



English Translation of *Cotutelle-Verfahrensleitfaden der Fk1*

Cotutelle Guide for the School of Humanities

In bi- or multi-nationally supervised doctoral procedures, so-called *cotutelles*, an early career researcher obtains a doctoral degree jointly awarded by two or more universities in different countries. Essentially, it involves one degree awarded for a single academic contribution (i.e., doctoral thesis) based on research carried out at two or more universities. The academic title obtained may subsequently be used either in the German or the foreign form(s) of the doctoral title.

In Cotutelles, doctoral candidates intensively engage with different research cultures and science systems. This equips them with additional skills that extend far beyond advances in foreign language skills and an in-depth understanding of the other country, which is an added value in the national and international labour markets. The length of stay at the participating universities should therefore be balanced and have a total duration of at least one year. Most foreign partner universities limit the duration of a cotutelle procedure to three years, which may be extended in individual cases. Before concluding a cotutelle agreement, which is highly time-consuming administratively, it should be considered whether this time frame is realistic.

Cotutelles are special arrangements that may only be carried out as a cooperation measure with a foreign university but not with another national university. The universities involved cooperate closely in the selection, supervision, and assessment of the doctoral candidate and each recognises the parts of the procedure carried out at the other university.

The prerequisite for cotutelle procedures is that a legal basis for implementing such procedures exists for all participating universities. At the School of Humanities the legal basis is formed by the doctoral degree regulations (*Promotionsordnung*). A further prerequisite is an individual contract on joint supervision, which is to be conducted by the universities involved in each individual cotutelle project. A subject-specific or framework agreement between the universities can serve as the basis for the obligatory individual contract.

Cotutelle procedures are characterised by a complex, multiannual procedure of comparatively great administrative complexity and regulatory density, which requires increased coordination efforts due to many domestic and foreign participants and interfaces.

The following procedural guidelines are intended to provide an overview of the formal requirements, name the responsible actors and outline the course of cotutelle procedures in accordance with Annex 2 of the doctoral degree regulations (Dr. Phil.) in the School of Humanities as amended and promulgated on June 12, 2015 (*Promotionsordnung des Fachbereichs A – Geistes- und Kulturwissenschaften der Bergischen Universität Wuppertal in der Fassung vom 12.06.2015*).

² The doctoral degree regulations (Dr. phil.) in the School of Humanities as amended and promulgated on June 12, 2015 (*Promotionsordnung des Fachbereichs A – Geistes- und Kulturwissenschaften der Bergischen Universität Wuppertal in der Fassung vom 12.06.2015*) are used as a basis.

I. Terminology based on the doctoral degree regulations (*Promotionsordnung - PromO*) of the School of Humanities

1) Definition of a *cotutelle procedure* in accordance with Annex 2, subsection 1 PromO

- Joint supervision by a professor (*Hochschullehrer*in*) of the School of Humanities and a professor (*Hochschullehrer*in*) of a foreign, research-based university.
- Joint implementation of the doctoral procedure by the School of Humanities and the responsible organisational unit of a foreign, research-based university.

2) Definition of *university* in accordance with Annex 2, subsection 1, sentence 2 PromO

- Recognised (foreign) institution of higher education according to German law (see: https://anabin.kmk.org/no_cache/filter/institutionen.html)

3) Definition of *lead university (Federführende Hochschule)* according to Annex 2, subsection 1, no. 2, second sentence PromO

- The university responsible for the proper implementation of the individual cotutelle procedure.

II. Involved parties and responsibilities at the University of Wuppertal (BUW) / The School of Humanities:

	To-dos / Support
1) Center for Graduate Studies (CGS) <i>Zentrum für Graduiertenstudien (ZGS)</i>	<ul style="list-style-type: none"> • Providing general information on a doctorate at the BUW (see: https://www.zgs.uni-wuppertal.de/en/info-advice/information-for-international-doctoral-students.html) • Offering extracurricular qualification formats (see: https://www.zgs.uni-wuppertal.de/en/course-program.html) • Providing special advisory and support services for international doctoral candidates (see: https://www.zgs.uni-wuppertal.de/en/info-advice/advisory-service.html)

2) Thesis supervisor	<ul style="list-style-type: none"> • Initiation of (joint) supervision: Assessment of academic and personal aptitude and suitability of the individual research interest • Review and evaluation of submitted international educational certificates in cooperation with IC – International Office and Student Registry or Student Admission and Registration for International Students • Determining a possible research subject for a dissertation • Depending on the individual case, initiating of a sanction investigation pursuant to Foreign Trade and Payments Law • Informing the doctoral candidate about the extracurricular qualification formats and special advisory and support services of the CGS • Informing the doctoral candidate about the general conditions and requirements of a cotutelle procedure in the School of Humanities
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	<ul style="list-style-type: none">• Informing the doctoral candidate about formalities required forms, deadlines to be met in the course of the doctoral procedure• Issuing a letter of acceptance confirming academic supervision of the doctoral candidate to be submitted to the Student Admission or International Students Office (see: https://www.zgs.uni-wuppertal.de/fileadmin/zgs/documents/info_beratung/einschreibung/Promotionsbest%C3%A4tigung.pdf)• Clarifying with the chair/Dean's Office of the School of Humanities the coverage of travel expenses within the context of the cotutelle procedure for BUW members and representatives from the foreign partner university• Ensuring continuous contact and exchange with the supervisor at the partner university on any related issues as and when required• According to Annex 2, subsection 2, second sentence PromO, the academic supervisor also acts as reviewer of the dissertation• Evaluation of the dissertation and drawing up a written report, unless otherwise stipulated in the cotutelle agreement (Section 11 PromO)• Proposal of acceptance/ non-acceptance of the written dissertation• Issuing of the final approval for the publication or of possible proposals for revision of the dissertation in cooperation with the supervisor at the partner university• Member of the examination board following Annex 2, subsection 5, first sentence PromO• Informing the doctoral committee and the IC – International Office about significant changes in the cotutelle procedure as the change of supervisor(s), delay in examination dates, or discontinuation of the doctorate at BUW or of the cotutelle procedure as a whole
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3) Doctoral candidate	<ul style="list-style-type: none">• Fulfilment of the requirements/standards and any possible conditions required at both universities following the local/national regulations and standards• Carrying out the enrolment for the doctorate at the BUW and the enrolment for the doctorate at the partner university• Regular re-registration to maintain continuous enrolment at both universities throughout the complete cotutelle procedure• Conducting research stays at BUW and at the partner
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	<p>university totaling at least one year each.</p> <ul style="list-style-type: none"> • Applying for a semester on leave at BUW due to a semester abroad at the partner university within the cotutelle-procedure (see: https://www.studierendensekretariat.uni-wuppertal.de/de/beurlaubung.html) • Applying for the opening of the doctoral procedure to the doctoral committee (<i>Promotionsausschuss</i>) of the School of Humanities of BUW according to Section 7 PromO, if not otherwise agreed in the cotutelle agreement • Examination performances include at least one dissertation and one oral examination. In accordance with the rules of good scientific practice, all material in the dissertation which has been taken from other works, either in wording or in meaning, must be appropriately identified • Submitting of the obligatory copies as well as the submitted version of the dissertation to the Dean of the School of Humanities at BUW (Section 17 PromO). Under the terms of the BUW regulations for the award of doctoral degrees, the doctoral candidate is obliged to make the authorized version of the dissertation available to the scholarly public by means of reproduction and dissemination. For this purpose, the dissertation has to be published either in an electronic form or in a paper version
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<p>4) IC – International Office</p>	<ul style="list-style-type: none"> • Providing general information on cotutelle procedures (see https://www.internationales.uni-wuppertal.de/en/basics/international-cooperation/cotutelle.html) • Drawing up and providing model contracts • Documentation of cotutelle requests and procedures throughout the university • Serving as the interface function between BUW/School of Humanities, the responsible unit(s) at the partner university, and the doctoral candidate in administrative matters concerning the individual cotutelle procedure • Conducting contract negotiations on the content of cotutelle agreements and framework agreements with the university partners • Issuing of the cotutelle agreements • Coordinating the signing process at BUW after approval of the individual cotutelle agreements by the Faculty Council of the School of Humanities
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	<ul style="list-style-type: none"> • Mailing of the original copies to the partner university abroad • Delivery of a fully signed original to the Dean's Office of the School of Humanities and copies to the thesis supervisor and Student Registry or Student Admission and Registration for International Students • Advising international doctoral candidates on legal residence issues, funding opportunities, and BUW-support services
<p>5) Faculty Council School of Humanities <i>Fakultätsrat</i></p>	<ul style="list-style-type: none"> • The faculty council approves the conclusion of the cotutelle contract by decision. This is the prerequisite for the validity of the cotutelle agreement (application for a resolution can be submitted to the Dean by the doctoral candidate or the thesis supervisor).
<p>6) Rector of the University of Wuppertal <i>Rektor</i></p>	<ul style="list-style-type: none"> • Signing the cotutelle agreement as to the official BUW representative
<p>7) Doctoral committee <i>Promotionsausschuss</i></p>	<p>The doctoral committee of the School of Humanities is responsible for the proper conduct of the doctoral examination procedure. If BUW is the lead university (<i>Federführung</i>) in a cotutelle procedure or if there is no other provision in the cotutelle agreement, the doctoral committee has the following responsibilities:</p> <ul style="list-style-type: none"> • Ascertainment of fulfilment of the admission requirements according to § 6 PromO and Annex 2 PromO • Resolution on the opening of the doctoral examination procedure according to § 3, subsection 1, no. 2 sentence 1 and section 8 PromO • Appointment of the members of the examination board in consultation with the partner university (§ 3, subsection 1, no. 2 PromO) • Monitoring of compliance with the deadlines and procedures laid down in the doctoral regulations (§ 3, subsection 1, no. 3 PromO) • Following § 3, subsection 1 no. 4, § 12, subsection 6 PromO, the doctoral committee is the administrative appeals authority within the meaning of the Administrative Procedure Act (Verwaltungsverfahrensgesetz – VwVfG) • Providing information on the required language skills of foreign language doctoral candidates (§ 3, subsection 1, no. 8 PromO)

	<ul style="list-style-type: none"> • Making decisions on the withdrawal of applications for the opening of doctoral procedures and notifying the doctoral candidates of such decisions (§ 9, subsection 3 PromO) • Informing the doctoral candidate of a probable decision on non-acceptance of the dissertation by the head of the doctoral committee (§ 12, subsection 4 PromO)
<p>8) Examination board <i>Prüfungskommission</i></p>	<ul style="list-style-type: none"> • The members of the examination board are appointed by the doctoral committee if BUW is the lead university • The examination board consists of examiners who write reports and other members of the participating universities with examination authorization in equal numbers (Annex 2, subsection 5 PromO) • Appointment of the examiners who write a report • According to § 5 No. 2 PromO, the examination board decides on the basis of the examiners' reports whether a doctoral candidate is admitted to the doctoral examination • Evaluating the dissertation, accepting the oral examination and decision on the marks for the dissertation and the oral examination (§ 18, subsection 8 PromO) as well as the overall mark (§ 5, no. 4 PromO) • Decision on the form of the oral examination by the chairperson of the examination board (§ 13, subsection 1, § 14 and 15 PromO) • Decision on whether the oral examination has been passed (§ 13, subsection 8 PromO) • Notifying the doctoral candidate and the Dean of the School of Humanities of the overall result (§ 16, subsection 1 PromO)
<p>9) The Dean's Office of the School of Humanities <i>Dekanat</i></p> <p>(Office of the doctoral committee <i>Geschäftszimmer des Promotionsausschusses)</i></p>	<ul style="list-style-type: none"> • Setting up and archiving of an individual doctoral file with all relevant documents after the cotutelle agreement has been signed by all parties • Ensuring the announcement and the display (<i>Auslegung</i>) of the dissertation in accordance with the schedule (§ 11, subsection 6 PromO). Each thesis must be available for a display. A copy of the thesis with the examiners' reports will be available for consultation in the Dean's Office. During the display period, all university teachers of the School of Humanities have the opportunity to examine the thesis and the examiners' reports • Delivery of the doctoral certificate to the doctoral candidate and delivery of copies to the partner university and the IC – International Office (only after confirmation of successful completion of the (joint) doctorate and publication of the dissertation by the doctoral candidate)

<p>10) Dean of the School of Humanities</p>	<ul style="list-style-type: none"> • Execution of the doctorate by issuing a doctoral certificate with the notes <ul style="list-style-type: none"> – that the doctoral procedure was jointly supervised by BUW and the partner University – that the certificate is only valid in conjunction with the corresponding certificate awarding the doctoral degree of the partner university – that the holder of this doctoral degree is entitled to make use of the degree in public either in the German or in the [country] form of its designation (§ 18, Annex 2, subsection 7 PromO) • If required, issuing of a provisional certificate on having passed the doctoral examination (§ 16, subsection 2 PromO)
<p>11) Student Registry <i>Abt. 3.2. - Studierendensekretariat</i></p>	<ul style="list-style-type: none"> • Enrolment of doctoral candidates with German educational qualifications as well as doctoral candidates with the German nationality • Archiving of a copy of the cotutelle agreement placed in the student file • Information on applying for a semester on leave due to a semester abroad at the partner university within the cotutelle procedure (see: https://www.studierendensekretariat.uni-wuppertal.de/de/beurlaubung.html). • Processing applications for semesters on leave • Contact for data changes, deregistration
<p>12) Student Admission and Registration for International Students <i>Abteilung 3.3 – Internationales Studierendensekretariat</i></p>	<ul style="list-style-type: none"> • Assessment of foreign educational qualifications and certificates. Checking formal eligibility of doctoral candidates • Supplying information on /requesting documents to be submitted for enrolment (see https://www.zgs.uni-wuppertal.de/en/info-advice/information-for-international-doctoral-students/would-you-like-to-enroll-for-a-doctorate-at-the-of-wuppertal.html) • Enrolment of doctoral candidates with foreign nationality and foreign educational qualifications • Archiving of a copy of the cotutelle agreement placed in the student file • Information on applying for a semester on leave due to a semester abroad at the partner university within the cotutelle procedure (see: https://www.studierendensekretariat.uni-wuppertal.de/de/beurlaubung.html).

	<ul style="list-style-type: none"> • Processing applications for semesters on leave • Contact for data changes, deregistration • Marking of the doctoral enrolment as cotutelle procedure in the university's students administration system • Information on applying for a semester on leave • Processing applications for semesters on leave due to semesters abroad at the partner university within cotutelle procedures (see https://www.studierendensekretariat.uni-wuppertal.de/delbeurlaubung.html). • Entering the corresponding exemption from the semester contribution in the students administration system
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III) Procedures set out in the annex to the doctoral degree regulations

Fundamentals

- All regulations of the respective universities must be complied with unless stipulated otherwise in the joint supervision contract (cf. Annex 2 of the doctoral degree regulations, subsection 1, sentence 1).
- A requirement for cooperation with an international university is the following stipulation set out in foreign law: A PhD degree entails the submission of a dissertation and an oral examination.
- Even if a framework contract has been concluded between an international university and the university of Wuppertal, each bi-nationally supervised doctorate ("cotutelle") requires a separate contract (which may be simplified where appropriate).
- As the relevant authority, the doctoral committee is responsible for the management of the dissertation file (§ 2, subsection 7 of the doctoral degree regulations). Relevant documents, correspondence and notes are to be made available to the doctoral committee to ensure the completeness of the file.
- The Office of the Dean ensures the safekeeping and maintenance of the dissertation files on behalf of the doctoral committee.



Phase O – Preliminaries

- The potential supervisor of the School of Humanities and the potential doctoral candidate agree on the implementation of a doctorate in the form of a cotutelle procedure. At the University of Wuppertal, this can also be done after the matriculation as a regular doctoral student. In these cases, it should be checked beforehand whether conflicting regulations of the foreign university prevent a cotutelle procedure.
- The potential supervisor at the University of Wuppertal and the potential supervisor of a foreign university agree on the initiation of a joint supervision within the framework of a cotutelle procedure.
- The supervisor of the University of Wuppertal preliminarily assesses if relevant requirements are met, especially
 - a) the required qualifications of the doctoral candidate, esp. a relevant university degree accepted by both universities,
 - b) the personal qualifications of the doctoral candidate, esp. the necessary language skills as well as the willingness and ability to obtain a doctorate while dealing with increased organizational demands,
 - c) financial viability of the project through, for instance, graduate schools, remuneration from work as a research associate at the School of Humanities or the foreign university, scholarships, private assets, subsidies from the University of Wuppertal and/or the foreign university (this is especially relevant with a view to the maximum duration of the cotutelle procedure that are stipulated by the regulations of some foreign universities),
 - d) the professional suitability of a professor or lecturer at the foreign university as a potential supervisor (annex 2, subsection 2, sentence 1 of the doctoral degree regulations), and
 - e) the suitability of the foreign university as a contractual partner in a cotutelle contract.
- The supervisor contacts the International Office requesting contract initiation and informs the doctoral committee about the intended cotutelle procedure. In the process, the supervisor conveys the following details to the International Office and the doctoral committee:
 - o Name of the foreign university
 - o Name and contact details of the scientific supervisor at the University of Wuppertal and the foreign university
 - o Name and contact details of the responsible organizational unit at the foreign university
 - o Topic of the dissertation
 - o Language of dissertation and abstracts
 - o Place of the defence
 - o Language of the defence
 - o Date/term/year of the doctoral candidate's first matriculation at the foreign university

Phase 1 – Initiation of the cotutelle procedure

a) Conclusion of the cotutelle contract

aa) Preparation of a draft contract

- The International Office coordinates the contents and language(s) of the cotutelle contract with the foreign university.

bb) The contracting parties

The contracting parties are

- The University of Wuppertal, represented by the Rector
- The foreign university, represented by their management and, as the case may be, other boards and functioning bodies in accordance with local regulations

cc) The contents of the contract

- The contract needs to be drafted by the coordinating university (*federführende Universität*).
- The contract needs to contain details about the supervision and registration of the doctoral candidate.
- The contract designates the supervisor at the School of Humanities (University of Wuppertal) as well as the supervisor at the foreign university (usually there is only one supervisor from each university involved; the examination committee is designated after the opening of the doctoral examination procedure).
- The provisions of the doctoral degree regulations, including the annexes, apply to all doctoral degrees awarded under a cotutelle procedure, unless otherwise specified in the cotutelle agreement (in accordance with Annex 2, subsection 1, sentence 1 of the doctoral degree regulations). If provisions deviate from the doctoral degree regulations of the University of Wuppertal, this must be explicitly noted
- Unless otherwise specified in the cotutelle contract, the relevant regulations of the foreign university apply.
- The competent authority of the coordinating university monitors compliance with the rules of procedure; in Wuppertal, this is the doctoral degree examinations board (cf. § 2, subsection 1 of the doctoral degree regulations).

b) Approval by the faculty council

- The faculty council approves the conclusion of the cotutelle contract by decision.
- The faculty council's approval refers to the draft contract.¹
- Supervisors can submit the proposal for resolution at the 'Dean's Office'. The proposals must be accompanied by the draft contract. The Dean includes the proposal on the agenda of the next meeting of the faculty council.

¹ The wording of annex 2 of the doctoral degree regulations suggests the approval of a signed contract. The approval of a draft has the advantage that modification requests by the faculty council do not necessitate the repetition of the signing.

c) Enrolment application at the University of Wuppertal

- The doctoral candidate submits the enrolment application to the International Office (with the necessary documentation and information).
- The doctoral candidate must be enrolled continuously. This also applies to the contractually specified research stays at the foreign university. For these stays or semesters, doctoral candidates can apply for a leave of absence.
- The doctoral candidate takes care of the enrolment and the health insurance according to the regulations of both universities.
- The supervisor at the School of Humanities supplies a letter confirming supervision that needs to be included in the application for enrolment.

d) The opening of the doctoral examination procedures

- The opening/rejection of the doctoral examination procedures is made by the doctoral committee (cf. § 3, subsection 1, sentence 2 of the doctoral degree regulations) unless otherwise specified in the cotutelle contract.

e) Appointing the examination board

- If the University of Wuppertal coordinates the cotutelle procedure and the cotutelle agreement does not specify otherwise, the doctoral committee appoints a joint examination board consisting of an equal number of representatives from both sides (§ 4 and Annex 2, subsection 1, sentence 1 of the doctoral degree regulations).
- The examination board consists of the supervisors and an equal number of representatives of the faculties from the universities involved (cf. Annex 2, subsection 5 of the doctoral degree regulations)
- Should such equal representation not be possible for compelling reasons, the votes of the examination board shall be weighted in a manner that ensures the equal participation of both universities (cf. Annex 2, subsection 5, sentence 3 of the doctoral degree regulations)

Phase 2 – Start and implementation of the procedure

a) Start of the cotutelle procedure

b) The cotutelle procedure starts (from the perspective of the School of Humanities) when the following criteria are met

- the doctoral candidate's matriculation at the University of Wuppertal (otherwise, no doctoral examination procedure is pending with the School of Humanities)
- the signing of the cotutelle contract by the relevant bodies of both universities involved (otherwise no cotutelle procedure) and
- a resolution of approval by the faculty council (otherwise no validity of the cotutelle contract)

c) Supervision

- Supervision of the doctoral candidate and assessment of the dissertation by a professor or lecturer of the School of Humanities and by a lecturer of the foreign university (Annex 2, subsection 2 of the doctoral degree regulations). Possible special regulations in the cotutelle contract and/or the foreign university (e.g. concerning external assessors) are to be observed.

d) Submission of the dissertation

- According to the doctoral degree regulations (§ 10, subsection 2, sentence 1), the dissertation should generally be written in German. The doctoral committee decides on the admission of a dissertation in a different language. Furthermore, the dissertation can be submitted in the language of the country of the foreign university without a decision of the doctoral committee according to annex 2, subsection 3, sentence 1 of the doctoral degree regulations, if a German summary is submitted at the same time. A deviation from these principles is possible by an explicit agreement in the cotutelle contract (Annex 2, subsection 3, sentence 2 of the doctoral degree regulations).

e) Acceptance of the dissertation

- The acceptance of the dissertation is carried out by the examination committee by decision (Annex 2, subsection 6 of the doctoral degree regulations).

f) Doctoral defence

- The oral examination (doctoral defence) takes place at the lead university in the language of the country (Annex 2, subsection 3 and 4 of the doctoral degree regulations). A deviation from this principle is possible, but must be specified in the cotutelle contract (Annex 2, subsection 4, sentence 2, second sub-clause of the doctoral degree regulations).
- The oral examination (doctoral defence) is conducted by all members of the examination committee by resolution.
- For the oral examination (doctoral defence), the minimum standards in §§ 13-14 of the doctoral degree regulations apply, if and as far as nothing else is agreed in the cotutelle contract (esp. the determination of the type of examination, the examination during the summer or winter term, the regular duration of two hours; the determination of the grade of the dissertation before the commencement of the oral examination by simple majority; taking minutes; opening the examination for doctoral candidates if applicable, the decision on pass/fail by simple majority, the possibility to repeat the examination once, etc.).

g) Publication of the dissertation

- For the publication of the dissertation, the provisions in § 17 of the doctoral degree regulations apply unless there exist other contractual arrangements.

Phase 3 – Completion of the cotutelle procedure

a) Conferral of a joint doctoral degree

After the publication of the dissertation, the doctoral examination procedure is completed by the conferral of a joint doctoral degree.

b) Special features of the doctoral degree certificate(s) (Annex 2, subsection 7 of the doctoral degree regulations)

- As a rule, the University of Wuppertal and the foreign university each draw up individual certificates, entailing a note on the implementation of a transnational, jointly supervised doctoral examination procedure as well as the information that each of the two certificates is only valid in combination with the other.
- In exceptional cases, it is possible for both universities to draw up a joint certificate.
- Templates for cotutelle certificates at the University of Wuppertal are provided by the public relations department.



Wuppertal, den 20.07.2021

Prof. Dr. Ursula Kocher

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(Prof. Dr. Ursula Kocher)

Dekanin

Fakultät für Geistes- und Kulturwissenschaften

Wuppertal, den 20.07.2021

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(Prof. Dr. Jochen Johrendt)

Vorsitzender des Promotionsausschusses

Fakultät für Geistes- und Kulturwissenschaften

Wuppertal, den 19.07.2021

BERGISCHE UNIVERSITÄT WUPPERTAL

Andrea Bieck

INTERNATIONAL CENTER- International Office

Ilußstr. 20, 42119 Wuppertal

Telefon: 102024392181

(Andrea Bieck)

Abteilungsleiterin

International Center- Abteilung International Office