

Supervision Agreement for Doctoral Candidates of the Faculty of Arts and Humanities¹

General Set-Up (required fields)²

Name of doctoral candidate	
Name of supervisor Name of co-supervisor (if applicable)	
Other persons involved, if applicable (Name a person who can be consulted, also regarding content, in case of illness or similar of your supervisor)	
Dissertation topic or working title	
Academic field	
Starting date of doctorate work	
Intended date of degree completion	
Desired degree	Dr. phil.

Arrangements and Agreements

1. Research agenda (time management and scheduling)

2. Supervision

¹ No legal rights may be derived from this supervision agreement. In particular, the signing of this agreement does not establish an employment relationship and does not constitute a claim for a doctorate. It rather governs the mutual rights and obligations of the doctoral candidate and supervisor.

² Please refer to the Appendix for suggestions on how to complete the form.

3. Management of conflicts, contact persons in case of conflict

4. Course achievements still to be performed

- The prerequisites for the doctorate work according to §7 of the PhD regulations (Promotion-sordnung) are given.
- The following achievements remain to be submitted (including the ECTS):

5. Agreements regarding qualification and training elements going beyond this

6. In case a cumulative doctorate work is possible in the academic field: Agreements on the form of the dissertation as a monograph or cumulative doctorate work

7. Extra measures or agreements

8. Agreements regarding the arrangement of the thesis defense (as per §17 of the Promotion-sordnung)

Please fill this in at least half a year before the beginning of the final phase of the PhD process!

All parties commit to adhere to the fundamental principles of good scientific practice.

Place, Date

Doctorate's Signature

Supervisor's Signature

³ cf. guidelines and procedures for ensuring good research practice at Paderborn University (<https://www.uni-paderborn.de/en/research/good-scientific-practice>)

Appendix: Guidelines for the supervision agreement

Objectives

The signing of a supervision agreement is required for all doctoral candidates at Paderborn University. The **objectives** of this are as follows:

- transparency of the relationship between the doctoral candidate and the supervisor, with clear expectations regarding the rights, duties and responsibilities of the supervisor and doctoral candidate, especially regarding good research practice (from both parties),
- improvement of structuring and planning one's doctorate studies/project and by it, the creation of important prerequisites for the doctoral candidate to complete their dissertation project with the best possible quality within a reasonable period of time,
- to identify and clarify conflicts ahead of time, if necessary.
- To foster the participation in the scholarly discourse as part of the careers of young researchers at Paderborn University.

For you as a doctoral candidate and as supervisor, the supervision agreement is a tool for the doctoral research project. It offers you orientation with regard to the content and schedule of your project. With the consent of both parties, the details of the agreement can be adjusted at any time. The supervision agreement may also serve as a basis for meetings between the doctoral candidate and supervisor. It may be useful to refer back to it in order to address aspects (such as timeline and work schedule) and plans (presentations, courses, etc.) that have been defined at the beginning.

The supervision agreement will be filed with the PhD committee of the respective faculty. The doctoral candidate and supervisor each receive a copy of the agreement.

These guidelines are intended to provide you with suggestions on how to draft a supervision agreement. The guidelines are based on the recommendations of the *DFG* (German Research Foundation). Not every topic or question needs to be addressed in detail, but it is recommended to discuss all topics and document (in writing) the most important agreements (in writing).

Instructions and Suggestions

Arrangements and Agreements of the Parties Involved in the Doctorate Work

About the general set-up: other persons involved

Please name a person who can competently substitute the supervisor in critical situations (like illness). This does not determine whether and in which function (chair, reviewer) this person will later be a member of the PhD committee. In order for this person to be able to assume responsibility, they should be a member of the Faculty of Arts and Humanities and, according to the PhD regulations §5, be a (associate) professor, *Privatdozent*in* [a lecturer who has completed their habilitation and has permission to teach and examine at the university without being employed by it], *Honorarprofessor*in* [a part-time honorary lecturer], postdoctoral fellow or be a recognized junior research group leader at Paderborn University.

On 1. Research agenda (time and work management)

- What is the intended timeline for completing the dissertation?
- Which milestones have to be considered? (e.g. finding your topic, exposé, interim progress report)
- Which supporting measures are necessary for complying with the timetable?

- Which steps can be taken to ensure that the doctoral candidate has adequate opportunity to pursue their doctoral research project besides their additional tasks and responsibilities?

On 2. Supervision

- What tools are used for supervision? (e.g. counseling sessions, doctoral colloquia)
- How often should (personal consultation) meetings between the doctoral candidate and their supervisor take place, and who is in charge of initiating the meetings? (It is also advisable to clarify modalities of preparation and follow-up)
- In which form and how often will feedback be provided on the dissertation?

On 3. Management of conflicts

- Which conditions should apply for the resolution of conflicts?
- Who gets involved in case of a conflict? (e.g. the additional supervisor or the additional participant, *Clearingstelle* [Clearing House] of the Graduate Center for the Faculty of Arts and Humanities, chairperson of the PhD committee, the dean of research, ombudsperson of Paderborn University, or another trusted third party <https://www.uni-paderborn.de/en/research/research-contacts>)

On 4. Course achievements still to be performed to fulfill the prerequisites for the doctorate degree

According to §7 of the PhD regulations, further study achievements are to be provided, which guarantee the suitability for the doctorate degree, if

- a relevant degree according to §7, paragraph 1 No. 1 or 3 does not fulfill the content-related basis of the doctoral subject in sufficient manner,
- a degree is not pertinent to the subject, but includes the content-related basis for the doctoral subject,
- a degree of a relevant university study with a general standard period of study of at least six semesters is completed.

The achievements comprise a course of study in the doctoral subject corresponding to a workload of usually up to 60 ECTS credits and should indicate the doctoral maturity. The extent of further study achievements is determined by taking into account any completed course of study.

- Do any additional credits have to be provided?
- Which additional services/tasks should be provided?

On 5. Agreements in regard to qualification and training elements beyond the PhD project itself

- Are special (professional and interdisciplinary) further education and training courses planned or can they be supported within the framework of the doctoral project?
- Is support provided by e.g. integration of the doctoral candidate into a working group, research group, etc.?
- What are the expectations regarding scientific publications or is there an explicit publication strategy? Is the doctoral candidate supported in acquiring teaching skills? (e.g. workshops in higher education didactics)

On 6. Agreements on the form of the dissertation as a monograph or cumulative doctorate work

In some PhD subjects it is possible to write the dissertation as a monograph or cumulative work. Cumulative doctorate works consist of several publications and a jacket text (cf. §9 of the PhD regulations on the subject-

specific regulations). It makes sense to discuss the advantages and disadvantages associated with both forms at a very early stage and to make a decision in favor of one form. The decision is necessary early on, as it influences the process of the doctorate work.

On 7. Special arrangements or regulations

- E.g. What measures can be taken to support the compatibility of family and academic work? (e.g. participation in alternating (digital) communication for meetings, family-friendly arrangements regarding working hours and meeting dates, information on childcare services at the university, etc.).
- Which additional support does the doctoral candidate need and what support can be granted by the faculty or university?

On 8. Agreements on the structure/form of thesis defense

- What ideas do the supervisor and the doctoral candidate have about the content and procedure of the thesis defense?
- How can the doctoral candidate prepare for the thesis defense?