

Dual Award and Jointly Awarded Doctorates

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1.0 Purpose

This Procedure supports the *Higher Degree by Research Policy* by detailing the establishment and candidature requirements and processes for dual award doctoral arrangements and jointly awarded doctoral programs involving Griffith University and international partner universities. The procedure should be read in conjunction with the *Academic Delivery with Other Parties Policy* and associated procedures.

2.0 Scope

This Procedure applies to dual award doctoral arrangements and joint award doctoral programs involving Griffith University and international partner institutions.

The term '**dual award doctorate**' refers to an arrangement where a doctoral program (*Australian Qualification Framework* (AQF) Level 10) is delivered collaboratively by Griffith University and an international higher education provider whereby:

- candidature is shared between the collaborating institutions, with supervision provided at each;
- the candidate submits a single thesis to both institutions; and
- testamurs from each institution are issued upon conferral of award, both recognising that the program was undertaken as part of a dual award.

The term '**jointly awarded doctorate**' refers to a collaborative award program where the content and delivery of the PhD program is designed by two institutions, as well as the assessment of learning outcomes and requirements for awarding the qualification. A jointly awarded doctorate is undertaken at Griffith University and an international higher education provider and the award is conferred with a single testamur badged with both institutions' seals. Refer also to section 3.7.3 of the *Qualifications Procedure*.

The procedure does not apply to arrangements where:

- candidates are jointly supervised by a staff member at an international institution (refer to external supervision requirements in the *Higher Degree by Research (HDR) Supervision Procedure*); or
- candidates are undertaking part of their research at an international institution but where no formal collaborative agreement is in place for the joint conferral of the award (refer to study away requirements in the *HDR Enrolment and Variations to Candidature Procedure* and the procedure that applies to visiting student researchers set out in the *Adjunct, Honorary or Visiting Academic Appointments Procedure*).

3.0 Procedure

Griffith University may establish dual award PhD arrangements or joint award doctoral degrees where they are beneficial to the University and its HDR candidates through:

- Expanding and strengthening research collaborations between two institutions;
- Enhancing the candidature experience through exposure to multiple research environments and research training opportunities and/or by benefitting from complementary supervisory expertise and facilities.

3.1 Requirements

An institutional dual award doctoral arrangement or jointly awarded doctoral program should only be established where it can be demonstrated that all of the following requirements are met:

- there is an existing relationship with the partner institution as evidenced by an agreement (for example, a Memorandum of Understanding) that is already in place or other compelling evidence that there is a demonstrable, sustained research collaboration between the two institutions, within which the dual award or jointly awarded doctorate would be situated;
- the establishment of the dual award or jointly awarded doctorate is of strategic value to the University (e.g. reputational benefit or a specialised collaboration);
- the establishment of the dual award or jointly awarded doctorate will benefit the research projects of the cohort of candidates eligible to undertake their doctoral program under the arrangement;
- there is a clear likelihood of ongoing demand for candidates to undertake their program as a dual award or jointly awarded doctorate between the two institutions;
- the research training standards at the partner institution are at least equivalent to those at Griffith University including, but not limited to:
 - doctoral program structure and duration
 - frameworks to uphold academic integrity and responsible conduct of research consistent with the *Australian Code of the Responsible Conduct of Research*.
 - grievance and complaints process
 - supervision and supervisor training
 - candidate access to facilities and resources
 - quality assurance procedures for monitoring the delivery of research training programs.
- the arrangement, including materials and technologies proposed to be used within the research project, will not expose the University to a risk of contravening any law, including any international embargoes, sanctions or controls, and will not place the University at an unacceptable risk of non-compliance with the *Guidelines to Counter Foreign Interference in the Australian University Sector*.

3.2 Dual Award Doctorates – Establishment

For each candidate enrolled under a dual award doctoral arrangement:

- one institution will be confirmed as the **home** institution: the institution designated as the primary coordinating institution, normally on the basis that it:
 - is the institution to which the candidate initially applies to be admitted into the doctoral program

- provides a greater share of resources throughout the candidature, and
- is the institution where the candidate will spend the greater period of time.
- the other institution will be confirmed as the host institution: an institution other than the home institution, to which the candidate will travel to undertake part of their program.

3.2.1 Proposal Stage

- A proposal from an Academic Lead for the University to establish a dual award doctoral arrangement with an international partner institution must have the support of, and be co-led, by the relevant Dean (Research) or HDR Director. The Academic Lead and Dean (Research) or HDR Director will complete the Dual Award Doctorate Proposal Form in consultation with the partner institution. The Proposal will:
 - provide sufficient evidence to establish whether the arrangement meets Griffith University requirements for a dual award doctorate as set out in section 3.1;
 - include an assessment of the supervisory capacity resources and facilities that will be required from Griffith to support the ongoing delivery of the arrangement; and
 - indicate how the success of the dual award doctorate partnership will be measured and what key outcomes are anticipated.

The Proposal and completed Checklist must be endorsed by the relevant Head of Element and – for arrangements where the cohort of candidates will be from multiple Schools within the Group – the Group Pro Vice Chancellor, before being approved by the Deputy Vice Chancellor (Research) and the Vice President (Global).

- The **International Engagement Checking Tool** addresses compliance with Australian sanctions, foreign interference and transparency issues, prohibitions on the transfer of defence and strategic goods, weapons of mass destruction and weapons and arms-related goods and technologies. The Checking Tool will be completed by the Academic Lead and/or Dean (Research) or HDR Director. Noting that any doctoral arrangement must be assessed as low risk, any matters of concern raised as part of this process will be addressed by the primary contact area(s) as identified in the **Secure Engagement with International Parties Hub – Contacts for Advice** and will form part of the due diligence.
- Proposals for one-off dual award doctoral arrangements for a single candidate without an institutional-level framework agreement will not be approved except in exceptional circumstances.

3.2.2 Institutional Framework Agreement Stage

- Griffith University and the relevant partner institution must enter into a formal framework agreement for the provision of dual award doctorates before any candidates are permitted to participate in the arrangement.
- The Dual Award Doctorate Institutional Framework Agreement (or an equivalent partner agreement) is prepared by Griffith International in collaboration with the Griffith Graduate Research School, following approval of the Proposal (refer to section 3.2.1 above). Final approval of the Framework Agreement is required from the Deputy Vice Chancellor (Research) for approval and signature by the Vice President (Global). Drafting and approval of the Framework Agreement is facilitated by the University's contract management system; refer to the University's **Guide to International Collaboration** webpage.
- Onboarding of a new partner is managed by the Academic Lead. Resources, supporting documents, relevant policy documents and contacts to support onboarding are provided in Delivery with Other Parties: Griffith Academic Partner Hub.

3.2.3 Candidate Agreement Stage

- For commencing candidates, a Dual Award Doctorate Candidate Agreement is prepared once the candidate has formally applied and been accepted for admission to the doctoral program at each institution, with the executed agreement in place prior to the candidate commencing the program. Where a currently enrolled candidate is supported to undertake a dual award PhD, the Candidate Agreement must be in place within the first year of full-time equivalent (FTE) study.
- The agreement will:
 - normally be prepared by the Home institution and will reflect the terms and conditions set out in the Framework Agreement;
 - detail the arrangements pertaining to the individual's candidature including the Home and Host institution and the agreed system of formal review of the candidate's progress, at least on an annual basis; and
 - list the supervisors who will undertake the joint supervision (including supervisory roles and load); specify the topic of research and the abstract; indicate the periods to be spent at each institution; and other relevant matters.
- Candidate agreements will be executed by the Dean GGRS, the candidate and the partner institution.

3.2.4 Monitoring and Quality Assurance

- **Review of arrangements**

The Academic Lead is responsible for conducting a review of the Institutional Framework Agreement and will receive notification from the contract management system to undertake this monitoring obligation at the mid-point of the agreement term. This review will include an assessment of whether the terms of the agreement, and compliance with the *Higher Education Standards Framework (2021)*, are being upheld through the arrangement.

- **Breach of Institutional Agreement**

Any material issues that have been identified by the Academic Lead are considered by the relevant Dean (Research) and reported to the Dean GGRS. The Dean GGRS is responsible for initiating corrective action via Legal Services, as well as notifying the Vice President (Global), and then monitoring and reporting on compliance.

3.2.5 End of Agreement

- The decision to renew or discontinue an Institutional Framework Agreement is determined by the Vice President (Global) on the recommendation of the Dean GGRS, relevant Dean (Research) and Head of relevant Element. A decision to renew will be based on evidence of activity; successful doctoral completions and other evidence of progress towards the original objectives of the agreement; and ongoing compliance with the *Higher Education Standards Framework (2021)*.
- If an Institutional Framework Agreement is terminated before the agreed term or changes significantly during the agreement period, the contingency plan detailed in the Institutional Framework Agreement is implemented to minimise impact to candidates enrolled in the dual award doctorate under the arrangement.

3.3 Dual Award Doctoral Arrangements - Candidature Requirements

3.3.1 Admission

- Each institution's requirements for admission to the doctoral degree program (including entry qualifications and language proficiency requirements) must be met for a candidate to be enrolled under a dual award doctoral arrangement. Admission to Griffith University is governed by the *Higher Degree by Research (HDR) Policy* and *HDR Admission Procedure*.
- Supervisors from Griffith University and the partner institution will be appointed to the candidate's supervisory team, normally in a two co-principal supervisor arrangement. Candidates must also have a minimum of two registered Griffith University supervisors (refer to the *HDR Supervision Procedure*).
- On approval of admission from both institutions, an offer is made to the candidate by each institution individually.
- Tuition fees are paid at the home institution, where relevant. Tuition fees are not normally paid at the host institution unless otherwise specified in the Candidate Agreement, which will also, where applicable:
 - specify any other fees associated with the candidature for which the candidate is liable (refer also to the *Fees and Charges Procedure*);
 - set out arrangements and details of any scholarship/stipend and travel support for the candidate; and
 - set out arrangements for funding for travel for supervisors to visit the other institution.

3.3.2 Enrolment and Candidature

- Dual award doctoral candidates are enrolled at Griffith University for the duration of candidature, in accordance with the *HDR Enrolment and Variations to Candidature Procedure*. Where Griffith University is the home institution, periods spent at the host institution will be recorded as study away. Where Griffith University is the host institution, periods spent at the home institution will be recorded as remote candidature.
- Candidates are required to spend a minimum of 12 months full-time (or part-time equivalent) at each institution. The 12 months may be a cumulative total over several periods.
- Any application regarding a variation to an aspect of the candidature is considered and approved by both institutions in accordance with their relevant policies. Such variations may include, but are not limited to:
 - applications for leave
 - requests for extension
 - changes to study load
 - change of supervisor
 - change of topic.

Refer also to the *HDR Enrolment and Variations to Candidature Procedure*.

- Subject to the approval of the Dean GGRS, with consideration of satisfactory academic progress, a candidate may at any stage transfer from a dual award doctorate to the applicable doctoral program at Griffith University.

3.3.3 Examination and Conferral

- The Institutional Framework Agreement will set out the examination process to be followed by both institutions.
- Unless otherwise specified in the Institutional Framework Agreement:
 - the candidate will submit the same thesis to both participating institutions for examination at the same time, in the institution's language of instruction; and
 - each university will examine the thesis according to their policies and processes, which may include an oral defence and/or written component. At Griffith University, the examination process and requirements will be in accordance with the *HDR Policy* and the *HDR Examination Procedure*.
- The examination outcome, including examination reports (in English), from the partner institution will be provided to Griffith University and vice versa. A candidate who meets all examination criteria of both institutions will be eligible for the jointly conferred doctoral award.
- The conferral certification will be in the form of two separate testamurs for the one award of the doctorate, each recognising that the qualification is conferred in partnership with another institution (refer to *the Academic Records Procedure*).
- If, following examination, one participating institution does not award the degree, the other institution may still award the degree. In such cases, the testamur will not recognise that the qualification was conferred in partnership with another institution.

3.4 Jointly Awarded Doctoral Program – Establishment

- The procedure for the contract management of agreements for jointly awarded PhD programs with international partner organisations are as set out in sections 3.1 to 3.4 of the *Academic Delivery with Other Parties – Transnational Coursework Procedure*. Associated processes for the development and establishment of a new jointly awarded program are detailed in the *Program Approval Procedure*.

3.5 Jointly Awarded Doctoral Program – Candidature Requirements

- The admission, enrolment and candidature requirements set out in sections 3.3.1 and 3.3.2 apply to jointly awarded doctoral programs, except as follows:
 - there will be joint decisions between the two partner institutions regarding admission to the program and assessment of progress within candidature
 - a candidate who withdraws from one institution will not be permitted to complete the jointly awarded doctoral program at the other institution
 - fees are payable at both institutions; normally candidates will be required to pay fees for the period of study undertaken at each institution, subject to any tuition fee scholarship arrangements that may be in place for individual candidates.
- A single examination process will be conducted according to the policies of the home institution (unless otherwise specified in the Institutional Partnership Agreement – refer to the *Academic Delivery with Other Parties - Transnational Coursework Procedure*) with both institutions agreeing to respect the outcome.
- The conferral certification will be in the form of a single testamur, evidencing that the award of the doctorate is made jointly by the University and the partner institution, with the inclusion of both institutions' seals (refer to the *Academic Records Procedure*).

- The graduand of a jointly awarded doctoral program will be invited to attend a graduation ceremony at the home institution, unless otherwise specified in the Institutional Partnership Agreement.

4.0 Definitions

AQF qualification is a completed University accredited program of learning that leads to formal certification that a graduate has achieved the learning outcomes as described in the Australian Qualifications Framework (AQF).

Conferral occurs when a student has met the requirements of the qualification and the qualification is certified through the provision of a testamur.

Cotutelle Awards are a type of dual award doctoral program as defined under French law that lead to the award of a doctoral degree by both institutions.

Domestic candidate refers to an HDR candidate who is an Australian citizen, a New Zealand citizen or an Australian permanent resident or holder of an Australian Permanent Humanitarian visa.

Dual Awards (TEQSA Definition¹) involve one or more programs of study that lead to the award of two separate qualifications. Where the program involves an arrangement between two providers one of the qualifications is typically conferred by each provider. A dual award may involve one AQF level, or two sequential AQF levels.

Elements include Schools, Departments, Research Centres, Colleges, Institutes, other budget elements in which students are enrolled, as well as central administration and support units.

Higher Degree by Research (HDR) refers to a Research Masters or Research Doctorate where a:

- Research Masters means a Level 9 qualification as described in the AQF and where a minimum of two-thirds of the program of learning is for research, research training and independent study;
- Research Doctorate means a Level 10 qualification as described in the AQF and where a minimum of two years of the program of learning, and typically two-thirds of the qualification, is research.

Home Institution is the institution that will provide a greater share of resources throughout candidature, and where the majority of the period of candidature will be spent. Normally this will be where the candidate enrolls or applies to enrol first.

Host Institution is the partner institution that is not the **Home** institution.

International candidate refers to a candidate who is **not** an Australian citizen, a New Zealand citizen or an Australian permanent resident or holder of an Australian Permanent Humanitarian visa.

Joint Awards (TEQSA Definition¹) involve a single program of study arranged and delivered jointly by two or more providers that leads to the award of a single qualification that is recognised within the Australian Qualifications Framework (AQF) and is typically conferred jointly by the providers involved; see the *Academic Awards and Graduations Policy*.

Research: The concept of research is broad and includes the creation of new knowledge and/or the use of existing knowledge in a new and creative way so as to generate new concepts, methodologies,

¹ Extract of the definition provided in the TEQSA Guidance Note: Joint and Dual Awards, which specify that 'TEQSA uses the terms 'joint award' and 'dual award' to distinguish between two types of collaborative arrangements for programs of study'. The term 'program' has been substituted for 'course' in the TEQSA definition to clarify the meaning in the Griffith University context.

inventions and understandings. This could include synthesis and analysis of previous research to the extent that it is new and creative.

Testamur is the official certification document conferred by the University that confirms a qualification has been awarded to an individual.

5.0 Information

Title	Dual Award and Jointly Awarded Doctorates Procedure
Document number	2025/0000903
Purpose	This Procedure supports the <i>Higher Degree by Research Policy</i> by detailing the establishment and candidature requirements and processes for dual award doctoral arrangements and jointly awarded doctoral programs involving Griffith University and international partner universities. The procedure should be read in conjunction with the <i>Academic Delivery with Other Parties Policy</i> and associated procedures.
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Approving authority	Deputy Vice Chancellor (Research)

6.0 Related Policy Documents and Supporting Documents

Legislation	<p>Australian Code for the Responsible Conduct of Research 2018</p> <p>Australian Qualifications Framework 2013</p> <p>Guidelines to Counter Foreign Interference in the Australian University Sector</p> <p>Higher Education Standards Framework (Threshold Standards) 2021</p>
Policy	<p>Academic Delivery with Other Parties Policy</p> <p>Higher Degree by Research Policy</p>
Procedures	<p>Academic Delivery with Other Parties – Transnational Coursework Procedure</p> <p>Academic Records Procedure</p> <p>Adjunct, Honorary or Visiting Academic Appointments Procedure</p> <p>Fees and Charges Procedure</p> <p>HDR Admission Procedure</p> <p>HDR Enrolment and Variations to Candidature Procedure</p> <p>HDR Examination Procedure</p> <p>HDR Supervision Procedure</p> <p>Program Approval Procedure</p> <p>Qualifications Procedure</p>
Local Protocol	N/A
Forms	<p>Dual Award Doctorate Proposal Form [<i>contact PhDPartnerships@griffith.edu.au</i>]</p>