|  |
| --- |
| Jointly supervised PhDs (widely known as cotutelles) offer PhD postgraduate researchers the chance to be jointly supervised by Northumbria University (NU) and a university in another country, resulting in a dual degree award: a PhD from NU and a doctorate from the partner university.  a) This documentation can be used as the basis for initial discussion with a potential collaborating institution.  b) Academic colleagues should not make a commitment on behalf of Northumbria University without formal approval from the PVC (Research & Innovation), Professor George Marston, and the Academic Portfolio Group.  c) For any queries, please contact the Graduate School using the appropriate Faculty mailbox details outlined below:   * ADSS ([ad.graduateschool@northumbria.ac.uk](mailto:ad.graduateschool@northumbria.ac.uk)) * BL ([bl.graduateschool@northumbria.ac.uk](mailto:bl.graduateschool@northumbria.ac.uk)) * EE ([ee.graduateschool@northumbria.ac.uk](mailto:ee.graduateschool@northumbria.ac.uk)) * HLS ([hl.graduateschool@northumbria.ac.uk](mailto:hl.graduateschool@northumbria.ac.uk)) |
|  |
| **SECTION A: Due Diligence** |
| The purpose of due diligence is to examine whether the prospective partner is an organisation with which the University would wish to work and be associated with, from a financial, reputational and academic quality perspective. The partner(s) must have the capacity in legal, financial and resources terms to enter into a productive and sustainable relationship. The extent of due diligence should be proportionate to the risk involved. You may be required to provide further evidence to corroborate the information provided in this checklist.  For individual student cotutelle arrangements, where this is the first agreement at the partner institution - the due diligence checklist should be completed by the NU principal supervisor and approved by the FAPVC (Research & Innovation). |
|  |
| 1. **Proposed Partner Details** |
|  |
| 1.1 Name and address of proposed partner institution |
|  |
| 1.2 Country |
|  |
| 1.3 Status of institution (*e.g. public university/college, private university/college*) |
|  |
| 1.4 Date institution established |
|  |
| 1.5 Size of institution (*e.g. student numbers, academic and management/administrative staff numbers*) |
|  |
| 1.6 Range of courses delivered (e.g. undergraduate, postgraduate taught degrees, research degrees) |
|  |
| 1.7 Language(s) of delivery and assessment. *Where the language will not be English, please consider and comment on its implications.* |
|  |
| 1.8 Name, title, school/department/faculty, contact address, e-mail address and telephone number of proposed principal supervisor at partner institution |
|  |
| 1.9 Name, title, department, contact address, e-mail address and telephone number of partner’s key administrator |
|  |
| 1. **Academic Background** |
|  |
| 2.1 What is the reputation and academic standing of the proposed partner institution? Is it comparable to Northumbria University? *Please include any information available from UK or other government offices and agencies in the country in which the partner organisation is based.* |
|  |
| 2.2 What are the benefits of this research link (at institution, faculty or supervisory level)? |
| *Examples could include:*   * *to expand bilateral international research collaboration;* * *to enhance research cooperation;* * *to draw on funding opportunities;* * *to promote graduate research student mobility;* * *to enhance access to technologies and equipment;* * *to enable students to access a wider range of funding mechanism that my otherwise be unavailable to them;* * *to provide a rich research student experience.* |
| 2.3 How will the proposed partner institution ensure that there is a safe and appropriate research environment, in particular capacity for continuity of doctoral supervision, and access to relevant equipment and learning resources? |
|  |
| 2.4 Please attach explicit support for the cotutelle arrangement to proceed from the School PGR Director (or equivalent) at the partner institution. |
|  |
|  |
| 1. **Quality Assurance** |
|  |
| 3.1 How will the quality of the supervision and training provided through the collaboration be comparable to the quality of supervision and training provided by the University? |
|  |
| 3.2 How does the institution manage quality and standards? *Please include reports from funding or external quality assurance/professional bodies where applicable.* |
|  |
| 3.3 Please provide details of the proposed partner institution’s policy on equality of opportunity and diversity. |
|  |
|  |
| 1. **Financial Standing** |
|  |
| 4.1 Does the proposed partner institution have the financial means to carry out its obligations under the cotutelle agreement? |
|  |
| 4.2 Does the proposed partner institution receive any state or public sector funding? *(e.g. grants, subsidies, payments or allowances)* |
|  |
| 4.3 Is the proposed partner institution adequately resourced, for example in terms of facilities, resources and infrastructure? |
|  |
| **5. Legal Status** |
|  |
| 5.1 Does the proposed partner have the power/permits/licences required to collaborate with us? |
|  |
| 5.2 Are there third party consents required in the proposed partner’s home country? If so, what are the procedures and timescales for obtaining them? |
|  |
| 5.3 Are there any Foreign and Commonwealth concerns regarding personal safety, health and travel to the region? |
|  |

|  |
| --- |
| **SECTION B: Notice of Intent to Collaborate** |
| The notice of intent will outline the details of the proposed collaboration between NU and the partner institution before the legal agreement is drafted and finalised. |
|  |
| 1. **Northumbria University Details** |
|  |
| 1.1 Principal Supervisor’s Name and Title |
|  |
| 1.2 Principal Supervisor’s Contact Details (*e-mail address, telephone number, building and room location*) |
|  |
| 1.3 Principal Supervisor’s Department and Faculty |
|  |
| 1.4 Is NU the primary/home institution or secondary/partner institution in this agreement? |
|  |
|  |
| 1. **Applicant Details** |
|  |
| 2.1 Applicant’s Name |
|  |
| 2.2 NU Student Identifier (*if known*)  *Potential cotutelle candidates should apply for entry to the PhD programme via the following web link:*  <https://www.northumbria.ac.uk/study-at-northumbria/courses/doctor-of-philosophy-drfxxr7/> |
|  |
| 2.3 Applicant’s Contact Details (*e-mail address, mobile phone number, permanent home address*) |
|  |
| 2.4 Applicant’s Nationality and Fees Status (Home or International) |
|  |
| 2.5 English language qualification held by applicant (*where English is not first language*)  *Please refer to the following web link for University recognised English language tests:*  <https://www.northumbria.ac.uk/international/international-admissions/english-language-requirements/>  *The TOEIC is not acceptable for entry by Northumbria University. CEFR levels A1, A2, B1, B2, C1, C3 are also not acceptable for admission.* |
|  |
| 2.6 PhD Discipline |
|  |
| 2.7 Proposed research topic/thesis title |
|  |
|  |
| **3. Programme of Study** |
|  |
| 3.1 Proposed start date |
|  |
| 3.2 Envisaged periods of study at NU and at the partner institution |
| Year 1: NU / Partner Institution (*please delete as appropriate*) |
| Year 2: NU / Partner Institution (*please delete as appropriate*) |
| Year 3: NU / Partner Institution (*please delete as appropriate*) |
| Year 4: NU / Partner Institution (*please delete as appropriate*) |
|  |
| **4. Financial Arrangements, Resources, Facilities and IPR** |
|  |
| 4.1 Please outline the proposed tuition fee arrangements split by institution and how much the tuition fees are for each institution. |
| Tuition Fees Year 1: NU / Partner Institution (*please delete as appropriate*) |
| Tuition Fees Year 2: NU / Partner Institution (*please delete as appropriate*) |
| Tuition Fees Year 3: NU / Partner Institution (*please delete as appropriate*) |
| Tuition Fees Year 4 (where applicable): NU / Partner Institution (*please delete as appropriate*) |
| 4.2 Please outline the proposed stipend/living allowance arrangements split by institution and how much the stipend is by institution. |
| Stipend Year 1: NU / Partner Institution (*please delete as appropriate*) |
| Stipend Year 2: NU / Partner Institution (*please delete as appropriate*) |
| Stipend Year 3: NU / Partner Institution (*please delete as appropriate*) |
| Stipend Year 4: (where applicable) NU / Partner Institution (*please delete as appropriate*) |
| 4.3 Please outline any other proposed financial support offered by either institution for other specified purposes |
|  |
| 4.4 Please outline physical resources / facilities provided by each institution during the period of the student’s registration |
|  |
| 4.5 Please outline intended intellectual property arrangements  *It is assumed that the student will own the copyright of the thesis, but the two Universities will have joint ownership of the IPR and share proceeds of any commercial exploitation 50:50, unless specified otherwise below.* |
|  |
|  |
| 1. **Induction, Progress Monitoring and Professional Development** |
|  |
| 5.1 Please confirm estimated timing of induction arrangements at both institutions |
|  |
| 5.2 Please confirm each institution’s policy for frequency and recording of supervision meetings (*i.e. fortnightly,* *monthly etc*.) and the timing, evaluation and recording of student progress (*i.e. project approval, first progression* *review, second progression review*). Please include details of any adjustments required to support additional needs. |
|  |
| 5.3 Please outline any mandatory or appropriate optional training that the student will be required to complete at each institution. If none available, what alternatives are available to the student to ensure that training requirements are satisfied? |
|  |
|  |
| **6. Institutional Regulations** |
|  |
| 6.1 Please confirm whether or not the relevant PGR Regulations, any terms and conditions/guidance notes have been passed to the collaborating institution. |
| Date documentation provided to partner institution: |
| 6.2 Please request a copy of the PGR Regulations, any terms and conditions/guidance notes of the partner institution and arrange for these to be forwarded to the Graduate School. |
| Date documentation requested: |
| Date documentation forwarded to Graduate School: |
| 6.3 Please outline any requirements or arrangements not covered elsewhere in this form, and/or any deviation from the principles described in the single student cotutelle guidance note. |
|  |
|  |
| **7. Examination Arrangements** |
|  |
| 7.1 Describe the proposed arrangements for examination (please consult with the Graduate School for advice) |
|  |
| 7.2.1 If one examination is to be held which satisfies the requirements of both institutions, please indicate which institution will host the examination? |
|  |
| 7.2.2 If there are to be two examinations, one at each institution, please outline the format, requirements and examination regulations of each institution. *Please note that additional requirements such as travel to both examination locations will apply.* |

|  |
| --- |
| **SECTION C: Approvals** |
| NU managerial acknowledgement that (i) due diligence has been undertaken, (ii) all necessary initial consultations have occurred and (iii) all budgetary and academic planning responsibilities have been considered. This document will form the basis for the subsequent drafting of a legal binding cotutelle agreement between NU and the partner institution. |

|  |  |
| --- | --- |
| 1.1 NU Principal Supervisor’s confirmation that the arrangements described are practicable and that the student will be adequately supported throughout the PhD programme. | |
| Signature: | Print Name: |
| Date: | |
|  | |
| 1.2 Confirmation by the FAPVC (Research & Innovation) or Faculty PVC (where the former is the Principal Supervisor) to proceed with the arrangements described for the purposes of a Dual PhD Award programme with the named partner institution. | |
| Signature: | Print Name: |
| Date: | |
|  | |
| 1.3 Confirmation by the Graduate School Manager that all administrative and regulatory requirements will be met by the arrangements described in this document. | |
| Signature: | Print Name: |
| Date: | |

|  |
| --- |
| 1.4 Consideration by PVC (Research & Innovation) in advance of Academic Portfolio Group |
| Approved / Not approved for consideration by NU’s Academic Portfolio Group (*please delete as appropriate*) |
| Name: |
| Signature: |
| Date: |
| Comments: |