



UPPSALA
UNIVERSITET

Dnr UFV 2011/2012

Agreement

Joint Supervision of Doctoral Studies

Template, Bologna 4, 2011-09-14

Agreement for joint supervision of doctoral studies between the University of [University 1], and Uppsala University leading to the award of a double or joint doctoral degree ____ 3

Partners _____	3
Article 1 – Application of national legislation and university regulations _____	3
Article 2 – Admission and registration _____	4
Article 3 – Commencement and Duration of doctoral studies _____	5
Article 4 – Distribution of time / courses and teaching activities _____	5
Article 5 – Curriculum _____	6
Article 6 – Quality Assurance for satisfactory progress _____	7
Article 7 – Financial support _____	7
Article 8 – Registration and registration fees _____	7
Article 9 – Supervision _____	8
Article 10 – Social security and insurance cover _____	9
Article 11 – Thesis _____	9
Article 12 – Presentation of the doctoral dissertation / Defence / Examining committee _	9
Article 13 – Submission and reproduction of the thesis _____	10
Article 14 – Award of the doctoral degree / Issuing of one/two diploma/s _____	11
Article 15 – Entry into effect and termination _____	11
Article 16 – Signatures _____	12

Agreement for joint supervision of doctoral studies between the University of [University 1], and Uppsala University leading to the award of a double or joint doctoral degree

Partners

An agreement has been concluded between¹:

The university of [**university 1**], represented by [**name, title**]. (hereafter referred to as **U 1**),)

AND

Uppsala University, Faculty of XX, represented by [**name**], Dean of the Faculty, and the Department of [**specify**], represented by [**name**], Head of Department (hereafter referred to as UU)

The agreement concerns: [**Name of doctoral candidate**]
(hereafter referred to as “the doctoral candidate”)

The title of the doctoral candidate's research project is: [**Specify area (or title if appropriate) of the research project**]

A summary of the research project is presented in Appendix X

Alt. A summary of the research is specified in the Individual Study Plan.

Article 1 – Application of national legislation and university regulations

In case of a joint doctoral degree programme, the assessment and admission criteria should be clarified in a more detailed way.

Questions regarding Intellectual Property Rights (IPR) should be clarified.

¹ A more comprehensive MoU between the two Universities should be signed by the Rectors / *Alternativt kan ett universitetsövergripande avtal tecknas mellan inblandade lärosäten, varvid det bör vara Rektor som undertecknar*

Nothing in this agreement shall be taken to overrule national legislation, guidelines and frameworks or university regulations covering doctoral studies and the award of doctoral degrees in either of the two countries. All parties commit themselves to acting in conformity with the two universities' regulations and codes of practice covering doctoral awards and to seeking a resolution by mutual consent of any difficulties that might arise in the interpretation of such regulations.

The doctoral candidate must meet the relevant requirements of both universities regarding admission to the doctoral education, progress and assessment.

Neither University of (University 1) nor UU claims any ownership to results resulting from the work of the doctoral candidate in his/her research project. However, the universities reserves the right to freely use general techniques, systems and methods in further research and teaching, that are developed or utilised by the doctoral candidate within the research project.

Alt

UU applies the principle of “professor’s privilege”. Therefore UU claims no ownership over results resulting from the work of the doctoral candidate in his/her research project. However, UU reserves the right to freely use general techniques, systems and methods in further research and teaching, that are developed or utilised by the doctoral candidate within the research project.

Any results resulting from the work of the doctoral candidate in his/her research project assignable to the doctoral candidates work at UU shall belong to the doctoral candidate. Any results resulting from the work of the doctoral candidate in his/her research project assignable to the doctoral candidates work at University of (University 1) shall belong to University of (University 1). Any results from the work of the doctoral candidate in his/her research project assignable to the doctoral candidates work at UU and U1 shall be jointly owned by the doctoral candidate and U1.

Article 2 – Admission and registration

The doctoral candidate must be admitted to and registered at both institutions as full-time student in both institutions. Thus:

At **[University 1] [please specify date]**.

At Uppsala University, department of **[specify department and date]**.

Article 3 – Commencement and Duration of doctoral studies

The doctoral candidate will be enrolled at **[Specify university/ies and date]**. */// If already admitted at University 1:* Upon the agreement of this contract, the doctoral student will be admitted and registered as a PhD student in Uppsala University as well.

The projected duration of the doctoral studies with joint supervision will be 4 years effective time². The viva voce examination is therefore expected to take place during the academic year **[please specify academic year of examination]**.

Any request to extend this period of joint supervision or suspend the candidate's doctoral studies must be jointly approved by the relevant authorities of the two participating universities and any sponsoring bodies.

Article 4 – Distribution of time / courses and teaching activities

The doctoral candidate and his/her co-supervisors will agree how the doctoral candidate's time is to be divided between the two universities, taking into account the needs of the research and the circumstances of the doctoral candidate. ***A minimum duration of study at each university could be fixed in this article.***

If the doctoral candidate is an employee of either institution, the question of teaching duties might be relevant and should be included.

The program of the research work must be subject to the approval of the relevant bodies within the two institutions and may not be altered without the approval of the relevant bodies within the two institutions.

The courses and other study activities of the doctoral candidate shall meet all the requirements of the two programs in which she is enrolled in and are governed by the regulations in force at the two institutions. This means in particular that the doctoral candidate must, without exception, meet the requirements on graduate courses, publications, seminars and scientific level of the Ph.D. thesis, stipulated by both institutions.

² 4 years in Sweden – could be shorter in other countries – time and financing to be discussed and agreed!

The doctoral candidate will carry out his/her studies and research work at the two partner institutions according to the following preliminary schedule. It is important that both partners can guarantee the doctoral candidate an agreed minimum time and attendance in an appropriate academic environment.

Alt. The doctoral studies and research work at the two partner institutions is defined in the Individual Study Plan.

Alt A timetable outline is set out in Appendix X of this agreement.

Periods of stay at **[University 1]**:

/YYMMDD – YYMMDD/

/YYMMDD – YYMMDD/

Periods of stay at Uppsala University:

/YYMMDD – YYMMDD/

/YYMMDD – YYMMDD/

It should be stressed that changes to this preliminary plan may be needed in order to better match the requirements on graduate courses, research and for the writing of the Ph.D. thesis. Variations to the timetable will be agreed upon between the doctoral candidate and his/her co-supervisors.

The parties are aware of, and have accepted that Ph.D. students at Uppsala University are expected to participate in teaching, usually 20% of full time studies³, to get teaching experience. Hence, the doctoral candidate will participate in teaching according to the previously stated and this will be financed by the Department of yyy. The Department takes full economic responsibility for a possible 5th year of studies due to the doctoral candidates teaching at Uppsala University. During the possible 5th year, a full time employment on a Ph.D. student position (*anställning som doktorand*) will be used.

Article 5 – Curriculum

The PhD education at Uppsala University consists both of research work and course work and presupposes four years of full time study⁴.

³ 20% teaching duties is common at the faculty of Science and Technology, this may be different at other faculties or departments

⁴ See note 2 and 3

The PhD education at [**University 1**] consists of research work /and xxx/ and presupposes xxx years of full time study.

The doctoral candidate has to follow the curriculum at each university. The supervisors shall – within the limits set up by the regulations applicable at each university – adjust the curricula in such a way that the different lengths of the doctoral education do not cause any unnecessary problems for the PhD candidate.

Article 6 – Quality Assurance for satisfactory progress

Outline the plan for quality control of the program as a whole, including the use of external evaluation if applicable.

An individual study plan shall be drawn up for the doctoral student. This plan shall contain the undertakings made by the doctoral student and the higher education institution and a timetable for the doctoral student's study programme. The plan should include, among others, a broad plan for each year and an estimated date for defending the dissertation. It is particularly important that the formulation well describe the projected dissertation work, including target dates for goals or partial goals that can be followed up. The plan should be followed up and revised at least once per year. If special difficulties can be foreseen, more frequent follow-ups and alternative approaches should be considered.

Article 7 – Financial support

In this article, the financial base should be clarified, i.e. whether the candidate is an employee with a salary or a student with a scholarship. Financing of a 4th – 5th year should be agreed upon.

The doctoral candidate will be supported by [**specify**].

Travel expenses will be paid by [**specify**].

Article 8 – Registration and registration fees

The doctoral candidate will pay the registration and tuition fees according to the periods of stay at each university and considering the [**please specify legislation in the country**]. No registration and tuition fees will be charged from Uppsala University.

Throughout his/her doctoral studies, the doctoral candidate will be formally registered and pay the corresponding fees at the university where s/he is working in any academic year or part thereof. The other university will arrange for the doctoral candidate to have appropriate formal status to enable them to make short study visits and use essential facilities such as libraries and computing facilities. More extensive use of facilities and resources at the university other than the one where the doctoral candidate is registered will be by agreement between the doctoral candidate and the University.

The universities will agree upon the arrangements for the equitable distribution of any funding received from sponsors of the doctoral candidate's research project.

Article 9 – Supervision

The doctoral candidate's supervision at both places shall be good and relevant. The candidate's doctoral studies will be pursued under the joint main supervision of a thesis supervisor from the **[University 1]** and a thesis supervisor at Uppsala University. If appropriate, Uppsala University could also appoint a thesis co-supervisor.

At **[University 1]** the thesis supervisor is: **[Name of supervisor]**)

At Uppsala University, the thesis principal supervisor is: **[Name of supervisor]**)

/if appropriate/ the thesis co-supervisor is: **[Name of supervisor]**)

The two/three supervisors have jointly agreed that **[Name of supervisor]**) has the main responsibility for the candidate's doctoral studies. However, both/all three undertake to fully assume the duties of tutor for the doctoral candidate. They jointly provide the expertise attributed to a thesis supervisor at **[University 1]** and at Uppsala University.

All supervisors undertake to carry out the role of supervisor of the studies of the doctoral candidate to its full extent, as defined by the regulations in force at their respective universities, and to support each other in the execution of their duties as supervisors. The supervisors will confer regularly with regard to the progress of the doctoral candidate.

Should one of the supervisors leave their duties, the university's normal procedures for finding a replacement supervisor will be followed.

/if appropriate/ Uppsala University rules state that the role of the thesis supervisor can be taken over by the co-supervisor in case the thesis supervisor would not be able to fulfill those duties. This decision is taken by the head of the department.

Article 10 – Social security and insurance cover

The doctoral candidate must have social security cover and any insurance required by the relevant national legislation of the two countries. At the **[University 1]** the doctoral candidate will benefit from **[fill in as appropriate]** At Uppsala University, the doctoral candidate will benefit from the Swedish Social Security Coverage⁵.

Comments: Depending on national regulations, it could be necessary to clarify in this article whether this is a responsibility of the doctoral candidate or the university.

Article 11 – Thesis

The subject of the thesis submitted by the doctoral candidate will be: **[Specify title of the thesis if this is appropriate]**

The thesis will be written in **[Specify language]** with abstract/s in **[Specify language/s]**.

The protection of the subject of the thesis as well as the publication, use and protection of the results of the research work carried out by the doctoral candidate at the two institutions are subject to the regulations in force and guaranteed in accordance with the procedures of each country involved in the supervision.

Ev. pre-review of the thesis should be agreed upon between the partners.

Article 12 – Presentation of the doctoral dissertation / Defence / Examining committee

⁵ To be clarified – depends on the length of the residence permit. If needed, the department should sign appropriate insurance/s for the doctoral candidate.

The doctoral dissertation will be presented at a place agreed upon between the doctoral candidate and his/her two supervisors. This should include explicit arrangements concerning the place of the oral examination and the language of the thesis⁶

The universities, acting through the co-supervisors and the doctoral candidate will agree at the outset which of the two universities' regulations for assessment of the dissertation will apply. The composition of the panel assessing the candidate's dissertation at the viva voce examination will be agreed upon by all the parties concerned, in accordance with national legislation and the regulations and normal practices of both universities.

Ex: The thesis will be examined at a single voce examination, the result of which will be recognised by the two institutions. The viva voce grading committee will be composed according to the regulations of each university. It will be composed on a proportional balanced basis by academic representatives from both universities. Moreover, the thesis committee will include personalities external to both universities. The number of the members of the thesis committee can not be less than three or higher than xx persons.

The supervisors have to be members of the committee according to yy legislation, and cannot be members of the committee according to Swedish legislation. In order to meet the requirements of both countries, both committees shall, when it makes its decision according to yy legislation consist of xx members, including the two main supervisors, and consist of three members other than the supervisors when it makes its decision according to Swedish legislation.

The language, in which the viva voce examination is to be conducted, will be agreed by the doctoral candidate and his/her co-supervisors, taking into account the requirements of the university where the dissertation is to be submitted.

The two institutions will share the costs of travel and accommodation of the members of the grading committee and other costs connected to the viva voce examination.

Article 13 – Submission and reproduction of the thesis

The submission and reproduction of the thesis will occur in **[Specify place]**, according to the regulation in force.

⁶ Note that at UU it is the dean of the faculty who decides on the place for a defence outside UU

Article 14 – Award of the doctoral degree / Issuing of one/two diploma/s

Depending on national regulations, it could be useful to state what is meant by ‘joint doctorate’ and the text of the future diploma.

It could also be useful to mention that the modalities of deposit and reproduction of the thesis are governed by the regulations in force in both universities.

In conformity with the regulations in force within each university, and provided that all other requirements of the degree/s have been fulfilled, and on the basis of a favourable report from the assessment panel, the two universities undertake to award [**Specify double or joint degree**] to the successful candidate. The text of the award diploma must specify that it is a doctoral diploma for studies under joint supervision between the two universities.

Article 15 – Entry into effect and termination

The present agreement will take effect upon signature by the representatives of the two universities and by the doctoral candidate. It will be valid until the end of the university calendar year during which the dissertation is presented.

The present agreement can be terminated

- by the mutual consent of [**University 1**] and Uppsala University;
- by either university, if a suitable replacement co-supervisor cannot be found;
- by either university, if the doctoral candidate decides to give up studies at either university;
- by either university, should the candidate be in serious and ongoing breach of the regulations of the university;
- by either university, if the doctoral candidate fails to make satisfactory academic progress and the normal procedures of the University for dealing with the problem have not been effective.

Before termination of the agreement is contemplated, there must be consultation between the parties. If this agreement is terminated, barring any agreement to the contrary, the unspent portion of any financial aid obtained from an external body must be reimbursed to that body.

Article 16 – Signatures

This agreement is written in English and **[specify language]**. In case of difference in interpretation the English version will have precedence.

Done in **[specify number]** original copies.

For **[University 1]**

For Uppsala University

Authorising officers

Title:		Title:	
Name:		Name:	
Position:		Position:	
Signature:		Signature:	
Date:		Date::	

Supervisors of the doctoral candidate

Title:		Title:	
Name:		Name:	
Position:		Position:	
Signature:		Signature:	
Date:		Date::	

Title:		Title:	
Name:		Name:	
Position:		Position:	
Signature:		Signature:	
Date:		Date::	

Agreed by the doctoral candidate

Name:	
Signature:	
Date:	