



MANUAL FOR COMPLAINT HANDLING AND WHISTLEBLOWING ON CORRUPTION AND MISCONDUCT KHON KAEN UNIVERSITY

**LEGAL DIVISION
OFFICE OF THE PRESIDENT
KHON KAEN UNIVERSITY**

Table of Contents

	Page
1. Definitions	1
2. Complaint Channels	2
3. Details Complainants Should Know for Filing a Complaint	3
4. Complaint Handling Process	3
4.1 Preliminary Review of the Complaint	3
4.2 Submitting Recommendations to the President	4
4.3 Acting on the President's Decision	4
4.4 Follow-up on Progress	4
4.5 Reporting the Outcome to the President	5
4.6 Informing the Complainant/Whistleblower of the Outcome	5
5. Organizational Structure and Complaint Handling Process	6

Manual for Complaint Handling and Whistleblowing on Corruption and Misconduct Khon Kaen University

According to the Integrity and Transparency Assessment (ITA) criteria, an indicator for preventing corruption requires government agencies to have internal measures to promote transparency and prevent corruption. It defines the agency's practices for managing complaints of corruption by its officials. This involves listening to feedback or complaints from service recipients, stakeholders, or the public, and having an appropriate process for managing and responding to complaints. Khon Kaen University, through its complaint management unit and complaint reception center, and the whistleblowing center for actions constituting corruption and misconduct, under the Legal Division, Office of the President, has established the following practices for complaint handling, organizational structure, and procedures for managing complaints:

1. Definitions

"Complaint" refers to a general complaint, a complaint concerning corruption or misconduct of personnel, or an allegation against personnel regarding tortious acts by officials or offenses that fall under the disciplinary actions of personnel. This includes narrating a story to Khon Kaen University to request assistance, resolution, relief from suffering, or an investigation of facts due to suffering, injustice, or witnessing illegal acts committed by Khon Kaen University personnel.

"Complainant" refers to service recipients, stakeholders, government agencies, state entities, personnel within Khon Kaen University, the private sector, and the general public who interact with Khon Kaen University.

"The Accused" refers to Khon Kaen University, its executives, and its personnel.

"Corruption" means seeking benefits that are not rightfully deserved through legal means for oneself or others.

"**Misconduct**" means the exercise of power in one's position or duty in a manner that violates laws, regulations, orders, or cabinet resolutions aimed at controlling the receipt, storage, or use of state money or property.

2. Complaint Channels

Khon Kaen University has established channels for receiving complaints and reports of actions constituting corruption and misconduct, with a key unit responsible for coordinating complaint management: the Complaint Management Unit and the Complaint Reception Center and Whistleblowing Center, Legal Division, Office of the President. Complainants can file complaints with the university through the following channels:

2.1 File a written complaint by sending a letter to the unit/Khon Kaen University or submit a letter to the President via the university's official correspondence system managed by the Central Administration Division, Office of the President, Khon Kaen University.

2.2 File a complaint in person at the Complaint Management Unit, Complaint Reception and Whistleblowing Center, Legal Division, Office of the President, Sirikunakorn Building, 1st Floor, Office of the President, Khon Kaen University.

2.3 File a complaint via email to the President (**Chapant@kku.ac.th**), to **kku.lawdivision@gmail.com**, or via telephone directly to the President or the Complaint Management Unit/Complaint Reception and Whistleblowing Center, Legal Division, Office of the President at telephone number **043 - 202430**.

2.4 File a complaint via the online system "Complaint and Whistleblowing System for Corruption and Misconduct" at **<https://complaint-lawdivision.kku.ac.th/auth/login>**

2.5 The university receives complaints from other state agencies responsible for handling complaints, such as the Damrongdhama Center of the province, the Office of the Permanent Secretary of the Prime Minister's Office, the National Anti-Corruption Commission, the Office of the Ombudsman, the Ministry of Higher Education, Science, Research and Innovation, etc.

3. Details Complainants Should Know for Filing a Complaint

- 3.1 Name - Surname of the accused.
- 3.2 The timeframe when the offense occurred.
- 3.3 The circumstances of the corruption and misconduct.

4. Complaint Handling Process

The Complaint Management Unit and the Complaint Reception and Whistleblowing Center, Legal Division, Office of the President, Khon Kaen University, has established a 6-step operational procedure as follows:

4.1 Preliminary Review of the Complaint (Processing time: 1 - 3 days)

4.1.1 Upon receiving a complaint from any channel, the administrative unit of the Legal Division will register it in the division's document receiving system. The Complaint Management Unit and the Complaint Reception and Whistleblowing Center will conduct a preliminary review before presenting recommendations to the President.

4.1.2 If the case is not a complaint or a report of corruption and misconduct by Khon Kaen University personnel, it will not be accepted for consideration, and the complainant/whistleblower will be notified.

4.1.3 If the case is a complaint or a report of corruption and misconduct by Khon Kaen University personnel:

- If it is a complaint/report about corruption and misconduct by Khon Kaen University personnel, the case will be accepted for consideration.
- If the complaint/report is in the form of an anonymous letter (lit. "Social Information Card") that does not specify clear evidence and is not credible, it will be proposed to the President to close the case and archive the information.

4.2 Submitting Recommendations to the President (Processing time: 3 – 5 days)

4.2.1 Review the information of the complaint and whistleblowing report. If it is deemed insufficient for consideration, conduct a further investigation for additional information.

4.2.2 Summarize the complaint's main points and propose them to the President. If it involves legal matters, specify the relevant laws. If it is deemed appropriate to forward the complaint to the relevant internal unit of Khon Kaen University for consideration, provide a recommendation to the President for their deliberation in order to investigate the facts or resolve the complaint according to their authority, as the case may be.

4.2.3 If the complaint constitutes an offense involving the tort liability of an official or a disciplinary offense, recommendations will be submitted to the President to forward the matter to the appropriate process, as the case may be.

4.3 Acting on the President's Decision (Timeline as per law)

Once the President has made a decision, the Complaint Management Unit and the Complaint Reception/Whistleblowing Center of the Legal Division will proceed according to the decision.

4.3.1 For general cases, notify the relevant unit to investigate the facts and resolve the complaint, as the case may be. The timeline is as stipulated by law.

4.3.2 The processing time for a tort case is within 90 days or as stipulated by law.

4.3.3 The processing time for a disciplinary offense is within 180 days or as stipulated by law.

4.4 Follow-up on Progress (Processing time is as per sections 4.4.1 - 4.4.3)

Once a unit within Khon Kaen University has been notified to consider the matter per the President's decision and has not yet reported the outcome of their consideration, the Complaint Management Unit and the Complaint Reception and Whistleblowing Center of the Legal Division will periodically follow up on the progress as follows:

4.4.1 For general complaint cases: (1) First follow-up after 3 - 7 days have passed (from the date the unit received the notification letter). (2) Second follow-up if 15 days have passed since the 3-7 day deadline in (1). (3) Follow up every 30 days until the outcome is known or the process is concluded.

4.4.2 For complaint cases involving the tortious liability of an official: (1) First follow-up after 15 - 30 days have passed (from the date the unit received the notification letter). (2) Second follow-up if 30 - 45 days have passed since the deadline in (1). (3) Follow up every 30 days until the outcome is known or the process is concluded.

4.4.3 For complaint cases involving a disciplinary offense: (1) First follow-up after 15 - 30 days have passed (from the date the unit received the notification letter). (2) Second follow-up if 30 - 45 days have passed since the deadline in (1). (3) Follow up every 30 days until the outcome is known or the process is concluded.

4.5 Reporting the Outcome to the President (Processing time: 3 - 5 days)

When the Complaint Reception and Whistleblowing Center / Complaint Management Unit of the Legal Division receives the report on the consideration outcome from the handling unit, it will be proposed to the President for consideration and to order further action on related matters or to close the case.

4.6 Informing the Complainant/Whistleblower of the Outcome (Processing time: 1 - 3 days)

When the President has made a decision based on the reported outcome, the Complaint Management Unit and the Complaint Reception and Whistleblowing Center of the Legal Division will inform the complainant of the outcome within 1 - 3 days.

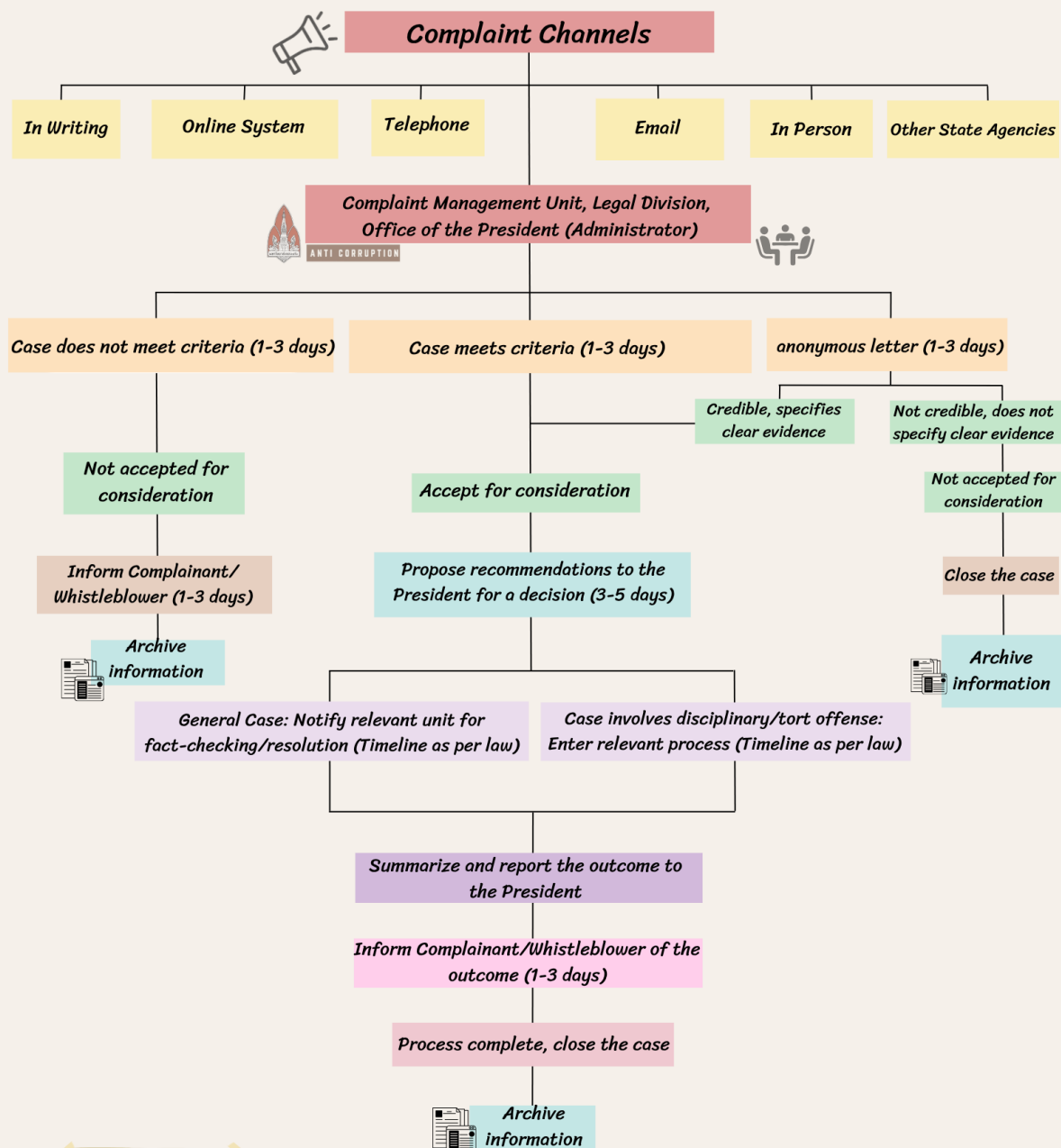
5. Organizational Structure and Complaint Handling Process

Khon Kaen University, through its Complaint Management Unit, Complaint Reception and Whistleblowing Center of the Legal Division, Office of the President, has an organizational structure and a process for managing complaints and whistleblowing on corruption and misconduct, as shown in the following FlowChart.



COMPLAINT HANDLING PROCESS

Complaint and Whistleblowing Management Flowchart for Corruption and Misconduct at Khon Kaen University



NOTE BOX

1. Processing times apply when complete information is available for proceeding.
2. The processing time for a tort case is within 90 days or as stipulated by law.
3. The processing time for a disciplinary offense is within 180 days or as stipulated by law.