

## **Attachment 1: Supervision Agreement between the Doctoral Candidate, the Supervisor and the Faculty of Social Sciences at the University of Duisburg-Essen**

### **Preamble**

The Faculty of Social Sciences at the University of Duisburg-Essen sees the relationship between supervisor and doctoral candidate as a partnership in which both parties conscientiously assume their respective responsibilities in order to ensure the successful completion of the academic work. This Supervision Agreement stipulates what the Faculty of Social Sciences expects from its doctoral candidates and which responsibilities arise as a result.

The objective of this Supervision Agreement is to ensure professional interaction among parties and establish rules to prevent and resolve conflict. Together with the structured design of the doctoral studies programme, this Agreement is intended to allow doctoral studies to be successfully completed in a time period that is appropriate for the relevant discipline.

### **Rights of the Doctoral Candidate**

The Doctoral Candidate is to be provided continuous academic supervision. The supervision of the doctoral dissertation is the non-delegable responsibility of the Supervisor. The Doctoral Candidate can expect to be given academic, personal and material assistance throughout their doctoral project and, if applicable, support in acquiring financial resources.

The Faculty of Social Sciences is to provide the Doctoral Candidate appropriate access to the necessary working materials via the relevant responsible institute and, if applicable, is to support the Doctoral Candidate in gaining access to sources or aids from other locations.

At the start of their doctoral studies, the Doctoral Candidate is to agree the topic of their project with the Supervisor. At the same time, time scales and the expectations of the Supervisor and the Doctoral Candidate are to be defined and documented. With support from the Supervisor, the Doctoral Candidate is to prepare a proposal and submit it with the required documents to the Doctoral Degree Board of the Faculty of Social Sciences. Provided the requirements are fulfilled, the Doctoral Candidate will receive a response confirming their addition to the Faculty's list of doctoral students. This enables the Doctoral Candidate to enrol as a doctoral student at the University of Duisburg-Essen.

The Doctoral Candidate is entitled to regular progress meetings that should take place at least every six months and of which a written record should be kept. These meetings are to provide the Doctoral Candidate and the Supervisor with information regarding the progress to date of the doctoral project, the prospect of successful completion and the next steps. If the topic of the doctoral project needs to be changed, this is to be agreed with the Supervisor and communicated to the Doctoral Degree Board by the Doctoral Candidate, including confirmation from the Supervisor. A written record of the relevant meeting is to be kept.

During their doctoral studies, the Doctoral Candidate can expect the Supervisor to be available for academic discussions on the research work to a reasonable extent. The Doctoral Candidate can also expect the Supervisor to help them gain access to their discipline's academic community.

The Doctoral Candidate can expect the Supervisor to support the presentation of their academic findings at (inter)national conferences and in German or English-language publications, if applicable.

Moreover, the Doctoral Candidate can expect the Faculty of Social Sciences to support them in developing the necessary skills for independent academic work. The University of Duisburg-Essen (Graduate Center Plus) and the Faculty of Social Sciences (DokNet) organise suitable teaching and further education opportunities for this purpose. The Supervisor is to support the Doctoral Candidate in shaping their future career path.

Moreover, the Doctoral Candidate can expect the Supervisor to provide advice and, if applicable, a reference or letter of recommendation if the Doctoral Candidate wishes to apply for a grant or similar. The Supervisor is also to support the Doctoral Candidate by making them aware of opportunities for financing and funding through grants, projects, subsidies, research prizes and the like.

If, during the doctoral degree proceedings, the Doctoral Candidate perceives difficulties or encounters problems with their supervision, it is in the interest of all parties involved that this be resolved as quickly as possible. Such complications should be settled informally wherever possible. If these problems prove to be impossible to solve, the Doctoral Candidate can involve the Faculty's ombudspersons at any time. As individuals who are not involved in the issue, both of the Faculty of Social Sciences' ombudspersons are available to help resolve conflicts between doctoral candidates and supervisors and remove any potential hindrances to the progress of the academic work. Conflicts that are unable to be resolved will be handled by the Doctoral Degree Board. The Doctoral Candidate has the right to be kept continuously informed about the handling of their complaint. If the conflict cannot be resolved, there should be a change of supervision. In this case, the Doctoral Degree Board will assist the Doctoral Candidate in searching for a new supervisor.

The Doctoral Candidate can expect all those involved in the doctoral degree proceedings to make every effort to ensure the assessment of the dissertation and the defence process are completed quickly.

The Doctoral Candidate can expect the Faculty to ensure that, in the case that the Supervisor can no longer fulfil their obligations due to unavoidable reasons (e.g. illness, death), the Doctoral Candidate's doctoral degree project will continue to be supervised or the Doctoral Candidate will be supported in their search for a new supervisor.

### **Rights of the Faculty of Social Sciences and the Supervisor**

The Faculty of Social Science and the Supervisor can expect the Doctoral Candidate to feel bound to complete their research project. It is therefore expected that a Doctoral Candidate demonstrates the necessary commitment and dedicates the agreed amount of work to their research project and strives to keep to the jointly agreed time plan for this.

The Supervisor can expect to be kept informed by the Doctoral Candidate regarding the progress of the doctoral dissertation. Any changes to the doctoral project, in particular a change in format between a monograph and a cumulative dissertation, are to be agreed with the Supervisor and communicated to the Doctoral Degree Board. The Supervisor can expect that any difficulties or problems that arise be brought to their attention without undue delay and, in the case of changes to planning regarding content or timing, that updated milestone and time plans be presented at the progress meetings that take place at least once every six months and that may also take place in a digital format.

The Supervisor can expect the Doctoral Candidate to take an active part in presenting academic findings at (inter)national conferences and in German and/or English-language publications.

The Supervisor can expect the Doctoral Candidate to comply with the guidelines for good research practice established by the German Research Foundation (DFG). In particular, the Doctoral Candidate must ensure that the established data protection and documentation rules are complied with.

### **General stipulations**

The University of Duisburg-Essen expects a responsible and efficient approach to dealing with its services, facilities and resources.

The Doctoral Candidate is to enrol at the University of Duisburg-Essen as a doctoral student.

In accordance with its legal obligations, the University of Duisburg-Essen ensures the safety and continuing health of all individuals who work at the University. The University therefore ensures that the working environment complies with the health and safety regulations. All doctoral candidates are obliged to work in a safe and careful way and to contribute to ensuring compliance with these regulations.

The University strives to create a learning and research environment that is free from discrimination. It will therefore not tolerate any discrimination due to gender, nationality, race, sexual orientation or physical disability. In order to achieve this objective, all University members must work towards it. Please refer to the existing internal University regulations on preventing discrimination.

The University expects all those involved to treat each other with fairness and respect.

**Template: Personal Supervision Agreement**

Between \_\_\_\_\_ (hereinafter Doctoral Candidate) and \_\_\_\_\_ (hereinafter Supervisor or Supervisory Team)

1. Within the University of Duisburg-Essen, Faculty of Social Sciences, \_\_\_\_\_ [institute] the Doctoral Candidate is to produce a dissertation with the working title:

\_\_\_\_\_  
\_\_\_\_\_

The project has been described in greater detail in a proposal dated \_\_\_\_\_ [date] and accepted by the Supervisor as suitable for doctoral studies in terms of content. The doctoral studies are to be supervised by the Supervisor. The framework regulations stipulated in Attachment 1 of the Doctoral Degree Regulations of the Faculty of Social Sciences form the basis of this supervisory relationship.

2. The following is agreed as the time allowed for completion of the doctoral project: \_\_\_\_\_ until \_\_\_\_\_. The planned deadline for submission of the dissertation is:

3. The doctoral project is governed by the milestone and time plan listed in the attachment to the proposal. This milestone and time plan has been considered viable by the Supervisor. The Doctoral Candidate is obliged to immediately inform the Supervisor of any relevant deviations from the milestone/time plan and submit a modified time plan to the Supervisor if applicable. The Supervisor and the \_\_\_\_\_ [institute] are to provide support for keeping to the milestone/time plan with their available means.

4. The Doctoral Candidate and the Supervisor commit to working together in an open and cooperative way in order to achieve the goal of successfully completing the project. It is agreed that the Supervisor is to be kept informed about the residence and contact availability of the Doctoral Candidate. It is also agreed that \_\_\_\_\_ (number, minimum two) in-depth meetings on the progress of the work are to be held per year and a written record is to be kept of the contents and agreements reached. Deadlines for submitting reports and for oral presentations, for example as part of colloquiums organised by the Supervisor, are included in the time plan.

\_\_\_\_\_  
The Doctoral Candidate commits to keeping to these deadlines. The Supervisor undertakes to take time to discuss the work, to further the quality of the doctoral project through advice and discussion, and to make every effort to support the success of the doctoral project.

5. The Supervisor and the \_\_\_\_\_ [institute] are to support the Doctoral Candidate's efforts to obtain financing by providing information and consultation and by producing the reference required.

6. The Doctoral Candidate and the Supervisor are obliged to comply with the guidelines for good research practice as established by the German Research Foundation (DFG). For the Supervisor, this expressly means the obligation to respect and specify the authorship of the Doctoral Candidate with regard to texts and findings.

7. The parties agree that the Doctoral Candidate will attend the following events or classes that serve to enhance their doctoral studies: [if applicable, state here e.g. participation in events from a PhD research group or a doctoral colloquium, any other events for which the topic, total hours, time of attendance and maximum number of hours per semester week can be stipulated]

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The Faculty of Social Sciences and the Supervisor are to support the Doctoral Candidate in their own efforts to cooperate with other doctoral candidates, researchers, networks, and so on.

8. The acquisition of key academic skills and the shaping of professional profiles is welcomed and supported by the Faculty of Social Sciences. The University of Duisburg-Essen and the Faculty of Social Sciences and the institutes are to offer a corresponding complementary programme (seminars, workshops, colloquiums, etc.). They are to support the Doctoral Candidate's own efforts, for example through consultation, providing information, sharing contacts, giving financial aid or giving recommendations.

9. The Faculty of Social Sciences and the Supervisor are to ensure that library access is available throughout the doctoral project and are to support the Doctoral Candidate in gaining access to sources and aids from other locations.

10. If the obligations stipulated are not fulfilled, immediate talks will be held between the parties in order to restore the fulfilment of the Agreement. In cases of conflict, parties may contact the ombudspersons of the Faculty of Social Sciences.

11. The Agreement and its attachments are to be reviewed annually by the parties involved and modified if applicable. All parties agree that general information about the project will be passed on for purposes of statistical data gathering and the Faculty's evaluation of the doctoral supervision. If the doctoral studies are terminated, written justifications from the Doctoral Candidate and the Supervisor are to be sent to the Dean.

12. The Faculty of Social Sciences allows the dissertation defence to also be held during the non-teaching period.

13. The Faculty of Social Sciences is to ensure that, in the case that the Supervisor can no longer fulfil their obligations due to unavoidable reasons (e.g. illness, death), the Doctoral Candidate's doctoral project will continue to be supervised.

Furthermore, the following is agreed:

#### **Date and signatures**

---

(Date, Doctoral Candidate)

---

(Date, Supervisor or Supervisory Team)

---

(Date, Dean)