

Handbook for Joint PhD Programmes

1. Introduction

This Handbook provides direct access to the information and stipulations pertaining to the joint PhD programmes between the University of Macau (UM) and the partner institutes. It focuses on the joint agreements drawn by UM and a partner institute, collaborating on PhD programme(s) leading to PhD degree(s) of UM. Under these agreements, both institutes commit to develop and manage the joint PhD programme for the fostering of top-notch scientific research collaboration.

2. Admission Requirements

Applications for admission to joint PhD programmes are channeled via the UM admission process. The admission criteria must be in accordance with the *Admission Rules Governing PhD and Other Doctoral Degree Programmes*.

Under the joint agreements, a supervisor appointed by UM and a co-supervisor appointed by the partner institute will jointly supervise and monitor the progress of each PhD student during their entire study period of the programme. Before the commencement of the admission process, UM will recommend their list of potential supervisors and the partner institute will recommend the list of co-supervisors with mutual consent. Both institutes shall acknowledge and announce the confirmed list of the supervisors and co-supervisors in all the related admission promotion materials. UM and the partner institute can update the lists before the commencement of the admission process of each academic year. Otherwise, the two lists will be assumed to remain for the next academic year. In the

admission system, applicants have to select a particular pair of UM supervisor and co-supervisor from the partner institute.

3. Student Status

3.1 Students under joint PhD programmes are registered students at UM. They must follow all regulations and rules of the UM, including but not limited to the *General Rules Governing PhD and Other Doctoral Degree Programmes*.

3.2 Students shall carry out their studies and research under the joint supervision of the supervisor and the co-supervisor. Any change to the student status has to be approved by UM with the mutual consent between the supervisor and the co-supervisor.

3.3 Students who wish to apply for deferment of studies or withdrawal from studies should seek consent from the supervisor and the co-supervisor. The application is subject to the approval of the Dean/Director of the UM academic unit concerned. Other requirements regarding students' mobility shall be regulated by the joint agreement.

3.4 When students apply for resumption of study, they should also seek consent from the supervisor and the co-supervisor. Written applications should be submitted to the Graduate School of UM before class commencement of a certain semester for the approval from the Dean/Director of the UM academic unit concerned. Any applications submitted on or after the first day of classes will be directly rejected by the Graduate School.

4. PhD Supervision

- 4.1 The supervisor and the co-supervisor must be the committee members of all the examinations and assessments of the students. They should communicate and review the progress of their students regularly.
- 4.2 Advisory Committee will be formed for each newly admitted PhD student after the initial registration at UM, to provide guidance and additional academic advice to the student. Aside from the supervisor and the co-supervisor whom must be included in the Advisory Committee, at least two more members will be assigned by the Graduate Studies Committee of the UM academic unit concerned.
- 4.3 Students under joint PhD programmes are required to submit progress reports each semester. The submission periods are May and December each year. If students finish the oral defence examination by May or December, their progress reports for that semester will not be required.
- 4.4 It is the duty of the supervisors and the co-supervisors to review the progress reports and submit the evaluations of their students timely. The submission period for supervisors and co-supervisors are January and June each year. The co-supervisor will evaluate and complete the progress reports of the students first. Then, supervisor will input the evaluation and the final rating in the progress report. Students, supervisors and co-supervisors should comply with *Rules on Progress Report of the Postgraduates of the University of Macau*.
- 4.5 The related academic units from both institutes should communicate regularly for affairs related to the joint PhD programmes, including status management, disciplinary issues, etc. They are also highly encouraged to have regular visits to

share information with each other in order to have better collaboration and partnerships.

5. Assessment

5.1 The normative study period of all PhD programmes is 4 years while the maximum study period is 6 years.

5.2 Students shall complete all the courses as stated in the curriculum of the registered PhD programme in UM before the oral defence examination. After the completion of coursework, mutual consent between supervisor and co-supervisor should be obtained before students reside in the partner institute for research and are registered as the students of UM and the partner institute when they reside in the partner institute during their study period.

5.3 Each PhD student must pass three assessments within each certain stipulated period. The three assessments include a qualifying examination, a thesis proposal assessment and an oral defence examination, all to be taken place in UM. In addition, the composition of these three assessment committees shall be decided by UM and the partner institute.

5.3.1 *Qualifying Examination*

Students must pass the qualifying examination within 2 years after the initial registration at UM. Otherwise, their study will be discontinued from the registered PhD programme. PhD students who fail the qualifying examination on the first attempt may take the examination again. However, if students fail the examination the second time, their study will then be discontinued from the registered PhD programme. Though the form and operation procedures of the qualifying examination may vary across different UM academic units,

students must take the qualifying examination on-site in UM under normal circumstances.

5.3.2 *Thesis Proposal Assessment*

PhD students must achieve PhD candidacy within 3 years after the initial registration at UM by passing the qualifying examination and thesis proposal assessment. Otherwise, their study will be discontinued from the registered PhD programme. The thesis proposal assessment may be carried out simultaneously with the qualifying examination or afterwards. Students will then be considered as a PhD candidate after passing the thesis proposal assessment. PhD students who fail the thesis proposal assessment the first time may take the assessment again. However, if the students fail the assessment the second time, their study will then be discontinued from the registered PhD programme.

The thesis proposal assessment includes the submission of a written proposal from the student and its presentation to an assessment panel which should take place on-site in UM. The assessment panel will consist of a Chair (who should not be a member of the Advisory Committee) appointed by the Graduate Studies Committee of the UM academic unit concerned, along with all the Advisory Committee members.

5.3.3 *Oral Defence Examination*

After completing all the courses and achieving the PhD candidacy, students must pass the oral defence examination and submit the final thesis within the study period in order to graduate. Studies will be discontinued once students fail the oral defence examination. The oral defence examination is an open examination in which students shall present the thesis on-site and defend it in front of the oral defence examination committee.

Before the formation of the oral defence examination committee, the student has to obtain a recommendation letter for graduation issued by the partner institute.

The oral defence examination committee will consist of six members which includes the designated UM academic staff as Chair, the supervisor and the co-supervisor of the student, and three examiners, one of whom must be from other academic institute outside Macau. The oral defence examination should take place in accordance with the *Procedures for Formation of the Oral Defence Examination Committees of PhD and Other Doctoral Degree Programmes*.

A final resolution of the oral defence examination must be decided by majority vote and open ballot voting with supporting statements. No committee member can abstain from voting. The final resolution of the oral defence examination will be delivered as follows and no appeal against the final resolution will be permitted.

- i. Pass with no revision: The student has to submit the final copy of the thesis to the UM academic unit concerned within one week.
- ii. Pass with minor revisions: Revised version of the thesis has to be assessed either by the supervisor and the co-supervisor or by all examination committee members, subject to the decision of the examination committee. The student should complete the thesis revision as requested by the examination committee and submit the revised thesis to the UM academic unit concerned within 3 months from the date of the oral defence examination. The above stated period can only be extended with the recommendation from the Dean or Director of the UM academic unit concerned and the approval from the Vice Rector (Academic Affairs) of UM.

- iii. Conditional pass, subject to major revisions: The student has to take the oral defence examination again within one year.
- iv. Fail: The student will be discontinued from the registered PhD programme.

6. Tuition Fee Arrangement and Financial Support

6.1 Students shall pay the tuition fees for their programmes and other related costs directly to UM, which includes fees payable at the coursework, research and thesis writing stages. For details, students can refer to the *Tuition Fees for Postgraduate Programmes* of the academic year they are admitted in.

6.2 Financial support for students under joint PhD programmes varies across agreements. Students, supervisors and co-supervisors, as well as the administrative staff of the corresponding academic units in both UM and the partner institute should communicate well and make proper arrangements. They should also refer to the details of the financial arrangement of the specific agreement which they are undertaking.

6.3 The financial support to students studying beyond the normative study period of the PhD programme will not be guaranteed and will be subject to the mutual agreement and arrangement of the supervisor and the co-supervisor.

7. Authorship of Scholarly Publications

7.1 Students should meet the publication requirements of UM for graduation. Unless otherwise stated in the agreement, the following practice should be followed. Students are required to specify UM as their primary affiliation and the partner institute as their secondary affiliation in all the publications out of the thesis.

7.2 For other publications during the entire study period of the programme, students should include UM as one of their affiliations.

7.3 The administrative staff who is in charge of joint PhD programmes of the academic unit concerned and PhD Advisory Committee members including the supervisor should carefully check these requirements before accepting the thesis for oral defence examination.

7.4 The supervisor and the co-supervisor should reach consent on the authorship issue. In addition to the requirements stated in the joint agreement, practices in the particular research area should be considered.

8. Intellectual Property and Patent Application

Students under joint PhD programmes have to comply with the *Regulation of Management of Intellectual Property for University of Macau* and its corresponding rules and guidelines during the entire study period of the programme. Under the premise that UM and the partner institute is authorized respectively:

8.1 The generated scientific and technological achievements and the resulting intellectual property rights developed jointly by UM and the partner institute are owned by both institutes jointly. The details of the co-ownership originated from each collaboration work in the joint PhD programmes will be decided by separate mutual agreements in writing of both institutes.

8.2 Unless with prior written consent from UM and the partner institute, each institute shall not transfer or use the generated scientific and technological achievements and the resulting intellectual property rights developed jointly by both institutes for any commercial purpose or licensing activity. The distribution of income from the scientific and technological achievements or the intellectual property rights

originated from the joint PhD programmes will be determined by separate mutual agreements in writing of both institutes in connection with the joint PhD programmes on a case-by-case basis.

8.3 Details of issues including patent applications and award applications for the scientific and technological achievements originated from the collaboration in the joint PhD programmes will be negotiated and determined by separate mutual agreements in writing of UM and the partner institute.

8.4 UM and the partner institute shall take necessary measures to protect the known intellectual property rights that belong to the other institute or to both institutes in connection with the joint PhD programmes.

8.5 UM and the partner institute should agree that, unless required by law, each institute shall not disclose to any third party any information identified as “confidential” by the disclosing party during the collaboration without prior written approval from the disclosing party.

9. Graduation

Students under joint PhD programmes will be awarded the PhD degree of UM after fulfilling all the graduation requirements of the registered PhD programme of UM. The graduation qualifications of the students would also be checked and acknowledged by the partner institute.

The graduation certificate will be issued once only, as there will be no second printing. Students are therefore strongly advised to ensure the safe-keeping of this important document. All graduates are not required to come in person to UM to complete the check-out procedures. However, students who have any outstanding records must clear their



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records with the unit concerned. Otherwise, the graduation certificates and other official documents will not be issued.

*This Handbook is written in both English and Chinese. The English version of the Handbook shall prevail in case of any discrepancy between the two versions.