**This translation is provided for convenience only; the German version shall prevail in case of discrepancy.**

**Supervision agreement**

within the framework of a doctoral project at the

Technical University of Munich

**Graduate Center of Medicine and Health**

1. **Preamble**

The Technical University of Munich (TUM) attaches particular importance to the qualification, support, and promotion of its young researchers. The role of the supervisor and a good and active relationship between the supervisor and doctoral candidate are important factors for a successful doctorate. With this in mind, each supervisor and each doctoral student mutually agree on the framework conditions of the individual doctoral project and the supervisory relationship in the supervision agreement. The agreement on content between the supervisor and the doctoral candidate, which is documented in this supervision agreement, is intended to serve as a basis for trusting, constructive, and transparent cooperation at the highest scientific level to make the course of the doctoral phase as predictable as possible and to contribute to the successful completion of the doctorate within an appropriate period.

This agreement is concluded on the basis of the current planning horizon. It can and should be **updated at any time with** regard to the further development of the scientific questions of the doctorate as well as the individual qualification elements and milestones in agreement between the supervisor and the doctoral candidate in the sense of a living document.

This supervision agreement regulates the supervision relationship between doctoral researchers and supervisors with regard to the doctorate. It does not restrict any aspects of personnel or employment law arising from a possible employment relationship between the persons concluding the supervision agreement and does not establish any enforceable legal positions.

1. **Involved parties**

This agreement is concluded between:

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ [doctoral candidate]

and the Thesis Advisory Committee, consisting of

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ [1st supervisor][[1]](#footnote-2)

and

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ [2nd supervisor]

and

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ [the mentor]3

Further mentor4 of the doctoral project is: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

1. **Membership application and intended doctoral degree**

With this supervision agreement, the doctoral student applies for membership in the Graduate Center of Medicine and Health and, thus, in the TUM Graduate School (TUM-GS).

The aim is to obtain the doctoral degree \_\_\_\_\_\_\_\_\_\_ from the doctorate-granting institution TUM School of Medicine and Health \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.

1. **Content and schedule of the doctoral project**

The doctoral candidate writes a thesis on the following **topic:**

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The basis for the doctoral project is an exposé, including a work plan and time schedule.

\_\_ An **exposé** from \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (date) is to be uploaded in DocGS.

\_\_ An **exposé is** not yet available at the time of registration in the doctoral list but will be prepared **within 6 months** after the supervision agreement comes into force and uploaded in DocGS after consultation with the first supervisor.

The doctoral project begins/began at \_\_\_\_\_\_\_\_\_\_ and is to be completed within \_\_\_\_\_\_\_\_ years. The work plan is to be discussed with the first supervisor at regular intervals and adapted to developments beyond the implementation of formal feedback meetings. Regular discussions on the progress of the doctorate are agreed upon at intervals of \_\_\_\_\_\_ months.

1. **Elements of the Doctoral Project**
   1. After a successful formal examination of the application for entry into the doctoral list, the doctoral candidate becomes a provisional member of the TUM-GS. A membership of at least two years, as well as participation in the qualification programme of the TUM-GS, are prerequisites for the opening of the doctoral procedure according to § 8 of the doctoral regulations.
   2. The present supervision agreement specifies the intended individual qualification programme for the doctoral student. It serves as an orientation and can be adapted at any time but must meet the requirements of the qualification programme stipulated in § 16 Statute of the TUM-GS and the Regulations of the Graduate Center.

5.3 The following **mandatory** qualification elements have been agreed upon:

* 1. Participation in a TUM-GS **kick-off seminar** within the first six months.
  2. Integration into the **academic environment of TUM** is ensured by one of the following elements:

i) Collaboration in a research group at TUM, MRI, or a public, academic research institution recognised by the Graduate Center of Medicine and Health: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

ii) Proof of attendance time, the taking on of courses or the supervision of final papers or comparable at the institutions mentioned under i. in the amount of at least one hour per week on average in a structured self-report. As a rule, the institution of the first supervisor is to be chosen as the institution; otherwise, especially if this person is not or is no longer working at one of the institutions mentioned under i., at the institution of an appointed professor of the TUM School of Medicine and Health who is involved in the doctoral project as a TAC member. The Graduate Center may define specific requirements for exceptional cases.

If the involvement is through teaching or working in a research group, the following concrete activities are planned:

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* 1. **Subject-related events** (seminars, special lectures, summer/winter schools, etc., at the Graduate Center/chair) are equivalent to at least 6 SWS (distributed over the total duration of the doctoral project). Within this, participation with an active contribution in at least one event organised by the Graduate Center (e.g., science day, retreat, winter/summer school, editor series, etc.) of at least 6 hours (8x45 minutes) is obligatory. Planned are:

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| **Event** | **Event type** | **Scope** |
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* 1. No later than 12 months after the entry into force of this agreement, the doctoral candidate and the Thesis Advisory Committee will hold a **feedback meeting** on the doctoral project in accordance with § 16 Para. 8 of the TUM-GS Statutes, in which the progress of the doctoral project and the qualification program will be discussed, as well as the further procedure. The results of the discussion are recorded in writing, and this supervision agreement is adjusted accordingly. At least one other feedback meeting will take place during the further doctoral period.

If applicable, regulations on further participants in addition to doctoral researchers and supervisors:

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* 1. The doctoral student presents his/her research results for **discussion within the international professional community** following the regulations and program-specific guidelines in the Graduate Center's regulations.
  2. The doctoral candidate undertakes to attend a seminar on good scientific practice. In addition to subject-specific, in particular ethical aspects (e.g., in clinical studies, in the handling of human materials), the subject of the seminar is the teaching of the DFG guidelines for ensuring good scientific practice and the corresponding TUM regulations as well as the TUM citation guide. The course, which lasts approximately three hours, is offered regularly by the Graduate Center. Participation should take place within the first six months of the doctoral project. The seminar on good scientific practice is scheduled for: <date> Click or tap here to enter date.

5.4 In addition, participation in the following **optional qualification elements is** sought:

1. **Interdisciplinary seminars** from the range of events offered by the TUM-GS or other TUM continuing education institutions. The TUM-GS recommends participation in at least three courses. Planned are:

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| **Event** | **Event type** | **Scope** |
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1. **International integration of** the doctoral project (e.g., stay abroad, conference visit, or integration of international guests into the doctoral project). The TUM-GS recommends an international research stay of at least four weeks and supports this financially within the scope of its available funds. Planned:

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| **Type of planned stay abroad:** | **Visited or inviting**  **Institution** | **Country** | **Duration in**  **Days** |
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1. **Further agreements**

Further agreements are made (e.g., on the dissertation form, number/type of planned publications, co-authorships, transparency, and openness).

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**7. Roles and duties within the framework of the care relationship**

7.1 Doctoral candidates and supervisors undertake to,

* actively and conscientiously live the supervisory relationship and jointly create a working environment characterised by trust, mutual respect, esteem, and appreciation, as well as open communication; they strive for a timely and expeditious doctoral procedure,
* support the TUM-GS in its work,
* provide the annual feedback on the status of the doctoral project in accordance with § 5 of the TUMGS statutes and
* exchange views on the topic, the problems, and the structure of the doctoral project regarding the realistic implementation within the targeted period.

7.2 The supervisors undertake to,

* actively promote the professional and interdisciplinary education and training of doctoral researchers and to advise them in this regard,
* promote the quality of the doctoral project through regular consultation and discussion, including feedback on questions and manuscripts, as well as by guiding the completion of the dissertation within a reasonable period of time,
* provide the necessary support, tailored to the individual needs of the doctoral researchers, for achieving the doctoral goal and for the early academic independence of the doctoral researchers,
* enable and promote participation in scientific conferences at home and abroad according to the financial possibilities of the professorship, as well as the completion of stays abroad, if desired by the doctoral candidates and
* advise the doctoral candidates with regard to further career planning, if they so wish, and
* to continue supporting the doctoral project even if the doctoral candidate leaves TUM or MRI, e.g., by continuing to supervise the project within the framework provided by the doctoral regulations or by providing support in the event of a change of supervisor.

7.3 The doctoral candidates undertake to,

* strive for successful completion of the doctoral project through goal-oriented and independent scientific work following the enclosed time and work plan,
* maintain regular contact with the carer and enable and make use of the above-mentioned care opportunities,
* report precisely and regularly to the supervisor on the status of the academic work and the completion of the qualification elements and
* inform themselves about requirements and regulations relevant to the doctoral procedure.

The doctoral candidate must provide information on the status and progress of the dissertation project to the first supervisor upon request.

1. **Work equipment**

The supervisor and the doctoral candidate have agreed on the working materials required to carry out the research work (e.g., laboratory access, measurement technology, consumables, etc.). The doctoral candidate has been informed about possible restrictive framework conditions. The following is noted in this regard (if applicable):

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The first supervisor supports the doctoral student in consultation to ensure that all legal and regulatory regulations and approvals essential for the project, such as animal experimentation applications or ethics votes, are available and complied with in time for the successful implementation of the project.

1. **Good scientific practice**

All parties involved undertake to comply with the principles and guidelines laid down in the **statutes of Technische Universität München for safeguarding good scientific practice and for dealing with scientific misconduct** (see www.tum.de). Acknowledgment of this statute is confirmed with the signature below. The doctoral candidate is aware that, in accordance with § 7 Paragraph 7 of the TUM Doctoral Regulations, his/her own work that has already served examination purposes may not be submitted as a doctoral thesis or as part of a doctoral thesis.

1. **Measures for the compatibility of family and academic activity**

The compatibility of family and academic activity is mainly supported by TUM. To this end, the following agreements are made (if applicable):

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1. **Regulations for cases of conflict**

In order to clarify contentious issues and cases of conflict, discussions will be held immediately between the parties. If the conflicts of at least one person no longer appear to be resolvable, each party can turn to the Graduate Center, the head of the respective doctoral institution, the office or management of the TUM-GS or the TUM ombudspersons in the sense of an escalation cascade.

1. **Data protection**

The undersigned are hereby informed that their personal data will be stored and processed by TUM for organisational and statistical purposes as well as for controlling and quality management in accordance with the DSGVO. The legal basis for this is Art. 6 Para. 1 lit. b DSGVO. Data is not passed on to third parties, except in anonymised form, to the Bavarian State Office for Statistics for statistical purposes there and only for such purposes. The legal basis for this is Art. 6 para. 1 lit. c DSGVO.

Under the legal conditions, there is a right to information, as well as to correction or deletion or to, restriction of processing or a right to object to processing, as well as the right to data portability. There is also a right of appeal to the Bavarian State Commissioner for Data Protection.

Contact for questions: TUM Graduate School, contact@gs.tum.de, or the Data Protection Officer of Technische Universität München.

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doctoral candidate first supervisor

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second supervisor, first mentor

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Place Date Place Date

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If applicable, further mentor Managing Director of Graduate Center of Medicine and Health

**Copies**

The supervision agreement must be uploaded to DocGS when applying for entry into the doctoral list. Copies should be received:

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| 1. The supervisors 2. The doctoral candidate | 1. The mentor 2. Graduate Center of Medicine and Health |

Appendix:

**Confirmation that the mentoring agreement has been acknowledged by new mentors or those who have already registered.**

Name of mentor:

Click or tap here to enter text.

We confirm that we have read and understood the supervision agreement dated \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (date of supervisor's signature) between \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (the doctoral candidate) and \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (the supervisor).

Click or tap here to enter text.

Place, date, signature mentor

\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

At least one mentor must be appointed for each doctoral project. Mentors can offer subject-specific but also interdisciplinary advice or be called upon for personal development. If possible, they should be independent persons who do not belong to the chair or professorship of the supervisor.

1. In case of a change of caregiver, a new care agreement must be concluded. [↑](#footnote-ref-2)