

# Supervision agreement as part of a doctoral project at the Technical University of Munich

## Graduate Center of Engineering and Design (GC-ED)

Degree-awarding institution: \_\_\_\_\_

### 1. Preamble

The Technical University of Munich puts great importance on qualification, support and promotion of their young scientists. Supervisors and their good and active relationship with the doctoral candidates are important for a successful doctoral project. Therefore, each supervisor and each doctoral candidate agree in mutual consent on the basic conditions of the individual doctoral project and the supervision relationship in this supervision agreement. The agreement between supervisor and doctoral candidate documented hereinafter shall be the basis for a trustful, constructive and transparent cooperation on the highest scientific level. It shall also serve as a schedule for the doctoral project and lead it to a successful completion in a timely manner.

This supervision agreement reflects the current planning horizon. In terms of an agile document, it can and shall be **continuously updated** with regards to the advancement of the aims and objectives as well as of the different qualification elements and milestones of the doctoral project in mutual consent between supervisor and doctoral candidate.

This supervision agreement regulates the supervision relationship between doctoral candidate and supervisor with regards to the doctoral project. It does not regulate any employee nor labor legislation aspects resulting from a possible employment contract between the persons concluding the supervision agreement and does not justify any actionable legal positions.

## 2. Involved Parties

This supervision agreement is concluded between:

\_\_\_\_\_ [Doctoral candidate]  
and

\_\_\_\_\_ [Supervisor]<sup>1</sup>  
and if applicable<sup>2</sup>

\_\_\_\_\_ [Second supervisor]

Mentor<sup>3</sup> of the doctoral project is: \_\_\_\_\_

Other mentors are: \_\_\_\_\_

## 3. Application for Membership and Pursued Doctoral Degree

With this supervision agreement the doctoral candidate applies for membership in the Graduate Center of Engineering and Design (GC-ED) and thereby in TUM Graduate School.

The following doctoral degree is pursued: \_\_\_\_\_ (Dr.-Ing./ Dr. rer. nat./ Dr. phil.)

## 4. Content and Schedule of the Doctoral Project

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


The doctoral project is based on an exposé including a work and time schedule.

☐ An exposé dating from \_\_\_\_\_ has to be uploaded in DocGS.

<sup>1</sup> In the case of a change of supervisors, a new supervision agreement has to be concluded.

<sup>2</sup> In the case of a **doctoral project in cooperation** with universities of applied sciences or international partner universities, the second supervisor from the cooperating institution has to be included and named in the supervision agreement.

<sup>3</sup> At least one mentor has to be named in each doctoral project. Mentors can offer subject-specific or interdisciplinary advice or may be consulted for personality development. Any person who has proved her/his ability for independent scientific work, generally with a doctoral degree, may be a mentor. If possible, they should be independent from the chair of the supervisor.

☐ An exposé has not yet been completed at the time of the candidate's entry in the doctoral candidacy list, but will be completed within 6 months after coming into effect of this agreement, i.e. no later than \_\_\_\_\_, and uploaded in DocGS after consultation with the supervisor.

The doctoral project starts on \_\_\_\_\_ and shall be completed within \_\_\_\_\_ years. The working schedule has to be discussed and updated regularly with the supervisor. Detailed discussions on the development of the doctoral project will be held every \_\_\_\_\_ months (max. 6 months).

## 5. Elements of the Doctoral Project

5.1. Upon successful formal examination of the application for entry in the doctoral candidacy list, the doctoral candidate will become a preliminary member of TUM Graduate School (TUM-GS). Before the initiation of the doctoral examination process, candidates have to be members of TUM-GS for at least 2 years and participate in the TUM-GS qualification program, as set out in § 8 of the Regulations for the Award of Doctoral Degrees of TUM.

5.2. This supervision agreement specifies the doctoral candidate's intended individual qualification program. It serves as orientation and may be amended at any time, as long as it is consistent with the scope and content of the qualification program set out in § 16 of the Bylaws of TUM-GS and in the Regulations of GC-ED.

5.3. The following **mandatory qualification requirements** have been agreed upon:

- a. Participation in a **kick-off seminar** of TUM Graduate School within the first six months
- b. **Involvement in the academic field of TUM** (20% of the minimum membership time at TUM-GS is recommended), to be demonstrated through:

☐ Attendance at TUM or the following partner institution<sup>4</sup>:

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☐ Teaching at TUM (e.g. active participation in lectures, tutorials, supervision of internships and theses, or involvement in exams etc.) and/or

☐ Collaboration in the following research group at TUM (e.g. active participation in research applications, publications, contributed talks, public relations of the chair):

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<sup>4</sup> Partner institutions are public academic research institutions recognized by the Graduate Center. They are recognized, if an active research cooperation exists.

In case the involvement is fulfilled by teaching or working in a TUM research group, please list the planned activities below:

Activity	Duration

- c. **Subject-specific courses** (seminars, special lectures, summer/winter schools, etc. offered by the graduate center / chair) corresponding to at least 6 weekly hours per semester (63 hours, spread over the entire duration of the doctoral project). The following events are planned:

Event	Type of event	Duration

- d. In accordance with § 16 (7) of the Bylaws of TUM-GS, at the latest two years after coming into effect of this agreement, a **feedback discussion** on the continuance of the doctoral project has to be held between the doctoral candidate and the supervisor. They shall discuss the progress of the doctoral project including the qualification program and how to proceed in the future. The results have to be noted down and this supervision agreement has to be amended accordingly.
- e. The doctoral candidate has to present and **discuss her/his research project in the international scientific community** with at least one **accepted publication**, e.g. a paper in a peer-reviewed journal, a full paper conference contribution, a scientific lecture at an international conference or a scientific work in connection with a creative activity documented continuously. The following publication(s) is/are planned:

Publication	When

- f. Participation in a **seminar on the criteria of good scientific practice**. The seminar covers the DFG Guidelines for Safeguarding Good Scientific Practice and the corresponding TUM-internal regulations, in particular dealing with citing contributions of others, documentation requirements and basic working methods.

☐ I will join the seminar offered by the Graduate Center of Engineering and Design

☐ I will join an equivalent event offered by: \_\_\_\_\_

5.4. In addition, the doctoral candidate is planning to participate in the following **optional qualification elements**:

- a. **Interdisciplinary seminars** offered by TUM Graduate School or other TUM education programs. TUM-GS recommends the participation in at least three courses. Participation in the following courses is planned:

Event	Type of event	Duration

- b. **International experience** of the doctoral project (e.g. research stay abroad, participation in conferences or involvement of international scholars). TUM-GS recommends a research stay abroad of at least four weeks and provides partial funding. The following is planned:

International activity	Host institution	Country	Duration (in days)

## 6. Responsibilities in Connection with the Supervision Relationship

### 6.1. The doctoral candidate and the supervisor(s) commit

- to live the supervision relationship actively and conscientiously and to create a working environment that is characterized by trust, mutual respect and esteem as well as an open communication. They pursue to execute the doctoral project at a good pace;
- to support TUM-GS in their work;
- to confirm annually that the data and continuation of the doctoral project are up-to-date as stated in § 5 of the Bylaws of TUM-GS;
- and to communicate about the topic, problem statement and set-up of the doctoral project, also with regards to the realistic implementation in the planning horizon.

### 6.2. The supervisor(s) commit(s)

- to actively promote the subject specific and interdisciplinary further training of the doctoral candidate and to give advice in this regard;
- to promote the quality of the doctoral project through advice and discussion, e.g. feedback to questions and manuscripts, and to support the completion in a timely manner;
- to give the support necessary for the accomplishment of the doctoral project and for an early scientific independence of the doctoral candidate, tailored to her/his individual needs;
- to enable and promote the participation in scientific conferences and in research projects abroad, depending on the possibilities of the chair and if desired by the doctoral student;
- to give advice to the doctoral candidate with regards to her/his career planning, if desired; and

- to support the doctoral project even if the supervisor retires from TUM, e.g. by continuous supervision as stated in the Regulations for the Award of Doctoral Degrees of TUM or by supporting a change of supervisors.

#### 6.3. The doctoral candidate commits

- to pursue a successful completion of her/his doctoral project by purposeful and autonomous scientific work according with the attached work and time schedule;
- to be in regular contact with the supervisor and to enable and use the above-mentioned possibilities of supervision;
- to report to the supervisor precisely and regularly about the development of the scientific work and the completion of the qualification elements;
- to inform herself/himself about the requirements and regulations of the doctoral examination process.

## 7. Resources

Supervisor(s) and doctoral candidate have agreed on the resources (e.g. laboratory access, measuring and calculation equipment, materials etc.) necessary to conduct the planned research until its completion. The doctoral candidate has been informed of any possible restrictions regarding the above. The following agreements have been made (if applicable):


## 8. Good Scientific Practice

The parties hereto undertake to comply with the **Code of Conduct for Safeguarding Good Scientific Practice** and Procedures in Cases of Academic Misconduct (see [www.tum.de](http://www.tum.de)). The notice of this code and procedures is confirmed with the signature below. The doctoral candidate is aware that according to § 6 (7) of the Regulations for the Award of Doctoral Degrees of TUM her/his scholarly work already submitted for examination purposes elsewhere must not be re-submitted as doctoral thesis or part of it.

## 9. Measures to Balance Family and Academic Career

TUM supports especially the compatibility of family and academic career. With this regard, the following has been agreed upon (if applicable):


## 10. Conflict Regulations

In cases of conflict arising from non-compliance with the above obligations, all parties will promptly enter into discussion to ensure compliance. If that is not possible, each party may address its concerns to the graduate center, the dean of the degree-awarding institution, the management office or head of TUM Graduate School or the ombudspersons of TUM.

## 11. Data Protection

Hereby the involved parties are informed that their personal data are collected and processed for organizational and statistical purposes as well as for controlling and quality management of TUM according to the General Data Protection Regulation of the European Union (GDPR). The legal basis for collecting and processing this data is set out in Art. 6 (1), sentence 1(b) of the GDPR. The data will not be handed over to third parties, except for the Bavarian State Office for Statistics. They will receive the data in anonymized form only for statistical reasons. The legal basis for this procedure is set out in Art. 6 (1), sentence 1(c) of the GDPR.

According to the law, the involved parties have the right to access their personal data stored, demand rectification of their personal data where inaccurate data has been processed, and to demand their data be erased or processing of their data be restricted or to object to processing of their personal data. In addition, they have a right to lodge a complaint with the Data Protection Officer of the Free State of Bavaria.

Contact details: TUM Graduate School, [contact@gs.tum.de](mailto:contact@gs.tum.de) or the Data Protection Office of TUM

## Copies

This supervision agreement has to be uploaded in DocGS when applying for entry into the doctoral candidacy list. Signed copies should be sent to the supervisor(s), the doctoral candidate, the mentor(s) and the Graduate Center of Engineering and Design.

\_\_\_\_\_, \_\_\_\_\_  
Place, Date

\_\_\_\_\_, \_\_\_\_\_  
Place, Date

\_\_\_\_\_  
Doctoral Candidate

\_\_\_\_\_  
Supervisor

\_\_\_\_\_, \_\_\_\_\_  
Place, Date

\_\_\_\_\_, \_\_\_\_\_  
Place, Date

\_\_\_\_\_  
Second Supervisor (if applicable)

\_\_\_\_\_  
Mentor

\_\_\_\_\_, \_\_\_\_\_  
Place, Date

\_\_\_\_\_, \_\_\_\_\_  
Place, Date

\_\_\_\_\_  
Second Mentor (if applicable)

\_\_\_\_\_  
Managing Director of GC-ED

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### Notice of the supervision agreement by a mentor named later or new mentor (if applicable)

Name of the new mentor:

\_\_\_\_\_  
I hereby take note of the supervision agreement of \_\_\_\_\_ (date of  
signature of supervisor) between \_\_\_\_\_ (doctoral candidate)  
and \_\_\_\_\_ (supervisor).

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Place, Date, Signature of Mentor