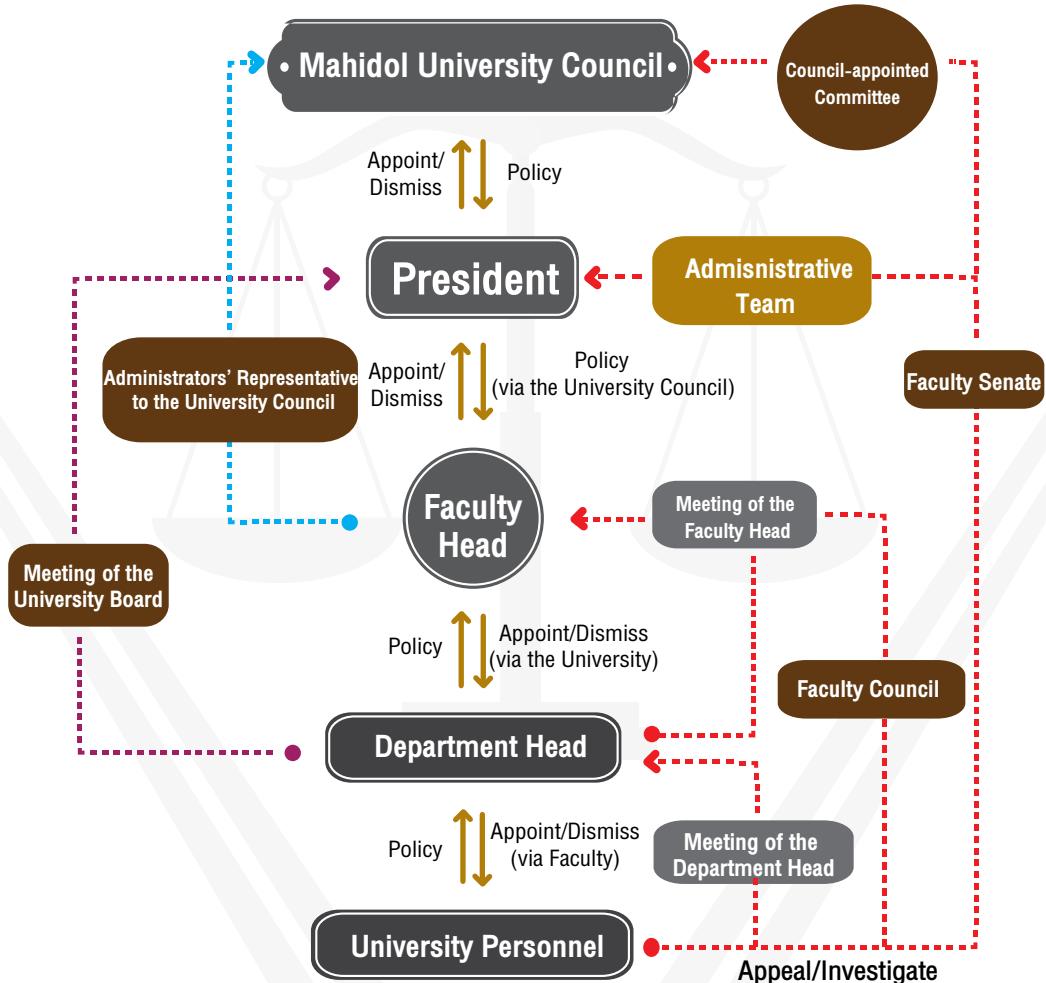


Administration with the full Participation of Personnel

Mahidol University and the Code of Good Governance

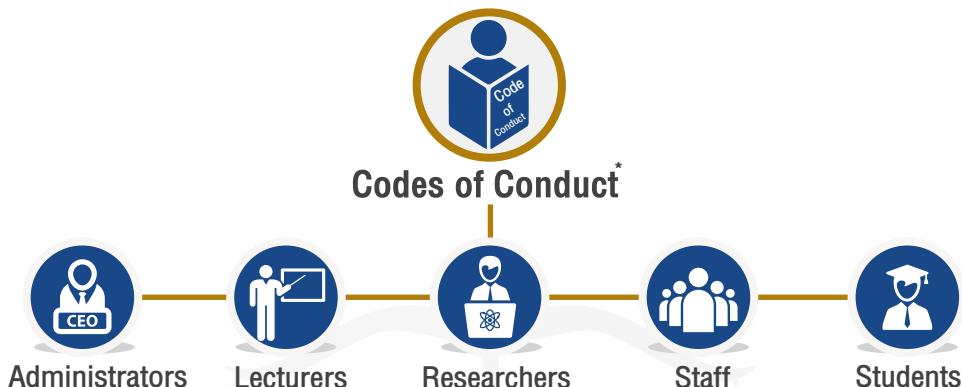
Mahidol University defines **8** principles of administration following the Code of Good Governance as follows:

1 Checks and Balances of the organizational structure



2 Codes of Conduct for University personnel

With a diverse group of personnel and stakeholders, Mahidol University has set the codes of conduct as follows:



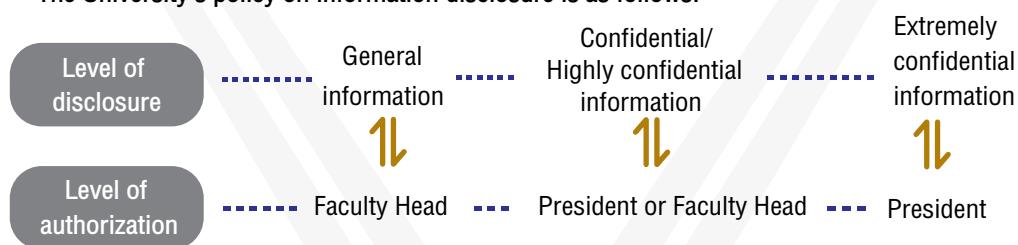
* Details for each group are in Part 4 of the Code of Good Governance.

3 Systematic, Impartial and Non-discriminatory Information Disclosure Policies

The University's procedures in dealing with government information is as follows:

- 1 **Official information** is handled in compliance with the principle of disclosure (with concealment as an exception) to allow appropriate and fair public access to information, whilst maintaining its legal obligations.
- 2 **Personal information in possession of the University** is regarded as confidential. The owner of the information has the right of access and can change it with a valid reason and in situations of necessity.

The University's policy on information disclosure is as follows:



Transparent Procurement Policies:

Mahidol University is committed to transparent procurement policies. All vendors and contractors will be treated with honesty, transparency, and fairly. The University code of Conduct and regulations should be applied to procurement requests, the selection of vendors/service providers, and termination of contracts for the benefit of both the University and the vendors/service providers.

Clear Anti-corruption policy:



Corruption

Relevant announcements on anti-corruption have been released in accordance with the University's belief that the principles of **"honesty, transparency, impartiality, and verifiability"** will lead the University to its sustainable development goals.

Determination of Academic Freedom:



=



Freedom

+



Responsibility

Academic freedom is important for the achievement of the University's vision: by which

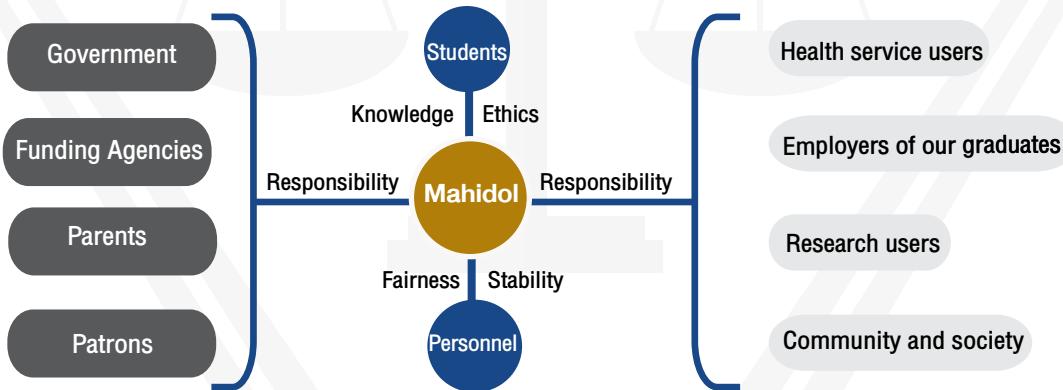
1. Promotion of academic freedom which includes freedom of speech, searching for research funding agencies, creative presentations as well as being allowed to give speeches, and write articles as an academic without prohibition or disciplinary restrictions.
2. Academic responsibility includes (1) Searching for and stating facts to progress and maintain academic potential. (2) Respecting different opinions, sharing new knowledge and discoveries with peers, and to review, examine, promote and protect academic integrity. (3) Suggesting appropriate solutions to strengthen the security of our society, country and other nations as well as promoting academic output based on the concept of social responsibility.

7 Upholding Morality and Ethics, and Social Responsibility:



University personnel must execute their duties in accordance with the laws, regulations, and policies of the University. They should also maintain morality and ethics, social and political impartiality, and use their body of knowledge to guide society.

8 The University's roles upon the stakeholders:



The University is committed to producing graduates with knowledge, skills, quality, ethics, and the ability to be good citizens who are considerate of the University's stakeholders; namely, the government, personnel, students and parents, employers of our graduates, health service users, research users, academic service users, funding agencies, partners, patrons, as well as the community and society.

Ethics and Disciplinary Procedures

1 Complaints/Appeals

1.1 Definition



Complaint

Mahidol University personnel and non-personnel have the right to file a complaint, regarding the misconduct of any University personnel.



Appeal

Mahidol University personnel have the right to report a grievance against the conduct of their superiors. The appeal will be processed in accordance with the University's terms and conditions.

1.2 Complaint procedures



Step 1
Complaint submitted by personnel or non-personnel of Mahidol University.



Step 2
Complaint delegate conducts a confidential investigation.



Step 3
The subject of the complaint provides adequate facts and explanations.



Step 4
Supervisor reviews the complaint, reaches a solution and informs the involved parties.

1.3 Appeal procedures



Step 1
Appellant files an appeal letter within the given timeframe.



Step 2
Supervisor mediates a solution between the involved parties.



Step 3
The appeal committee proceeds according to the rules and regulations.



Step 4
The committee submits the resolution to Mahidol University Council to reach a final decision.



Step 5
Mahidol University Council issue an official letter for the administration to proceed upon.

2 Ethics and Disciplinary Penalty

The ethical penalty scheme of the University includes 3 steps:



1. Warning



2. Rectification executed
within the given timeframe



3. Probation

When any step is taken, a record must be kept in the staff or student's registry file.

When an accusation of ethical misconduct is made, the University will appoint an

“Ethical Misconduct Consideration Committee”

to inquire whether an accusation is a misconduct in the areas of **ethics** or **discipline**. The committee procedures allows the accused person to clarify and testify themselves. The committee also has a right to access, review and copy the evidence and related documents.

Disciplinary penalty scheme of the University includes 4 steps:



1. Probation



2. Salary Reduction



3. Salary Increase suspension



4. Dismissal

For Mahidol University, serious offenses in disciplinary misconduct will result in dismissal only.

Part 4

Codes of Conduct and Other Related Policies

University

- 1 Mahidol University Announcement on Anti-Corruption Policy B.E. 2559 (2016)
- 2 Mahidol University Announcement on Official Document Disclosure B.E. 2559 (2016)
- 3 Mahidol University Announcement on Mahidol University Conflicts of Interest B.E. 2559 (2016)
- 4 Mahidol University Announcement on Whistleblower Protection Policy B.E. 2559 (2016)

Administrators

- 5 Mahidol University Announcement on Codes of Ethics for Mahidol University Administrators B.E. 2559 (2016)

Faculty Members

- 6 Codes of Ethics for Faculty Members according to the Professional Ethics Handbook for Faculty Members B.E. 2551 (2008)

Personnel and Students

- 7 Codes of Ethics for Personnel and Students according to the Mahidol University Rules and Regulations on Codes of Ethics for Personnel and Students and Ethical Procedures and Revision B.E. 2552 (2009)

Researchers

- 8 The Protection and Promotion of Thai Traditional Medicine Intelligence Act B.E.2542 (1999)
- 9 Plant Protection Act B.E.2542 (1999)
- 10 Pathogen and Animal Toxin Act B.E.2558 (2015)

Researchers (conc.)

- 11 Animal Research Act B.E.2558 (2015)
Committee of Conservation and Sustainable Use of Biodiversity Procedure on Ground Rules for Accessing and Benefitting from Biological Resources B.E.2554 (2011)
- 13 Mahidol University Regulations on Managing Research Funds B.E.2551 (2008)
National Research Council of Thailand's Announcement on Standard for the Care and Use of Laboratory Animals B.E.2555 (2012)
- 15 Cartagena Protocol on Biosafety to the convention on biological diversity B.E.2543 (2000)
Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from their Utilization to the Convention on Biological Diversity B.E. 2557 (2014)
- 17 Biosafety Guidelines B.E.2555 (2012)
Biosafety Guidelines for Work Related to Modern Biotechnology or Genetic Engineering B.E.2556 (2013)
- 19 National Ethics Committee Accreditation System in Thailand (National Research Council of Thailand)
- 20 Codes of Conduct for researchers and National Research Council of Thailand Guidelines B.E.2554 (2011)

Working Committee

Mahidol University's Good Governance Steering Committee

1. Vice President for Finance and Planning	Advisor
2. Vice President for Human Resources	Advisor
3. Vice President for Quality Development	Advisor
4. Vice President for Administration	Chairperson
5. Director, Division of Finance	Committee member
6. Director, Risk Management Center	Committee member
7. Director, Division of Legal Affairs	Committee member
8. Director, Research Management and Development Division	Committee member
9. Director, Division of Personnel	Committee member
10. Director, Internal Audit Center	Committee member and Secretary
11. Mrs. Natta Sawatdaeng, Legal Officer	Assistant to the Secretary

Co-editors

1. Director, Division of Legal Affairs
2. Director, Internal Audit Center

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3. Miss Paveena Lavansiri Director, Division of Planning



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