

## Guidelines for Implementing International Joint Supervision Program

28 March 2023

Approved by the Educational Committee of SOKENDAI

These guidelines set out the requirements and procedures to be followed when implementing an International Joint Supervision program.

International Joint Supervision (hereafter abbreviated as “JS”) is a program in which one graduate student receives jointly research guidance by two faculty members who belong to SOKENDAI and an oversea university. Students are enrolled only in their home university and belong to the host university as a non-regular (non-degree seeking) student. One dissertation will be jointly reviewed and one degree will be awarded by the home university upon successful fulfillment of requirements of the home university. In addition, a joint certificate of completion is issued to certify that SOKENDAI and the partner university jointly supervised the thesis.

### 1. Approval for program establishment and implementation

The department that intend to implement the JS program shall consult with the partner university, and conclude a framework agreement. Procedures for concluding framework agreements are the same as those for general academic exchange agreement. With the conclusion of the framework agreement, SOKENDAI authorizes the establishment of the JS program.

The framework agreement should include requirements for implementing JS program, admission requirements for the students of the partner university, degree requirements, arrangements for academic fees and financial support, and matters related to the conduct of research, such as publication of research results, intellectual property and compliance. For more details, please refer to the framework agreement template.

Prior to the implementing the program, the student and the supervisors should discuss the research and teaching plan, and then an individual agreement that stipulates the details of program implementation shall be concluded for each student. At SOKENDAI, the individual agreement is reviewed by the department committee and approved by the executive director for education, who authorizes the implementation of the JS program.

The individual agreement should include the subject of research, the period of research activities at each university, the language used in writing the dissertation, the procedures for thesis defense, the method and organization of thesis defense. In principle, an individual agreement will be prepared by the semester in which the program begins, and will be signed by the heads of the relevant departments of both universities, the supervisors, and the student. For more details, please refer to the individual agreement template.

### 2. Program operation and implementation

Hereinafter, the university where the student originally enrolled will be referred to as the “home university”, and the partner university where joint research guidance will be implemented will be referred to as the host university. The home university is responsible for the main operation of the program based on cooperation with the host university. At SOKENDAI, the department to which the student belongs is mainly responsible for the management and implementation of the program.

### 3. Acceptance and Dispatch of Students

In principle, students who wish to implement the JS program must obtain the consent of their supervisors of both university before applying to their home university. If the home university considers the application to be appropriate, the student will be recommended to the host university. Students participating in the JS program must meet the admission requirements of the host university, and the host university may refuse admission if the student does not meet the requirements.

When accepting a student from the partner university to SOKENDAI, the admission requirements for SOKENDAI is to be enrolled in a doctoral program at the partner university for the duration of the program and to pass the selection process at SOKENDAI.

The number of students (by grade and total number) that can be accepted and dispatched shall be determined in a framework agreement so that the number is as balanced as possible.

### 4. Joint Research Guidance

One supervisor who jointly supervise the research will be appointed from each university per one student. Both supervisors confirm the research subject, the period of research activities at the host university, the language used in writing the dissertation, etc. in an individual agreement in advance.

Appointment of supervisors will be done in accordance with individual circumstance such as academic exchanges and joint research between faculty members. Both universities shall jointly take responsibility for the research guidance.

### 5. Program Duration

In principle, the duration of the JS program shall be at least three years. SOKENDAI students must include the latter three years of a five-year doctoral program or third-year doctoral program in the program period. The program duration can be extended with reasonable grounds. The procedure and maximum limits for extension shall be stipulated in advance in the framework agreement.

In principle, students shall conduct research at SOKENDAI for at least one year during the program period. However, it does not have to be a continuous period of one year, and may be the total of multiple periods. The supervisors shall arrange the best research plan for the student and define the duration of research at each university in an individual agreement.

### 6. Status and Period of Enrollment at Host University

Students will be registered as non-regular (non-degree seeking) students (special research students at SOKENDAI) and receive research guidance at the host university. For SOKENDAI students, the period of dispatch to the partner university can be included in the period of enrollment required for completion at SOKENDAI.

### 7. Thesis Defense

Students must meet the degree application requirements of their home university and submit one dissertation to their home university by the end of the program period.

Thesis defense is conducted based on the regulations of the home university, but it is desirable to stipulate in the individual agreement that faculty members from the host university be included in the thesis defense committee. In case that faculty members of the partner university are appointed as members of the thesis defense committee, they shall be considered as external members under the SOKENDAI degree regulations.

If necessary, the framework agreement shall stipulate the sharing of travel expenses and honorariums for the thesis defense committee members belonging to the partner university.

## 8. Conferment of Degree

Students who pass the degree defense will be awarded a single degree and issued a diploma by their home university. The diploma shall include a statement that the degree was conferred as a result of completion of a JS program with the partner university, or both universities shall issue a joint certificate of completion of the JS program. In the former case, the description on the diploma should be as follows.

“The doctoral research project leading to this degree was conducted under the International Joint Supervision agreement between SOKENDAI and [host institution]”

## 9. Tuition fee, Admission (Entrance) fee, Examination fee, Scholarships and Other expenses

In principle, students pay tuition fees to the home university and tuition fee at the host university shall be exempted during the program period.

In principle, the travel expenses and living expenses related to the dispatch to the partner university shall be borne by the student. However, SOKENDAI students can apply for and receive support from SOKENDAI Research Dispatch Program when participating in the JS Program. Please note that some universities require students to obtain scholarships or financial support in order to offer JS Program.

The framework agreement shall clearly state the arrangements regarding travel fees, living fees and insurance in addition to tuition fee, examination fee, admission (entrance) fee and scholarships as necessary.

In principle, expenses related to activities of the supervisors, such as travel expenses and additional allowances shall be borne by the university to which the supervisor belongs. However, this shall not apply if otherwise stipulated in the framework agreement.

## 10. Modification

Students may withdraw from the JS Program in accordance with the procedures stipulated in the framework agreement before submitting their thesis. In that case, the student may continue the doctoral program at the home university.

If both universities deem it necessary for research guidance or if there are other reasonable grounds, they may change the supervisor or research topic.

## 11. Other

Handling of intellectual property, disclosure of research results, compliance, confidentiality obligation, handling of personal information, procedures for program extension and cancellation,

and procedures for amending and suspending framework agreements should also be stipulated in advance in the framework agreement.

If a project that falls under the control of sensitive technologies for security export is included, it must be stipulated in advance in the agreement and should be checked by the department in charge of each university.

When handling personal data of persons in the European Economic Area during this program, in addition to complying with domestic laws and regulations, both universities must comply with GDPR (the EU General Data Protection Regulation).

※This guideline will be enforced from April 2023

[Notes]

- This English translation is for reference purposes only.

In the event of any differences in meaning between the original Japanese version and this English translation, the original Japanese version takes precedence.

- In these guidelines, programs that are internal organizations of SOKENDAI (e.g., Molecular Science Program) are referred to as "departments" for convenience.

【Attachment 1】 JS program Framework Agreement Template

**INTERNATIONAL JOINT SUPERVISION PROGRAM  
FRAMEWORK AGREEMENT**

Between

THE GRADUATE UNIVERSITY FOR ADVANCED STUDIES, SOKENDAI  
Located at Shonan Village, Hayama, Kanagawa 240-0193 Japan  
Represented by its President, Dr.  
Hereinafter referred to as “SOKENDAI” on one hand,

And

( \_\_\_\_\_ (NAME OF PARTNER INSTITUTION))  
Located at  
Represented by its  
Hereinafter referred to as “ \_\_\_\_\_ ” on the other hand,

Hereinafter jointly referred to as the “Institutions” and singularly as the “Institution,”

Having regard to:

For SOKENDAI

School Education Act (Act No. 26 of March 31, 1947, Japan);  
Standards for Establishment of Graduate Schools (Ordinance of the Ministry of Education,  
Science and Culture, No.28 of June 20, 1974, Japan);  
Degree Regulations (Ordinance of the Ministry of Education, Science and Culture, No.9 of April  
1, 1953, Japan);  
School Regulations of SOKENDAI (April 1, 2004); and,  
Degree Regulations of SOKENDAI (April 1, 1989)

For \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_; and,  
\_\_\_\_\_

This agreement is agreed upon the two institutions to set forth the terms and conditions for the implementation of the International Joint Supervision Program. The agreement settles the general rules of the program and such rules should be respected in all cases falling under this agreement. All matters not regulated by this agreement fall under the MoU between SOKENDAI and \_\_\_\_\_, or the appropriate rules of each institution.

## **ARTICLE I. OBJECTIVE**

The purpose of this agreement is to specify the general terms and conditions under which a doctoral student from SOKENDAI studying at \_\_\_\_\_ or the one from \_\_\_\_\_ studying at SOKENDAI may be, for their doctoral research, jointly instructed by two supervisors, one from each institution.

## **ARTICLE II. PROGRAM OUTLINE**

The institution where students are originally enrolled is considered as their "home institution." Each student must start at the home institution at the beginning of their doctoral study. Subsequently, the student enrolls in the "host institution" as a non-degree student that provides them with joint supervision under the program.

### **2-1. Joint Supervision**

The field of study for the student must be one for which both the home and host institutions can appoint a qualified research supervisor. Each institution must appoint one supervisor for each student. The student's research is meant to be guided in collaboration by the supervisors of the two institutions.

### **2-2. Program Duration**

The research related to the doctoral thesis will be carried out in both institutions, in alternate periods of similar length spent, at least one year in each institution as a general rule (this can be cumulative). The total duration of the program is for three years. Such a duration can be extended by \_\_\_ year(s), but cannot exceed \_\_\_ years, in accordance with the rules in force at both institutions. The exact mobility period (the schedule for the student's research activities) will be specified in the individual agreement.

## **ARTICLE III. ADMISSIONS AND ENROLLMENT**

Both institutions affirm and agree that a student participating in the program will be entitled to the same rights and privileges and subject to the same rules, policies and discipline as other enrolled students at the home institution, and as other non-degree students at the host institution.

### **3-1. Number**

The number of the program to whom this agreement is applied is no more than \_\_\_ students per year, and no more than \_\_\_ students in total at the same time. The two institutions will admit a balanced number of students through this agreement.

### **3-2. Admissions**

A student wishing to participate in the program under this agreement shall be selected by both institutions.

The home institution will select candidates for the program first, among the students who have been admitted to or passed the entrance examination for the doctoral program of the home institution. The candidates then will be screened by the host institution to be admitted as a non-degree student. The host institution reserves the right to deny admissions to a student who does

not meet the requirements.

The student must possess sufficient English language proficiency.

### 3-3. Status of the Students

A student shall be regarded as a non-degree student at the host institution.

### 3-4. Individual Agreement

For each student, before starting the program, a specific joint supervision agreement (Individual Agreement for International Joint Supervision Program) will be determined in consultation with research supervisors of both institutions. It will then jointly be signed by the authorized representatives of each institution, the representative of each graduate school, the supervisors, and the student.

Such an agreement will specify:

- Name of the student
- Names of the two supervisors, one from each institution
- Subject of the research project
- Provisional title of the doctoral thesis
- Time framework (the schedule for the student's research activities), including appropriate duration of the periods the student spends in each institution
- Criteria for the composition of the thesis defense committee

A template for such agreement is proposed in the Appendix.

## **ARTICLE IV. GRANTING A DEGREE**

A student must follow the host institution's degree conferment requirements in order to be granted the Ph.D. (Doctor of Philosophy) degree by the home institution.

### 4-1. Doctoral Thesis

Each student shall complete one doctoral thesis, together with its abstract, both written in English, and submit it to the home institution to be examined.

### 4-2. Thesis Defense

A single joint thesis defense will be organized and held at the home institution, in accordance with the regulations of the home institution. The students will be given an authorization to defend their thesis by the relevant authority of both institutions after they complete the procedures described at Article \_\_\_\_\_ of the Individual Agreement for International Joint Supervision Program.

The thesis defense committee will be appointed by both institutions, shall be composed of \_\_\_\_\_, and shall comprise minimum/maximum (number) members.

In principle, the committee members' travel and other expenses shall be borne by the student's home institution/by their own institution. The travel and other expenses for the external members of the committee will be in charge of the institution where the defense takes place. An online or

TV conference and other similar systems may be used in defense as needed.

#### 4-3. Diploma and Certificate

After the thesis defense and on a positive assessment of the thesis defense committee, the home institution awards a degree and its own diploma to the student.

Both institutions will issue a joint certificate proving that the degree has been awarded through the international joint supervision between the two institutions.

### **ARTICLE V. FINANCIAL ARRANGEMENT AND FEES**

#### 5-1. Fees and Scholarship

Regardless of the place of study, the home institution shall hold the right to charge the students for the entrance examination, admissions, and tuition fees. The host institution shall not collect the above fees for the students.

In principle, the student shall cover the following expenses by themselves:

- Visa application and travel expenses
- Accommodations and other living expenses
- Health insurance and medical expenses
- Personal expenses such as books, printing/copying, and communication

Both institutions shall make efforts to financially support the program students by a scholarship or grant, including the ones from a third party.

#### 5-2. Student's Insurance

The student will be required to show a proof of health insurance before attending the host institution.

The host institution instructs the student to have: an insurance against any physical injuries that they may suffer when they are carrying out their research activities at the host institution; and, a liability insurance that covers legal responsibility of the student, as a policy holder, when the student damages the property belonging to a third party or causes a third party's injuries.

SOKENDAI:

A student is required to take out the Personal Accident Insurance for Students Pursuing Education and Research (Gakkensai).

\_\_\_\_\_:

A student is required to take out \_\_\_\_\_.

### **ARTICLE VI. OTHER PROVISIONS**

#### 6-1. Intellectual Property

The titles of knowledge, inventions and discoveries belong to and generated solely by each



institution resulting from the research performed hereunder is and remains its property. The agreement does not give to the other institution any right on the intellectual property.

The institution remains the owner of knowledge, inventions and discoveries that could be resulted from the research in its laboratory during the stay of a student at the other institution.

The titles of knowledge, inventions and discoveries generated jointly by the two institutions resulting from the research performed hereunder shall be discussed on a case-by-case basis.

The titles of knowledge, inventions and discoveries generated by the program student under the research activities will belong to the student and shall be available for further development and dissemination. Students' research results shall be protected according to national laws in force in each country. Both institutions can stipulate a specific agreement for its protection, development, and dissemination.

#### 6-2. Confidentiality and Publication

Each institution undertakes not to disclose to any third party any information, data, knowledge, documents or other materials disclosed each other under this agreement, which has been stated in writing to be confidential. The obligation shall remain in force for a period of (number) years.

Both institutions agree to collect, process, use, disclose and otherwise manage personal information of the students only for the purposes of fulfilling their obligations under this agreement.

Both institutions recognize that the copyright of the doctoral thesis belongs to the student. The thesis shall be released to the public in the accordance with the rules of each institution. The institutions also inform each other about the deliverables of the research projects (such as written publication, oral communication and reports) undertaken during the stay of a student at the other institution.

#### 6-3. Conflict Resolution

Both institutions will amicably consult with each other and attempt to resolve conflicts, disputes or misunderstandings that arise in the administration of this agreement or any subsequent associated agreements.

#### 6-4. Duration, Extension, Termination and Amendment

This agreement will remain effective for a period of five years starting the later date of the signing indicated below by the institutions hereto. Its period of validity may be extended by mutual agreement.

Either institution may, by giving six months written notice to the other institution, terminate this agreement during its period of validity.

The provisions of this agreement may be amended at any time with the mutual consent of the institutions in writing.

The termination, expiration and amendment of this agreement will not affect the terms of activities ongoing at the time of notification of termination, expiration and amendment unless otherwise

agreed between the institutions.

#### 6-5. Language and Number of Copies

This agreement is executed in duplicate in English (two signed identical copies), both of which shall be deemed as originals. Each institution will retain one copy.

Home institution

Host institution

\_\_\_\_\_

\_\_\_\_\_

Dr.  
President,  
The Graduate University  
for Advanced Studies, SOKENDAI

Dr.  
President,

Date:

Date:

【Attachment 2】 JS program Individual Agreement Template

**INDIVIDUAL AGREEMENT FOR  
INTERNATIONAL JOINT SUPERVISION PROGRAM**

Between

GRADUATE INSTITUTE FOR ADVANCED STUDIES,  
THE GRADUATE UNIVERSITY FOR ADVANCED STUDIES, SOKENDAI  
Located at Shonan Village, Hayama, Kanagawa 240-0193 Japan  
Represented by its President, Dr.  
Hereinafter referred to as “SOKENDAI” on one hand,

And

SCHOOL OF  
( \_\_\_\_\_ (NAME OF PARTNER INSTITUTION))  
Located at  
Represented by its  
Hereinafter referred to as “ \_\_\_\_\_ ” on the other hand,

Hereinafter jointly referred to as the “Institutions” and singularly as the “Institution,”

Concerning

[Mr/Ms] [full name of the student], born on [date, month, year] at/in [birth place, country],  
[citizenship] citizenship.

- Graduate Institute for Advanced Studies, SOKENDAI and School of \_\_\_\_\_,  
\_\_\_\_\_ have entered into the International Joint Supervision Program Framework Agreement, signed on (date).
- This individual agreement is exchanged under the Framework Agreement and the stipulation shall follow the regulations detailed in the agreement.
- Both institutions share an ongoing commitment to cooperative research collaboration.
- The student under the International Joint Supervision Program from SOKENDAI/ \_\_\_\_\_ desires to undertake a doctoral degree jointly supervised by SOKENDAI and \_\_\_\_\_.
- The institutions have agreed to enter into a program arrangement for the student on the terms set out in this agreement.

**Article 1. Details of the Program**

(1) Provisional title of the doctoral thesis proposed at the start of the program:

(2) The student will be jointly supervised by the following faculty members:

SOKENDAI:  
(Name, Title)  
Graduate Institute for Advanced Studies  
Email address:

\_\_\_\_\_ :  
(Name, Title)  
School of \_\_\_\_\_  
Email address:

(3) The subject(s) of the student's research project to be carried out in both institutions is/are:

\_\_\_\_\_

## Article 2. Research Period

The total duration of the program is for three years. Such a duration can be extended by \_\_\_\_ year(s), but cannot exceed \_\_\_\_ years, in accordance with the rules in force at both institutions. The periods of study at each institution are:

1st Year:

From (month/year) to (month/year) at SOKENDAI/\_\_\_\_\_  
From (month/year) to (month/year) at \_\_\_\_\_/SOKENDAI

2nd Year:

From (month/year) to (month/year) at SOKENDAI/\_\_\_\_\_  
From (month/year) to (month/year) at \_\_\_\_\_/SOKENDAI

3rd Year:

From (month/year) to (month/year) at SOKENDAI/\_\_\_\_\_  
From (month/year) to (month/year) at \_\_\_\_\_/SOKENDAI

## Article 3. Registrations, Student Status and Fees

As of (date), the student is registered as a regular/non-degree student for the doctoral program at SOKENDAI. As of (date), the student is registered as a regular/non-degree student for the doctoral program at \_\_\_\_\_.

The student pays fees for the entrance examination, admissions and tuition only to SOKENDAI/\_\_\_\_\_ (the home institution).

## Article 4. Thesis Defense

(1) Writing of the Thesis

The student will complete a single doctoral thesis, together with its abstract, both written in English.

(2) Preliminary Thesis Review

Before the defense, the supervisors of both institutions shall cooperate in reviewing a thesis.

(3) Defense Committee Members/Juries

The thesis defense committee will be appointed by both institutions, shall be composed of \_\_\_\_\_, and shall comprise minimum/maximum (number) members.

The committee includes (number) external members not belonging to either institution.

The committee will nominate a chairman who must be a professor or equivalent.

(Number) of the members must belong to SOKENDAI. The student's supervisor listed at Article 1 cannot be a chairman.

(Number) of the members must belong to \_\_\_\_\_. The student's supervisor listed at Article 1 cannot be a chairman. / The supervisor(s) shall participate in the discussion but not in the evaluation in the committee.

#### (4) Defense

A single thesis defense will be organized and held at SOKENDAI/\_\_\_\_\_ (the home institution). The defense will be held in English. A public presentation of the thesis must be held as part of the thesis defense.

### **Article 5. Financial and Other Arrangements**

During the stay at SOKENDAI, the student will be partially financed by \_\_\_\_\_. SOKENDAI and its affiliated institution will assist the student in applying for research assistant, scholarships, grants and/or other funds to support the student's study and living, as the student will make reasonable efforts to secure the fund to support research and education. The student will take out the Personal Accident Insurance for Students Pursuing Education and Research (Gakkensai), and if the stay will be longer than three months, National Health Insurance.

During the stay at \_\_\_\_\_, will be financed by \_\_\_\_\_. The student will receive funding in the monthly \_\_\_\_\_ (EURO/USD), the whole time throughout the stay in \_\_\_\_\_. The student will be given (Insurance/Social Security, etc.).

Travel expenses and accommodation is at the student's expenses, though as the student's doctoral work will take place at both institutions, the respective periods of residence will be coordinated with the supervisors from both institutions.

#### (2) Travel Expenses for the Thesis Defense

Travel expenses of the external members of the thesis defense committee will be covered by \_\_\_\_\_.

Travel expenses of the members of the thesis defense committee from SOKENDAI will be covered by \_\_\_\_\_.

Travel expenses of the members of the thesis defense committee from \_\_\_\_\_ will be covered by \_\_\_\_\_.

### **Article 6. Amendment and Termination of the Agreement**

(1) Any amendment or modification of this agreement must be set forth in writing and needs prior approval from both institutions. It will complement this agreement as an addendum.

(2) If the student wants to withdraw from the program, the student must request it in a written form to both institutions. After the request is accepted by both institutions, this agreement will be terminated.

(3) If the student does not register to either of the institutions, for the period of \_\_\_\_\_ semester(s)/academic year(s), this agreement will be terminated. In such cases, the institutions undertake to inform each other in writing as soon as possible (e.g. non-registration of the student).

(4) Either institution can terminate this agreement, if the student violates any rules or regulations of either institution; or if the student fails to make satisfactory academic progress and the institutions' reasonable efforts dealing with the issues have not been effective.

(5) After the agreement is terminated, the degree possibly awarded by the institution with which the student continues to register should not mention the fact of the dual doctoral degree (cotutelle) in the diploma.

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Dr.  
Dean,  
Graduate Institute for Advanced Studies  
The Graduate University  
for Advanced Studies, SOKENDAI

Date:

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Dr.  
Dean,  
School of

Date:

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Dr.  
Supervisor,  
Graduate Institute for Advanced Studies  
The Graduate University  
for Advanced Studies, SOKENDAI

Date:

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Dr.  
Supervisor,  
School of

Date:

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Mr./Ms. (Student)  
Graduate Institute for Advanced Studies  
The Graduate University  
for Advanced Studies, SOKENDAI

Date: