

[MAHIDOL UNIVERSITY EMBLEM]

Mahidol University Regulation
on Research Grant Administration
B.E. 2560 (A.D. 2017)
.....

Whereas, it is expedient to amend the University's Research Grant administration system to be consistent with the promotion of making quality research, and the research project grant administration funded by domestic and abroad shall be efficient, flexible, transparent, controllable and verifiable, and can provide for developing the more excellent research of the University.

Be it, therefore, under the power in accordance with the Statement of Section 24(2) of Mahidol University Act B.E. 2550 (A.D. 2007), and the 515th meeting of the Mahidol University Council on December 21, 2016, enacted the Regulations as follows;

Article 1 This regulation shall be called “Mahidol University Regulation on Research Grant Administration B.E. 2560 (A.D. 2017)”

Article 2 This regulation shall come into force from the day following the date of its announcement.

Article 3 This regulation shall be applied to the research grant administration which is received from the government fund allocated to the University, the university's income, the department's revenue and the external source of fund with both domestic and overseas, except received from source of fund that has an agreement with the University in a manner of contract research agreement according to the objective of that source of fund.

Article 4 Mahidol University Regulation on Research Grant Administration B.E. 2551 (A.D. 2008) shall be abrogated.

Article 5 In this regulation:

“University” means Mahidol University.

“University Council” means Mahidol University Council.

“Department” means Departments established by Mahidol University Announcement.

“Head of the Department” means Head of the Department established by Mahidol University Notification, and also includes the Vice President assigned by the President to supervise the Campus and the person assigned by the Department Head.

“Research Administration Unit” means the existing or established units of the University or the Department shall be assigned to administer the research grant of the University or the department. It may be a single unit or collaboration of units.

“Financial Department ” means a Department of the Research Administration Unit that the University or the Department has entrusted finance and accounting of research project.

“Evidence of Receipt and Payment” means evidences indicated receipt or payment, which are receipts, evidence of bank receipt, evidence of transferring money into the bank account, delivery slip or other evidences required by the University.

“The Research Project Leader” means workers in the University or person who are invited, assigned or funded by the University in order to perform the research of the University as a project administrator.

Article 6 The research grant administration has the following objectives:

(1) For conducting the research grant administration of the University to be flexible, effective, transparent, controllable and verifiable.

(2) For determining guidelines for the research grant administration that facilitate the research promotion.

(3) For the University, the Department and source of fund can audit the research expenditure, and follow up the progress and the achievement of the research project pursuant to the objectives of the research project and the research agreement.

(4) For the University and the Department have the systematic data of research grant administration in order to analyze and make the research development plan of the University.

Article 7 There are 4 types of research grant as follows:

(1) Research grant from the government budget means research grants allocated by the government.

(2) Research grant from the university’s revenue means the university’s revenue is approved by the University Council for the research grant.

(3) Research grant from the department’s income means the department’s income is approved by the Department Committee and the University Council for research grant.

(4) Research grant from external source of fund means the research grant is received from

(4.1) Domestic fund

(4.2) Overseas fund

(4.3) Donations from non-profit foundation or association

It shall not include external source of fund that hire the University or university personnel to conduct a research or academic services.

Article 8 The preparation for research grant budget pursuant to Article 7 shall be conducted in accordance with Mahidol University Regulation on Budget and Financial Management as follows:

(1) Research grant from the government budget; the researcher shall submit a research project proposal to propose a budget, subject to the University's form prescribed in the notification of the University. It shall be approved by the Department in order to propose to the University to prepare the research grant budget from the government budget, and then submit to the National Research Council or any other agencies assigned by the Cabinet to examine. When the government budget has been approved, the University shall allocate that government budget to the research project grant.

(2) Research grant from the University's revenue; the University shall prepare the research grant budget from the University's revenue.

(3) Research grant from the Department's income; the Department shall prepare the research grant budget from the Department's income.

(4) Research grant from the external source of fund; the Department and the University shall prepare the research grant budget from the external source of fund of the Department and the University respectively.

Article 9 The University and the Department shall assign the Research Management Unit to administer the University's and the Department's research grant, as the case may be, with the following duties:

(1) To receive and pay the research grants.

(2) To control and audit the research grant expenditure.

(3) To prepare the income and expense account of the research project including the tax operation precisely and accurately.

(4) To maintain all the documentary evidences of disbursement to inspect for no less than 10 years.

(5) Others as assigned by the University and the Head of the Department.

Article 10 The University and the Department shall open a bank account to collect the research grants that the University and the Department have been received. The account shall be opened in the name "The Research Grant of(the Department's name)....., Mahidol University" with the assignment of at least two authorized persons to co-sign the payment.

Article 11 The allocation of the research grant pursuant to Article 7 (1), (2) and (3) shall be conducted as follows:

(1) The University and the Department shall issue the notifications, the rules, the conditions and the procedure for the proposal and the allocation of the research grant.

(2) The University and the Department shall transfer the allocated research grant to each of the research project by transferring into the bank account pursuant to Article 10. If the research grant managed by the Department shall be transferred to the Department's research grant account. And if the research grant of the collaborative research project between the Departments managed by the University shall be transferred to the University's research grant account.

In cases it is necessary or beneficial to the University or the Department, for example; there shall be transferred money to other researchers. It may be proceed before the transfer of the remaining research grants of (1) or (2) which shall has prior approval of the President, or the Vice President, or the Head of Department and the account must be recorded properly.

Article 12 The Financial Department shall transfer the money received from the University and the Department to each of the research project within the amount of research grants, subject to the rules as prescribed by the University and the Department. The rules of the disbursement of research grant shall be issued as a notification of the University or the Department by considering of the agility of research administration, the objectives of the research project and the financial risks.

Article 13 The procedure of research grants administration pursuant to Article 7 (1) (2) and (3) shall be conducted as follows:

(1) The Department shall assign the Research Administration Unit or may assign the Research Project Leader, if requested, to administer the research grant. Such administration shall be pursuant to these Regulations.

(2) In order to administer the research grant flexibly, the Research Project Leader may borrow the money to disburse on research and deposit received money by opening a bank account under the name “The Research Project of B.E.” with the assignment of the authorized persons not less than two thirds to co-sign the payment. To open the aforementioned bank account, the Research Project Leader shall process through Head of Department or with the University's consent letter.

If each of the allocated money of a research project does not exceed the financial amount which the President can approve and is issued as the notification of the University, the Research Project Leader may request the approval of the Head of Department for not opening a bank account.

(3) The research grant shall be disbursed in accordance with the objectives, the expenditure categories of the research project budget and the grant agreement. For any remunerations or salaries, the University shall collect the amount of such remunerations or salaries, then transfer this amount to the Pay Roll System of the University or the Department with precisely withholding tax for sending to the Revenue Department. The remunerations for third person shall be transferred through the financial system or the lending system of the University or the Department.

(4) The rate of salaries, remunerations and utilities shall be subject to the Notification of the University. In case an employed person of the project, not the worker in University, is hired with the Research Project budget, the original affiliation of the Department of the Research Project Leader or the University, as the case may be, shall make an order for employment with clearly defining the duration of the employment from the begin to the end of the research project.

(5) Material cost and ordinary expenses not prescribed in (4), shall be paid as actual expenses pursuant to the approved budget and be complied with Mahidol University Regulation on procurement.

(6) Procurement of equipment shall be made in accordance with the budget item approved by the source of fund. The Head of Department or the authorized person has the authority to approve within the financial amount and the received budget item. The procurement shall be proceeded with pricing agreement method, selection method, special case method or other methods approved by the President and issued as notification of the University. Such procurement shall compare prices, features and qualities to acquire good quality equipment, reasonable price and worthiness of usability. Any remaining balance from the procurement shall be managed as specified by the source of fund.

The Research Project Leader shall coordinate with internal and external relevant person pursuant to the procedure and the procurement process including the registration of the equipment to the Department after the acceptance of such equipment. The Research Project Leader shall be entitled to use and have its duties to supervise and maintain that equipment. The Supply Unit of the University or the Department shall operate the transfer, the distribution and the depreciation calculation in the accounting system throughout the lifespan of such equipment items for annual inventory inspection according to the relevant regulations.

At the end of the research project, the Head of Department to whom the Research Project Leader is subordinate, shall assign a certain unit of the Department, that intends to use the equipment, to supervise and maintain such equipment.

(7) In case it is necessary to modify the list of expenditure approved by the source of fund, it can be modified for the benefits of the research project process without reducing the significant objectives of the research project. In order to modify the items of the same or different expenditure budget not exceeded the financial amount approved by the President and issue as notification of the University, the Research Project Leader shall request for the Head of Department's approval. But the modification of the said budget exceeded of such amount shall be requested to the President or the assigned Vice President for approval.

Article 14 The granted research project pursuant to Article 7 (4) shall be conducted as follows:

(1) For applying for fund, the Research Project Leader shall submit the research project proposal through the hierarchical supervisors for receiving the approval from the President or the person assigned by the President.

(2) The President or the assigned Vice President shall sign the grant agreement. In case the President mandates the Department Head to sign the grant agreement as case by case, the Research Project Leader must submit the grant agreement to the University for examination prior to signing.

(3) The source of fund shall transfer the research grant to the University's revenue. The Research Project Leader is not allowed to receive the grant directly from the source of fund.

If there is case that the source of fund transfers the research grant to the Research Project Leader directly, the Research Project Leader shall transfer such grant to the University instantly for further allocation.

(4) The research development fees of the University or the Department which shall be collected from the research project grant of the external source of fund for the University's or the Department's income, shall be subject to the rate as prescribed in the notification of the University.

Articles 15 The research grant administration procedure pursuant to Article 7 (4) shall be proceeded with the terms and conditions mutually agreed by the University and the source of fund.

Any operation are not defined in the agreement between the University and the source of fund, The provisions of Article 10, Article 11, Article 12 and Article 13 shall apply mutatis mutandis.

Article 16 In case the person received the research grant pursuant to Article 7 fails to continue the research, the Research Project Leader shall report within seven days from the date of knowing the inability to continue the research to the Head of Department. The Head of Department shall make a decision as appropriate and report to the University instantly.

Article 17 The Research Project Leader shall submit research report to the source of fund as follows:

- (1) Progress report of the Research Project in every six months and at the end of the research project.
- (2) Full research report.
- (3) Research papers published in domestic academic journals; or abroad (if any).
- (4) Research papers published in acknowledged academic papers (if any).

If the source of fund specifies the method of reporting the research in otherwise, the Research Project Leader shall perform as specified by the source of fund.

Articles 18 In case the Department allows the Research Project Leader to manage the research grant by him/herself, an accountant is required to monitor the project account and submit the Evidence of Receipts and payments, financial and accounting reports with authentication to the Financial Department within the twentieth day of the following month or as specified by the Department. Such department must maintain the Evidence of Receipts and payments for not less than ten years.

Articles 19 The Research project granted by aboard shall submit a one-year financial report to the University to verify the correctness before submitting to the source of fund.

Articles 20 In case of the end of the Research Project, it appears that the grant remains in the bank account, the Research Project Leader or the Research Administration Unit shall close the research project account and submit the remaining amount with its interests and the passbook (original) to the Financial Unit within thirty days from the date of the end of the research project. Then the Financial Unit shall inspect and submit the balance with the report to the University or to the Department, as the case may be, or to the source of fund.

Article 21 If there is any equipment including biological materials generated from the research grants, it shall become the property of the University unless otherwise specified by the source of fund.

[Translation]

7

Article 22 The Department shall monitor to ensure that the operation of the research project and all the payment - receipt of the research grant shall be subject to the objectives and the rules of the University and the source of fund. The report shall be made accurately and completely. The property shall be controlled safely and ready to use as well as the Evidence of Receipt and Payment shall be maintained safely.

Articles 23 The University shall arrange a financial audit and inspect the operation of the Department.

Article 24 The research grant that the University, the Department or the Research Project Leader had received prior to the enforcement of these regulations, may be performed in accordance with the previous regulations for an appropriate period of time or until the end of the research project, which shall not exceed two (2) years after the date of the enforcement of this regulation.

Article 25 The President shall be acting under this regulation. In the case of any issue or dispute regarding implementation of this regulation, the President's decision shall be conclusive.

Announced on January 18, 2017

(signed) *Kasem Wattanachai*

(Professor Emeritus Kasem Watanachai, M.D.)
Chairman of Mahidol University Council