



## Supervision Agreement for Doctoral Candidates

### TUM Medical Graduate Center (MGC)

### Doctor of Philosophy (Medical Life Science and Technology)

## 1 Preamble

The doctoral candidate and his/her advisor and mentors enter into this supervision agreement taking into account the recommendations of the German Research Foundation (DFG) for drawing up supervision agreements<sup>1</sup>, the guidelines on the principles of good research practice<sup>2</sup> and the statute of the TUM Graduate School<sup>3</sup> (TUM-GS).

This agreement serves as an aid to structuring and planning the PhD project. Establishing a project plan and selecting appropriate subject-related and transferable skills courses are important and helpful elements of this process. These steps are to be discussed between doctoral candidate and advisor and included in this agreement.

This agreement is based on the current planning stage. It can be updated at any time with respect to evolving scientific aims and adjusted coursework and milestones by mutual agreement of doctoral candidate, advisor, mentors and the MGC. Adjustments of the project plan and qualification elements may be appended to this agreement.

PhD students become provisional members of the TUM Graduate School upon joining the PhD program in Medical Life Science and Technology. Completion of this supervision agreement is required for full membership. A minimum membership of two years and completing the training program are required for submitting the dissertation.

## 2 Parties involved

The following parties enter into this supervision agreement:

_____	[doctoral candidate]
<i>First name</i> <i>Last name</i>	
_____	[advisor <sup>4</sup> ]
<i>First name</i> <i>Last name</i>	
_____	[mentor <sup>4</sup> ]
<i>First name</i> <i>Last name</i>	
_____	[mentor <sup>4</sup> ]
<i>First name</i> <i>Last name</i>	

<sup>1</sup> [http://www.dfg.de/formulare/1\\_90/1\\_90.pdf](http://www.dfg.de/formulare/1_90/1_90.pdf)

<sup>2</sup> [http://portal.mytum.de/archiv/kompodium\\_rechtsangelegenheiten/sonstiges/wiss\\_Fehlverh.pdf](http://portal.mytum.de/archiv/kompodium_rechtsangelegenheiten/sonstiges/wiss_Fehlverh.pdf)

<sup>3</sup> Statute dated 01.09.2013, [www.gs.tum.de](http://www.gs.tum.de)

<sup>4</sup> Advisor and mentors have to be Hochschullehrer (according to article 2 subsection 3 BayHSchPG). At least two of the three have to be members of the TUM School of Medicine of TUM. At least one mentor has to be at a different institute/clinic than the advisor.



(Please enter personal details of the parties involved in appendix 1)

Advisor and mentors comprise the candidate's individual thesis advisory committee. Doctoral candidates and their advisors and mentors have certain rights and responsibilities with regard to the PhD training. Their obligations are listed in appendix 2.

### 3 Dissertation project

a. The working title of this dissertation project is:

\_\_\_\_\_

b. Date of admission to the PhD program: \_\_\_\_\_

c. Research on the dissertation project will start/has started on (date): \_\_\_\_\_  
and is expected to end (month/year): \_\_\_\_\_.

During this period, at least three years of full-time work are to be spent on the dissertation project research.

d. The project plan for the dissertation project is appended to this agreement. The plan shall be regularly reviewed by the doctoral candidate and his/her advisor and adjusted based on recent project developments.

e. The doctoral candidate will regularly report on the status and progress of his/her dissertation project including an evaluation of the planned and achieved milestones and timing. The candidate will further regularly present the status of the dissertation project at research seminars every \_\_\_\_\_ (weeks/months).

### 4 Scientific environment

a. This dissertation project will be carried out:

at Klinikum rechts der Isar / TUM School of Medicine

Clinic/Institute: \_\_\_\_\_

externally

External institution: \_\_\_\_\_

Lab in which the project will be carried out: \_\_\_\_\_

b. The project is:

part of the externally funded research project: \_\_\_\_\_

an individual research project

part of the DFG research training group: \_\_\_\_\_.



- c. The advisor guarantees that the doctoral candidate will have the following adequate working conditions and use of equipment (e.g. desk and lab space, access to computers, phone, equipment and consumables, etc.):


The advisor furthermore ensures that all legal and regulatory documents such as approval for animal experimentation required to carry out the project are in place at the beginning of the project.

## 5 Funding<sup>5</sup>

- a. The doctoral candidate's work on this dissertation project is funded by:

- Employment contract
- Stipend
- Other means of funding

Employer:

- TUM
- Klinikum rechts der Isar
- External employer

Percent of a full position: \_\_\_\_\_

Workplace:

- TUM
- Klinikum rechts der Isar
- Deutsches Herzzentrum München
- Helmholtz Zentrum München
- MPI München
- External institution

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<sup>5</sup> The information provided here does not entail any legal obligation for further employment (in the case of temporary employment), for the continuation of employment (if a previous working relationship exists) or for the extension or the approval of a scholarship. The regulations concerning contract termination and potential contractual work obligations are not affected.



- b. Should the funding listed above expire before the successful completion of the dissertation project, further funding will be provided for the completion of the project.

## 6 Academic training and structural elements

- a. The plan specified below for meeting the course work requirements of the PhD program and the TUM-GS regarding both scientific and soft skills classes serves as a guideline for the doctoral candidate. It may be changed informally in agreement with the advisor at any time as long as the mandatory requirements of the PhD program and TUM-GS are fulfilled (b. through g.).
- b. The doctoral candidate must be included in the academic environment of TUM. In order to satisfy this requirement, the doctoral candidate needs to be an active part of a research group at TUM, the MRI or a public academic research institution approved by MGC and be present regularly in this group. Alternatively, if the first advisor is not based at one of these locations in Munich, an appointed professor of the TUM School of Medicine must be included as a mentor in the project from the beginning on. In such cases, the doctoral candidate has to work in the research group at TUM, the MRI or a public academic research institution approved by MGC for at least one hour per week and to provide a structured report signed by the mentor. The project plan has to be signed by the mentor, as well.

The doctoral candidate is included in the academic environment of TUM by:

- Active and present member of TUM(-approved) research group
- Appointed professor as mentor.

Research group:

- at TUM
- at Klinikum rechts der Isar
- at an external institution

External institution: \_\_\_\_\_

- c. The doctoral candidate will complete a 3-day orientation seminar as required by the TUM-GS. The orientation seminar should be attended within the first half year of the project.

Intended (if known already): \_\_\_\_\_

- d. All doctoral candidates must complete the required credits for scientific and soft skills courses as stated in the PhD program handbook. To satisfy this requirement, the doctoral



candidate plans to participate in the following courses offered by the PhD program (if known already): \_\_\_\_\_

- e. The doctoral candidate must complete a seminar on good scientific practice. The course, in the duration of approx. 2 hours, will be offered by the MGC regularly. The doctoral candidate can also attend an equivalent event with comparable content (the MGC decides about the equivalence). The seminar about good scientific practice should be attended within the first six months of the doctoral project.

Intended (if known already): \_\_\_\_\_

- f. The doctoral candidate will organize a meeting with his/her thesis advisory committee at least once a year to report on the progress of the dissertation project as stated in the PhD program handbook. The thesis advisory committee will review the candidate's progress on the research project and course work with regard to the project plan. The candidate's progress and the evaluation by the thesis advisory committee as well as a revised project plan, if applicable, is to be documented and submitted to the program's coordination office and the MGC.

The next committee meeting is planned for: \_\_\_\_\_

- g. At least one publication resulting from the doctoral candidate's own dissertation research will be submitted to an international peer-reviewed journal with the doctoral candidate as first author. In exceptional cases, it is also possible to accept a co-author publication, if the doctoral candidate has significantly contributed to the paper. The significant contribution has to be verified by the PhD Executive Committee and MGC.

Intended (if known already): \_\_\_\_\_.

- h. The doctoral candidate may also participate in and receive funding for soft skills seminars from the interdisciplinary training program offered by the TUM-GS.

The doctoral candidate intends to attend the following events and course(s) (if known already): \_\_\_\_\_

- i. The doctoral candidate may complete an international research phase. This research phase can be completed in the form of
- one or more research visits to an international research institution or research company abroad
  - attending international conferences outside of Germany and presenting (in the form of talks or posters) own research results, or
  - research interaction with international guest scientists. These may also be invited to TUM by a group of doctoral candidates for the appropriate amount of time.

Intended: \_\_\_\_\_.

The doctoral candidate may receive financial support for the international research phase from the TUM Graduate School according to § 13 section 6 of the Medical Graduate Center regulations and §6 Abs. 2 of the TUM Graduate School statute if the respective requirements have been met.

Intended (if known already): \_\_\_\_\_



## **7 Good scientific practice**

All parties involved commit themselves to adhere to the TUM guidelines for ensuring good scientific practice. The doctoral candidate is aware that according to TUM regulations, no thesis may be submitted as a dissertation that has been used elsewhere as the basis of an exam.

## **8 Updating this agreement**

This agreement may be updated at any time with respect to evolving scientific aims and adjusted coursework and milestones by mutual agreement of doctoral candidate, advisor, mentors, PhD program and the MGC.

## **9 Settling disputes**

In case of professional or personal conflicts that significantly compromise a trusting and constructive cooperation and that appear to be beyond reconciliation to at least one of the parties involved that party or all parties involved may appeal to the MGC. If the situation still cannot be resolved they may appeal to the TUM-GS board of arbitration.

## **10 Severability clause**

If any provision of this agreement is or becomes legally invalid or if there is any gap that needs to be filled, the validity of the remainder of the agreement shall not be affected thereby. Invalid provisions shall be replaced by common consent with such provisions which come as close as possible to the intended result of the invalid provision. In the event of gaps such provision shall come into force by common consent which comes as close as possible to the intended result of the agreement.

## **11 Further regulations and validity**

- a. Advisor, mentors and doctoral candidates agree to acknowledge and respect
  - the TUM-GS statute,
  - the rules and regulations of the MGC,
  - the rules and regulations laid down in the PhD program handbook,
  - the TUM regulations regarding scholarships from donations or other third-party funding (where applicable) and
  - the TUM guidelines for ensuring good scientific practiceas part of this agreement and to act in accordance with the provisions stated therein.
- b. The doctoral candidate, advisor and mentors confirm that all information given and declarations made in this agreement are, to the best of their knowledge, accurate and complete.



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*Location, date*

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*Doctoral candidate*

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*Location, date*

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*Advisor*

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*Location, date*

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*Mentor*

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*Location, date*

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*Mentor*

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*Location, date*

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*Managing Director MGC*



## 12 Electronic data collection and storage

### a. Data collection and internal use of data

The TUM-GS and MGC collect of its members. This information is saved electronically and consists of the members' address, age, former academic education or academic title and this supervision agreement as well as information concerning the doctoral candidates' application and chosen research area. The TUM-GS and MGC use this information to coordinate the training program.

In addition, members can individually decide to release their personal details stored in the database to facilitate networking and exchange within the TUM as well as with current and future project partners.

The Bavarian Data Protection Act applies when data are collected and stored.

### b. Use of data for controlling purposes and public relations

The TUM GS and MGC use the collected data for internal and external<sup>6</sup> controlling in anonymized form. Additionally, TUM-GS regularly publishes reports on its research projects after consulting with all parties involved in order to inform and attract current and potential collaborators.

When using collected data for statistical analyses, the Bavarian Data Protection Act as well as the German Federal Law for Data Protection are applied.

## Consent

Advisors, mentor and doctoral candidate agree that the TUM-GS may use their personal data and project information for this purpose.

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*Location, date*

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*Doctoral candidate*

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<sup>6</sup> e.g. DFG, the Federal Statistics Office and other public institutions collecting data





## Appendix 1: Personal Details

### Doctoral candidate

#### Personal details

First name: \_\_\_\_\_ Last name: \_\_\_\_\_

Title: \_\_\_\_\_ Gender: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Place of Birth: \_\_\_\_\_ Nationality: \_\_\_\_\_

#### Academic degree/qualification

Degree: \_\_\_\_\_ In area: \_\_\_\_\_

Received from university: \_\_\_\_\_ On date: \_\_\_\_\_

#### Contact information

Phone: \_\_\_\_\_ Cell phone: \_\_\_\_\_

Email: \_\_\_\_\_

Street address: \_\_\_\_\_

Zip Code: \_\_\_\_\_ City: \_\_\_\_\_

### Advisor

Title: \_\_\_\_\_ First name: \_\_\_\_\_ Last name: \_\_\_\_\_

Institute/Clinic: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

### Mentor

Title: \_\_\_\_\_ First name: \_\_\_\_\_ Last name: \_\_\_\_\_

Institute/Clinic: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

### Mentor

Title: \_\_\_\_\_ First name: \_\_\_\_\_ Last name: \_\_\_\_\_

Institute/Clinic: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_



## Appendix 2: Responsibilities of advisor, mentors and doctoral candidate

- a. The advisor and mentors advise the doctoral candidate on his/her research on the dissertation project. In particular, they will
  - introduce the research area and the scientific context,
  - inform the doctoral candidate on access options to scientific literature and research material,
  - advise the doctoral candidate on developing, defining, delimiting and wording the research project and specific aims,
  - discuss and evaluate scientific questions, hypotheses and methods,
  - discuss results and their interpretation,
  - support the doctoral candidate in attending relevant scientific conferences if financially feasible,
  - meet regularly with the doctoral candidate to review and discuss progress on the research project, with the advisor being available to meet individually with the doctoral candidate for at least one hour a week, the mentors at least once every six months, while a joint thesis advisory committee meeting is to take place at least once a year with the next meeting scheduled for \_\_\_\_\_ and
  - advise on structure, content and presentation (layout, language, etc.) of the dissertation.
- b. The advisor and mentors advise the doctoral candidate on the planning and structuring of his/her research work, in particular with regard to interruptions due to medical studies or clinical work if applicable. They also provide guidance on selecting relevant courses and on completing both research and course work in time to enable the doctoral candidate to make efficient progress in his/her dissertation project. Furthermore, advisor and mentors support the doctoral candidate in his/her professional and personal development.
- c. The advisor and mentors are required to continue advising the doctoral candidate as laid out in this agreement if they leave the TUM or Klinikum rechts der Isar. If the advisor or a mentor is unable, for this or another reason, to continue advising the doctoral candidate sufficiently, he/she will suggest an adequate successor.
- d. The doctoral candidate, in turn, has the obligation to facilitate and make good use of the mentoring listed above through frequent contact with advisor and mentors and focused work on his/her dissertation project.
- e. In particular, the doctoral candidate commits him-/herself to working on the dissertation project to at least the extent stated under 3.
- f. The doctoral candidate should be given the opportunity to participate in academic committees wherever possible.
- g. As a TUM-GS member, the doctoral candidate is entitled to numerous qualification opportunities and services offered as part of the TUM-GS training program. In return, (s)he pledges to actively participate in and complete the full training program, in particular the items listed under 6. By doing so, the candidate is entitled to receive TUM-GS funding based on the rules and regulations published by TUM-GS.
- h. To be awarded the doctoral degree and MGC/TUM-GS certificate, the doctoral candidate has to complete all MGC and TUM-GS requirements and provide the appropriate documentation. Previous academic achievements that have not been credited towards another



academic qualification (e.g. Master's degree) may be submitted to the MGC and TUM-GS for credit consideration. The university president may decide to grant partial or full exemptions from certain elements of the training program in individual cases upon a request by the doctoral candidate filed via the Dean.

- i. The doctoral candidate must be prepared to report on the status and progress of his/her dissertation project to advisor, mentors, MGC and TUM-GS at any given time if asked to do so. (S)he is also required to inform the MGC about the date of thesis submission and defense and to provide the MGC with an electronic copy of the thesis, reviewers' assessments, transcript and degree certificate.