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CARLETON UNIVERSITY COTUTELLE POLICY

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What Is a Cotutelle?

A cotutelle refers to a bilateral doctoral enrolment/co-enrolment and exchange agreement between two universities (the home university and the host university) in different countries. Under such an arrangement, a doctoral student completes the requirements of the Ph.D. program in both the home and host university, and conducts their dissertation research collaboratively, sequentially, and for roughly equal amounts of time in both universities, and is supervised by a faculty member from each of the universities. The dissertation is then examined by a committee whose members are drawn from both institutions. This arrangement works well when there is an established and robust research partnership, minimally between the two faculty members, but preferably between two groups of faculty in each university.

Students completing a cotutelle graduate with a single Ph.D. degree from both the home and host institution. This can occur in one of two ways: either the student receives a diploma from each university, each diploma carrying a notation to the effect that the degree was obtained through a cotutelle agreement; or the student receives one double-badged diploma carrying the name and crest of both universities.

Since cotutelle agreements apply to existing Ph.D. programs that have already been approved within their respective quality assurance jurisdictions, there is no need for a separate appraisal or review process (please see 1.6 in the Ontario Quality Assurance Framework, October 2016). This represents an advantage in facilitating international research collaborations at the doctoral level in a quick and timely fashion. Cotutelle agreements can, however, provide a convincing basis for the establishment of genuinely joint doctoral programs between the two universities at a later date, such programs being subject to separate appraisals and reviews.

The objectives of a cotutelle is to enrich the experience of doctoral students through enhanced opportunities of research collaborations and exposure to a different culture. The cotutelle mode of study helps to attract highly qualified international students to Carleton University and enhances Carleton University's international profile and reputation.

Eligibility and Establishment

Any full time student registered in a Ph.D. program at Carleton University is eligible for a cotutelle agreement.

A cotutelle agreement may be established at Carleton University under the following circumstances:

- existing collaboration between faculty members at both institutions as evidenced by joint publications, previous co-supervision/exchange of students, co-organization of scholarly conferences, etc.;
- an interest of a currently enrolled Ph.D. student to conduct research abroad at an institution with expertise in their research field;
- the student is normally within the first year of their Ph.D. program.

A cotutelle agreement should be initiated jointly by an individual Carleton student and their Carleton supervisor. Both must consult with the Chair/Director of the academic unit to be involved in the cotutelle. A proposal must be submitted to the Office of the Dean, Faculty of Graduate and Postdoctoral Affairs at Carleton University according to the **Actions to Engage in a Cotutelle** section below.

Cotutelle agreements initiated by a partner institution will be considered under the guidelines established by the home university. In such cases, a proposal must be submitted to Office of the Dean, Faculty of Graduate and Postdoctoral Affairs at Carleton University. It is expected that partner institutions will have cotutelle policies consistent with Carleton University's cotutelle policy, leading to the same Cotutelle Agreement Form. In some cases, an alternate Cotutelle Agreement Form may be employed upon approval of the Office of the Dean, Faculty of Graduate and Postdoctoral Affairs at Carleton University and of the partner institution.

Language of Instruction

Instruction shall normally be in English. The student must be able to meet the language proficiency requirement of both institutions.

Fulfilling Program Requirements

Students participating in a cotutelle must fulfill the Ph.D. program requirements at both institutions. This will occur through a transfer of credit, where appropriate, where courses taken at the home institution can be applied to the host institution and vice-versa in a manner where the requirements of both institutions can be met within the regular period of study

Conferring of Degree

Upon completion of the appropriate requirements, students will receive either a diploma from each university, each diploma carrying a notation to the effect that the degree was obtained through a cotutelle agreement; or the student receives one double-badged diploma carrying the name and crest of both universities. In addition, a notation will be made on the students' transcript that indicates they have participated in a cotutelle agreement between the two institutions. The names of both participating institutions will be indicated on each diploma (if two diplomas are received) and the transcript.

Registration, Fee Structure and Funding Arrangements

Doctoral students participating in a cotutelle agreement will be required to pay all tuition and appropriate supplementary fees to their home institution; however, students will pay to the host institution any incidental fees that are customarily charged while at the host institution. They will not be required to make such payments to the host institution. Participating students are responsible for paying any immigration fees associated with a cotutelle if applicable.

Travel, applicable immigration fees, accommodation, health care, and other living expenses will be the responsibility of the student. The joint supervisors are responsible for taking appropriate steps to ensure that students do have sufficient funds to pursue their studies abroad.

The use of external funding programs that support student mobility is encouraged.

Students for whom Carleton University is the home institution:

Students will retain all scholarships and endowed awards administered by Carleton University, subject to the conditions of such awards. Students holding external awards are subject to the conditions set out by the governing agency of the award and will need to be aware of these conditions prior to engaging in a cotutelle agreement.

Since a purpose of a cotutelle agreement is to further joint research, it is expected that Carleton University faculty members will honour research assistantship stipends while students are at the host institution.

Students for whom Carleton University is the host institution:

Since Carleton University intends to maintain its level of financial support for students who travel to a partner institution under a cotutelle agreement, it is anticipated that the partner institution will reciprocate in maintaining a similar level of financial support for its own students while they are at Carleton University. Students coming to Carleton University from a partner institution will be eligible to receive a research assistantship from the Carleton University supervisor.

Other Administrative Arrangements

Health insurance coverage:

Students coming to Carleton University will be required to enroll, within 30 days of arrival, in the University Health Insurance Plan (UHIP) at their own expense to ensure adequate healthcare insurance while in Canada. Information can be obtained through the UHIP web site at www.uhip.ca or by contacting the International Student Services Office (ISSO). Likewise, Carleton University students travelling abroad will be required to obtain adequate health insurance coverage as required by the host institution.

Liability of the parties:

Each institution shall be responsible for any liability arising from any and all activities of the student while attending their institution.

Intellectual Property:

Should any collaboration result in the potential for intellectual property development, the parties shall immediately meet through designated representatives and seek an equitable and fair understanding as to ownership and other property interests that may arise. Any such discussions shall at all times strive to preserve a harmonious and continuing relationship between the parties and the institutions.

Thesis Evaluation

Participating students will be required to write a single thesis which will lead to a single oral defence normally at the home institution. The language of the thesis will be in English. The board of examiners will be composed of examiners appointed equally by both institutions and will include at least two professors from each institution and an external examiner who is independent of both institutions. A written evaluation of the thesis must be submitted by all board members prior to the oral defence. All regulations and procedures that will govern the oral defence will be specific to the home institution where the defence is conducted.

In the case of Carleton University as the home institution, the Dean of the Faculty of Graduate and Postdoctoral Affairs will appoint the defence examination board to comprise as a minimum:

- one member from outside either university who is a recognized scholar or authority in the subject of the thesis (external examiner);
- the thesis supervisor(s) from the home institution;
- the thesis supervisor(s) from the host institution;
- a faculty member from the home institution in the unit or program where the research is conducted;
- a faculty member from the host institution in the unit or program where the research is conducted;
- in the case of joint programs, the board should normally include a faculty member from the joint program at the other university.

In the case where the partner institution is the home institution, the defence examination board will comprise of similar examiners as mentioned above. However, flexibility will be required to meet the needs of the partner institution. The board will normally consist of an approximately equal number of members from both institutions.

Participation in thesis defences will often occur by telephone, video-conferencing or similar media. Costs incurred in faculty travel and accommodation will be the responsibility of the joint supervisors.

Academic Integrity

All students participating in cotutelle agreements must follow the rules and regulations, including those relating to research ethics, of both universities. Carleton University is committed to ensuring that all students conduct themselves in a manner consistent with the Carleton University Academic Integrity Policy. Recognizing that regulations and practices relating to academic integrity and intellectual property, as well as the culture related to their enforcement, vary substantially from place to place, all graduate students are required to review, comprehend and adhere to the Carleton University Academic Integrity Policy upon commencing a cotutelle agreement and upon submitting Ph.D. theses.

In the event of contradictory regulations between the home and host institution, the home institution's regulations shall prevail. Should conflicts arise, the Deans of the Faculty of Graduate and Postdoctoral Affairs (or equivalents) shall determine a collective solution.

Academic Path of a Cotutelle Program

Students participating in a cotutelle program are admitted and registered as full time students in both participating institutions simultaneously. The students' doctoral studies will meet the program requirements of both institutions and are subject to the rules and regulations at both institutions. These students carry out their research work under the joint supervision of one or more thesis supervisors from each institution.

Before entering into a cotutelle agreement, the student and their supervisors from the two institutions will determine a detailed study schedule and academic path. This will include when study periods will take place at both the home and host institutions and include the time and location of learning activities. In every case, the minimum duration of residency at Carleton University is three full time terms for students coming from abroad. For students for whom Carleton University is the home institution, the total duration of residency at Carleton is six full time terms.

Normally, students complete their coursework at their home institution prior to engaging in a cotutelle agreement. Any additional course requirements which need to be met at the host institution must be laid out in the academic path of the cotutelle agreement. For Carleton students, when the comprehensive exams are not completed in advance of engaging in a cotutelle agreement, they will be administered at the host institution according to the rules of the Faculty of Graduate and Postdoctoral Affairs. Thesis-based work will occur at both institutions as defined in the cotutelle agreement.

A full time Ph.D. candidate who is admitted on the basis of a master's degree must complete the Ph.D. degree requirements within five calendar years after the date of initial Ph.D. registration, regardless of any subsequent change of status to part-time. Terms of non-registration are equated to full-time registration terms when calculating the overall time to program completion.

Actions to Engage in a Cotutelle

For students currently registered at Carleton University:

The student registers in the Ph.D. program at Carleton University and approaches their thesis supervisor(s) for initial approval of establishing a cotutelle agreement. If approved, the student and supervisor(s) develop a draft of the Cotutelle Agreement Form (Appendix A). This Form includes:

1. a written summary of the student's research project which must be signed by thesis supervisors at both institutions;
2. the anticipated academic path, including sequence of presences in participating institutions;

3. a letter from supervisors from both institutions indicating their agreement to supervise the doctoral candidate under the cotutelle and the value added to the doctoral program;
4. details on how the student will fund their studies abroad.

The thesis supervisor(s) at Carleton University will submit the completed Cotutelle Agreement Form to the Office of the Faculty of Graduate and Postdoctoral Affairs. After the Dean of the Faculty of Graduate and Postdoctoral Affairs has given approval in principle, the student submits an application through the normal admission process at the host institution. Once the student has been admitted in their chosen Ph.D. program at the host institution, the cotutelle file is considered finalized.

Official signing of the Cotutelle Agreement Form is then performed. The following signatures must be included:

- Dean of the Faculty of Graduate and Postdoctoral Affairs;
- the appropriate counterpart at the participating institution;
- the graduate program coordinators of both academic units;
- the thesis supervisors from both institutions;
- the student;
- any additional signatures as required by the host institution.

For students currently registered at another university:

The student registers in the doctoral program at their home university and approaches their thesis supervisor(s) for initial approval of establishing a cotutelle agreement. It is anticipated that prior to these actions, an expression of interest between the supervisors at each university has already taken place. If approved, the student develops a draft of the cotutelle file in consultation with their thesis supervisor(s). It is recognized that the home university may have a specific process for establishing a cotutelle agreement. Regardless, the Cotutelle Agreement Form (Appendix A) should be included in the cotutelle file for approval from Carleton University.

The thesis supervisor(s) at Carleton University will submit the completed Agreement Form to the Faculty of Graduate and Postdoctoral Affairs. After the Dean of the Faculty of Graduate and Postdoctoral Affairs has given agreement in principle, the student then submits an application through the normal admission process at Carleton University. Once the student has been admitted in their chosen Ph.D. program at Carleton University, the cotutelle file is considered finalized.

Official signing of the Cotutelle Agreement Form is then performed. The following signatures must be included:

- Dean of the Faculty of Graduate and Postdoctoral Affairs;
- the appropriate counterpart at the participating institution;
- the graduate program coordinators of both academic units; the thesis supervisors from both institutions;

- the student;
- any additional signatures as required by the partner institution.

In both cases (i.e., for students currently registered at Carleton University and students currently registered at the partner university) the officially signed Cotutelle Agreement Form represents the binding contract between all parties involved (student, supervisors, and university administrators) to ensure successful completion of the student's Ph.D. program.

COTUTELLE AGREEMENT
FOR DOCTORAL THESIS CO-SUPERVISION
BETWEEN
CARLETON UNIVERSITY (Ottawa, Canada)
AND
_____ (_____, _____)

1. **Preamble:** In accordance with Carleton University’s Cotutelle Policy and **[policy, bylaw of partner institution]**, the present agreement is made between:

Carleton University, 1125 Colonel By Drive, Ottawa, Ontario, K1S 5B6, Canada, represented by the Dean of the Faculty of Graduate and Postdoctoral Affairs (FGPA),

and

[partner Institution name and address] represented by the President or delegate, **[name]**,

in order to put in place a doctoral co-supervision program under the following terms and conditions for

[student, name, date of birth, city and country of birth, nationality],

whereby both institutions recognize the validity of the cotutelle established and that of the resulting Ph.D. degree defended.

2. **Administrative Details**

The “home” institution is **[home institution name]** and the “partner” institution is **[partner institution name]**.

Article 1 – Registration, Fees and Duration

At **Carleton University** the student is registered in the Doctor of Philosophy in **[specific doctoral program]** starting in the **[month/year]** term.

At **[home/partner institution]** the student is registered in the doctorate program **[specific doctoral program]** starting in the **[month/year]** term.

All student registration fees are paid to **[home institution]**.

The expected duration of the program is **[three/four]** years, with possible extension to 6 years without modification of this agreement.

Article 2 – Thesis Topic, Academic Pathway and Study Periods

Thesis topic: _____

Study Periods

- 1. **Fall term** = September - December; **Winter term** = January - April; **Summer term** = May - August.
- 2. The minimum residency in each institution is three terms. The minimum residency is six terms when Carleton is the student’s home institution.

Description of activities (courses, seminars, thesis research, etc.) at each institution:

	Carleton University	[partner institution]
[term/year]	[course, seminar, etc.]	[course, seminar, etc.]
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		
[term/year]		

Notes (transfers of credits, etc.) _____

N.B.: Completion of the above activities will satisfy the degree requirements at each institution.

Article 3 - Health Coverage and Legal Liability

Adequate coverage is ensured at each institution as follows:

- At Carleton University the student is covered by **[UHIP, OHIP, etc.]**.
- At **[partner institution]** the student is covered by **[UHIP, OHIP, etc.]**.

Additional notes (if necessary): _____

Each institution shall be responsible for any liability arising from any and all activities of the student while attending their institution.

3. Pedagogical Details

Article 4 – Thesis Supervisors and Existing Collaboration

- At Carleton University the student is supervised by **[professor name, department]**, and
- At **[partner institution]** the student is supervised by **[professor name, department]**,

who are committed to fulfilling their role as tutors to the doctoral student. They both exercise the responsibilities assigned to thesis or coursework supervisors in each country.

Description of pre-existing and ongoing research collaboration between the two institutions, including any existing Cotutelle agreements and an explanation of how the Cotutelle agreement will benefit both:

Article 5 - Doctoral Project

Description of thesis project (maximum 1 page, attached)

Article 6 – Thesis Manuscript and Oral Defence

The thesis leads to a single oral defence recognized by both participating institutions. The examining committee is appointed mutually by both participating institutions according to each one’s academic regulations.

The thesis defence will be held at **[home institution]** during the **[expected term and year of completion]** term. The language of the thesis manuscript and the oral defence will be English.

Notes (possible alternate language requirements of thesis summary): _____

Article 7 - Issuing of Diplomas

Upon a favourable verdict by the oral defence examining committee, **Carleton University** agrees to confer the title of “Doctor of Philosophy” to **[student name]** and to issue the corresponding degree (doctorate),

and

[partner institution] agrees to confer the title of “doctor of the University” to **[student name]** and to issue the corresponding degree (doctorate).

The wording of each parchment will mention the partner institution and the cotutelle mode of study.

Article 8 - Submission, Description and Reproduction of the Thesis

These will comply with the regulations in effect at each institution.

4. Other Aspects

Details of student funding: _____

Intellectual property arrangements: _____

Additional matters: _____

One copy of the agreement in electronic form is required with all the signatures.

SIGNATURES

CARLETON UNIVERSITY	[partner university]
<p style="text-align: center;">(Student Signature)</p> <p style="text-align: center;">-----</p> <p style="text-align: center;">Name: Title: Dated:</p>	
<p style="text-align: center;">(Thesis Supervisor Signature)</p> <p style="text-align: center;">-----</p> <p>Name: Title: Dated:</p>	<p style="text-align: center;">(Thesis Supervisor Signature)</p> <p style="text-align: center;">-----</p> <p>Name: Title: Dated:</p>
<p style="text-align: center;">(Graduate Program Coordinator Signature)</p> <p style="text-align: center;">-----</p> <p>Name: Title: Dated:</p>	<p style="text-align: center;">(Graduate Program Coordinator Signature)</p> <p style="text-align: center;">-----</p> <p>Name: Title: Dated:</p>
<p style="text-align: center;">(Dean of FGPA Signature)</p> <p style="text-align: center;">-----</p> <p>Name: Title: Dean, Faculty of Graduate and Postdoctoral Affairs Dated:</p>	<p style="text-align: center;">(President or Delegate Signature)</p> <p style="text-align: center;">-----</p> <p>Name: Title: Dated:</p>