

# Procedure: Joint and Dual award PhD degree

## Purpose

This document outlines the procedure for establishment and approval of Joint and Dual Award PhD degrees.

## Definitions

ANU requirements for a Joint or Dual Award PhD Program may be determined at University-level by the Pro Vice-Chancellor (Graduate Research) in consultation with the Deputy Vice-Chancellor, and by the Dean of the ANU College (or equivalent in a Centre) or their delegate in consultation for the College/School/centre level.

**Joint Award** - is the award of a single Doctor of Philosophy degree to participating candidates upon successful completion, where the jointly awarded nature of the degree and the name and insignia of the other Institution, will be indicated on a single testamur awarded by the Home Institution.

**Dual Award** - is awarded by two collaborating institutions issuing two testamurs, each recognising that the program was carried out as part of a dual award.

An Institutional Joint or Dual Award PhD Program refers to a program agreed at an institution-to-institution level, for an agreed period, for a cohort of candidates. Such a program will normally but not always come under an overarching agreement for research cooperation between the institutions, which is typically signed by the VC or their Delegated Authority. Where no general agreement on research cooperation is in force, the agreement to establish an institutional PhD program will be signed by the Pro Vice-Chancellor (Graduate Research). Two institutions may establish an institutional PhD agreement without a candidate being identified in advance.

**An Individual Joint or Dual Award/Cotutelle Program** refers to a one-off, non-continuing program arranged for a single individual without an institutional-level agreement. A Cotutelle Program is a program with a French partner institution.

**Home Institution:** is the institution designated as the primary coordinating institution of a candidate undertaking a Joint or Dual Award PhD, normally on the basis that it invites the candidate to apply for the program and provides a greater share of resources throughout the candidature, and is the institution at which the candidate intends to spend the greater period of time.

**Host Institution:** is an institution other than the home institution of a candidate undertaking a Joint or Dual Award PhD, to which the candidate will travel to undertake part of their program.

**Partner Institution** refers to the non-ANU institution in a Joint or Dual Award PhD.

**Institutional Agreement:** This is an over-arching agreement between the ANU Research School/College/ANU and another institution that aims to establish a long-term research collaboration. These agreements can be initiated by either the ANU or the partner institution. They are established when institutions want multiple/cohort of candidates to enrol in the Joint and Dual/Cotutelle program over a long period of time. The agreement specifies the requirements, governance, commitments and clauses for the program established under it and applies to all the candidates who enrol in such programs.

**Individual Agreement:** This is an agreement that is set up between ANU, the partner institution and an individual candidate for their Joint and Dual/Cotutelle program. When there is no overarching agreement an individual agreement can be initiated by either the ANU, the partner institution or the candidate. The clauses in this agreement only apply to the parties included in the agreement and for the duration mentioned. Individual Agreements must be completed for every candidate even if an overarching Institutional Agreement exists with a partner institution.

## Procedure

1. Joint or Dual Award PhD programs may be available at ANU through approved institutional-level partnerships (Institutional Joint or Dual Award Program), or through one-off agreements (Individual Dual Award including Cotutelle) Program).
2. Where there is an existing Institutional Joint or Dual Award PhD Program agreement candidates may apply to be admitted under that program. Where there is no existing Institutional Joint or Dual Award PhD Program agreement, a College may propose to establish an institutional program.
3. For candidates considering an Individual Dual Award (or Cotutelle) program an institutional-level agreement is not required.
4. A candidate must apply for a Joint or Dual Award PhD within 6 months of commencing at one of the institutions, and must commence a Joint or Dual Award PhD within the first 12 months at one of the institutions.

## **Institutional joint or dual award PhD program**

5. To establish an institutional program, an initial analysis of whether the program meets ANU requirements for a Joint or Dual Award PhD program is undertaken and summarised in the **Proposal to Establish an Institutional Joint or Dual Award PhD Program** form.
6. The proposal is endorsed by the College Associate Dean (Higher Degree Research) and approved by the Pro Vice-Chancellor (Graduate Research) (PVC-GR)
7. Once a new establishment proposal is approved by the PVC-GR either:
  - a. If this is an international partnership, the Joint or Dual Award PhD **Institutional Agreement Template [International]** is completed in consultation with International Strategy and Partnerships, the PVC-GR and the ANU Legal Office, endorsed by the relevant Dean and signed with the partner institution by the PVC-GR; or
  - b. If a domestic partnership, the **Institutional Agreement Template [Domestic]** is prepared in consultation with the PVC-GR and the ANU Legal Office, endorsed by the relevant Dean and signed by the PVC-GR.
8. On signing of the agreement, the College notifies the relevant Central Divisions, who create a plan in the Candidate Administration System in which candidates will enrol.
9. A candidate wishing to study under an institutional program applies according to 15-19 below.

## **Individual Joint or Dual award PhD program**

10. Individual Dual Award/Cotutelle PhD programs are normally negotiated between College/School/Centre and a candidate who completes the Joint or Dual Award PhD Application Form. The form is usually lodged with an application for admission to a PhD program at ANU, or after an application has been lodged (if the candidate is already enrolled).
11. The application must be endorsed by the College Associate Dean (HDR) and the relevant authority from the partner institution also endorses the Joint or Dual Award PhD Application, and is then signed by the PVC-GR.
12. The application for the Joint or Dual Award PhD and the application for admission to the PhD program are finalised (or is in the process of being finalised) and a Candidature agreement for joint or dual/cotutelle award PhD program form is completed.
13. This agreement is signed by the PVC-GR, the candidate, and the partner institution.

14. The College notifies the relevant Central Divisions, who:
  - a. Add the candidate group COTU to the candidate record; and
  - b. If ANU is the host institution, the College seeks a fee waiver from the relevant ADHDR.

### **Candidate application and offer process**

15. ANU and the partner institution confirm eligibility of the candidate for admission according to each institution's requirements, and confirm arrangements such as the home and host institution.
16. The application must be endorsed by the College Associate Dean (HDR) and the relevant authority from the partner institution, and signed by the Pro Vice-Chancellor (Graduate Research)
17. A Candidature Agreement for Joint or Dual Award /Cotutelle PhD Program form program must be completed for all candidates, and signed by the PVC-GR, the candidate, and the partner institution.
18. On approval of admission from both institutions, an offer is made to the candidate by each institution individually.
19. 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 agreement.

### **Enrolment and candidature**

20. Candidates are required normally to spend one-third of the degree, but at least a minimum of 12 months full-time or part-time equivalent, in residence at each institution. The 12 months may be a cumulative total over several periods.
21. Candidates have a principal supervisor at both institutions.
22. Enrolment in courses at ANU is recorded for the duration of a candidate's candidature, whether a candidate is at ANU or the partner institution for a given period.
23. Any application regarding a change in an aspect of the candidature of the candidate is considered and approved by both institutions, including but not limited to:
  - a. applications for Leave
  - b. requests for Extension
  - c. changes to study intensity
  - d. scholarship Revisions
  - e. other changes to program status.

24. A candidate is liable for the Candidate Services and Amenities Fee for their time at ANU irrespective of whether ANU is the home or host institution and the plan within which a candidate is enrolled.

25. A candidate is liable for any other fees that may be associated with their candidature, such as OSHC and visa costs, irrespective of whether ANU is the home or host institution and the plan within which a candidate is enrolled.

26. The Delegated Authority as defined in the Research Awards Rule is responsible for ensuring that the requirements established for enrolment and candidature are followed.

27. When ANU is the host institution, the candidate may be considered for ANU approved stipends, provided the candidate meets the eligibility criteria for those stipends.

### **Examination and award**

28. All Candidate Agreements must have a detailed statement of the examination process to be followed by both institutions.

29. The thesis is written in one language, with an abstract provided in the other language as well, where relevant. If that language is not English, appropriate additional quality assurance arrangements must be in place, including for the appointment of examiners.

30. Upon successful completion of the program and achieving a satisfactory result in the examination, the Graduate Research Office notifies the graduations office of the study arrangements and the requirements for the candidate's testamur.

31. In the case of a Joint PhD, the collaboration is recognised on the testamur only as specified in the agreement, either through co-badging of the testamur or the insertion of appropriate text as per the Academic Statements procedure.

32. In the case of a Dual Award PhD, the ANU testamur contains a statement as per the Academic Statements Procedure, unless it is a testamur awarded under a Cotutelle arrangement. A testamur under a Cotutelle arrangement contains the following text:

THIS IS TO CERTIFY THAT  
FOLLOWING THE COMPLETION OF AN APPROVED COTUTELLE PROGRAM OF  
STUDY  
IN PARTNERSHIP WITH THE  
(INSTITUTION NAME)  
(CANDIDATE NAME)  
IS AWARDED THE DEGREE OF  
Doctor of Philosophy

The partner testamur contains a reciprocal statement unless an alternative is approved by the Deputy Vice-Chancellor on the basis of restrictions arising from local legislative requirements.

## Document information

Title	Joint and dual award PhD degree
Document Type	Procedure
Document Number	ANUP_000601
Version	
Purpose	This document outlines the procedure for establishment and approval of Joint and Dual Award PhD degrees.
Audience	Staff-Academic-Research, Students-Graduate-Research, Staff-Academic, Students-Graduate, Staff-Professional
Category	Academic
Topic	Students
Subtopic	Higher Research Degrees
Effective Date	26 Aug 2022
Review Date	26 Aug 2027
Responsible Officer	Pro Vice-Chancellor (Graduate Research) (dvc.is@anu.edu.au)
Approved By	Deputy Vice-Chancellor (Research and Innovation) (dvc.research@anu.edu.au)
Contact Area	Graduate Research Office (eo.pvcgr@anu.edu.au)
Authority	Research Awards Rule 2021
Printed On	11 Oct 2024

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