

University of Waikato

Guidelines for Development of Dual PhDs with Overseas Universities

Background

It is increasingly common for Divisional PVCs, Deans, Head of Schools and Higher Research Degree Supervisors to request information about and seek guidance on options for developing Joint or Dual PhDs with overseas universities. Often referred to as a Cotutelle, Dual PhDs have been a feature of European Universities for many years and are a model widely adopted by universities around the world. In New Zealand all Universities except Canterbury and Lincoln offer a Cotutelle/Dual PhD. Waikato has to date only established a single Dual PhD arrangement (with Arizona State University) and does not have a framework or policy which supports the development and execution of a Cotutelle/Dual PhD. This document proposes a set of principles for the establishment of a Dual PhD between the University of Waikato and an overseas University.

The Dual PhD Concept

A Dual PhD represents a strategic partnership between two research intensive institutions where resources, training and investment and supervision responsibility for a research candidate are shared. The candidate has a supervisory team at both institutions and complies with the admission, and progression requirements of each institution. The PhD is either jointly awarded or each institution makes an individual award based on the thesis meeting its examination requirements. These guidelines cover both possibilities – that of the single jointly awarded and branded qualification, and the two separate institutional awards; though it is most likely that in the context of the University of Waikato, Dual PhD will mean two PhD degrees, one from each university.

Benefits of Dual PhDs

Dual PhDs provide research students with opportunities to collaborate with international experts, build networks and enhance the quality and exposure of their research projects, and broaden their professional development and employment opportunities. For universities, Dual PhD programmes provide opportunities to intensify and formalise collaborations with other institutions, build and invest in research partnerships and networks, increase their internationalisation and build their reputation. For research supervisors, Dual PhDs can provide access to high calibre doctoral students and support international research collaborations and innovation.

Principles for the Establishment of Dual PhDs

1. Proposals to establish a Dual PhD will be considered on a case-by-case basis.
2. The establishment of a Dual PhD must be of demonstrable strategic value to the University of Waikato through reputational benefit and/or a specialised research collaboration. This will be assessed in relation to the following criteria, of which at least two should be fulfilled:
 - The overseas partnering university in which the Dual PhD is to be offered is of a higher, or similar, standing to the University of Waikato;

- The Dual PhD will provide an opportunity for research collaboration that will increase publications, citation rates and rankings;
 - There is already an existing relationship with the partner institution evidenced by a Memorandum of Understanding or strong research association and the Dual PhD would form part of the ongoing collaboration;
 - There is an intention to develop a new deep, continuing research relationship with the overseas university in one or more specified fields of research;
 - The relationship is likely to provide access to new funding schemes and new international enrolments;
3. The prospective partner institution must have research training and qualification standards equivalent to those of the University of Waikato.
 4. A collaboration involving an individual doctoral research supervisor and an overseas university will not normally be sufficient for the purpose of establishing a Dual PhD.
 5. The establishment of a Dual PhD requires a formal signed Agreement between the University of Waikato and the overseas institution and for this to be approved by Academic Board.
 6. The establishment of a Dual PhD requires the development of a Candidature Agreement that outlines the conditions of enrolment, supervision, examination, award of the qualification, intellectual property, fees payments, visa and insurance details, and any other matters deemed relevant to collaboration.
 7. The establishment of a Dual PhD does not require approval by CUAP. PhDs jointly awarded with offshore institutions are exempt from having to be approved by CUAP's offshore subcommittee except where the agreement includes changes to existing admission, supervision, or examination provisions. CUAP does expect that a New Zealand university offering a Dual PhD has a partnership agreement in place with the overseas institution.

Key Issues to be Considered in the Establishment of Dual PhD Agreements

- a) To qualify for the award of a PhD in New Zealand the candidate must normally be enrolled for a minimum of three years in the New Zealand institution.
- b) To qualify for domestic fees, the Tertiary Education Commission requires the PhD candidate to reside in New Zealand for all but one year of their PhD enrolment at the New Zealand university.
- c) Issues of to which institution fees will be paid and in what quantities need to be agreed on.
- d) Provision of access to scholarship funding, if any, must be articulated in agreements.
- e) How the thesis will be examined – at one or both institutions needs to be agreed on.

Approved by University of Waikato Academic Board February 2020.

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