

Appendix 3:

Supervision Agreement for the doctorate at the Technical University of Munich <Name of Graduate Center>

1. Recitals

The Technical University of Munich (TUM) attaches particular importance to the education and training, support and promotion of its young scientists. The role of supervisors as well as a good and active relationship between supervisors and doctoral candidates are important factors for the successful completion of the doctorate. To this end, each supervisor and each doctoral candidate mutually agree on the parameters of the individual doctoral project and the supervisory relationship in the Supervision Agreement. The 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 plannable as possible, and to contribute to the successful completion of the doctorate within an appropriate period of time.

This agreement reflects the current planning horizon; it may and should be **continuously updated** in terms of the development of the scientific aims and objectives, as well as the individual qualification elements and milestones of the doctoral project, as agreed between the supervisor and the doctoral candidate.

This Supervision Agreement regulates the supervision relationship between the doctoral candidate and the supervisor solely with regard to the doctorate. It does not regulate any personnel or labor law aspects arising from any employment relationship between the persons entering into the agreement and does not establish any enforceable legal positions.

2. Parties to the Agreement

This Supervision Agreement is entered into between:

_____ [doctoral candidate]

and

_____ [supervisor]³

and (where applicable)⁴

_____. [second supervisor]

Mentor⁵ of the doctoral project: _____

other mentors, where applicable: _____

3. Membership Application and Doctoral Degree Pursued

With this Supervision Agreement, the doctoral candidate applies for membership in the [name of graduate center] and concurrently in the TUM Graduate School (TUM-GS).

The candidate is pursuing the _____ [doctoral degree] from the degree-awarding institution [name of institution]_____.

4. Subject and Schedule of the Doctoral Project

The doctoral candidate is writing a dissertation on the following **subject**:

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

An **exposé** dated _____ [date] is attached as an appendix.

An **exposé** is not yet available at the time of entry on the doctoral candidacy list, but will be prepared **within 6 months** after the Supervision Agreement enters into force and uploaded in DocGS after consultation with the supervisor.

³ In the event of a change of supervisor, a new supervision agreement must be drawn up.

⁴ For doctoral projects in collaboration with Universities of Applied Science or international partner universities, the second supervisor from the collaborating institution **must** be included and listed in the supervision agreement.

⁵ At least one mentor must be assigned to every doctoral project. The mentor of the doctoral project may offer appropriate subject-specific and professional advice, and may also be consulted for personal development. Mentors can be all persons who have proven their ability to conduct independent scientific work, usually through a doctorate. If possible, they should be independent persons who do not belong to the chair or professorship of the supervisor.

The doctoral project has been started/will start on [date] and should be completed within a period of _____ years. The schedule of completion should be discussed with the supervisor at regular intervals and adjusted to developments. Regular meetings to discuss the progress of the doctoral project are arranged at intervals of _____ months.

5. Elements of the Doctorate

5.1 Upon a successful formal review of the application for entry on the doctoral candidacy list, the doctoral candidate becomes a temporary member of TUM GS. To initiate the doctoral examination process, candidates must have been a member of TUM GS for at least two years and participated in the TUM GS qualification program, as set out in § 8 of the Regulations for the Award of Doctoral Degrees.

5.2 This Supervision Agreement specifies the individual qualification program the candidate intends to pursue. It serves as an orientation and may be modified at any time, provided it is consistent with the required qualification program as set out in § 15 of the Statute of the TUM GS and the Regulations of the Graduate Center.

5.3 The following mandatory qualification requirements have been agreed upon:

- a. Participation in a **kick-off seminar** at the TUM GS within the first six months.
- b. Involvement in **the academic environment of TUM** to be demonstrated through

Attendance at TUM or one of the following partner institutions⁶:

Teaching at TUM (e.g. lectures, tutorials, supervision of internships/theses)

Substantive participation in the following research group at TUM:

If this requirement is fulfilled through teaching or participation in a research group, the following specific activities are planned:

Activity	Duration

- c. **Subject-specific courses** (seminars, special lectures, summer/winter school, etc. offered by the Graduate Center/Chair) corresponding to at least six weekly hours per semester (spread over the entire duration of the doctoral phase). Planned courses:

⁶ Partner institutions are public academic research institutions acknowledged by the Graduate Center.

Course	Type	Credits

- d. No later than two years after entry into force of this agreement, the doctoral candidate and the supervisor will hold a **feedback meeting** on the doctoral project in accordance with § 15(7) of the TUM-GS statutes, in which the progress of the doctoral project and the qualification program will be discussed, as well as next steps. The results of the discussion will be recorded in writing and this Supervision Agreement will be modified accordingly.

[Where applicable, include regulations regarding additional parties to this agreement beyond the doctoral candidate and supervisor(s).]

- e. The doctoral candidate must present his or her research results for **discussion to the international scientific community** through at least one **accepted publication** in an international, peer-reviewed journal or in the proceedings of an international, peer-reviewed conference. Planned activities:

- f. [Where applicable, include specific or additional requirements regarding the mandatory subject-specific qualification defined in the regulations of the respective graduate center.]

5.4 In addition, the candidate plans to participate in the following **elective qualification elements**.

- a. **Transferable skills seminars** offered by the TUM-GS or other TUM units offering continuing education programs. TUM-GS recommends taking part in at least three courses. Planned courses:

Course	Type	Credits

- b. **International activities within** the doctoral project (e. g., stay abroad, participation at conferences or involvement of international scholars as guests). TUM-GS recommends an international research stay of at least four weeks and supports this financially within the scope of its available funds. Planned stays abroad:

Type of Stay Abroad:	Host or Inviting Institution	Country	Duration in Days

6. Roles and Duties in the Scope of the Supervision Agreement

6.1 Doctoral candidates and supervisors commit to

- actively and conscientiously fostering the supervisory relationship and jointly creating a working environment characterized by trust, mutual respect, esteem and appreciation, as well as open communication; they strive for a timely and expeditious doctoral process,
- supporting the TUM-GS in its work,
- providing annual feedback on the status of the doctoral project according to § 5 of the TUM GS statute and
- discussing the subject, problems and structure of the doctoral project, including the realistic implementation of the schedule of completion.

6.2 Supervisors commit to

- actively promoting the disciplinary and transferable skills education and training of doctoral candidates and advising them in this regard,
- promoting the quality of the doctoral project through consultation and discussion, including feedback on questions and manuscripts, and guiding the completion of the dissertation within a reasonable period of time,
- providing the necessary support, tailored to the individual needs of the doctoral candidates, toward achieving the objective of the doctorate and the early scientific independence of the doctoral candidates,
- enabling and supporting the candidates' participation in scientific conferences in Germany and abroad within the financial means of the Professorship, as well as the completion of stays abroad, if desired by the doctoral candidates and
- advising doctoral candidates with regard to further career planning, if they so wish, and providing continued support for the doctoral project even if they are no longer at TUM, e.g. by providing continued supervision within the framework provided for by the doctoral regulations or by providing support in the event of a change of supervision.

6.3 Doctoral candidates commit to

- pursuing the successful completion of the doctoral project through goal-oriented and independent scientific work according to the attached schedule of completion,
- maintaining regular contact with the supervisor and facilitating and utilizing the aforementioned supervision opportunities,
- reporting precisely and regularly to the supervisor on the status of the doctoral project and the completion of the qualification elements and
- informing themselves about requirements and regulations relevant to the doctoral process.

7. Resources

The supervisor and the doctoral candidate have agreed on the resources (e.g., laboratory access, measuring and calculating equipment and/or materials) necessary to conduct the planned research. The candidate has been made aware of the following agreements, if any:

8. Good Scientific Practice

The parties to this agreement undertake to comply with the rules of **Good Scientific Practice** and the handling of academic misconduct (see www.tum.de). Acknowledgement of these guidelines is confirmed by signature below. The candidate is aware that according to § 7(7) of the TUM Regulations for the Award of Doctoral Degrees scholarly work already submitted for examination purposes may not be re-submitted as part of the doctoral project.

9. Measures to Balance Family and Academic Career

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

10. Conflict Regulations

In order to clarify contentious issues or in case of conflicts, the parties will promptly enter into discussion. If a conflict appears unresolvable to at least one party, each party can turn to the Graduate Center, the head of the respective degree-awarding institution, the office or management of the TUM-GS or any of the TUM ombudspersons.

11. Data Privacy Protection

The undersigned are hereby informed that their personal data will be stored and processed by TUM for organizational and statistical purposes, as well as for controlling and quality management in accordance with Art. 6(1) b of the DSGVO. The data will not be passed on to third parties, except in anonymized form to the Bavarian State Office for Statistics for statistical purposes there and only for such purposes, as set out in Art. 6(1) c of the DSGVO.

Under statutory requirements, you have a right to information, as well as to correction or deletion or to restriction of processing, or a right of objection against processing, and 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 the Technical University of Munich.

Place, Date

Doctoral candidate

Supervisor

Place, Date

If applicable, Second Supervisor

Mentor

Place, Date

If applicable, Second Mentor

Managing Director of the Graduate Center

Copies

An original copy of the Supervision Agreement must be submitted in DocGS when applying for entry on the doctoral candidacy list of the degree-awarding institution. Copies must be submitted to the following persons/institutions:

1. Supervisor
2. Doctoral candidate
3. Mentor
4. Graduate Center