



## Supervision agreement according to the Doctoral Degree Regulations of the Faculty of Mathematics, Informatics and Natural Sciences dated 2 May 2018 as amended

Attachment to the application for admission to doctoral procedures at the MIN Faculty

This supervision agreement is concluded between the doctoral candidate and the supervisors of the doctoral project. It serves to ensure a high quality of scientific education and to guarantee the best possible supervision and support of the doctoral candidate. It also defines the rights and obligations of the involved parties. It takes into account the recommendations of the German Research Foundation (*Deutsche Forschungsgemeinschaft, DFG*), the German Council of Science and Humanities (*Wissenschaftsrat*) and the German Rectors' Conference (*Hochschulrektorenkonferenz, HRK*) for the preparation of supervision agreements.

Surname, first name of doctoral candidate:

Surname, first name of [supervisor](#):

Surname, first name of [co-supervisor](#):

Surname, first name of [chair of the supervision panel](#) or a further [co-supervisor](#):

Preliminary title of dissertation / Working title of dissertation:



### The doctoral candidate commits him/herself

- ✓ to carry out the scientific work on the dissertation independently.
- ✓ to document the research process and the results at all times.
- ✓ to comply with the regulations on good scientific practice according to the [“Bylaws for Safeguarding Good Scientific Practice and Avoiding Scientific Misconduct at Universität Hamburg”](#) as amended.
- ✓ to inform the supervisors at regular intervals<sup>1</sup> about the progress of the dissertation (e.g. by submitting time schedules, work plans and progress reports), to obtain their feedback on the progress of the dissertation and to make necessary arrangements with them.
- ✓ to actively participate regularly in the doctoral seminars/meetings of the working group and present her or his work at least once a year.
- ✓ to discuss and agree upon regulations, if applicable, e.g. regarding authorship of joint articles, working time on the dissertation and handling of data for the dissertation with the supervisors.
- ✓ to write the dissertation and to hold the oral defense in German or English<sup>2</sup>.
- ✓ in exceptional cases, if the supervisor does not belong to the responsible department, to inform the co-supervisor of the responsible department regularly about the progress of the doctoral project. This takes place
  - within the framework of regular interim reports.
  - by presentations in the working group seminar of the co-supervisor.
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- ✓ ...

### The supervisors commit themselves

- ✓ to comply with the regulations on good scientific practice according to the [“Bylaws for Safeguarding Good Scientific Practice and Avoiding Scientific Misconduct at Universität Hamburg”](#) as amended. In particular, the obligations for supervisors formulated there should be taken into account (see Section 2 subsections 2 and 3).
- ✓ to monitor the progress of the dissertation according to plan at regular intervals<sup>3</sup> and to provide timely feedback on it.
- ✓ to discuss and agree upon regulations, if applicable, e.g. regarding authorship of joint articles, working time on the dissertation and handling of data for the dissertation with the doctoral candidate.
- ✓ to support participation in topic-related events (conferences, meetings, workshops, etc.) and active involvement in the scientific community.

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<sup>1</sup> Recommendation of the Office of the Dean of the MIN Faculty and the MIN Faculty Doctoral Committee: We recommend to define the type and form as well as the time interval more precisely at the beginning of the doctoral studies, e.g. within the framework of this agreement.

<sup>2</sup> The writing of the dissertation and the conduct of the oral defense in another scientific language is only possible upon application of the doctoral candidate to the responsible subject doctoral committee (see Section 8 subsection 2 and Section 12 subsection 1 of the Doctoral Degree Regulations MIN Faculty (2018) as amended; the Doctoral Degree Regulations MIN Faculty (2018) and its amendment(s) can be found under [this link](#)).

<sup>3</sup> See footnote 1.



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The responsible subject doctoral committee points out that according to Section 5 subsection 5 of the Doctoral Degree Regulations MIN Faculty (2018), the dissertation should generally be completed within three years.

<b>Additional agreements:</b>

Place	Date	Signature of doctoral candidate <sup>4</sup>

**Supervisor**

Date	Signature of supervisor

**Co-supervisor** (if applicable)

Date	Signature of co-supervisor

**Chair or co-supervisor** (if applicable)

Date	Signature of chair of the supervision panel or a further co-supervisor

<sup>4</sup> Since the supervision agreement not only serves as an attachment to the application for admission to doctoral procedures, but must be observed for the entire period of the doctorate, the term *doctoral candidate* is used in this agreement and not *applicant*.



## Appendix to the supervision agreement

### Notes on supervision and responsibilities in supervision

#### General information on the supervision of doctoral projects

Supervision by more than one person can enrich the doctoral project professionally and methodically and contribute to quality assurance. Multiple supervision is a suitable means of ensuring optimal supervision at all times - even in difficult and conflictual situations or when a supervisor is unavailable. Therefore, the MIN Faculty (Office of the Dean) and the MIN Faculty Doctoral Committee recommend that doctoral projects are supervised by at least two scientists (e.g. 1 supervisor and 1 co-supervisor). In case of one or more co-supervisors, one of these scientists can/should be the first mediating authority in case of conflicts between doctoral candidates and (co-)supervisors.

#### Supervisors and co-supervisors

The supervision (*supervisor*) and co-supervision (*co-supervisor*) **are not subject to any hierarchy** according to the Doctoral Degree Regulations MIN Faculty (2018) as amended; the role of “*co-supervisor*” has the same duties and rights as the role of “*supervisor*”. Both roles, if used, have the duty to perform the supervision properly (see Section 5 subsections 1 and 2, Section 7 subsections 1, 2, 3 and 4).

#### Chair of the supervision panel

The MIN Faculty (Office of the Dean) and the MIN Faculty Doctoral Committee recommend that the chair of the supervision panel takes on a coordinating role and organizes an annual meeting to discuss the status of the research work, the planned next steps, how to deal with any problems that may arise in the doctoral process, as well as clarification of content and formal issues relating to the dissertation thesis. The chair of the supervision panel can/should be the first mediating authority in case of conflicts between doctoral candidates and (co-)supervisors and can/should be a neutral confidant for the doctoral candidate.

### Notes on regulations in cases of conflict and on the termination of the supervision relationship

The first point of contact in cases of conflict should/could be the other appointed (co-)supervisor or the chair of the supervision panel for both the doctoral candidates and the supervisors.

The MIN Faculty (e.g. the Office of the Dean, the relevant subject doctoral committees) supports doctoral candidates and supervisors and can be involved if necessary.

If the conflict cannot be resolved, the Universität Hamburg’s conflict counseling service, which is available to all Universität Hamburg employees, can be made use of.

The Ombuds Office of the Universität Hamburg is available to doctoral candidates and supervisors for advice and mediation in questions and cases of conflict in connection with good scientific practice. They work independently and are not bound by instructions. They see themselves as impartial arbitrators.

Both supervisors and doctoral candidates can terminate the supervision relationship (using [this form](#)) if there are substantial reasons for doing so; the chair of the relevant subject doctoral



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committee must be notified, stating the reasons.

### Note on career development

The MIN Faculty (Office of the Dean) recommends that career development counseling sessions between doctoral candidates and supervisors be effectively designed and documented using, for example, the MIN Faculty's *Individual Development Plan* (IDP). On the one hand, the IDP supports doctoral candidates in taking their individual career development into their own hands. On the other hand, it offers supervisors a clear communication aid for mentoring discussions on career development. For more information, click [here](#).