

THE UNIVERSITY OF QUEENSLAND
(UQ)
AND
INDIAN INSTITUTE OF TECHNOLOGY, DELHI
(IITD)

JOINT PHD PROGRAM

GUIDELINES 2020

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1 Preamble

The University of Queensland (UQ) and IIT Delhi (IITD) have developed a Joint PhD program (the Program), which aims to foster collaborative research and knowledge transfer across the two institutions, and with external partners.

Candidates enrolled in the joint PhD will be located at either the IIT Delhi or UQ campus. Candidates may also be approved to undertake an industry-linked project.

There will be two types of students: *i-students* and *q-students*.

- **i-students** will spend their first year of study at IITD before completing one year (or more) at UQ. They would then complete the remainder of their studies at IITD.
- **q-students** will spend their first year of study at UQ before completing one year (or more) at IITD. They would then complete the remainder of their studies at UQ.

For i-students, IITD will be denoted as the **base institution** and UQ will be referred to as **away institution**. For q-students, UQ will be denoted as the base and IITD will be referred to as away.

All students (i-students and q-students), will receive a Joint Degree of Doctor of Philosophy (PhD) from UQ and IITD, which will signify that the holder of the degree has completed a program of postgraduate research training and has met degree requirements of both institutions.

The candidate will be enrolled simultaneously at UQ and IITD for the duration of the program and will be considered a student at both institutions. Candidates will be required to carry out some coursework and then a program of research supported by a supervisory team composed of supervisors from both institutions. Milestone requirements, to be met at regular intervals, will be used to ensure the candidate's progress in the PhD program.

The Joint PhD Program will include the option for students to be industry-embedded joint PhD students who will work on an industry based project and will be located with the industry partner for part of the program.

Industry-embedded joint PhD candidates will be limited in number to no more than 10% of the PhD cohort. It is expected that all candidates (other than those undertaking an industry-embedded joint PhD) will be enrolled on a full-time basis. Industry-embedded joint PhD candidates will be engaged in the intellectual environment of both institutions and have an advisory team comprised of staff from UQ, IITD and an external partner if relevant to their project.

The Program is governed by the Academy Program and Advisory Committee (APAC), a sub-committee of the Academy Joint Venture Board (JVB). The APAC will ensure the Program requirements of each institution are upheld and advise on candidature related matters.

The Program will be operationalized and managed on a day-to-day basis by the office of the UQ IITD Academy of Research (UQIDAR, also referred to as The Academy or Academy) represented by its officers and the CEO. In the interim, while the UQIDAR office is being set up, the program will be managed by the Office of Dean, Academics at IITD and the Graduate School at UQ.

All candidature management workflows will occur through the UQ Student Portal, which will be available for these joint PhD candidates, UQ supervisors and IITD supervisors of these candidates.

This document lays out the rules and procedures relevant to PhD students in the UQ-IITD Joint PhD Program. During the enrolment of a student in this Program, if any issue arises related to which a rule is not explicitly defined or covered in this document, then the corresponding rules in place relevant to the PhD students of the host institution of the student (UQ or IITD, as relevant), will apply.

2 Program Admissions Criteria

2.1 Overview

All applicants to the Program must meet the eligibility criteria for PhD admission at both institutions (as documented in the relevant sections below), and will be expected to demonstrate a high academic standard to be competitive for entry via the scholarship process.

2.2 Applications Process

The admissions process will usually occur twice a year:

1. In April-May (for a July commencement – Research Quarter 3 at UQ) and;
2. In October- November (for a January commencement – Research Quarter 1 at UQ).

The admissions process will be managed by the Academy Joint Admissions Sub-committee (AJAS), a subcommittee of APAC.

UQIDAR (through UQ and IITD) will release a call for PhD research projects from prospective supervisors (typically in February and August each year, for the July and January intakes, respectively).

The projects will be selected on a competitive review basis by the Academy Management Committee (AMC), based on criteria such as project funding, expected outcomes, supervision capacity and expertise and industry support/involvement.

Successful projects will be advertised on a dedicated website to attract potential PhD candidates.

All applicants will be expected to apply through an online admissions portal. Applicants will be directed to this portal from the Academy website.

As part of their application, applicants must upload transcripts and any other required results, a full academic CV, statement of purpose in response to the project(s) that they have selected (SOPs), publications, referee reports and other relevant material that may be needed by the applications process. In addition, applicants who wish to be considered as i-students will need to upload relevant competitive exam scores (GATE, NET, etc).

As part of the applications process, applicants may choose up to N projects (where N is normally 2 or 3). Supervisors from both UQ and IITD will be provided access to this portal to view applications. Each project will specify the base location (UQ or IITD) where funding is available for the project and applicants would also be able to provide their preference.

Indian nationals and international applicants (with citizenship other than Australia), will be considered for admission as i-students. i-students will spend their first year of study at IITD before completing one year (or more) at UQ. They would then complete the remainder of their studies at IITD. Australian domestic students will be considered for admission as q-students. q-students will spend their first year of study at UQ before completing one year (or more) at IITD.

The Academy Joint Admissions Sub-committee (AJAS) will oversee initial shortlisting of applicants based on academic quality. Detailed applications from the selected applicants (and aligned with specific projects that have been chosen) will then be reviewed by project supervisors.

Based on their own assessments, some (or all) of these applicants for each project will be interviewed by the UQ and IITD supervisors of the project. This interview can be telephonic, via videoconferencing, or through a face-to-face meeting, as decided by the supervisors. Supervisors will rank candidates and provide a recommendation of a maximum of M preferences (where M is usually 2 or 3) for their projects to the Academy Joint Admissions Sub-committee (AJAS).

Shortlisted applicants (both i-students and q-students) will undergo a written test and a joint interview with the Academy Joint Admissions Sub-committee (AJAS). For i-students, this will be conducted in person at IITD and will be linked to UQ via videoconference. Video-conferencing technology will be used for international i-student applicants, as well as q-students. Note that AJAS will look at applicant project preferences and also comments from the supervisors subsequent to their conversations with the applicants.

This admissions process will be reviewed periodically on recommendations that AJAS makes to APAC for its consideration and approval.

After each selection round, AJAS will submit its recommendations to the APAC which will consider these recommendations and approve applicants to proceed to an offer. Successful applicants will be issued an offer letter by the Academy, which will be based on the standard offer letters from UQ and IITD.

2.3 Offers will always be “conditional offers of candidature”. These conditional offers will only be confirmed subject to receipt of original certified

transcripts and further documentary evidence as requested by AJAS. Students will be required to accept their offer in line with deadlines noted in their offer letter. Subject to approval by the supervisory team and AJAS, students may request to defer the commencement of their program by up to one (1) year. Industry-embedded candidates

The program will also admit industry-embedded candidates who will work with industry partners. Industry-embedded applicants must meet all the of standard entry requirements of the Program and can commence in either intake.

The industry partner will be required to write a letter of recommendation regarding the suitability of the candidate for industry-embedded PhD, which will be considered by the Academy Joint Admissions Sub-committee (AJAS). The applicants will need to meet standard admission requirements. All industry-embedded applicants will need to be considered under a UQIDAR Industry Partner Agreement.

2.4 Minimum qualifications

All applicants must meet certain requirements for consideration for entry into the joint PhD program, noting that since this is a competitive program the standards for admission may be higher than the minimum.

The notes that are provided below separate out the specific requirements that applicants must satisfy for being considered as i-students and q-students:

i-students:

Qualifying Degree	Minimum Marks/Grades for Eligibility (primary method of evaluation to be considered)	Scores in public examinations*
Master's Degree in Engineering / Technology	(a) CGPA of 6.50 on a 10.00 point scale (b) Aggregate percentage of 65% (c) First Class (wherever awarded)	No requirement. However, a high score in GATE, UGC-NET, CSIR, ICAR, ICMR, DST-INSPIRE will be given due consideration.
Bachelor's degree in Engineering/Technology	(a) CGPA of 8.00 on a 10.00 point scale (b) Aggregate percentage of 80% (c) First Class (wherever awarded)	No requirement for candidates from CFTI's. For others a High score in GATE, UGC-NET, CSIR, ICAR, ICMR, DST-INSPIRE
Master's Degree in Sciences	(a) CGPA of 6.50 on a 10.00 point scale (b) Aggregate percentage of 65% (c) First Class (wherever awarded)	High score in GATE, UGC-NET, CSIR, ICAR, ICMR, DST-INSPIRE

Master's Degree in Arts or Humanities	(a) CGPA of 6.50 on a 10.00 point scale (b) Aggregate percentage of 65% (c) First Class (wherever awarded)	High score in UGC-NET
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NOTES:

- While it is not a requirement that all candidates possess a valid GATE, GRE, NET, CSIR score (or scores of any competitive entrance test carried out in India or elsewhere), it is expected that successful applicants will have a good score in any of these many exams in order to be competitive.
- Candidates without a valid GATE score or CSIR/UGC/DBT award *can* be considered for admission to the joint-PhD program *if* they have a minimum of two years of professional work experience in lieu of GATE score and *if they meet all other eligibility requirements*.

Additional points to be noted:

- For purposes of comparison, it is understood that a Bachelor's degree in Engineering / Technology is an 8-semester program with course components including basic sciences, engineering fundamentals, and specialization in a chosen discipline.
- For purposes of comparison, it is understood that a Master's degree in Engineering / Technology is a 4-semester program with specialization in a chosen discipline, and a significant research component.
- A 4-year Bachelor's degree in Sciences, Arts or Humanities will be considered at par with a four years Bachelor's degree in Engineering / Technology, for purposes of comparison.
- For i-students applying from countries other than India, a high score in any national (in the candidate's home country) or international examination (such as GRE) will be given due weightage, in lieu of public examination required listed in the Table above.
- Candidates who have been awarded a CSIR/UGC/DBT Research fellowship (government fellowships) are encouraged to apply.
- For Arts and Humanities disciplines, a M. Phil. degree will be considered as par with a Master's degree in Engineering / Technology (and hence will have only minimum marks / grades requirement and no requirement of public examinations).

q-students:

- A bachelor's degree with Honours class IIA or better from approved universities, which should include a relevant research component, or
- A research master's degree, or
- A coursework master's degree and an overall GPA (grade point average) equivalent to 5.65 on the 7-point UQ scale, which should include a relevant research component, or

- A postgraduate degree of at least one year full-time equivalent with an overall GPA (grade point average) equivalent to 5.0 on the 7-point UQ scale, together with demonstrated research experience equivalent to honours IIA will be considered for PhD entry on a case by case basis.
- A bachelor's degree plus at least two years of documented relevant research experience, including research publications.

All applicants must undergo:

- an interview with supervisors from UQ and IITD,
- a written test, which will include an assessment of ability to critically assess a research paper,
- an interview with AJAS which includes an assessment of their English proficiency.

If an applicant's qualifying degree was in a language other than English then the student needs to demonstrate English proficiency as follows:

- IELTS: Overall Band Score of 6.5 AND a minimum score of 6 in each sub-band of Writing, Reading, Speaking and Listening; or
- TOEFL (Internet-Based-iBT): Overall score 87 with a Writing score of 21 and Reading, Speaking and Listening scores of 19; or
- TOEFL (Paper-based): Overall score of 570 and a minimum score of 5.0 in the Test of Written English (TWE) and 54 in Listening and Reading; or
- PTE: Overall score of 64 with 60 in each communicative skills section; or
- CAE/CPE: Overall Cambridge English Scale (CES) score of 176 with a minimum score of 169 in each skill; or
- BEP: A minimum overall grade of 4 plus a minimum grade of C in all four macro skills.

Deeming of acceptable proficiency on the basis of previous work and study experience may be granted upon application.

It should be noted that these are the minimum acceptable entry criteria for admission into the Program. Applicants may be expected to demonstrate higher levels of achievement to be competitive for project and scholarship selection.

3 Enrolment and Fees

Each enrolled candidate must have an individual student agreement that sets out the funding, student and project location (as far as is known) and supervisory arrangement.

3.1 Enrolment

Candidates enrolling in the joint program will be enrolled and supervised in academic units at both institutions.

3.2 Concurrent enrolment

Concurrent enrollment with other programs at IITD or UQ will not be permitted with this program.

3.3 Enrolment status

All students will be enrolled full-time in the joint PhD. This means that they will be spending their entire productive work time working on the PhD program, while directly reporting to the home or away institution, depending on their location. They should not be pursuing any other form of employment or study anywhere else while they are enrolled in the UQ-IITD Joint Degree program.

Enrolment type is full-time. Applicants will only be permitted to enroll part-time in special circumstances such as medical or personal reasons - see

<https://ppl.app.uq.edu.au/content/4.80.01-uq-and-rtp-research-scholarships> (Section 14.5)).

It is not possible to interrupt candidature (pause enrolment) for this program. Candidates who are unable to progress for any reason should contact their supervisors of the Academy for advice.

Industry-embedded candidates will not be considered as part-time students as they will work full time on their PhD while being embedded in industry, typically in R&D labs.

Industry-embedded students will complete their coursework at their base institution.

Industry-embedded students (and the external supervisor) must guarantee and ensure that they are able to devote the equivalent of a full-time workload to their PhD research program. It is the responsibility of the external supervisor as well as the UQ and IITD supervisors to ensure that, while it is recognized that the candidate will carry out work as part of their regular employment with the Industry Partner, the industry-embedded candidate has sufficient time to devote to the pursuit of their research as part of the program. An undertaking to this effect, signed by the concerned authority from the Industry Partner, must be submitted by the industry-embedded student to the APAC at the time of admission.

(It may be noted that in the terminology used in IIT Delhi for their own (non Joint-PhD) research scholars, a “part-time” student is one who works in another company or institution while pursuing PhD in IIT Delhi.

See http://www.iitd.ac.in/sites/default/files/semsch/CouStudy_20192020.pdf

Thus, an “Industry-embedded student” in the UQ-IITD program is like a “part-time” student in the IIT Delhi program.)

3.4 Fees

Fees will be set out in the offer letter for each candidate.

i-students - IITD PhD student fees apply for the duration of the program. A tuition fee scholarship will be provided for the duration of their study at UQ.

q-students – receive a UQ tuition fee scholarship for the duration of the program.

Fees for an industry-embedded PhD will be covered under an Agreement(s) between the IITD, UQ and the specific Industry Partner. The agreement would be managed by the Academy and the external Industry Partner will need to pay the industry-embedded candidate their scholarship/stipend as agreed directly with the candidate.

In addition, the external Industry Partner will fund UQIDAR any project-related expenses and other costs as negotiated in the agreement between the Industry Partner and the joint venture Board of UQIDAR.

All students pay fees only at their base institution.

The IITD Fee structure is listed in Section 14.2.

4 Candidature progression

An Academy Student Milestone Committee (ASMC) will be established for each student prior to confirmation, made up of one academic staff member with subject matter expertise from each institution, the 2 supervisors , plus a Chair from the base institution. This proposed constitution of the ASMC is the minimum requirement, and depending on the research topic or the specific requirements of the student, the ASMC may be expanded. The ASMC should be established as soon as the candidates joins the program, and not later than 2 months after the date of enrolment. The ASMC for every student will be endorsed by the APAC.

Milestones will take place in accordance with the expectations of both institutions, and as captured in this joint-PhD guidelines document. Confirmation of candidature must be completed prior to the candidate departing their base location. If candidature is not confirmed at the base location, the candidate should remain and complete this before travelling to their away location.

The operationalising of the candidature management will be handled by the candidature management portal at UQ and all forms/requests will handled by ACOS. All candidates,

supervisors (including IITD supervisors) and ASMC members will have access to the candidature management portal. Supervisors will need this access to endorse requests.

All forms/requests relevant to a candidate will be periodically sent to IITD for the purposes of archival.

4.1 Coursework considerations

Coursework requirements should be tailored taking into account the student's background and the requirements of the project and determined on advice from the supervisory team (UQ and IITD supervisors). The coursework will need to be endorsed by the student's ASMC and will need approval of the APAC (or one of its sub-committees).

It is expected that any required coursework is completed prior to confirmation and fulfilling this requirement then meets the confirmation milestone at both institutions.

i-students (who commence their program at IITD) who:

- start with a Bachelor's degree in Engineering are required to complete 20 credits of coursework (which corresponds to 5 courses at UQ), taken over a maximum of 2 semesters of study.
- start with a Master's degree in Engineering or a research Masters (MPhil) need to complete 6 credits (2 courses at UQ), taken over a maximum of 2 semesters of study.
- start with a Master's degree in Science, or Masters in Arts or Humanities or Business, need to complete 20 credits of coursework (which corresponds to 5 courses at UQ), taken over a maximum of 2 semesters of study.

To meet confirmation, i-students are expected to complete their coursework requirements with a CPI/CGPA of 7.5.

- q-students (who commence their program at UQ) will be required to undertake coursework, as specified by the student's ASMC (up to 4 courses).

4.2 Milestones

The annual milestone progress is assessed on the basis of:

- written reports
- an oral presentation to ASMC and other invited members (in person or via videoconf link),
- an interview with the ASMC panel.

In addition, all students must submit a progress report mid-way between each milestone (every 6 months) to the ASMC for review. A template for this will be made available. If the ASMC requires, then this progress report may also be associated with a oral presentation / evaluation.

Confirmation (12 months)

The purpose of this milestone is to ensure that:

- the candidate receives appropriate feedback in relation to the viability and progress of the research project,
- the candidate has sufficient training and that there are resources available to complete the program within the recommended timeframes, and
- composition of the advisory team is appropriate.

The confirmation milestone requires students to have a fully developed, viable, research plan and be able to deliver a presentation to explain this. This must be successfully completed prior to travelling to the away institution.

Evaluation of research-in-progress takes place at the end of that first year, as a part of a candidate's confirmation milestone.

To be confirmed as a candidate in the program, all students must:

- complete all prescribed coursework at their base location;
- must present a satisfactory research proposal; and
- complete any other requirements set by the ASMC, including an oral and/or written examination to assess the candidate's progress and their general background preparation in the chosen field of research

The research proposal would normally be about 20,000 words (as a guide) and will be expected to include:

- a prospective thesis title,
- a clear and unambiguous statement of a challenging research problem,
- statement of a preliminary hypothesis,
- a preliminary literature review,
- statement of research procedures and methodologies,
- indication of any ethics clearances that are likely to be required,
- a timetable for completion, bibliography,
- a list of potential outputs/publications that are likely to be completed, and,
- publications that were completed during probationary candidature.

Mid-candidature review (24 months)

The purpose of this milestone is to ensure that:

- the project is on track for completion within candidature duration,
- the candidate's research and other professional skills, including research communication, are developing appropriately, and
- composition of the advisory team is appropriate.

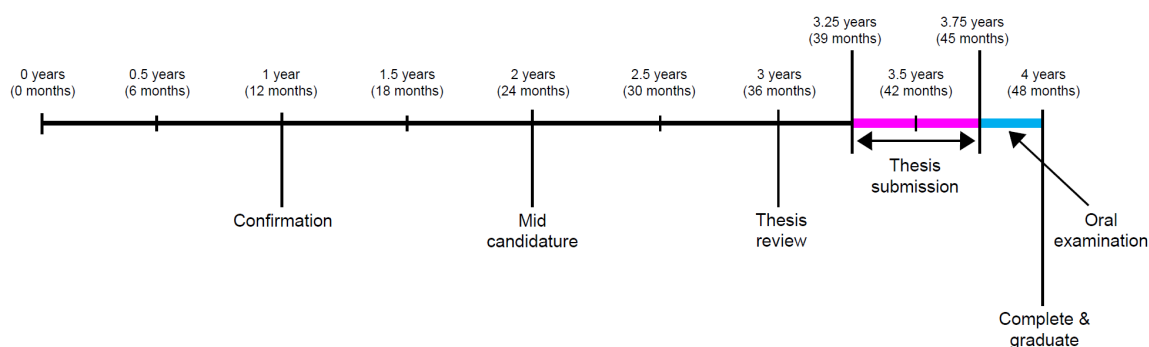
Thesis review (36 months)

The purpose of this milestone is to ensure that:

- the work is of a standard to be examined by the expected submission date,
- appropriate feedback about the readiness of the thesis for examination can be given,
- any issues or concerns with the thesis requiring attention can be addressed prior to submission,
- the scope, originality and quality of the thesis are of an appropriate standard,
- there is a forum for discussing the mix of disciplinary knowledge required among the thesis examiners to review the breadth of work contained within the thesis,
- the candidate and the advisors have an opportunity to express any reservations or concerns about having any particular individual act as an examiner and the nomination of a chair of examiners can be discussed, and an initial set of potential examiners for the thesis can be arrived at,
- the candidate has an opportunity to request an oral thesis examination in addition to a written examination.

Attainment of a milestone is approved once the ASMC milestone report is completed and uploaded to the Candidate Portal and endorsed by the student and supervisor.

PHD CANDIDATURE PROGRESSION



Note that a maximum of two extensions, each of three months, are possible if required for research related delays. All such requests must be made through the ASMC and endorsed by the APAC.

5 Conditions of Candidature

5.1 *Candidature duration for students*

The usual program duration is a minimum of 3 years (36 months) and a maximum of 4 years (48 months), inclusive of the duration for coursework.

In exceptional circumstances, the APAC, on the advice of all the relevant academic units, may approve a reduction of the minimum period. Such requests will only be considered where there is substantial and strong evidence of exceptional progress.

5.2 *Leave/interruption from candidature*

Candidates can apply for interruption to candidature for a minimum period of 2 weeks up to a maximum period of 12 months.

q-students may apply for leave as allowed in:

<http://ppl.app.uq.edu.au/content/4.60.10-higher-degree-research-leave-and-interruption-candidature>

i-students may apply for leave in line with the leave policies of IITD research scholars/PhD students.

For industry-embedded students, a candidate's leave entitlements are expected to be in line with Industry Partner's (the external employer's) leave regulations and these entitlements must be agreed in conjunction with the external and internal supervisors.

5.3 *Withdrawal from candidature*

Candidates may withdraw voluntarily from the program at any time by advising the APAC and base institution in writing. Candidates are encouraged to discuss plans to voluntarily withdraw with their advisory team and/or the APAC (or its relevant subcommittee) to ensure any suitable alternatives have been considered.

Candidates who wish to recommence study after they have been withdrawn must submit an application to re-enrol. All such applications will only be considered with approval from the APAC, upon evidence of the ability to successfully complete the program, including if any previous barriers have been remedied and a plan to successfully complete is provided.

5.4 Duration of scholarship

Students will receive a scholarship for the duration of their candidature of 4 years.

Industry-embedded candidates will not receive a scholarship from the program. It is the expectation of the program that these candidates will be paid a salary by the external Industry partner (their employer).

5.5 Time to be devoted to research and study

Full-time status is the equivalent of a standard five day working week, usually between the hours of 9.00am to 5.00pm Monday to Friday for at least 48 weeks per year with public holidays excepted.

5.6 Away study component

It is a foundation requirement of the program that a student undertake a period of study away from their base location. For i-students their base location is IITD and their away location is UQ. For q-students their base location is UQ and their away location is IITD.

The away study component of the program is a *minimum* total of 12 months and may extend longer if recommended by the supervisors of the project and funding is available.

Generally, the away study component will be the the year-2 of candidature, following confirmation.

The visa process can take up to 4 months so planning well ahead of time is advised.

Any potential issues that could result in a possible rejection of a visa to visit the away country must be highlighted early by the candidate at the time of enrolment/recruitment.

Failure to receive a visa to the away country could result in a candidate being unable to fulfil an essential requirement of the program.

5.7 Students located at partner institutions

In addition to industry-embedded candidates, other candidates enrolled in the program may seek approval to undertake some part of their research at approved off campus sites (away from either UQ or IITD) where they may be better able to progress their research. These sites may be

approved on the basis that they allow access to specialised facilities (like an animal house or a glass-house or a synchrotron) or other such specialised research infrastructure and resources.

Industry-embedded candidates will be deemed to be carrying out their research project at an off-campus site. Thus, the conditions laid out herein for other off campus sites, applies to the work place of industry-embedded candidates too. Relevant risk and OH&S assessments of any site must be undertaken prior to a candidate commencing project work.

Such off-campus sites may also be the location of an *Associate Research Partner* of the UQ-IITD joint-research program, an approved external supervisor for the candidate. In such cases, in addition to the candidate's UQ and IITD joint supervisors, a suitable research site supervisor who is to be appointed will be assessed and approved by the AJAS.

Where any research undertaken at another research site, the APAC must approve and record that the site provides a conducive research environment and that all necessary OH&S protocols and assessments have been undertaken, including that adequate resources and research expertise is available.

These approvals will be made on a case by case basis and a register of these will be maintained by the APAC.

Students who carry out their study at off-campus sites will be expected to discuss their research progress regularly with both their UQ/IITD and their site-based external supervisors in person, at least twice every calendar month.

5.8 Employment

Scholarship recipients at UQ may undertake additional work commitments or paid employment within the hours specified and only with the approval of the advisory team, and APAC and up to a maximum of 270 hours per year.

Industry-embedded students are recognized as being employed by the Industry Partner.

The candidate's supervisors must be informed of all of their external employment/work requirements and be satisfied that any (part-time) work undertaken by the student will not adversely affect the candidate's research/study program and progress.

At IITD, for i-students, additional work commitments (in the form of TAs) may be required as an expectation of the scholarship. This is estimated to be up to 8 hours per week. This work may include work of academic nature, such as correcting tutorial sheets, helping in conducting tutorial or laboratory sessions, grading of assignments, help with preparation of course material, etc. Assignment of this work would be left to the IITD supervisor of the i-student.

Any rules applicable to the scholarship of research scholars of IITD would also be applicable to i-students of the UQ-IITD program.

5.9 Ethics approval

All candidates must gain all necessary human, animal and biosafety ethics approvals from both institutions. If either institution does not have the necessary approvals processes, the other institution's approvals process will be used. Candidates will also need to be appropriately inducted in terms of Occupational Health and Safety and any other requirements necessary. Details for UQ requirements are specified at:

- <http://uq.edu.au/research/integrity-compliance/human-ethics> and
- <http://uq.edu.au/research/integrity-compliance/animal-ethics/>
- <http://ppl.app.uq.edu.au/content/2.-workplace-health-and-safety>

All i-students will have to sign "The Honour Code" at the time of their first registration at IITD (template is displayed in the inside back cover of the Courses of Study: http://www.iitd.ac.in/sites/default/files/semsch/CouStudy_20192020.pdf), and adhere to it during their entire registration as UQ-IITD Joint PhD students. All UQ-IITD students will also need to adhere to any notifications brought out from time-to-time by the Standing Committee for Prevention / Investigation of Plagiarism Related Matters, the Committee on Ethical Considerations involved in Research on Human / Animal Subjects, and the notifications brought out the EHLSU Unit of IITD, during their residence in IITD.

6 Changes to candidature

6.1 Extension of candidature

An extension of candidature will normally only be considered where research has been delayed by circumstances beyond the candidate's control, for example equipment breakdown, change in research direction, change in supervision, or illness of candidate.

A maximum of 2 extensions to milestones of up to 3 months each may be approved.

Note that it is expected that students will submit their thesis in 3 years and 9 months. Extension requests beyond this will be dealt with on a case-by-case basis by APAC. A request for such an extension must be made in writing, with support from supervisors, to the APAC before the 3.75 year timeframe.

6.2 *Studying away from UQ and IITD*

In all cases (other than annual leave), the candidate will require prior written permission to pursue research at a site other than their base location or their away location.

Such requests will not be approved in the first 6 months of candidature. Requests must be supported by supervisor statements and justification and lodged with the APAC for decision and recording on the student's record.

For periods of two months or more, suitable arrangements must be put in place for the student's supervision and this will be recorded with the approval.

A maximum period of 12 months study away may be approved, although in exceptional circumstances this may be extended to 18 months. For absence longer than six months, six-monthly reports should be submitted.

The Academy must be notified of the candidate's return from studying away.

6.3 *Transfer from one academic unit/faculty to another*

Under exceptional circumstances (e.g. either the UQ or IITD supervisor leaving an institution or no longer able to provide supervision) candidates may be able to transfer to a new supervisor and/or academic unit during the course of their candidature.

The candidate must apply for approval for alternative supervision from APAC.

Transfers of supervisor and/or academic unit will be permitted by APAC with appropriate justification that the new arrangements will satisfy requirements and not impact adversely on the candidate's progress.

A candidate's candidature, including milestone due dates, is generally unaltered with a change of supervision. If required, this can be extended with approval from APAC, and would only be approved for research related reasons.

It may be noted that the option of transfer will be exercised only under exceptional circumstances.

6.4 *Termination of candidature*

If a candidate fails to make adequate progress, including meeting all milestone expectations, they may be withdrawn from the program.

i-students must achieve a 7.5 CGPA in coursework and q-students must achieve a GPA of at least 5.5 in any required coursework. If candidates do not achieve this, they will be deemed to not have fulfilled the requirements of the milestone and to not be making satisfactory progress. Two

'unsatisfactory' results obtained in consecutive semesters for the milestones will prompt a review of candidature and could result in withdrawal from the program.

In cases where termination may be required, the APAC will collect all relevant documentation and make a determination. The Academy would then issue a notice of withdrawal on behalf of the two institutions.

At IITD, a student entering the UQ-IITD Joint Degree program from another IITD program in which the student may have surplus course credits, may seek partial waiver of the coursework requirements in view of the surplus course credits earned in the previous program. This option is not available at UQ.

Termination in PhD requirements in either program results in termination of enrolment in this Joint Program.

6.5 *Transfer between programs*

Should a candidate wish to discontinue with the program, they should seek advice from their base institution. The project and scholarship is provided for this program only and must be relinquished if exiting the program. Transfer from the joint PhD to a single PhD at either UQ or IITD may be possible with approval from that Institution. Transfer from a single PhD into the joint PhD UQ-IITD program will not be permitted.

As an exception, candidates who have a Provisional Offer under the DST-INSPIRE selection process may seek admission to IITD as a PhD student, and on selection, may be offered provisional admission to the PhD program as a regular IITD student. The candidate may then prepare the short research proposal required by the DST-INSPIRE selection process, under joint supervision of supervisors from IITD and UQ, and can also apply formally to the UQ-IITD Joint PhD program. In case the candidate receives the final offer under the DST-INSPIRE scheme, he/she may be considered for admission under the UQ-IITD program. On selection in the UQ-IITD program, registration of the candidate will be transferred from IITD to UQ-IITD Research Academy.

7 Duty of care to candidates

All candidates must be offered a safe and supportive environment during their candidature. We agree to offer all candidates will have the same level of access to facilities enjoyed by other students enrolled at each institution. This includes in particular, equivalent access to IT equipment, library facilities, and support services.

8 Completions and awards

Upon successful completion of the program, students will be conferred with one degree, issued as a 'dual-badged' testamur, which states the name of both providers that are awarding the qualification.

9 Student Grievance Resolution

Where a candidate has a grievance or complaint the following principles should apply (see PPL 3.60.04 - <http://ppl.app.uq.edu.au/content/3.60.04-student-integrity-and-misconduct>):

1. the resolution of student grievances should be handled informally where possible and appropriate;
3. student grievances will be addressed as close as possible to the source of student dissatisfaction;
4. a student is entitled to appeal to the next most senior decision maker, providing they can either supply new or additional information to support their case or they can substantiate an argument as to why the original decision did not comply with University's policies, rules or procedures. (It is not sufficient to simply disagree with the decision and to want it examined by a more senior staff member);
5. grievances will be resolved expeditiously;
6. a student will not suffer any reprisal as a result of lodging a grievance or an appeal;
7. a student who lodges a grievance that is frivolous and/or vexatious, will have their grievance dismissed or discontinued. Such conduct may be considered as misconduct and investigated at UQ under the [Student Integrity and Misconduct Policy](#) and at IITD under the Student Honour Code (http://www.iitd.ac.in/sites/default/files/semsch/CouStudy_201819.pdf)
8. a i-student or an a-student during residence in IITD, may seek help, if required, from the Standing Committee on Student Grievance Redressal. In case the grievance is regarding a matter of sexual harassment, then the Internal Complaints Committee should be approached without delay.
9. a student attending an interview associated with resolving their grievance or appeal may be accompanied by a support person. This person must not be a legal representative or a currently practicing solicitor or barrister.
10. the student grievance process will promote the principles of procedural fairness and natural justice;

11. grievance procedures and the support available to students will be widely publicised to facilitate access to the grievance resolution process;
12. a student may choose to have their grievance reviewed by an external complaint handling process. The University will not continue further consideration of matters where the process options have been exhausted or where the student has taken their grievance to an external agency.

As a general rule grievances should be investigated and resolved in accordance with the procedures at UQ or IITD, depending on the location of the student at the time of the grievance. Students are expected in the first instance to attempt to resolve any matter informally with the individual closest to the source of the decision or grievance. However, where this is not practicable or a student believes the matter remains unresolved, the student may choose to lodge a formal grievance, or to make a formal appeal.

10 Student integrity and misconduct

The general principle that the rules of the institution where the alleged general or research misconduct took place will normally apply.

If the misconduct is alleged to have taken place across the two institutions, the APAC will determine the jurisdiction under which the alleged misconduct will be investigated.

The relevant UQ Policies and Procedures:

<http://ppl.app.uq.edu.au/content/4.20.10-research-misconduct-higher-degree-research-students>

<http://ppl.app.uq.edu.au/content/3.60.04-student-integrity-and-misconduct>

The relevant IITD Statute is present under IITD Policy, enshrined in the “Honour Code” that all students will need to sign at the time of admission. The Honour Code is extracted in the back cover of the online document:

http://www.iitd.ac.in/sites/default/files/semsch/CouStudy_201819.pdf

11 Supervision

Each candidate must have at least one supervisor at UQ (the UQ co-supervisor) and one supervisor at IITD (the IITD co-supervisor) at all times during enrolment in the program, appointed according to the rules of their respective institution.

Supervisors are identified at the time of application and confirmed at enrolment. Some candidates may additionally have external (normally Industry Partner) supervisors.

It is the responsibility of the relevant academic units at both UQ and IITD to ensure that the appointed supervisors are suitable.

Approval workflows for candidates will be separated into critical and non-critical requests/forms. Critical requests will require both co-supervisors (from UQ and IITD) to approve. Non-critical requests/forms will just need the approval of the local supervisor at the time the request is made (ie., when the form is generated).

The operationalising of the candidature management will be handled by the candidature management system and handled by ACOS.

In the case of industry-embedded candidates, the APAC must ensure that there is a local (industry based) external supervisor in addition to the internal co-supervisors. While the industry supervisor may not always be able to be accredited as a formal supervisor of either UQ or IITD (or both) they are critical in the support of the candidate.

- The external supervisor must be available on site to support the student and is responsible for ensuring that the candidate has sufficient resources at their disposal to be able to carry out their research.
- The external supervisor must be aware of the program's supervision codes of practice.
- The external supervisor must also ensure that the candidate is able to devote the prescribed minimum period of time during employment to their research program.
- The external (industry) supervisor needs to demonstrate clear evidence of leadership in guiding creative/research work. Such evidence could be in the form of publications, projects led by the supervisor, patents and other clear examples of well-acknowledged original work.

Responsibilities of all supervisors:

- It is the responsibility of supervisors to maintain a healthy and professional relationship at all times with the candidate.
- The supervisor's provides direction of the research work in accordance with policy at all times.
- It is the responsibility of the co-supervisors to jointly endorse all requests pertaining to the student's candidature.
- It is the responsibility of the co-supervisors to liaise with the APAC and provide all necessary documentation in support of cases (or not) made to the APAC by the student throughout their candidature.
- In the event of disagreement between supervisors or between supervisor(s) and student, the ACOS will provide advice and recommend a solution to the APAC.

12 Intellectual property

IP arrangements should conform to the IP Principles and Policies of the Joint-PhD Program IP Policy whether the IP is generated by a normal candidate or an industry-embedded candidate. IP matters are as specified in the UQ – IITD Academy of Research (UQIDAR) Student IP Deed and also any agreement between UQ, IITD and the relevant external Industry Partner (if any). Any IP agreements (and student IP Deeds) need to be agreed to before candidature commences.

With a view to being able to address industry needs most appropriately, it is recommended that both institutions enable the UQIDAR CEO to discuss IP-based partnerships directly and confidently with industry.

This is achieved by i-students assigning their IP to IITD and q-students assigning their IP to UQ. Students will need to assign their IP as part of their commencement/induction process. With this in mind, students should receive IP documentation as part of their offer letter. The copyright to the thesis remains with the student.

IITD is the owner of the IP generated by academic researchers through their employment at IITD and UQ is the owner of the IP generated by academic researchers through their employment at UQ. If net revenue is generated from commercialisation of the assigned Project IP, staff and students will participate in the revenue sharing scheme of their Base Institution (for the purposes of IP, the Base institution of an i-student is IITD and the Base institution of an a-student is UQ).

All Intellectual Property generated from UQIDAR Projects shall be managed by an **IP Protocol** endorsed by the UQIDAR Board.

IITD and UQ jointly own any IP and, based on the advice of an IP sub-committee (comprising members from FITT and UniQuest), would make a decision on which institution prosecutes any particular IP – either UniQuest or FITT.

Variations to the sharing of proceeds would need to be approved by the JVB (on advice from the Academy Management Committee) on a case-by-case basis.

13 Thesis Examination

At the completion of the Thesis Review milestone, the Supervisors nominate six suitable examiners. In doing so the supervisors should be aware of the following **Conflict of Interest (CoI) Guidelines** that may lead to the exclusion of certain examiners:

Professional

- Examiner is in negotiation to directly employ or be employed by the candidate or advisor;
- Examiner was a candidate of the advisor within the past 5 years;

- Examiner has directly employed or been employed by the advisor or candidate within the past 5 years.
- Examiner has co-authored a paper with the candidate or advisor within the last 5 years;
- Examiner has worked with the candidate on matters regarding the thesis, e.g. previous member of the advisory team;
- Examiner has acted as a referee for the candidate or advisor for employment;
- Examiner has co-supervised with the advisor in the past 5 years;
- Examiner holds a patent with the advisor granted no more than 8 years ago and which is still in force;
- Examiner holds a current grant with the advisor.

Personal/Legal

- Examiner is legally family or known relative to the advisor or candidate is a legal guardian or has power of attorney for the advisor or candidate.

Other

- Examiner has a formal grievance with either institution;
- Examiner is a current academic staff member or has a current Honorary, Adjunct or Emeritus position at either institution.

The examples provided above are indicative and are not considered exhaustive. Supervisors should declare any conflicts in the nomination form and the APAC will assess and manage these appropriately.

Supervisors submit their suggested **six examiners** to the ASMC for approval. Supervisors may be requested to provide more examiners if required.

The Deputy Chair of APAc will handle the thesis examination process and confirms the two examiners to be used for the examination.

The thesis is sent, requesting reports be provided within 5 weeks and an indicative oral examination date is set a further two weeks after this (7 weeks from reports sent).

Examiner reports will indicate if the candidate should proceed to an oral examination. If confirmed to proceed, the oral examination date is confirmed and arrangements for the session are made. If not, the student is given up to 6 months to revise and resubmit the thesis for a second examination.

The procedures for the conduct of the oral examination (viva voce) will follow those of the base Institution.

Examination outcomes:

1. Pass (with minor changes),
2. Pass (with changes),
3. Revise and resubmit the thesis,

Repeat the oral examination, or

4. Fail, (after the second examination only).

On the second examination, if one examiner indicates a “Fail” (4), the thesis is sent to another examiner from the set of 6 examiners.

If both examiners “Fail” the thesis, the thesis is deemed to be “Failed”.

14 Appendices

14.1 Governance of UQIDAR

Document attached.

14.2 IITD Fee Schedule

For all i-students in UQIDAR program, Semester Fees payable at time of admission is Rs. 31,950, in cases where students avail the hostel facility at IIT Delhi. In cases where students do not avail hostel facility, the fee payable is Rs. 21,950 (payable at the time of admission).

Rs. 9,650 is payable every subsequent semester. Of this, the Tuition Fee is Rs. 5,000 and the rest are other charges. Hostel fees are chargeable at Rs. 10,500 in addition (per semester), for those availing hostel facility.

Details of fee schedule (along with hostel fees) are available online at:

<http://www.iitd.ac.in/sites/default/files/semsch/prospectus-2018-19.pdf>

(see page 22-23 of the document).