

VIETNAM ACADEMY OF SCIENCE AND TECHNOLOGY
UNIVERSITY OF SCIENCE AND TECHNOLOGY OF HANOI

**REGULATION
OF COTUTELLE DOCTORAL TRAINING**

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by USTH Principal Rector)*

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Chapter I

GENERAL PROVISIONS

Article 1. Purpose

The Cotutelle doctoral program (hereafter referred to as CTP) is a special doctoral training program that is designed to

- Attract young talents to university,
- Boost the training quality to meet international standards,
- Develop the research capacity of the university in general and mainly support the development of research groups/ laboratories,
- Strengthen the research cooperation with international partners, especially partners from Consortium-USTH.

Article 2. Position of CTP in training structure of USTH

The CTP is a specialized form of doctoral training implemented through a training collaboration between USTH and the international partner. This regulation is established to ensure the alignment of the CTP with the current regulations applied at USTH and partner-university. The specifications are allowed in order to match with regulations being applied by partner-universities while perfectly ensuring the quality of training, as prescribed in Article 6 and Annex 2 of the Administrative Arrangement between Vietnam and France on the mutual recognition of studies and diplomas¹.

Except for the specifications determined herein, supervisors, students, and all other related parties follow the rules described in USTH's PhD training regulation.

Article 3. Definitions related to Cotutelle doctoral program

1. Research topics: should be commonly defined by two scientists, one from USTH or VAST (in case of prioritizes research field at USTH) and one from partner-university; it falls into the research fields/ directions being developed (or being planned for the near future development) by USTH.

2. PhD student: an individual pursuing a doctoral degree through the Cotutelle program, officially supervised by two scientists, one from USTH and one from partner-university. He/she is enrolled both at USTH and partner-university for the whole duration of the PhD. He/she should have appropriate working time (preferably equal working durations) at both institutions (USTH and the partner-university). The minimum working time of 12 months at USTH is required.

3. Supervisors: two supervisors should consist of one scientist from USTH or VAST (in case of prioritizes research field at USTH) and one scientist from the partner-

¹ Arrangement Administratif entre le Ministère de l'Éducation et de la Formation de la République Socialiste du Vietnam et le Ministère de l'Enseignement Supérieur, de la Recherche et de l'Innovation de la République Française sur la Reconnaissance Mutuelle des Études et des Diplômes, signed in Paris dated 3 November 2021 during the visit of Prime Minister Pham Minh Chinh

university (or scientist of a research laboratory/ institute/ center which the partner-university shares affiliation). Both supervisors should be qualified to supervise a PhD thesis by the Doctoral Schools of USTH and partner-university.

4. Thesis: a comprehensive document presents the written results of the PhD research work. It must be written in English and will be assessed by an thesis examination jury appointed by both USTH and the partner-university.

5. PhD diplomas: both USTH and the partner-university award their respective PhD diploma to the PhD student upon successful defense of his/her PhD thesis in front of the thesis examination jury.

Chapter II

SELECTION PROCESS

Article 4. Steps in the selection process of research topics, supervisor, and PhD candidates

The selection process for research topics and PhD candidates is jointly organized by the Doctoral School and the Direction of Research, Innovation, and Technology Transfer (referred to as the DRITT), along with other relevant units. The process includes the following three steps:

Step 1: Selection of research topics and supervisory team (led by the DRITT, with coordination from the Doctoral School and the Department of International Cooperation)

Step 2: Selection of PhD candidates (led by the Doctoral School, with coordination from the DRITT, and the Department of Admissions)

Step 3: Discussion, signing of the Cotutelle agreement, and issuance of an official decision recognizing the research topic, supervisors, and PhD candidate.

Article 5. Call for CTP research topics

1. Annually, USTH calls for PhD research topics from scientists working at USTH and international partners (Annex 1).

2. DRITT is in charge, in cooperation with Doctoral School and Department of International Cooperation to disseminate the call to scientists and partners.

3. Scientists can jointly submit proposed PhD research topics if their collaboration has been already established or their discussion is already initiated. Alternatively, a scientist from USTH or from a partner-university can individually propose his/ her research topics and request USTH or partner-universities to recommend a scientist who has expertise in the research topic to supervise the PhD student (Annex 2).

4. DRITT collects the proposed CTP research topics. For proposals by individual French scientists, DRITT proposes an appropriate co-supervisor from USTH or VAST. For proposals from individual USTH scientists, DRITT shall contact Consortium-USTH and/or partner-universities to identify a potential co-supervisor. When both potential co-

supervisors are identified, DRITT serves as a relay supporting the discussion between co-supervisors while keeping attention in the CTP policy and the strategic research development of USTH.

5. DRITT shall ensure that the two supervisors have already discussed and agreed to co-supervise the CTP research work (Annex 3).

6. DRITT is responsible, in cooperation with Doctoral School, for synthesizing the topic proposals (both eligible and non-eligible CTP research topics), and prepares documents required for the selection committee.

7. The Doctoral School and DRITT shall jointly propose a single selection committee which advises the Rector-Board in selection of the CTP research topics and the selection of PhD students. The selection committee is composed of 5-7 members including:

- a) a representative from the Rector's Board - a chairperson;
- b) 1-3 senior researchers - Members;
- c) a representative from the Doctoral School-Member;
- d) a representative from the DRITT-Member;
- e) a representative from the Department of Admissions, Secretary.

Article 6. Selection of students

1. Admissions announcement:

a) The Department of Admissions receives the selection results, including the list of research topics, supervisors, and related documents from the DRITT, is in charge, in cooperation with the Doctoral School and the Department of Marketing, Communication & Brand Management to prepare and publish the Admissions announcement for the CTP call for candidates.

b) Eligible candidates should hold a Master's degree or an engineer diploma (or equivalent) which is relevant to the research topic to which the candidate is applying for.

c) Candidates can only apply for the available research topics. Each candidate can apply for more than one research topics with a statement of his/ her priority (Annex 4). Candidates are encouraged to contact and discuss with co-supervisors to better understand the CTP research topics and relevant information (such as working dynamic of hosting laboratories, research challenge and opportunities, funding support, ambition and pressure, etc).

d) The application dossier should include: Application form, CV, copy of candidate's Master's degree (or equivalent), an English proficiency certificate, Letter of motivation, at least one recommendation and one pre-proposal describing shortly the research proposal (Annex 5). The candidate is encouraged to discuss with supervisors while preparing the pre-proposal, which will be upgraded to a detailed research proposal if the student is selected.

2. Admission jury:

The Doctoral School receives the admissions report, application dossiers of candidates, and related documents from the Department of Admissions. Based on the received dossiers, the Doctoral School coordinates with the DRITT to make a shortlist of candidates for interview by the Admissions Jury. The Admission jury consists of 03 members:

- a) a Director of Doctoral School, chairman;
- b) supervisor from the partner-university, member;
- c) a supervisor from USTH or VAST, secretary.

3. Candidate(s) presents in front of Admission Jury about his/her application demonstrating his/ her academic excellence, previous achievements, motivation, sense to contribute to the science and society, his/her engagement to the PhD training program as well as his/her ability to excel the PhD research topic. The Rector issues the decision on the establishment of an admission interview jury for each research topic.

4. When the interviews of all candidates are completed, the admission jury deliberates and recommends the list of candidates to be selected. Doctoral school introduces the list of selected candidates to the Selection Committee. Based on the recommendation of the Selection Committee, USTH Principal Rector issues a decision on the final admission result.

5. The Department of Admissions is in charge communicate the selection result to candidates. DRITT communicates the selection result to supervisors and partner-universities.

Article 7. Discussion and signing of the Cotutelle agreement

1. USTH Doctoral School and DRITT are responsible for supporting supervisors and the PhD student to elaborate an appropriate Cotutelle Agreement with the partner-university Doctoral School wherein all technical details of, research proposal, the PhD thesis, commitment of each parties (universities, doctoral schools, supervisors, and student) are described (Annex 6).

2. The following minimal requirements should be strictly respected and included in the Cotutelle Agreement:

a) scientists from USTH/VAST and partner-university equally contribute to the CTP research and serve as “co-Supervisors”;

b) the student should be physically present and work at USTH for at least 12 months;

c) funding (scholarship/stipend and research funding) should be identified for the complete working time in France as well as in Vietnam with relevant funding commitments or separate funding agreements (if any);

d) the tentative working plan should be provided, detailing the working periods at USTH and at the partner-university;

e) the CTP shall be registered in both Doctoral schools for the whole PhD duration;

f) tuition fees paid annually only on one side (exempted on the other side) with a planning of these payments;

g) the medical and social insurance covers to be applied for each period/location of the PhD student;

h) the list of courses (and relevant number of ECTS) that the student should take at USTH and the partner-university;

i) at least one international publication indexed in the SCIE/SCOPUS and one other peer-reviewed publication and meet the publication requirements of the partner-university before the thesis can be submitted for evaluation;

j) the place where the doctoral thesis defense shall be conducted;

k) the PhD thesis must be written and defended in English. The abstract must be written in English, Vietnamese, and French;

l) the composition of the thesis examination jury must be approved by both USTH and partner-university;

m) both USTH and partner-university recognize the single thesis defense result and agree to both award their PhD degree to the successful candidate.

3. When the discussion process regarding the Cotutelle Agreement has received consensus from all relevant parties, the USTH Doctoral school is responsible for submitting it to the Rector board the Cotutelle Agreement for signing.

Article 8. Recognition of the thesis topic, supervisors, and PhD student

When the Cotutelle Agreement was signed, the USTH Doctoral school is responsible for submitting to the Rector board for issuance of decision recognizing the thesis topic, supervisors and the PhD student. At the same time, the PhD student proceeds with the enrollment procedures at the partner institution.

Chapter III

REALIZATION OF COTUTELLE DOCTORAL PROGRAM

Article 9. Finance

1. USTH shall pay a monthly stipend as the minimum wage in region 1 when the PhD student is physically present and works at USTH. In return, the PhD student should ensure a workload according to current regulation.

2. The partner-university pays scholarship/ stipend for the period when the PhD student works there. Details of the scholarship/stipend as well as responsibility of PhD student with the partner-university shall be described in the Cotutelle Agreement.

3. Co-supervisors are responsible to ensure the funding of (a) the required monthly allowances (if any) and (b) the cost of research work and (c) the student's participation in national/ international conference, workshop, training (*if any*). Co-supervisors are encouraged to pay for the tuition fees through their research contracts/ funding.

4. USTH cover two one-way flight tickets for the PhD student to travel between Vietnam and France.

5. All other courses related to organization of the thesis defense will not be covered by USTH.

Article 10. Realization of the CTP research work and other activities

1. The supervisors are responsible to assign laboratory space and research work to the PhD student; to define the co-supervision mechanism; to follow the progress of the PhD student; to inform relevant parties about difficulties/ anomalies (*if any*) and manage their resolution.

2. The Department of General Education, Doctoral School, and Academic Departments and the co-supervisor at USTH are responsible for providing conditions to PhD student to fulfill his/her workload required in Article 9 Clause 2 above.

3. The PhD student is responsible for conducting the CTP research work and other tasks (if any) provided by and under the supervision of the supervisors; to fulfill the workload required by USTH and university partner; to report regularly to Doctoral School, Academic Department, Laboratory/Group where he/she affiliates; to participate in academic or collective activities as per requested by Doctoral School, Department, Laboratory/Group (e.g. Doctoral Days, Department Seminar, Laboratory Seminar, etc); and to inform relevant parties about difficulties/ anomalies (if any).

Chapter IV

TIME AND TRAINING PROGRAM

Article 11. Training duration

1. The Ph.D. training program is conducted in the form of full-time education at the USTH and the partner-university.

2. The training duration is 03 years (36 months) for a Ph.D. student holding a Master's diploma or an engineer diploma (or equivalent).

3. In case a Ph.D. student cannot complete the Ph.D. training program within the regular training duration, he/she must follow the procedures of extending his/her training duration 2 months before the end of the regular training time to USTH doctoral school. The maximum time of extension is 36 months. The extension procedure is detailed in the current Regulation of PhD training of USTH.

Article 12. Training program

1. The total ECTS credits required for the completion of the PhD program is jointly determined by both USTH and the partner-university and mentioned in Cotutelle agreement.

2. Credits (ECTS) earned by the PhD student at either institution in accordance with Cotutelle agreement is fully recognized and counted towards the fulfillment of the PhD degree requirements at both USTH and the partner-university.

3. ECTS credits awarded for courses, research activities, or other academic work completed at either university are transferable between the USTH and the partner-university.

Chapter V

DEFENSE AND DIPLOMA AWARD

Article 13. Requirement for submitting thesis defense dossier

1. The PhD thesis must be written in English following the format proposed by either USTH or the partner-university; The abstract must be written in French, Vietnamese and English.

2. The PhD student shall not submit his/her thesis until all academic and administrative conditions described in the Cotutelle Agreement are completed.

3. The PhD thesis should be approved by both supervisors in writing before it is submitted to the Doctoral School (see Annex 7).

4. The PhD student is eligible for submitting his/her defense request after he/she has met all the following requirements:

a) He/she has completed all the required training courses including (i) Supplementary courses (requested by his/her admission interview jury), (ii) Essays, common courses, and doctoral courses.

b) He/she has been the main author of at least 02 research papers from the PhD research work which should have already been published or accepted for publication in peer-reviewed scientific journals, proceedings recognized by research communities. At least 01 paper must have been published or accepted for publication within the SCIE/SCOPUS system.

c) The PhD student is required to conduct a seminar on their thesis at USTH or partner-university. Both supervisors must certify that the scientific seminar took place by submitting an official letter to the Doctoral School.

d) Both Supervisors have approved the quality and contents of the thesis and agreed that he/she can start the thesis defense procedure. The supervisors must submit the request to the the Doctoral School for their PhD student to defense her/his thesis.

e) He/she has settled all financial liabilities to USTH by the time of thesis defense request submission and is not currently under any restrictions or penalties.

5. USTH's Doctoral School is responsible for verifying whether the PhD thesis is acceptable on the basis of requirements described in the Cotutelle Agreement (e.g. academic and administrative requirement). The PhD thesis should be submitted to both universities.

Article 14. The PhD thesis defense

1. When the doctoral thesis is submitted to both USTH and the partner-university, the Doctoral School is responsible for coordinating with the partner-university to establish the Thesis examination jury. Doctoral School submit to Rector Board for

Decision (see Annex 8). USTH Rector issues the decision on establishing thesis examination jury but it is aligned in content with related documents from the partner university.

2. The thesis examination jury consists of at least 7 members (01 chairman, 02 reviewers, 02 supervisors, and at least 02 senior scientists). Encourage to have female member(s) in the Jury.

3. The location where the thesis defense shall take place and the working modality of the thesis evaluation jury (onsite, online or hybrid) should be described when submitting the Proposition for PhD thesis defense jury and approval by both USTH and the partner-university.

4. English is used as the language for the thesis defense as well as for filling all the documents related to the thesis defense.

5. Both USTH and the partner-university approve the result of the thesis defense as recommended by the Thesis examination jury.

Article 15. Awarding PhD degree

1. After successfully defending the doctoral thesis, the PhD student is responsible for completing all required revisions (if any) as requested by the thesis evaluation jury and submitting the revised thesis to the USTH Doctoral school and the partner-university.

2. After the PhD student submits the finalized thesis and completes all necessary administrative and financial procedures, USTH and the partner-university award their respective doctoral degree to the successful candidate.

Chapter VI IMPLEMENTATION

Article 16. Role and mission of departments

1. DRITT ensures the implementation of the Cotutelle program falling in the strategic development plan of USTH, supporting the structuration of USTH research, boosting the research innovation capability of USTH, strengthening the existing partnership with USTH Consortium partners as well as developing novel research partnership with French universities, research organization and other international partners. DRITT is in charge, in cooperation with the Doctoral School and the Department of Admission, to implement the call for CTP research topics, facilitate the discussion between scientists from USTH and the partners-universities in order to formulate their agreement of co-supervision, and support the CTP selection committee in selecting PhD research topics.

2. Department of Admissions is in charge of implementing the Admissions announcement receive documents of PhD candidate.

3. Doctoral School is responsible for PhD selection committee and submit to Rector Board for decision, coordinates with supervisors and PhD student in negotiating and preparing the Cotutelle Agreement, coordinates with Department of Student Affairs to enroll the PhD student to USTH, and coordinates with Academic Department, Laboratory/ Research Group and co-supervisors to implement the PhD training. Doctoral School is responsible for contacting Departments and arranging work for PhD students according to USTH's requirements.

4. The Department of Finance and Accounting is in charge of allocating an appropriate budget to pay for PhD students when they are working at USTH.

5. The International Cooperation Department is responsible for coordinating international cooperation activities related to the program.

6. The Department of Student Affairs is responsible for assisting with administrative procedures, scholarships, and providing advice and support to PhD students throughout their studies.

7. The Academic Departments are responsible for creating a research environment and facilitating the completion of research results and the dissertation by PhD students.

Article 17. Implementation time

1. The regulation is effective on the date of its signature.

2. During the implementation of this regulation, concerned individuals or units are responsible to inform the Doctoral School of any issue/ difficulty is met Doctoral School collects the information, analyses and consults with the Doctoral School Council and/ or any relevant units if it is needed, and submits proposed solution to the Rector-Board for consideration.

3. In the implementation process, Doctoral School is in charge, in cooperation with DRITT, for reviewing the realization of this CTP and formulating the recommendation to the Rector for the program future development. *cthu*

PRINCIPAL RECTOR

(Signed and sealed)

Jean-Marc Lavest

