

## Sample Doctoral Supervision Agreement

according to § 38 Sec. 5 LHG (state law on education) and § 1 Sec. 9 of the general Doctoral Regulations of the University of Konstanz

### Information

The new version of the Landeshochschulgesetz LHG (state law on education) of 09 April 2014 requires a doctoral supervision agreement<sup>1</sup> between the doctoral candidate and his/her supervisor. The aim is to increase the level of commitment for the supervision of doctoral candidates and introduce quality management and clear quality assurance criteria.

*Extract from § 38 LHG:*

*“(5)....The Doctoral Committee of the section decides on the acceptance of the doctoral candidate after the doctoral supervision agreement has been concluded; if the university accepts the candidate, the university will be obliged to provide scientific supervision. The written doctoral supervision agreement between the doctoral candidate and supervisor contains, but is not limited to:*

- 1. The doctoral thesis project and continually adapted schedules for regular supervision talks and progress reports*
- 2. Details about the individual programme of studies*
- 3. Mutual obligation to comply with the principles of good scientific practice*
- 4. Provisions for the settling of conflicts*
- 5. The evaluation period that will be determined upon handing in the doctoral thesis*

*Upon conclusion of the doctoral supervision agreement the data of the doctoral candidate's data have to be centrally stored”.*

The required doctoral supervision agreement is integrated into the general provisions of the Doctoral Regulations of the University of Konstanz (§ 1 Sec. 9):

“(9) Before a doctoral candidate is accepted, he/she will conclude a doctoral supervision agreement with the supervisor. The contents of this agreement shall include, but not be limited to, the following:

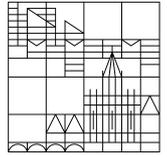
- the topic of the doctoral thesis (possibly a working title as well),
- details about the individual programme of studies if the doctoral candidate does not participate in a structured doctoral programme,
- the thesis project and continually adapted schedules for regular supervision talks and progress reports,
- the evaluation period that will be determined upon handing in the doctoral thesis,
- mutual obligation to comply with the principles of good scientific practice and
- provisions for the handling of conflicts” (*Doctoral Regulations as of 22 June 2015*)

On 10 June 2015, the Senate of the University of Konstanz recommended using this doctoral supervision agreement for all doctoral candidates. If applicable, it may be supplemented by department-specific or case-specific regulations. Our Academic Staff Development provides a hand-out for supplementary agreements (e.g. further supervision agreements, work conditions, compatibility of academic qualification and family responsibilities etc.). If both the doctoral candidate and the supervisor agree, the doctoral supervision agreement can be modified within the guidelines of the LHG.<sup>2</sup> The doctoral candidate and the supervisor jointly fill in three or more copies of the agreement, sign it and hand each party one copy.

Please submit the doctoral supervision agreement to the director of the departmental administration of your department immediately after completing and signing it.

<sup>1</sup> The doctoral supervision agreement is a public-law contract and legally binding.

<sup>2</sup> All changes of the agreement have to be documented in writing.



**Information about the multiple-person principle in supervision for doctoral researchers accepted from 01 April 2022 onwards**

*as per § 5 para. 5 Doctoral Regulations dated 22 June 2015 including all amendments up to 2 March 2022*

As per the provisions of the Doctoral Regulations mentioned above, all doctoral researchers accepted from 01 April 2022 will be assigned a total of three supervisors each, including mentors for subject-related and supervision issues, if applicable.

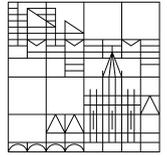
In case the doctoral researcher was not assigned three supervisors, the Doctoral Committee will appoint within six months, in addition to the primary supervisor or, if applicable, to the two supervisors, two, or one, further person(s) respectively from the group of researchers authorized to act as supervisors as per para. 4, whom the doctoral researcher can address as mentor(s) for subject-related or supervision issues. Deviating from this, the subject-specific regulations may stipulate that only one further person fulfilling the stated requirements be appointed as mentor in addition to the primary supervisor.

The persons mentioned in sentence 2 have the following tasks:

1. Collaborative and individual guidance of the doctoral researcher during the doctoral phase;
2. Reliably conducting at least three supervision meetings in the course of the doctoral phase, usually at annual intervals, on the progress of the doctoral thesis and including recommendations to the doctoral researcher.

The mentor(s) may be changed at the doctoral researcher's request, taking into account the specifications in sentence 2.

*See the attached form on the appointment of mentors for doctoral researchers*



## Doctoral supervision agreement

Providing the relevant department accepts the doctoral candidate, the following doctoral agreement for the doctoral studies

subject of the doctoral thesis or working title	
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is concluded between the

prospective doctoral candidate	
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and

supervisor	
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if applicable, additional supervisor*	
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if applicable, additional supervisor*	
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### 1. Short description of the topic of the doctoral thesis project

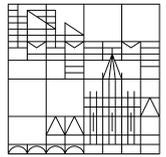
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**Please enter here:**

- A description of the planned topic of the doctoral thesis.
- The topic description can also be an attachment to this agreement.
- If the topic is modified, please also modify the doctoral supervision agreement.

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\* The second and third supervisors can be named after the doctoral supervision agreement is concluded (in this case, enter "N.N"). As soon as the second / third supervisors have been determined, their names have to be entered and they have to sign the modified agreement.



**2. Integration into a doctoral programme, a structured programme, a graduate school or a research training group?**

Yes       Yes, planned       No       Not determined yet

**If yes:**

The doctoral candidate is/will be integrated into the

Doctoral Programme

The doctoral candidate must complete the required coursework and academic performance assessments and comply with the examination regulations, if he/she is enrolled in a doctoral programme.

Structured Programme

Graduate School

Research Training Group

As a member of a graduate school, research training group or participant in a doctoral programme or structured programme, the doctoral candidate must complete the corresponding programme of studies and comply with the corresponding regulations.

**3. If applicable, details on an individual programme of studies (including conditions or further regulations)**

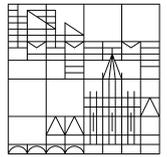
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**4. Details on the thesis project and continually adapted schedules for regular supervision talks and progress reports and for doctoral researchers accepted from 01 April onwards: as a rule, at least three supervision meetings, usually at annual intervals, with all supervisors including mentors.<sup>4)</sup>**

The candidate reports on his/her progress (frequency and intervals):

Supervision talks are planned (in case of two/three supervisors please list individually) (frequency and intervals):

<sup>4</sup> as per § 5 para. 5 Doctoral Regulations dated 22 June 2015 including all amendments up to 2 March 2022



**Please note:**

The doctoral candidate and the supervisor have to agree upon changes to the original schedule or additions to the agreement and document these changes in writing.

**5. Evaluation period**

The supervisors must observe the evaluation period after the doctoral thesis has been submitted. The evaluation period is **three months** from the time the referee was appointed to assess the doctoral thesis (see § 8 para. 4, general provisions of the Doctoral Regulations of the University of Konstanz).

**6. Mutual obligation to comply with the principles of good scientific practice**

We have taken notice of the "Guidelines to ensure good scientific practice" (see download area <http://www.ftt.uni-konstanz.de/regeln-gute-wiss-praxis>). We commit ourselves to comply with these guidelines.

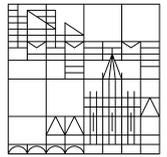
**7. Provisions in case of obstacles or conflicts**

If problems should arise in complying with this agreement or in case of conflicts, the parties involved will try to find a solution by discussing the matter. If need be, the doctoral supervision agreement can then be amended correspondingly in writing - within the guidelines of the LHG and the Doctoral Regulations of the University of Konstanz.

If no solution is found, the parties involved shall contact the **ombudsperson for doctoral procedures** at the University of Konstanz. Each of the parties involved can contact the ombudsperson. The ombudsperson provides advice, support and conflict resolution regarding the supervision of doctoral candidates. Consultations are confidential. If the person seeking advice so wishes, the ombudsperson can intervene and try to resolve the conflict.

**8. Changing the doctoral supervision agreement**

If both parties agree, the doctoral supervision agreement can be amended in accordance with all applicable legal provisions.



## 9. Coming into effect

This agreement comes into effect once signed by the parties involved and after the corresponding department has accepted the candidate. It shall be valid until the end of the evaluation period, or in case the doctoral examination process ends prematurely, until that point of time. In case the supervisor changes, the quitting supervisor is relieved of his/her responsibilities. A modified agreement has to be concluded with the new supervisor, which will then replace the original agreement.

### Signatures:

*Doctoral candidate*

*Supervisor*

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Place, Date

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Place, Date

*Additional supervisor*

*Additional supervisor*

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Place, Date

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Place, Date