

Policy Name:	Carleton University Cotutelle Policy
Originating/Responsible Department:	Faculty of Graduate and Postdoctoral Affairs
Approval Authority:	Academic and Research Committee
Date of Original Policy:	December 2010
Last Updated:	December 2010
Mandatory Revision Date:	December 2015
Contact:	Dean, Faculty of Graduate and Postdoctoral Affairs

Preamble

More and more, research is being undertaken on an international basis in a fast-changing and increasingly globalised world. This is particularly the case with engineering, science and business. It is consequently important for doctoral candidates, who graduate as Highly Qualified Personnel (HQP), to gain international research experience early on as part of their studies. This experience will position them advantageously for subsequent research careers in academia, government agencies, NGOs, and private sector corporations. Carleton University recognizes the benefits for research that can be realised through academic co-operation and international understanding in its strategic plan, *Defining Dreams*.

Within this context, there has been increasing interest from faculty and staff in developing a cotutelle policy for Carleton University which would allow doctoral candidates to undertake research at both his/her home institution and a partner institution abroad. While there will need to be separate cotutelle agreements signed with individual institutions for each cotutelle arrangement, this general policy will provide a framework and context within which individual cotutelle agreements can be established. Making cotutelle agreements possible will serve to enrich the research experience of doctoral candidates, and encourage increased international research collaboration, thus enhancing Carleton's international profile and reputation. The policy does not require participation by all academic units. It is left up to individual units to pursue cotutelle to the extent to which it serves their interests.

In Canada, cotutelles are already firmly established in Quebec at Université Laval and at Université de Montréal. In Ontario, cotutelles are established at York University, University of Waterloo and University of Ottawa. The University of Ottawa expects their cotutelle agreements to increase significantly over the next two to three years. France in particular has expressed a strong interest in developing cotutelle agreements with Carleton.

What Is a Cotutelle?

Originally developed by French and Australian universities, a cotutelle is a French term and is known in Australia as 'Joint Enrolment.' This refers to a bilateral doctoral enrolment/co-enrolment and exchange agreement between two universities (the home university and the partner university) in different countries. Under such an arrangement, a doctoral student completes the requirements of the Ph.D. program in both the home and partner university, and conducts his/her 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 partner 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.

A cotutelle is not joint supervision of a student performing work at only one institution (or accessing another facility without contributing to that institution's research program), neither is it earning two degrees for a single Ph.D. thesis.

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. 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.

Objectives

In the context of an increasingly globalised research environment, Carleton University's strategic plan (Defining Dreams), and with a growing demand from faculty and students, it is recommended that the University adopt a cotutelle policy. The objectives of such a mode of study and of this policy are to provide:

- An opportunity to enrich the research experience of doctoral candidates, including access to the best researchers and best research equipment in two countries and at two institutions;
- An exposure to different cultural and scientific environments and as a result, increased student employability;
- A mechanism to enhance cooperation and collaboration between researchers and institutions engaged in a cotutelle agreement through graduate student mobility; and
- An opportunity to attract highly-qualified international students to Carleton University to participate in research and, through that, to enhance Carleton University's international profile and reputation.

Eligibility & 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 his/her research field
- student is preferably within the first year of the Ph.D. program

A cotutelle agreement should be initiated jointly by an individual Carleton student and supervising Carleton academic staff member. Both must consult with the appropriate Chair/Director of the department 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 both Carleton University's English-language proficiency requirements and the language proficiency requirement of the partner institution.

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. It is understood that any coursework from the student's home institution must be completed prior to visiting the host institution.

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.

Fee Structure and Funding Arrangements

A goal in seeking cotutelle agreements with prestigious universities abroad is to ensure good reciprocity in the exchange of students. To this end, doctoral students participating in a cotutelle agreement will be required to pay all tuition and appropriate supplementary fees to his/her home institution. They will not be required to make such payments to the partner institution. Participating students are responsible for paying any immigration fees associated with cotutelle if applicable.

It is anticipated that Carleton University students who qualify for a cotutelle agreement will be of superior academic quality. Travel, accommodation, health care and other living expenses will be the responsibility of the student. The home institution is nonetheless responsible for ensuring that students do have sufficient funds to pursue his/her studies abroad.

External funding programs that support student mobility, such as those provided by the Government of Canada and the Government of France, will be looked at and where possible be taken advantage of for the benefit of the student.

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 partner institution.

Students for whom Carleton University is not the home 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 if the supervisor is so disposed.

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.

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 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)
- Thesis supervisor from the home institution
- Thesis supervisor from the host institution
- Faculty member from the home institution in the department where the research is conducted
- Faculty member from the host institution in the department where the research is conducted
- One member who is from a department at Carleton University other than that of the candidate and who has been at arm's length from the thesis research (Internal Examiner)
- In the case of joint programs with the University of Ottawa, the faculty member from a department at Carleton University other than that of the candidate and who has been at arm's length from the thesis research can be replaced by a faculty member from the Joint Institute at the University of Ottawa

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. Regardless, the committee will ensure balance from both institutions.

Where possible, participation in thesis defences will occur by telephone, video-conferencing or similar media. Where this is not possible or desirable, and costs are incurred in faculty travel and accommodation, payment of such costs will be subject to negotiations conducted by the two supervisors with the resulting agreement recorded in a document drafted specifically for this purpose and signed by the responsible officers at the two universities (at Carleton, the Dean of the Faculty of Graduate and Postdoctoral Affairs).

Academic Integrity

All students participating in cotutelle agreements must follow the rules and regulations, including those relating to research ethics, of both participating 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 partner 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. However, the student will only pay tuition fees to his/her home university as defined above. 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 and the thesis is defended at the home institution.

Before entering into a cotutelle agreement, the student and his/her 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 partner 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.

It is expected that 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 partner 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 (that is, with a program of 10.0 credits or the equivalent) 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 his/her thesis supervisor(s) for initial approval of establishing a cotutelle agreement. If approved, the student and supervisor(s) develop a draft of the cotutelle file as follows:

1. The Cotutelle Agreement Form (Appendix A)
2. A written summary of the student's research project which must be signed by thesis supervisors at both institutions
3. The anticipated academic path, including sequence of presences in participating institutions
4. 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
5. Details on how the student will fund his/her studies abroad
6. Approval from the department chair

7. Approval from the faculty Dean

The thesis supervisor(s) at Carleton University will forward the cotutelle file to the Dean, Faculty of Graduate and Postdoctoral Affairs where agreement in principle will be given. The student then submits an application through the normal admission process at the partner institution and receives an official offer of admission for the chosen Ph.D. program at the partner institution. Once admitted, the entire cotutelle file is considered finalized.

Official signing of the cotutelle agreement is then performed. The following signatures must be included:

- Dean, Faculty of Graduate and Postdoctoral Affairs;
- Appropriate counterpart at the participating institution;
- Chair/Director of both doctoral programs;
- Thesis supervisors from both institutions;
- Student; and
- Any additional signatures as required by the partner institution

For students currently registered at another university:

The student registers in the doctoral program at his/her home university and approaches his/her 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 his/her thesis supervisor(s). It is recognized that the home university may have a specific process for establishing a cotutelle agreement. Regardless, the following should be included in the cotutelle file for approval from Carleton University:

1. The Cotutelle Agreement Form (Appendix A) or equivalent
2. A written summary of the student's research project which must be signed by thesis supervisors at both institutions
3. The anticipated academic path, including sequence of presences in participating institutions
4. 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
5. Details on how the student will fund his/her studies abroad
6. Appropriate approvals from the home institution

The thesis supervisor(s) at Carleton University will receive approval of the cotutelle file from the department chair and the faculty Dean. Once obtained they will forward the cotutelle file to the Dean, Faculty of Graduate and Postdoctoral Affairs where agreement in principle will be given. The student then submits an application through the normal admission process at Carleton University and receives an official offer of admission for the chosen Ph.D. program at Carleton University. Once admitted, the entire cotutelle file is considered finalized.

Official signing of the cotutelle agreement is then performed. The following signatures must be included:

- Dean, Faculty of Graduate and Postdoctoral Affairs;
- Appropriate counterpart at the participating institution;
- Chair/Director of both doctoral programs;
- Thesis supervisors from both institutions;
- Student; and
- Any additional signatures as required by the partner institution

In both cases 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.

Conclusion

This cotutelle policy will allow Carleton University to collaborate with universities abroad on the co-supervision of a doctoral candidate's thesis. The students who engage in such agreements will receive an enriched international experience while contributing to the research agendas at both institutions. The exposure these students will have to different cultural and scientific environments will increase their employability after graduation. Carleton University will benefit from having high profile international linkages with prestigious universities abroad. Indeed, engaging in cotutelle agreements aligns with Carleton University's strategic plan, Defining Dreams, and will enhance its overall international profile and reputation.

COTUTELLE AGREEMENT
FOR JOINT DOCTORAL ENROLMENT
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), John
Shepherd,

And

(Other Institution name and address) represented by the President or delegate, (name),
in order to put in place a doctoral co-supervision and co-enrolment 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).

Expected duration of the program is (3/4) years, with possible extension to 6 years without modification of this agreement.

Article 2 – Thesis Topic and Placement Periods

Thesis topic:

Placement Periods

(N.B.: 1. **Fall term** = September - December; **Winter term** = January - April; **Summer term** = May - August. 2. Minimum residency in each institution is three terms. Minimum residency is six terms when Carleton is the student’s home institution. 3. This schedule is completed by Article 5 “Academic Path”).

	Carleton University	Other Institution
mth/yr		

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 **(other institution)** the student is covered by **(UHIP, OHIP, etc.)**.

Additional notes (if necessary): _____

3. Pedagogical Details

Article 4 – Thesis Supervisors and Existing Collaboration

- At Carleton University the student is supervised by **(Professor name, department)**, and
- At **(other 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 - Academic path

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

Carleton University	Other Institution
Fall 20XX: - Course, seminar, etc.	

Notes (transfers of credits, etc.)

(N.B. Completion of the above activities will satisfy the doctoral degree requirements at each institution.)

Article 7 – Thesis Manuscript and Oral Defence

(N.B.: 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 8 - 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

(other 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 9 - 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: _____

Signed in (city and country) in five copies on (date).

SIGNATURES

CARLETON UNIVERSITY	PARTNER UNIVERSITY
<p>(Student Signature)</p> <p>-----</p> <p>Name: Title: Dated:</p>	
<p>(Thesis Supervisor Signature)</p> <p>-----</p> <p>Name: Title: Dated:</p>	<p>(Thesis Supervisor Signature)</p> <p>-----</p> <p>Name: Title: Dated:</p>
<p>(Graduate Program Coordinator Signature)</p> <p>-----</p> <p>Name: Title: Dated:</p>	<p>(Graduate Program Coordinator Signature)</p> <p>-----</p> <p>Name: Title: Dated:</p>
<p>(Dean of FGPA Signature)</p> <p>-----</p> <p>Name: Dr. John Shepherd Title: Dean, Faculty of Graduate and Postdoctoral Affairs</p> <p>Dated:</p>	<p>(President or Delegate Signature)</p> <p>-----</p> <p>Name: Title: Dated:</p>

