

**Purbanchal University**

**Faculty of Management**



**Regulations governing Ph.D. Degree in Management - 2074**

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**Regulations governing Ph.D. Degree in Management – 2074**

**1. Preliminary**

The Doctoral Program (Ph.D. Program) in Management of the Purbanchal University aims at developing high quality of research students in the field of management. The Ph.D. program will help in the advancement of knowledge responding to global, regional, national and local needs and enhancing quality of teaching and faculty development in the field of management through independent and original research.

- 1.1 The Ph.D. program of the Faculty of Management (FOM) shall be conducted by the Research Committee (hereafter called Management Research Committee or MRC) constituted under the chairmanship of the Dean of the FOM, Purbanchal University and member secretary will be PhD Program Director, Purbanchal University
- 1.2 Notwithstanding anything contained, the Ph.D. program of the FOM shall be regulated by the rules and procedures mentioned in this regulations.

**2. Title and Commencement**

- 2.1 These regulations shall be called the 'Regulations Governing Ph.D. Degree in Management '.
- 2.2 The Ph.D. program of the Faculty of Management (FOM), leading to the degree of Doctor of Philosophy (Ph.D.) shall be regulated by these rules and be applicable to those students who seek registration for the Ph.D. Program of the FOM of the Purbanchal University after regulations comes into force as mentioned in 2.3
- 2.3 These regulations shall come into force immediately after the approval of the Academic Council of the Purbanchal University.

**3. Definitions**

In these Regulations, unless the context otherwise requires;

- 3.1 "Candidate" means the eligible person who intends to enroll for Ph.D. program.

- 3.2 "Student" means the candidate who is already enrolled or registered for Ph.D. program.
- 3.3 "Degree" means the degree of Doctor of Philosophy (Ph.D.) or other specified academic degree
- 3.4 "University" means the Purbanchal University established as per Purbanchal University Act, 2050 B.S.
- 3.5 "Purbanchal University Research Council" is a supreme body created by Purbanchal University Executive Committee to administer the Ph.D. program of the university.
- 3.6 "Management Research Committee (MRC) or Research Committee" means the Committee of the FOM constituted according to the 'Faculty-wise Research Committee by-laws 2068 B.S. of the Purbanchal University.
- 3.7 "Academic Council" means the Council constituted as per the provision of the Purbanchal University Act 2050 B.S. and Purbanchal University Rules 2053 B.S.
- 3.8 "Faculty Board" means the Faculty Board of the Faculty of Management constituted as per the provision of the Purbanchal University Act 2050 B.S. and the Purbanchal University Rules 2053 B.S.
- 3.9 "Dean" means the Dean of the Faculty of Management of the University.
- 3.10 "Office of Examination Management" means the examination office established as per University Act, 2050 B.S.
- 3.11 "Campus" means constituent campuses, and affiliated campuses of the Purbanchal University or any other campuses of other University.
- 3.12 "Entrance exam" means exam conducted by MRC for finding eligibility of the candidate for PhD program.
- 3.13 "Academic journal" means journals having ISBN number and is in publication for more than 2 years.

#### **4. Appointment of PU Research Council and Management Research Committee**

- 4.1 **Purbanchal University Research Council (PURC)** shall be a supreme body created by Purbanchal University Executive Committee to administer the Ph.D. program of the university for Doctoral award

**4.2 Members of the PURC will be as follows-**

- |  |                          |
|--|--------------------------|
| <b>i. Vice-Chancellor</b>                                | <b>Chairman</b>          |
| <b>ii. Registrar</b>                                     | <b>Member</b>            |
| <b>iii. Faculty Deans</b>                                | <b>Member</b>            |
| <b>iv. Two representative from Academic Council</b>      | <b>Member</b>            |
| <b>v. Two senior faculties</b>                           | <b>Member</b>            |
| <b>(Professor/Associate Professor with Ph.D. degree)</b> |                          |
| <b>vi. Member Secretary of Academic Council</b>          | <b>Member Secretary.</b> |

**4.3 Management Research Committee (MRC) shall be a regulating body to administer the Ph.D. program in management faculty of the university.**

The existing committee under by law 2068 chapter 2 (3) is supposed to continue till its tenure and PhD Program Director will work as a member secretary of the committee.

**5. Eligibility**

Candidates, who satisfy the following conditions from any groups mentioned below, are eligible to seek enrollment for Ph.D., which opens once a year.

**Group One:**

- 5.1 The candidate should have obtained at least an M Phil in Business Administration or Management or Commerce from any recognized University with not less than 55 % or CGPA of 3.25 and cleared the entrance exam as conducted by MRC; The candidate will be exempted from academic course (M Phil) of Ph.D. program

**Group Two:**

- 5.2 The candidate should have obtained at least a Master Degree in Business Administration or Management or Commerce or Economics with not less than 60 % or CGPA of 3.25 and should have teaching/ research/ or equivalent professional experience not less than 3 (Three) years at any recognized University or campus of recognized University or the organization where research is the principal work and shall have published *at least 2 research articles* related to his/her work in any recognized academic journal(s) and cleared the entrance exam conducted by MRC; and the candidate will have to complete the academic program (M Phil) of the

Purbanchal University with at least 3.25 CGPA. The candidate will have to repeat the course to maintain 3.25 CGPA if scored less than 3.25 CGPA.

**Group Three:**

5.3 The candidate should have obtained at least a Master Degree in Business Administration or Management or Commerce or Economics with not less than 55 % or CGPA of 3 from any recognized University and should be in permanent position of teaching/ research/ or equivalent professional position at Purbanchal University or affiliated campus of Purbanchal University and experience of not less than 7 (Seven) years and cleared the entrance exam conducted by MRC; and the candidate will have to complete the academic program (M Phil) of the Purbanchal University with at least 3.25 CGPA. The candidate will have to repeat the course to maintain 3.25 CGPA if scored less than 3.25 CGPA.

**6. Submission of application**

6.1 Applications for the enrollment to the Ph.D. program shall be called by the Dean or assigned authority through national Daily by the month of February of the year.

6.2 An eligible candidate, who satisfies all the conditions and procedures prescribed, must apply to the Dean or assigned authority on the prescribed *Application Form*. The Application Form shall be accompanied by:

- (i) Attested copies of the documents supporting all academic qualifications (e.g. Mark-sheet/grade-sheet and degree certificates);
- (ii) Documents supporting his/her previous work experience, if any;
- (iii) Prescribed fees, as applicable;
- (iv) No Objection Certificate (NOC) from the employer, in case the candidate is employed;
- (v) Migration Certificate;
- (vi) CV including areas of research interests, academic qualifications, experience, list of publication etc; and,
- (vii) The research proposal of the proposed research topic as per the given format in Annexure-I

6.3 The Application should be duly verified by the concerned officer at the FOM or assigned authority of Purbanchal University.

6.4 The Application will be forwarded by the Dean or assigned authority to the MRC for preliminary scrutiny to:

- consider whether the candidate possesses adequate knowledge in the field of study he/she intends to undertake the Ph.D. research,
- judge the academic fitness of the candidate applying for the Ph.D. program,
- satisfy itself with the fact that the subject offered by the candidate is one which can be pursued within the Faculty with advantage,
- finally approve or disapprove the candidate for the entrance examination

## **7. Entrance Test for Enrolment**

7.1 The eligible candidates, after the approval of the candidature by the MRC, will be called for an entrance test on the notified date and time. The exact date and time of the examination will be notified by the Dean or assigned authority. Subsequently a *personal interview* of the candidates who qualify the entrance test will be held to consider applicants proposed research area(s).

7.2 The entrance test for enrollment shall be conducted by the MRC through the Dean or assigned authority and the personal interview by the MRC.

7.3 The candidate is expected to discuss their research interest/area, at the time of interview. Only the predetermined number of students based upon capacity of the faculty and the availability of recognized research supervisors (with concerned specialization/research interest) will be selected for enrollment/registration to Ph.D. and the list of successful candidates shall be released.

## **8. Requirements**

8.1 The Ph.D. candidate will have to complete *Prerequisite Courses (M Phil)* prescribed by MRC to enroll in Ph.D. program. The courses will be designed by MRC and will be conducted according to its directives.

8.2 The Ph.D. candidates who are exempted for the prerequisite course (M Phil) should however mandatorily take the Research Methods and Philosophy of Science courses offered by Purbanchal University.

- 8.3 The subject of his/her Ph.D. dissertation should be related to any area of the studies concerned with the FOM.
- 8.4 The Ph.D. dissertation writing must be in *English*.
- 8.5 The candidate registered under the PhD program of the FOM shall also have to undertake at least three to six months per year of academic work load (minimum 6 hours per week) in the first year of PhD program or involve in research activities as assigned by the Dean or assigned authority, besides the Ph.D. work. Such candidates are eligible to receive assistantship from the campus or fellowship from any other funding agency for the academic work.
- 8.6 The Ph.D. candidate after enrollment in the Ph.D. program will have to take leave for at least one year from his/her organization to pursue the Ph.D. program and this has to be supported by official documents.

## **9. Appointment of Supervisor**

- 9.1 The MRC shall also appoint a *supervisor* or a *supervisor with co-supervisor (s)* from the allied fields of the proposed topic of the candidate to guide his/her research work of the candidate.
- 9.2 The allocation of supervisor or supervisor with co-supervisor(s) shall be appointed by the MRC from within the University or outside the University. However, only such expert may be proposed as supervisor, who is holding a Ph.D. degree as per the University rules and not below the rank of Reader/Associate Professor and teaching/research experience at least of five years. Reader/Associate Professor, holding Ph.D. degree, with 10 years of teaching/research experience may be appointed as co-supervisor(s) by the MRC.
- 9.3 Consent of the concerned supervisor or supervisor with co-supervisor(s) is obtained before appointing him/her as the supervisor or supervisor with co-supervisor(s) of the candidate.
- 9.4 As far as possible, the family/relative of the candidate shall not be appointed as the Supervisor or supervisor with co-supervisor(s) of the candidate. A certificate to this effect will be given by the concerned Supervisor or supervisor with co-supervisor(s) at the time of their consent called for appointing him/her as the supervisor or supervisor with co-supervisor(s) of the candidate.

## **10. Permission for Enrollment**

The MRC shall permit the candidate to enroll in the Ph.D. program through the Dean or assigned authority after-

- the preliminary scrutiny of the documents,
- clearing the entrance test and the personal interview,
- satisfies all the conditions and procedures prescribed,
- found eligible along with the positive report of the examiners of the proposal appointed by the Dean from among the experts indicated by the MRC,

## **11. Registration to the Ph.D. Program**

11.1 The candidate shall prepare the final research proposal under the guidance of his/her supervisor or supervisor with co-supervisor(s) incorporating the suggestions made by the experts of proposal examination.

11.2 Before submitting his/her final proposal to the MRC, the candidate shall conduct *the pre-registration colloquium* on the proposed topic of his/her research in the Management Campus of Purbanchal University, in the presence of the supervisor or supervisor with co-supervisor(s) and the faculties of the Campus organized by the Dean office or assigned authority.

11.3 The candidate shall submit the final research proposal endorsed by the supervisor or supervisor with co-supervisor(s) to the MRC through the Dean within three months of the date of his/her enrollment incorporating the necessary changes and suggestions made by his/her supervisor or supervisor with co-supervisor(s), experts of the proposal examination and the suggestions obtained from the pre-registration colloquium.

11.4 The MRC, if satisfied with the research proposal, shall grant permission to the candidate for registration to the Ph.D. Program.

11.5 The MRC may allow, only in exceptional circumstances, minor alterations on the registered topic of the candidate on the recommendation of the supervisor or supervisor with co-supervisor(s). Such changes are to be requested through application to supervisor or supervisor with co-supervisor(s) with satisfactory reasons.



## **12. Change of the Supervisor or Co-supervisor(s)**

Supervisor of a student can be changed only:

- When the supervisor or co-supervisor has left the country, died and/or strongly denied to supervise the candidate in writing.
- When it becomes almost impossible for a candidate to work with the existing supervisor or co-supervisor(s); in that case, the matter may be placed before the MRC through the Dean.
- The change of supervisor or co-supervisor(s) shall be allowed only for remaining period of the research work.

## **13. Supervision of the Research Work**

13.1 There shall be supervisors, and co-supervisor(s) if needed, to guide the candidate for the research work. The Research Committee may approve supervisors/co-supervisor(s) either from the Purbanchal University or other recognized Universities.

13.2 A student shall undertake research for the Ph.D. degree under the guidance of the supervisor or supervisor with co-supervisor(s) approved by the Management Research Committee. The duty of the supervisor or supervisor with co-supervisor(s) shall be to guide the candidate in his/her research work and certify the fitness of his/her dissertation for being examined.

13.3 The student shall submit the work progress of his/her research work as per Annexure – II to the supervisor or supervisor with co-supervisor(s) every year.

13.4 The supervisor or supervisor with co-supervisor(s) shall submit a brief report about the progress of his/her Ph.D. student to the MRC and accordingly all Ph.D. students shall do presentation regarding their individual research progress every year on a schedule date as notified by the MRC.

13.5 In the case of difference arising between a student and his/her supervisor or supervisor with co-supervisor(s), the matter shall be referred to the MRC for decision.

13.6 If the supervisor or supervisor with co-supervisor(s) gives unsatisfactory report on the work of the student, the MRC shall decide whether the student be allowed to continue his/her research for the Ph.D. degree or not.

13.7 Upon completion of the draft report of the dissertation, the student, on the advice of his/her supervisor or supervisor with co-supervisor(s) shall give a *Pre-Submission Seminar* to the faculty as scheduled by the Dean or assigned authority. The candidate should incorporate the suggestions obtained from the *Pre-submission Seminar before final submission*.

#### **14. Period Required and Extension of Period**

14.1 The period for the submission of the Ph.D. Dissertation from the date of enrollment shall be not less than two and half years for full time PhD scholar ( students who are not enrolled or attached in other organization) and three years for other scholars.

14.2 The student who is unable to submit his/her dissertation within the period mentioned in 14.1 from the date of his/her enrollment may apply to MRC through his/her supervisor or supervisor with co-supervisor(s) for grant of extension.

14.3 The MRC, on the recommendation of the supervisor or supervisor with co-supervisor(s) for reasons to be recorded, may grant extension of Ph.D. period. The extension shall not be granted for more than a year at a time. However, the student must submit his/her dissertation within a total of 6 years from the date of his/her enrollment.

14.4 If the student fails to submit his/her dissertation within the period of 6 years from his/her enrollment, his/her admission shall be deemed cancelled. He/ She may however be allowed to re-register himself/herself again with the same topic or some new topic and will have fresh economic obligation as prescribed.

#### **15. Submission and Evaluation of Dissertation**

15.1 The student, in the first stage, shall submit three copies of the loose print of dissertation and a soft copy in CD in the *prescribed format* to the Dean or assigned authority accompanied with a certificate of completion as per Annexure – III from his/her supervisor or supervisor with co-supervisor(s) indicating the period for which the candidate has done research work and whether the dissertation is worthy of consideration for the award of Ph. D degree.

15.2 The student shall submit a declaration as per Annexure – IV in writing through the Supervisor or supervisor with co-supervisor(s) to the effect that:

- (a) He/she has not submitted the dissertation to any other institute or the dissertation has been submitted to other institute as well but that dissertation is not substantially the same as now being submitted to the FOM, or
- (b) The dissertation submitted by the student is the work of his/her own and is not on the basis for which the Ph.D. degree already been awarded by any other university/institute.

15.3 The dissertation submitted for examination shall satisfy the following requirements:

- (a) The dissertation must render some substantial contribution to knowledge and show evidence of originality through the discovery of new facts or the exercise of independence and critical power in interpretation of facts and theories and must state the material published or unpublished used by the candidate;
- (b) It must also be satisfactory in terms of its language, format, and presentation; and,

15.4 No conjoint research with the supervisor or supervisor with co-supervisor(s) or anyone else is permissible with regard to the subject matter of the dissertation. The dissertation must contain the candidate's own work which must be his/her personal achievement, provided however that a candidate may submit, as subsidiary matter in support of his/her dissertation, any contribution for the advancement of his/her subject which may be published conjointly or independently. Where such subsidiary matter is submitted, a candidate shall indicate specifically his/her personal contribution to such conjoint work duly attested by the Supervisor or supervisor with co-supervisor(s).

15.5 Among the three copies of the dissertation, two copies shall be forwarded by the Dean or assigned authority to the two examiners, appointed by PU Research Council as per the recommendation of MRC (both of them should be from foreign University) for primary examination.

15.6 The examiners shall submit the evaluation report to the Dean through the program director within a period of 90 days from the date of receipt of dissertation. If evaluation report of any examiner is not received within the prescribed period, the PU Research Council may replace the examiner as per the recommendation of MRC. If any dispute arises on evaluation by examiners, the final decision will be taken by PU Research Council.

- 15.7 In case of acceptance of the dissertation, examiners shall also indicate in their report the dissertation is fit for viva-voice in its original or incorporating suggestions for improvement.
- 15.8 In case of major revision, a dissertation shall be resubmitted to Dean through program director and the period for revision will not be more than six month, and it shall be examined by the original examiners. The major revision will be given only once to the student. The student whose dissertation is rejected further shall not be allowed to pursue work for Ph.D. with the same topic.
- 15.9 The student has to make necessary correction in the dissertation for final version, if required, according to the suggestions given by the experts and submit the same to the MRC through the Dean within a period of three months from the date of receipt of comments from examiners. The student should submit seven binding copies of final dissertation and a soft copy in CD.

#### **16. Viva-Voce**

16.1 On the acceptance of dissertation, the student shall be required to attain viva-voce examination which will be conducted by the Viva-Voce Board. The Viva-Voce Board will be constituted by PU Research Council on the recommendation of MRC and shall be constituted as:

- |  |                  |
|--|------------------|
| • The Dean   | Chairperson      |
| • Examiners (at least one)                         | Member           |
| • The Supervisor                                   | Member           |
| • Two members of the Management Research Committee | Member           |
| • One Senior professors of PU appointed by VC      | Member           |
| • Ph.D. program director                           | Member Secretary |

16.2 The Ph.D. student shall present his/her work to the viva-voce committee

16.3 The final result of the Ph.D. dissertation by the above committee will be submitted to the MRC and approved by PU Research Council.

## **17. Award of the Degree**

- 17.1 After successfully clearing the viva-voce examination and positive report of the examiners on the dissertation, the student shall be awarded Ph.D. degree after the approval of the recommendation of MRC with regard to award of Ph.D. degree by the PU Research Council.
- 17.2 The Dean shall notify the result and issue the provisional certificate in accordance with the approval of the decision of the MRC by PU Research Council.
- 17.3 In the case of successful students, the Dean shall arrange to confer Ph.D. degree on him/her on the next convocation held for the conferring of degrees.
- 17.4 The award of Ph.D. degree can be withdrawn by the University in case the dissertation submitted by the candidate is found to be a duplication of an old work or pirated research work.

## **18. Ownership of Intellectual Property**

- 18.1 It is a condition of enrollment that the FOM owns the intellectual property rights developed by the student in the course of his/her doctoral research at the FOM. The MRC of the FOM may however grant permission to the candidate to publish the dissertation submitted for the Ph.D. degree.
- 18.2 The candidate shall be given a copy of each examiner's report upon request, at the completion of the examination process.
- 18.3 It is policy of the FOM that the results of Ph.D. research should be published and made generally available.

## **19. Exception**

- 19.1 Notwithstanding anything stated in this by-law, for any unforeseen issues arising, and not covered by the by-laws, or in the event of difference of interpretation, the decision of the PU Research Council shall be final.

## **Annexure I**

### **Format for the Research Proposal for Ph.D. Program**

- (i) Cover Page
- (ii) Topic of the research
- (iii) Introduction
- (iv) Statement of a Problem
- (v) A brief survey of literature
- (vi) Theoretical framework/Conceptual framework
- (vii) Aims and objectives of research
- (viii) Hypothesis/Assumptions or Research Questions
- (ix) Area/Specialization of the research
- (x) Research Methodology (including Study design, study place, sampling design, nature and sources of data, data processing, research instrument(s) and analysis)
- (xi) The impact of the research on academics/industry/society
- (xii) Limitations
- (xiii) Proposed chapter
- (xiv) References
- (xv) Annexure
- (xvi) A list of equipments, software and other tools/ facilities, needed for the proposed research as part of the required Lab facility and its availability/ provisions made.

**Annexure-II**

**Progress Report**

**(To be submitted every year as per schedule published by MRC)**

1. Name of the Student: .....
2. Registration No. and the Date of Registration: .....
3. Topic of Research: .....
4. Name(s) of the Supervisor(s) 1) .....  
2) .....  
3) .....
5. Period for which the report is being submitted: From.....to.....
6. Report (Brief details of the work done, papers published/ communicated, conferences attended/ paper(s) presented, etc.)

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**Student**

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**Supervisor(s)**

- Note:
1. Attach one copy each of the previous Progress Report(s), if any.
  2. Attach copies of papers published/communicated, if mentioned in the above progress report.

**Annexure-III**

**Certificate of the Supervisor(s)**

This is to certify that the dissertation, entitled “.....” submitted by ..... for the award of Degree of Doctor of Philosophy in Management for ..... of Purbanchal by **him/her** under my/our supervision.

To the best of my/our knowledge, the matter embodied in this dissertation is the original work of the student and has not been submitted for the award of any other degree or diploma of any university or institution.

It is further certified that he/she has worked with me/us for a period of ..... in the Faculty of Management for ..... , Purbanchal University,

**Signature of the supervisor(s)**



## **Annexure-IV**

### **Declaration by the Student**

I, hereby, declare that the work presented in this dissertation, entitled \_\_\_\_\_  
\_\_\_\_\_ in fulfillment of the requirements for the award of Degree of  
Doctor of Philosophy, submitted in the FOM for \_\_\_\_\_ at Purbanchal  
University, is an authentic record of my own research work carried out under the supervision of  
\_\_\_\_\_.

I also declare that the work embodied in the present dissertation:

- (1) is my original work and has not been copied from any Journal/dissertation/book, and
- (2) has not been submitted by me for any other Degree or Diploma of any university/institution.

\_\_\_\_\_  
**Signature of the Student**

## Guidelines for Ethical Scientific Conduct

Maintaining the highest ethical standards in the conduct of all research remains a goal of the Purbanchal University. Academic communities demand such level of standard. Any allegations of misconduct in research are addressed immediately, whether originating within or external to the PU. The PU developed guidelines for investigating allegations of research misconduct that ensure confidentiality, fairness, and prompt action to protect all parties in the proceedings. This Guide was prepared by the Research Committee on Scientific Conduct and Ethics as a condensed aid for those with concerns about potentially questionable practices. It provides information on the responsible conduct of research, what constitutes research misconduct, who to contact with concerns, and how the investigations process unfolds in PU.

1. Responsible conduct of research
  - a. Data accusation, management, sharing, and ownership
  - b. Supervisor/Trainee responsibilities
  - c. Publication practices and responsible authorship
  - d. Peer review
  - e. Research collaboration
  - f. Research involving human subject
  - g. Research involving animal
  - h. Research misconduct
  - i. Conflict of interest and commitment

### 2. Research misconduct

**Academic Dishonesty:** any of the following acts, when committed by a researcher, shall constitute academic dishonesty or research misconduct:

- a. **Cheating:** fraud, deceit, or dishonesty in any academic course or exercise in an attempt to gain an unfair advantage and/or intentionally using or attempting to

use unauthorized materials, information, or study aids in any academic course or exercise

- b. **Fabrication:** is making up data or results and recording or reporting them;
- c. **Falsification** is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record;
- d. **Plagiarism** is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit;
- e. **Research misconduct** does not include honest error or differences of opinion.

This policy is applied to alleged or actual research misconduct (cheating, fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results) involving research undertaken by Ph.D. candidate as part of his or her Ph. D. degree of PU, regardless of location. It applies only to research misconduct that occurred within six years prior to the date the PU receives the allegation.

Allegations of research misconduct are handled through a three-stage process:

**a. Assessment of the allegations,**

The review of an allegation of research misconduct to determine whether an Inquiry is warranted

**b. Inquiry**

The process of gathering information and initial fact-finding to determine whether an allegation or apparent instance of research misconduct warrants an Investigation

**c. and Investigation**

The formal development of a factual record and the examination of that record leading to a decision not to make a finding of research misconduct or to a recommendation for a finding of research misconduct

## **Assessment of the Allegations**

Allegations of research misconduct may be reported (personally or anonymously) to PU official in written format to the Dean, FOM or Program Director.

The allegation should be provided, or subsequently documented, in sufficient detail to enable the MRC to assess it appropriately. The allegation should be details such as relevant parties, witnesses, dates, locations, publications, and the subject matter of the research in question.

If the circumstances described by the Complainant do not meet the definition of research misconduct, the Dean may refer the individual or allegation to close the matter. If the Dean concludes that the allegation meets the definition of research misconduct, he/she will proceed with an assessment.

Upon receiving an allegation of research misconduct, the Dean will immediately assess the allegation to determine whether the allegation is:

1. Sufficiently credible and specific so that potential evidence of research misconduct may be identified;
2. within the jurisdictional criteria of this Policy;
3. within the definition of research misconduct of this Policy.

If these criteria are met, an Inquiry is warranted. If no Inquiry is initiated, the matter shall be closed. If no Inquiry is initiated, the Dean may notify the Complainant, through notice published in notice board of the University.

## **Inquiry**

If the Dean determines that an Inquiry is warranted, he or she will immediately initiate the Inquiry process. The purpose of the Inquiry is to conduct an initial review of the

available evidence to determine whether to conduct an Investigation. It is not for the purpose of reaching a final conclusion as to whether research misconduct has, or has not, occurred.

At the time of, or before beginning, an Inquiry, the Dean will make a good faith effort to notify the Respondent in writing, if the Respondent is known. The Dean will attempt to provide to the Respondent a notification memo, signed by the Dean, which explains the nature of the allegation(s) of research misconduct, as well as a copy of this Policy and/or related materials explaining the policies and procedures regarding research misconduct.

The Dean, in consultation with MRC, will appoint an Inquiry Committee, usually consisting of three MRC members and two independent professor/associate professor of PU, as soon after the initiation of the Inquiry as is practical. The Inquiry Committee usually interviews the Respondent, the Complainant, if known, and key witnesses as well as examines relevant research records and materials. The scope of the Inquiry does not normally include conducting exhaustive interviews and analyses. The Inquiry Committee needs to submit a written report within 30 days from the date of appointment, which includes basis for recommending, or not recommending, that the allegations warrant an Investigation.

An Investigation is warranted if the Committee determines: (1) there is a reasonable basis for concluding that the allegation falls within the definition of research misconduct and is within the jurisdictional criteria of the Policy; and (2) the allegation may have substance, based on the Committee's review during the Inquiry.

The Dean will transmit the final Inquiry Report and any comments to the MRC, who will determine whether an Investigation is warranted and document that decision in writing. The Inquiry is completed when the MRC makes this determination.

### **Investigation**

The purpose of the Investigation is to develop a factual record by exploring the allegation(s) in detail and examining the evidence in depth, leading to recommended findings on whether research misconduct has been committed, by whom, and to what

extent. The Investigation will also determine whether there are additional instances of possible research misconduct that would justify broadening the scope beyond the initial allegations.

On or before the date on which the Investigation begins, the Dean must notify the Respondent in writing of the allegations to be investigated and provide the Respondent a copy of the Inquiry Report and a copy of, or reference to, the Policy and Regulations. The Dean must also give the Respondent written notice of any new allegations of research misconduct within a reasonable amount of time of deciding to pursue allegations not addressed during the Inquiry or in the initial notice of the Investigation. If there is more than one Respondent, each should be notified separately.

The Dean, in consultation with MRC members as appropriate, will appoint an Investigation Committee, usually consisting of five members (two members from MRC, two independent professor/associate professor and one member from academic council of PU appointed by Vice-Chancellor), as soon after the initiation of the Investigation as is practical.

**The Investigation Committee and the Dean must:**

- use diligent efforts to ensure that the Investigation is thorough and sufficiently documented and includes examination of all research records and evidence relevant to reaching a decision on the merits of the allegations;
- take reasonable steps to ensure an impartial and unbiased Investigation to the maximum extent practical;
- interview each Respondent, each Complainant, if known, and any other available person who has been reasonably identified as having information regarding any relevant aspects of the Investigation, including witnesses identified by the Respondent; and pursue diligently all significant issues and leads discovered that are determined relevant to the Investigation, including any evidence of additional instances of possible research misconduct, and continue the Investigation to completion.

The Investigation Committee is responsible for preparing a written draft report for the Investigation, which includes a statement of findings; i.e., for each separate allegation of

research misconduct identified during the Investigation, includes a finding as to whether research misconduct did or did not occur. The Dean will assist the Investigation Committee in finalizing the draft Investigation Report, including ensuring that the Respondent's and Complainant's comments, if any, are included and considered, and transmit the final Investigation Report to the MRC.

The MRC will determine in writing: (1) whether the MRC accepts the Investigation Report, its findings, and any recommended actions; and (2) the appropriate actions to be taken, if any, in response to accepted findings of research misconduct. When a final decision has been reached, the Dean will notify both the Respondent and the Complainant, if known, in writing, as well as other parties, including PU