

# Detailed Implementing Rules

## for the Operation of the Degree Verification Committee

Established on March 1, 2012

### Chapter 1 General Provisions

**Article 1 (Purpose)** These regulations seek to set forth general matters concerning the composition and operation of the Degree Verification Committee (hereinafter referred to as "Committee") of Pohang University of Science and Technology.

**Article 2 (Definitions)** The terms used in these detailed rules are defined as follows:

1. "Degree Verification" refers to the act of verifying the validity of the degrees earned by the person being investigated, according to objective procedure in the course of employing or permitting the admission of the person being investigated or in other processes.
2. "Validity of Degree" indicates whether or not the degree that the person being investigated claims to have possessed is in fact a degree issued by a legitimate and valid institution, and that it is possible to verify that the person being investigated has legitimately earned the degree from the respective institution.
3. "Validity of Degree" in the previous Clause 2 includes the legitimacy (report, permission, or approval of establishment) of the respective educational institution or accreditation or recognition from the government or other institutions. In case there are no clear judgment criteria for the accreditation or recognition, however, the Committee shall determine the validity based on the common practice of the respective country and expert advice.
4. "Person being investigated" pertains to the faculty member in service, candidate for new employment, entering student (including transfer student and re-entering student), enrolled student, or graduate against whom the validity of his or her degree is being questioned by an informant or the Committee.
5. "Primary Investigation" refers to the process of examining documents with the basic facts relevant to the acquisition of the degree.
6. "Secondary Investigation" involves the official investigation and decision on the validity of the degree as performed by the Secondary Investigation Committee organized based on the primary investigation or the resolution of the investigating Committee.
7. "Degree Inquiry Service" means the act of confirming the basic facts relevant to the degree that the person being investigated has reported through an institution certified by the government or a private organization.
8. "Action Following the Investigation (Follow-Up Measure)" pertains to the act of taking proper action such as cancellation of employment of the person being investigated, cancellation of enrollment of the entering student, or other appropriate actions pursuant to public or private laws based on the result of the degree verification.

**Article 3 (Reason for Degree Verification)** "Reason for Degree Verification" refers to the case wherein one of the following is reported, questioned, suspected, or deemed to require verification:

1. Submission of a resume or other documents that falsely claim that the person has earned a degree from the respective university
2. Failure to report the cancellation of a degree due to research misconduct or other reasons even if the person knew or could have known of the cancellation

3. Using forged or falsified graduation certificate for admission, employment, or other purposes
4. Using a degree issued by means other than the legitimate or certified method in the respective country
5. Using a degree earned by a person who is not qualified for the degree through deception or other methods

## **Chapter 2 Operation of the Degree Verification Committee**

**Article 4 (Functions)** The Committee shall deliberate and pass a resolution for the following matters concerning the verification of the degree of the person being investigated:

1. Matters concerning the performance of the primary and secondary investigations pursuant to Article 9
2. Matters concerning the approval of the investigation result of the Secondary Investigation Committee pursuant to Article 10
3. Matters concerning the handling of a request for reexamination pursuant to Article 23
4. Matters concerning measures for protecting the informant
5. Matters concerning the improvement of the degree verification procedure
6. Other matters presented for consideration by the Committee Chair

**Article 5 (Composition, Etc.)** ① The Committee shall consist of seven or more members including Provost & Executive Vice President, Vice President of Academic Affairs, Vice President of Admissions and Student Affairs, and Vice President of Business Affairs; Provost & Executive Vice President shall be the Chair.

② The members of the Committee shall be appointed by the President.

③ The terms of office of the members of the Committee shall be 2 years. When there is a vacancy during the term and a new member is appointed to fill the vacancy, the term of office of the new member shall be the remaining term of the predecessor.

④ Faculty Affairs shall oversee the Committee and designate a secretary to handle office duties.

**Article 6 (Duties of the Chair of the Committee, etc)** ① The Chair shall represent the Committee, manage overall affairs, and preside over meetings.

② The Chair appoints the members of the Secondary Investigation Committee specified in Article 10.

③ The Vice Chair (Vice President of Academic Affairs) shall assist the Chair and act on his/her behalf if he/she is incapable of performing duties for unavoidable reasons.

**Article 7 (Committee Meeting)** ① The Chair shall convene and preside over Committee meetings.

② A resolution shall be passed based on at least two-thirds vote of the attending members, with a quorum formed with the majority of Committee members.

③ In principle, the meeting shall be held a huis clos but a non-member may attend to state his/her opinions if necessary.

**Article 8 (Expert Advisor)** The Committee can have an expert advisor to support various duties of the Committee.

## **Chapter 3 Degree Verification**

**Article 9 (Degree Verification Procedure)** ① The Committee can investigate the veracity of the report related to the acquisition of a degree by the person being investigated and shall conduct at least 1 investigation for overseas degrees.

② Primary investigations performed pursuant to Clause 1 may be substituted by a degree inquiry service of a state-certified and a private institution.

③ For primary investigations performed pursuant to Clause 2, the President has discretion to delegate the degree verification duties to department of the University without convening the Committee.

④ If the informant provides additional information or if the Committee determines a need for investigation, a secondary investigation may be performed.

**Article 10 (Secondary Investigation Committee)** ① If the Committee determines a need for a secondary investigation, the Committee shall organize the Secondary Investigation Committee with at least 7 members and elect a Chair from among its members.

② The Secondary Investigation Committee shall include at least 4 people with expert knowledge and in-depth experience in the respective field and appoint 2 non-POSTECH members with expertise and objectivity.

③ The Secondary Investigation Committee shall not include anyone who has a conflict of interest with the investigation.

④ If there is an informant, the list of members of the Investigating Committee shall be provided to the informant prior to the start of the investigation. Any justifiable objection raised by the informant against a member shall be sustained.

⑤ The detailed internal rules required by the Secondary Investigation Committee in individual investigative activities shall be determined by the Chair through a resolution of the Committee.

**Article 11 (Method for Submission of Information)** ① The informant may submit information to the Chair or the secretary of the Committee orally, in writing, via electronic mail, or through any other possible means.

② In principle, the informant must use his/her legal name when submitting information.

**Article 12 (Challenge, Exclusion, and Avoidance)** ① If there are circumstances in which fairness in the deliberation and resolution cannot be expected, the person being investigated or the informant may apply for challenge by providing the reasons.

② Any member with direct interest in the respective matter shall not participate in the deliberation or resolution of the matter.

③ Any member to which the conditions under Clause 1 or 2 apply can avoid deliberation or resolution with the consent of the Chair.

**Article 13 (Protection of Procedural Rights)** The Committee shall inform the person being investigated of the related procedures in advance and provide the person with the opportunity to give opinions or explanations on any facts suggested in the course of verification.

**Article 14 (Commencement of Investigation and Period)** ① Upon acknowledging the need for a secondary investigation, the Committee shall organize the Secondary Investigation Committee and start the investigation within 30 days of acknowledging such need.

② The Secondary Investigation Committee shall complete the investigative procedures including the decision within 90 days of starting the investigation.

③ If the Secondary Investigation Committee deems that it cannot complete the investigation within the period set forth in Clause 2, it shall explain to the Committee and request for an extension in writing.

**Article 15 (Request for Attendance and Submission of Data)** ① The Secondary Investigation Committee may request the person being investigated, informant, and reference witness to attend to make a statement. In this case, the person being investigated must accept the request.

② The Secondary Investigation Committee may request the person being investigated to submit data, and the person being investigated shall submit such data unless there are justifiable reasons not to do so.

③ If the person being investigated does not accede to the investigation in Clauses 1 and 2, the Committee may recommend that the President expel, dismiss, discipline, revoke the degree, or reject the appointment of the person being investigated upon the resolution of the Committee.

**Article 16 (Judgment)** ① The Secondary Investigation Committee shall confirm the contents and results of the investigation through an agreement based on the objections raised or contents of the pleading.

② In case an agreement cannot be reached as to the contents and results of the investigation, the matter shall be determined by at least two-thirds vote of the attending members, with a quorum formed with the majority of Committee members.

**Article 17 (Submission of the Report on the Investigation Results)** ① The Secondary Investigation Committee shall submit a report on the main investigation result (hereinafter referred to as "Final Report") to the Committee within 10 days of the date of determination.

② The Final Report shall include the following:

1. Identity of the person being investigated
2. Whether the person being investigated earned the degree through legitimate means
3. Related evidence and witnesses
4. Contents of the objections raised by the person being investigated and the informant, or contents of the pleading and subsequent actions
5. List of investigating members
6. Other required matters

**Article 18 (Conditional Appointment and Admission)** ① If the long duration of the investigation is deemed likely to have an adverse effect on the education, research, or other learning activities of the person being investigated, the Committee may recommend that the President conditionally appoint or grant admission to the person being investigated.

② If the person is found not to have legitimately earned the degree that he or she claims to have earned, the Committee may recommend that the President expel, dismiss, discipline, revoke the degree, or reject the appointment of the person being investigated.

**Article 19 (Protecting the Rights and Confidentiality of the Informant and the Person Being Investigated)** ① Under no circumstances shall the Committee expose the identity of the informant either directly or indirectly, or include the name or other personal information of the informant in the investigation result report except when absolutely necessary to protect the informant.

② If the informant is placed at a disadvantage in terms of status, unfair treatment in working conditions, unjustified pressure, danger and injury, etc., for reporting a wrongdoing regarding acquisition of the degree, the Committee shall provide restitution or take actions required by the informant.

③ The Committee shall take care not to infringe the honor or rights of the person being investigated until the verification of the degree is completed, and once the validity of the degree of the person being investigated is verified, make efforts to recover the impaired reputation of the person being investigated.

④ All matters related to the verification such as report, investigation, deliberation, resolution, and recommendation shall be kept confidential; persons who participated in the investigation directly or indirectly as well as the President of the University and University staff members shall not disclose any and all information discovered in the course of performing the investigation and duties. If a justifiable reason exists for making the information public, however, such may be disclosed after a resolution is passed by the Committee.

**Article 20 (Non-Disclosure Principle and the Right to Request for Information Disclosure)**

① In principle, the final report in Article 19 shall not be disclosed. The person being investigated and the informant may, however, request for the perusal and copy of the final report.

② The Committee shall be amenable to such requests unless there are justifiable reasons not to accommodate such as protection of the informant.

**Article 21 (Action Following the Investigation Result)** ① The Committee shall approve or disapprove the final report within 7 days of receipt from the Secondary Investigation Committee.

② After approving the final report of the Secondary Investigation Committee, which states that the degree that the person being investigated claims to have earned is false, the Committee shall recommend that the President impose penalty or take equivalent measures.

③ If a University member provides falsified information by deliberately or recklessly overlooking facts refuting the respective claim or testimony, the Committee may recommend to the President that appropriate disciplinary action be taken.

④ Detailed matters concerning the disciplinary actions in Clause 2 and the penalties in Clause 4 shall be determined separately.

⑤ Records related to the verification of the degree shall be stored for 5 years after the investigation ends.

**Article 22 (Notification of Result)** ① The Committee shall notify the person being investigated of the result of the degree verification within 5 days of the completion of the primary investigation.

② The Committee shall prepare the decision on the result of the investigation conducted by the Secondary Investigation Committee in writing and immediately notify the person being investigated or the informant.

**Article 23 (Appeal)** ① The person being investigated or the informant may appeal the decision to the Committee in writing by specifying the reason(s) within 30 days of receiving the decision.

② If there is a request for an appeal, the Committee shall determine if it will review the case within 10 days of the request and immediately notify the person being investigated and the informant of the decision in writing.

#### **Chapter 4 Supplementary Provisions**

**Article 24 (Detailed Rules on Operation)** Detailed matters concerning the operation of the Committee shall be determined separately through a deliberation by the Committee.

#### **Addendum**

(Effective Date) These amended rules shall take effect on March 1, 2012.