

# **Standard Operating Guidelines**

## **Chulalongkorn University Academic and Research Integrity Committee**

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### **1. Rationale**

The Chulalongkorn University Academic and Research Integrity Committee, henceforth referred to as the “Committee” or “CUARI”, is a standing commission of Chulalongkorn University, henceforth the “University”, appointed and supervised by the President with the aim of supporting, promoting, and maintaining internationally recognized standards for integrity in the dissemination of academic and research works conducted under the oversight of the University. The Committee shall consider petitions lodged against the academic or research works of University faculty, students, and staff members submitted to fulfill the requirements for graduation, performance appraisal, or academic promotion, as well as those carried out by former University faculty, students, or staff members and thus presumably connected to the University as the original affiliation, that may potentially constitute a violation of ethical standards, including, but not confined to, the following:

- a. Fabrication
- b. Falsification
- c. Plagiarism
- d. Misconduct in authorship
- e. Other types of infringement as deemed necessary by the President

### **2. Scope of authority and duties of the Committee**

The Committee is tasked with raising the level of academic and research integrity among University faculty, students, and staff members.

In addition, the Committee is responsible for accepting inquiries, complaints, and whistleblower cases pertinent to a violation of ethical standards for the dissemination of academic and research works perpetrated by or connected with University faculty, students, and staff members and/or handling other matters as deemed necessary by the President, save those falling under the scope of authority and duties of specifically appointed committees, such as the Ad Hoc Committee for Integrity Consideration Relating to the Academic Appointment Application of Full-time Faculty.

Finally, the Committee is charged with investigating and uncovering facts pertinent to any officially lodged complaint or conducting other duties as assigned by the President. It also

serves to determine the scope of any investigation and collection of information and evidence from the petitioner, respondent, and/or parties concerned, as well as to compile a report on such a matter together with its opinions to be proposed to the President for consideration pertinent to the enforcement of measures to achieve the aforementioned goal of defending academic and research integrity, such as the termination of dissemination or the retraction of an academic and/or research work.

### **3. Structure and formation of the Committee**

The Committee comprises one Chairperson, one Secretary to be recruited from the staff members of the Office of Research Affairs, four Standing Committee Members, and a certain number of Advisors to be appointed by the President.

The Committee is authorized to propose the appointment of an expert or ad hoc sub-committee for the consideration of a specific matter on a case-by-case basis as deemed necessary.

#### **3.1 Term of the Committee**

The term of the Chairperson, Secretary, Standing Committee Members, and Advisors ends when:

1. The term of the President having appointed them expires, and/or the President retires.
2. They are deceased, disabled, or unable to perform their duties for any other reason by the order of the President.
3. They tender an official letter of resignation that is approved by the President.
4. They are withdrawn from the committee by the order of the President.

Meanwhile, the term of an expert and ad hoc sub-committee ends when:

1. Their mission as specified in the appointment order is completed and/or the appointment order expires.
2. They are deceased, disabled, or unable to perform their duties for any other reason by the order of the Chairperson of the Committee.
3. They tender an official letter of resignation that is approved by the Chairperson of the Committee.
4. They are withdrawn by the order of the President.

In the event that the term of the President having appointed them expires and/or the President retires, the appointment to the Chairperson, Secretary, Standing Committee Members, and Advisors remains until a new committee is appointed.

### 3.2 Conflict of interest

Prior to considering a complaint, any member with a potential conflict of interest and/or overlapping interest must notify the Committee of such issue in order for the Committee to consider whether to request that the member vacate the assembly or cease conducting his/her duties. In the event that the person to vacate the assembly is the Chairperson, the Committee shall appoint an acting Chairperson, who may perform all the regular functions of the Chairperson and whose term will expire upon the completion of the consideration of the complaint.

A petitioner and respondent may report his/her potential conflict of interest and/or overlapping interest with the Committee directly to the President.

## **4. Operations of the Committee**

### 4.1 Meetings

4.1.1 The Committee shall hold a meeting at least once a month to devise guidelines for raising the level of academic and research integrity or other related issues as deemed appropriate.

4.1.2 In the event of an inquiry, complaint, or order from the President, the Secretary shall send information about the case to the Chairperson for preliminary consideration by e-mail within three working days of receipt. If the Chairperson or the Chairperson with one or two other members of the Board (on case-by-case basis), finds that the case involves a misconduct of academic work and research, the Secretary shall submit the case(s) to the Committee's monthly meeting for consideration.

### 4.2 Petition submission process

A petitioner or whistleblower case reporter must lodge a complaint in writing, whereby s/he has the right to choose whether to disclose or conceal his/her identity, together with evidence clear enough for the Committee to process the complaint. To raise the matter of a potential violation of academic and/or research integrity, the petitioner or whistleblower case reporter can submit either a completed Petition Form, downloadable from the website of the Office of Research Affairs at <https://www.research.chula.ac.th/research-standard/orai> or a letter of complaint specifying the details of violation of academic and/or research integrity, the

first name, surname, and affiliation of the respondent, supporting evidence, and his/her contact details (should s/he wish to disclose his/her identity) through one of the following channels: 1) in person, 2) by mail to the Secretariat Office of the Academic and Research Integrity Committee, Office of Research Affairs, 6th floor, Chamchuri 5 Building, Chulalongkorn University, 254 Wangmai sub-district, Pathumwan district, Bangkok 10330, or 3) via e-mail to [petition.orai@chula.ac.th](mailto:petition.orai@chula.ac.th).

#### 4.3 Petition review procedure

Upon its receipt of a petition submitted through one of the channels in 4.2, the Committee shall collect all the relevant documents, evidence, and witness details (if any), assess whether the petition comes under the scope of its authority and duties and meets the criteria for a violation of academic and/or research integrity, and notify the petitioner or whistleblower case reporter of the acceptance or rejection of the petition for further consideration.

4.3.1 In the event that the Committee resolves to accept a petition for further consideration, it shall investigate the matter in a confidential manner. The Committee may request, in writing, additional information from the petitioner/ whistleblower case reporter, respondent, and/or parties concerned. In case the Committee invites the petitioner/whistleblower case reporter, respondent, and/or parties concerned to give testimony, the Secretary shall be responsible for recording their verbal accounts in writing and gathering the signatures of the testimony provider(s) and the Committee. This will constitute the judgment report proposed to the President for consideration.

For a matter requiring additional third-party opinions or having a substantial impact on the University, the Commission may propose to the President the appointment of an expert or ad hoc sub-committee on a case-by-case basis as deemed necessary, in which case the expert or ad hoc sub-committee shall present a report on the judgment to the Commission to be summarized and proposed to the President for consideration.

4.3.2 In the event that the Committee decides not to consider the petition further, it shall notify the petitioner/whistleblower case reporter of the grounds for the rejection. Should the petitioner/whistleblower case reporter oppose the decision of the Committee, s/he may send a letter of appeal directly to the President within 15 days after the date of receipt of the petition rejection notification.

#### 4.4 Meetings and voting requirements

All meetings and voting are to be conducted in accordance with the Chulalongkorn University Regulations for Board Meetings 2564 B.E.

#### 4.5 Notification of a decision

Once the Committee has reached the decision on a petition, the Chairperson shall prepare a report on the decision together with copies of relevant documents, evidence, and verbal accounts of all the parties concerned, as well as his/her suggestions on the implementation and enforcement of applicable measures to be proposed to the President for consideration within ten days following the date of the decision. Upon receiving the presidential order, be it to uphold the decision of the Committee or to take another course of action, the Secretary shall notify the petitioner or whistleblower case reporter of such a final judgment in a prompt manner.

#### 4.6 Appeal against a presidential order

The petitioner or respondent who wishes to appeal against the presidential order is entitled to contest the said presidential order in writing by submitting a letter of appeal directly to the President, including the relevant facts, grounds for objection, and legal issues (if any). Upon his/her receipt of the letter of appeal, the President may make a decision on his/her own account and notify the petitioner or respondent of the decision or consider taking one of the following courses of action: 1) returning the appeal to the Committee for reconsideration, 2) establishing another working committee to review the matter, 3) rejecting the appeal, or 4) issuing other orders as deemed appropriate.

#### 4.7 Committee's announcements

To ensure that operations under the scope of its authority and duties as specified in section 2 of the Standard Operating Guidelines are smooth, transparent, and fair to all, the Committee may issue announcements signed by the Chairperson pertinent to the scope of its authority and duties, provided that such announcements do not contravene or contradict the law as well as the rules, regulations, requirements, orders, or announcements of the University having been issued previously.

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President