

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

Supervision Agreement

within the framework of a doctoral project at the Technical University of Munich Graduate Center of Life Sciences

1. Preamble

The Technical University of Munich (TUM) attaches particular importance to the qualification, support, and promotion of its junior scientists. The role of the supervisor and a good and active relationship between supervisor and doctoral candidate are important factors for a successful doctorate. With this in mind, each supervisor and each doctoral candidate 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 thesis supervisor and the doctoral candidate, which is documented in this Supervision Agreement, is intended to serve as the basis for a trusting, constructive, and transparent cooperative work at the highest academic 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 of time.

This agreement is concluded on the basis of the current planning forecast. It can and should be **updated at any time with** regard to the further development of the academic 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 supervisory relationship between doctoral candidates and supervisors with regard to the doctorate. It does not regulate 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.

2. Participants

This Supervision Agreement is concluded between

_____ [doctoral candidate]
and

_____ [supervisor]¹
and if applicable²

_____ [second supervisor]

Mentor³ of the doctoral project: _____

In addition to her*his actual role³, the mentor is also part of the Thesis Advisory Committee (TAC, see 5.3.e.). She*he is therefore obliged to take part in the TAC meetings. The mentor must be appointed no later than 6 months after the doctoral candidate's membership in the Graduate Center of Life Sciences (GC LS) and thus in the TUM Graduate School (TUM-GS). The mentor must hold at least a doctoral degree.

Other mentors, if applicable: _____

The designated second examiner is also part of the Thesis Advisory Committee (TAC, see 5.3.e.). This person must be determined by the time of the 1st TAC meeting at the latest. The designated second examiner of the doctoral project is already known:

3. Membership application and intended doctoral degree

With this Supervision Agreement, the doctoral candidate applies for membership in the Graduate Center of Life Sciences (GC LS) and thus in the TUM Graduate School (TUM-GS).

The aim is to obtain a doctorate in _____ <doctoral degree> from the doctorate-granting institution _____.

¹ If there is a change of thesis supervisor, a new Supervision Agreement must be concluded.

² For **doctorates in cooperation** with universities of applied sciences and with international partner universities, the second supervisor must be included by the cooperating institution and listed in the Supervision Agreement.

³ At least one mentor must be appointed for each doctoral project. Mentors can offer subject-specific as well as interdisciplinary advice or be called upon for personal development. Mentors can be all persons who have proven their ability to conduct independent academic work, usually through a doctorate. If possible, they should be independent persons who do not belong to the chair or professorship of the supervisor.

4. Content and schedule of the doctoral project

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

The work program of the doctoral project is structured in terms of content and time:

Work steps	Dates/periods of time

The work program replaces an exposé. If required, an additional exposé may be submitted.

The doctoral project begin/began on _____ and shall be completed within _____ years. The work plan should be discussed with the supervisor at regular intervals and adapted to developments.

5. Elements of the doctoral project

5.1 After successful formal examination of the application for entry in the doctoral list, the doctoral candidate may become a preliminary member of the TUM-GS. Membership of at least two years as well as participation in the qualification program of the TUM-GS are prerequisites for initiating the doctoral procedure in accordance with § 8 of the Regulations on the Awarding of Doctoral Degrees.

5.2 The present Supervision Agreement specifies the intended individual qualification program for the doctoral candidate. It serves as an orientation and can be adapted at any time, but must meet the requirements of the qualification program stipulated in § 16 of the TUM-GS Statute and the Regulations of the Graduate Center of Life Sciences.

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

- a. Participation in a TUM-GS **kick-off seminar** within the first six months.
- b. Integration into the **academic environment of the TUM** is ensured by
 attendance time at TUM Institute/chair:

teaching at the TUM (e.g., lectures, exercise module, supervision of internships/final papers)

the content-related collaboration in the following research group at TUM:

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

Activity	Duration

- c. **Subject-specific events** (seminars, special lectures, summer/winter schools, etc. at the Graduate Center of Life Sciences /Chair) in the equivalent of at least 6 SWS (=63 hours) in total (distributed over the total duration of the doctoral project). Planned are:

Event	Scope

- d. Compulsory participation in a **seminar of at least 8 hours on good academic practice** tentatively on _____.

- e. During the doctorate, at least **two meetings of the Thesis Advisory Committee (TAC meetings)** are mandatory. The TAC is comprised of the supervisor, the potential second examiner, and the mentor. In the TAC meetings, the progress of the doctoral project and the elements of the qualification program are discussed and, if necessary, advice on how to proceed is given to the doctoral candidate. The first meeting takes place in the period of 6 to 10 months after the start of the doctorate; the second in the period of 20 to 24 months together with the feedback session in accordance with § 16 (8) of the TUM-GS statutes. If necessary, further TAC meetings can be held. Part of each TAC meeting is a 2-to-5-page report by the doctoral candidate on the status of the doctoral project. The thesis supervisor, the second examiner, and mentor shall receive this report approximately 1 week before the meeting. Further components of each TAC meeting are a public presentation of the doctoral topic and previous results with subsequent discussion. The results are documented in the "Meeting Report TAC" and in the

"Feedback Session Reporting Sheet TAC Meeting 2". Each doctoral candidate is obliged to passively participate in the public TAC presentation of another doctoral candidate until her*his second TAC meeting.

- f. The doctoral candidate shall present her*his research results for **discussion in the international scientific community** through at least one **accepted publication** in a peer-reviewed international journal or as a contribution at an international conference with peer review. Planned is/are:

5.4 In addition, participation in the following **optional qualification elements** are planned:

- a. **Transferable skill training** from the range of events offered by the TUM-GS or other TUM education institutions. The TUM-GS recommends participation in at least three courses. Planned are:

Event	Scope

- b. **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 funding. Planned:

Type of planned stay abroad:	Visited or inviting institution	Country	Duration in days

6 Roles and responsibilities within the supervisory relationship

6.1 Doctoral candidates and thesis supervisors commit

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

6.2 The thesis supervisors commit themselves

- to actively promote the professional and interdisciplinary education and training of doctoral candidates and to advise them in this regard,
- to promote the quality of the doctoral project through advice and discussion, including feedback on questions and manuscripts as well as supervision of the completion of the dissertation within a reasonable period of time,
- to provide the necessary support, tailored to the individual needs of the doctoral candidates, for achieving the doctoral goal and for the early academic independence of the doctoral candidates,
- to enable and promote participation in scientific conferences in Germany 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
- to advise the doctoral candidates with regard to further career planning, if they so wish, and to continue to support the doctoral project even if the candidate leaves the TUM, e.g., by continuing to supervise the project within the framework provided for by the doctoral regulations or by providing support in the event of a change of thesis supervisor.

6.3 The doctoral candidates commit themselves

- to strive for a successful completion of the doctoral project through goal-oriented and independent scholarly work in accordance with the enclosed time and work plan,
- to maintain regular contact with the supervisor and enable and make use of the aforementioned supervisory opportunities,
- to report precisely and regularly to the thesis supervisor on the status of the scholarly work and the completion of the qualification elements and
- to inform themselves about requirements and regulations relevant to the doctoral procedure.

7 Work materials

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)

8 Good academic practice

All participants undertake to comply with the **the guidelines that secure good scientific practice and deal with academic misconduct** (see www.tum.de). Acknowledgement of this Code is confirmed with the signature below. The doctoral candidate is aware that in accordance with § 7 (7) of the TUM Regulations on the Awarding of Doctoral Degrees, her*his own work that has already served examination purposes may not be submitted as a doctoral dissertation or as part of a doctoral dissertation.

9 Reconciling family and academic work

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

10 Rules for situations of conflict

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

11 Data protection

The undersigned are hereby informed that their personal data shall be stored and processed by TUM for organizational and statistical purposes as well as for controlling and quality management in accordance with the General Data Protection Regulation (GDPR). The legal basis for this is Art. 6 Subsection 1 Number b of the General Data Protection Regulation (GDPR). Data is not 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. The legal basis for this is Art. 6 Subsection 1 Number c of the General Data Protection Regulation (GDPR).

Under the legal prerequisites, there is a right to information, as well as to correction or deletion, or to restriction of processing or the right to object to processing, as well as the right to data portability. There is also the 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 Official of the Technical University of Munich.

_____, on _____, _____, on _____

Doctoral candidate Supervisor

_____, on _____, _____, on _____

Second supervisor, if applicable Mentor

_____, the _____, _____, the _____

Second mentor, if applicable Managing Director
Graduate Center of Life Sciences

Appendix:

Confirmation that the Supervision Agreement has been acknowledged by new mentors or those who have already registered.

Name of mentor:

Acknowledgement of the Supervision Agreement from _____
(date, signature of the thesis supervisor)

between _____ (doctoral candidate) and
_____ supervisor) is confirmed.

location, date, signature mentor

At least one mentor must be appointed in each doctoral project. Mentors can offer subject-specific as well as interdisciplinary advice or be called upon for personal development. Mentors can be all persons who have proven their ability to conduct independent academic work, usually through a doctorate. If possible, they should be independent persons who do not belong to the chair or professorship of the supervisor.
