technische universität dortmund

Supervision agreement[1]

between _____ (doctoral candidate),

and _____ (supervisor)

and if applicable _____ (second supervisor).

TU Dortmund University is committed to the principles of good doctoral supervision. In the spirit of these principles and to ensure constructive and productive cooperation on both sides within the framework of the doctoral project, *[doctoral candidate]* and *[supervisor]* conclude the following supervision agreement. The following document is intended as a code of conduct for the supervision of doctoral candidates, in which the obligations of the doctoral candidate and the supervisor(s) are listed, which form a clear basis for the doctoral candidate relationship.

§ 1 Topic of the dissertation

[Doctoral candidate] is writing a dissertation with the working title at the Department CCB of TU Dortmund University:

The project has been accepted as suitable for a doctorate by *[supervisor]* and the Doctoral Committee of the Department CCB of TU Dortmund University on *[DD.MM.YYYY].* This agreement is based on the Regulations for the PhD Examinations of the Department CCB of TU Dortmund University dated 20.03.2013.

§ 2 Timing of the doctoral project

As a rule, the doctoral project begins on the date of official admission to doctoral studies by the Doctoral Committee of the Department CCB of TU Dortmund University.

At the beginning of the doctoral project, possible subject areas, a provisional timetable and potential strategic and technical aspects are discussed. The formal steps for approval by the relevant doctoral committee, fundamental considerations regarding the practice and time management of research projects, possible complementary contributions, projects and team spirit as well as external collaboration partners and research visits, if applicable, are discussed. The prioritization of sub-projects and the possibility/necessity of alternative routes arising in the ongoing process is continuously critically reflected upon together by *[doctoral candidate]* and *[supervisor]* and the procedure is adapted.

§ 3 Tasks and duties of the doctoral candidate

The [doctoral candidate] undertakes to advance the research project(s) to the best of his/her ability in a goal- and solution-orientated manner.

The [doctoral candidate] undertakes to take an active role in the project, to develop scientific independence, to be familiar with the relevant literature and to contribute to the conception and drafting of possible publications.

The [doctoral candidate] undertakes to maintain a cooperative working style with the supervisor(s) and group members, to discuss progress proactively and to seek and maintain a constructive and collaborative exchange of experiences and possible solution strategies with the supervisor(s) and in the

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[1] The supervision agreement must be drawn up within the first six months of starting the doctorate. A copy will be forwarded to the responsible doctoral committee.

team. The supervisor(s) must be informed immediately of any changes to the research project, longer absences, changes of address and, if applicable, the intention to discontinue the doctoral project.

The [doctoral candidate] undertakes to make adequate use of the counselling and further training opportunities available.

The [doctoral candidate] undertakes to integrate socially into the working group in addition to his/her academic work, to participate in joint events such as seminars and lectures, to conscientiously fulfil any jointly agreed equipment responsibilities or similar, and to comply with other rules governing the working group's workflow.

The [doctoral candidate] undertakes to participate in the structured doctoral program of the faculty during the doctoral project in accordance with §9 of these doctoral regulations.

The [doctoral candidate] undertakes to actively participate in research colloquia of the working group or faculty during the term of the doctoral project and to use the opportunities offered to him/her to present scientific results.

§ 4 Tasks and duties of the supervisor

[Supervisor] ensures that the *[doctoral candidate]* is introduced to the research area of the laboratory, to the relevant literature, to the available instrumentation and to the rules of good scientific practice recommended by the German Research Foundation (DFG).

[Supervisor] provides assistance in defining the research problems, facilitates the discussion of working hypotheses and methods, participates in the critical evaluation of the results and gives feedback on oral and written presentations.

The [doctoral candidate] and [supervisor] regularly exchange information about the status of the work, its progress and strategic project decisions. The exchange can be organized in the form of doctoral colloquia or in the form of individual discussions. [*Supervisor]* undertakes to take appropriate time to discuss the work and to promote the quality of the doctoral project through advice and discussion and to provide advice on the preparation and writing of the dissertation.

Based on promising research results obtained, *[doctoral candidate]* and *[supervisor]* jointly develop concepts for the publication of the results and data in scientific journals. In particular, this exchange determines the type of publication(s) planned, the thematic focus and any missing or complementary aspects of the intended publication(s).

Furthermore, *[supervisor]* actively supports *[doctoral candidate] in* achieving scientific independence, for example by enabling participation in conferences or transferring responsibility for projects. Support in registering for international conferences and acceptance of the [*doctoral candidate]* in the national and international scientific community is a particular priority if the student can present data of publication quality.

[Supervisor] considers him/herself to be an open contact person with regard to *[doctoral candidate]*'s career prospects for the future after completion of the doctoral program.

§ 5 Involvement of the doctoral candidate

During his/her doctoral project, *[doctoral candidate]* is integrated into the following working group, research network or graduate program (graduate school, research training group or similar, if applicable):

§ 6 Workplace

[Doctoral candidate] will be provided with an office and laboratory space as well as the equipment required for the project for the realization of his/her doctoral project within the scope of actual possibilities.

§ 7 Rules of good scientific practice

The *[doctoral candidate]* and *[supervisor]* undertake to comply with the "Rules of Good Scientific Practice at TU Dortmund University".

§ 8 Dealing with dependency relationships

There is a relationship of dependency that goes hand in hand with a special responsibility on the part of the supervisor. In order to achieve the most symmetrical communication possible between the two parties, communication on an equal footing should be sought, which is supported by the establishment of low-hierarchy and flat communication structures. Abuse of power and the exploitation of dependency relationships must be prevented by means of suitable organizational measures, both at the level of the individual scientific work unit and at the level of the management of scientific institutions. [*Supervisor]* supervises the doctoral project within the scope of his/her own professional expertise. In addition to providing academic guidance for the doctoral project, *[Supervisor]* supports *[doctoral candidate]* with interdisciplinary advice, training and guidance. If he/she is also the supervisor, he/she acts in awareness of this dual role.

§ 9 Compatibility of family and doctorate

The special challenges of balancing family responsibilities and doctoral studies within the framework of a family-friendly university must be taken into account by *[supervisor]* in an appropriate manner. In addition to individually agreed measures, if required, reference should also be made to the extensive range of support services offered by TU Dortmund University for families.

§ 10 Research data management and research software

[Doctoral candidate] and *[supervisor]* undertake to implement/apply the "Principles of Research Data Management at TU Dortmund University[2] ".

[Supervisor] shall ensure the provision of adequate storage facilities, which *[doctoral candidate] is* obliged to use. Storage of research data and- software on private computers is only permitted by mutual agreement and does not release the doctoral candidate from the obligation to store data on the working group's resources.

[Doctoral candidate] and *[supervisor]* agree on the technical and organizational principles for storing research data at the beginning of the doctorate, for example in the form of a data management plan.

[Doctoral candidate] has the first right of use to self-generated research data, which may not be withheld from other group members including *[supervisor].* Research data may be reused by *[supervisor]* and other group members, provided that authorship is acknowledged and under a suitable license.

Research software created by *[doctoral candidate] is* subject to the provisions of the German Copyright Act and may therefore not be published or otherwise utilized without the consent of *[supervisor]* and employer if an employment relationship exists.

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[2] "Principles of research data management at TU Dortmund University"; https://www.tu-dortmund.de/fdm-grundsaetze

Both also undertake to comply with all security regulations laid down in the working group, in particular the provision and maintenance of backups. [*Doctoral candidate]* undertakes to treat access data to group and TU resources confidentially and securely.

§ 11 Individual regulations

_____
_____
_____
_____
_____
_____

§ 12 Behavior in cases of conflict

In the event of non-compliance with the aforementioned obligations, the parties will immediately enter into discussions in order to restore fulfilment of the agreement. In the event of scientific conflicts, the parties can contact the ombudspersons of TU Dortmund University or the supra-regional committee "Ombudsman for Science" of the German Research Foundation (DFG).

_____	_____
(Place, date)	(Signature of doctoral candidate)
_____	_____
(Place, date)	(Signature of supervisor)
_____	_____
(place, date, if applicable)	(signature of second supervisor, if applicable)

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Appendix

Guidelines for scientific counselling meetings

- What is the current status of the work? Have the agreed milestones been achieved? If targets have not been achieved: What are the reasons for this?
- What has developed well since the last meeting, what has developed less well? What lessons can be learnt for further planning and work?
- Which work results are available and should be discussed?
- Are measures planned for further academic/professional development? What measures should be taken?
- Which conference participations/presentations are planned? Where is it worth submitting an abstract? Is support necessary?
- Time for the next meeting?
- Other topics that are important?