

This is a provisional translation of the supervision agreement (Betreuungsvereinbarung) by TUM School of Management. Until an official translation is provided by TUM, this document can be used instead of the German original, too.

## **Supervision agreement** within the framework of a doctorate at the Technical University Munich *Graduate Center of Management*

### **1. Preamble**

The Technical University of Munich (TUM) attaches particular importance to the qualification, support and promotion of its young scientists. The role of the supervisors as well as a good and active relationship between supervisors and doctoral candidates are important factors for a successful doctorate. In this sense, each supervisor and each doctoral candidate agree on the framework conditions of the individual doctoral project and the supervisory relationship in the supervision agreement. The agreement on content between the supervisor and the doctoral candidate, which is documented in this supervision agreement, is intended to serve as a basis for a trusting, constructive and transparent cooperation at the highest scientific level, to make the process of the doctoral phase as predictable as possible and to contribute to the successful completion of the doctorate within a reasonable period of time.

The supervision agreement is based on the currently valid versions of the TUM [Regulations for the Award of Doctoral Degrees](#), the [TUM Graduate School Statutory Regulations](#) and [the regulations of the Graduate Center of Management](#).

This agreement is based on the current planning horizon. It can and should be **updated at any time** regarding further development of the scientific questions of the doctorate as well as the individual qualification elements and milestones in agreement between the supervisor and the doctoral candidate in the sense of an active document.

This supervision agreement regulates the supervision relationship between the doctoral candidate and the supervisor regarding the doctorate. It does not regulate any aspects of staff or employment law arising from any employment relationship between the persons concluding the supervision agreement and does not establish any enforceable legal positions.

## 2. Parties involved

This supervision agreement is arranged between:

\_\_\_\_\_ [doctoral candidate]

and

\_\_\_\_\_ [supervisor]<sup>1</sup>

and if necessary<sup>2</sup>

\_\_\_\_\_ [second supervisor]

Mentor<sup>3</sup> of the doctoral project is: \_\_\_\_\_

Additional mentors, if applicable: \_\_\_\_\_

## 3. Membership application and intended doctoral degree

With this supervision agreement, the doctoral candidate applies for membership in the Graduate Center of Management and thus in the TUM Graduate School (TUM-GS).

The aim of the doctorate is the award of the doctoral degree \_\_\_\_\_ <doctoral degree>  
at the degree-awarding institution \_\_\_\_\_.

## 4. Content and schedule of the doctorate

The doctoral candidate prepares a thesis on the following **doctoral topic**:


The working basis for the doctoral project is an exposé (research proposal) including work plan and time schedule.

An **exposé** from \_\_\_\_\_ (date) is to be uploaded in DocGS.

An **exposé** is not yet available at the time of registration on the doctoral list but will be prepared **within 6 months** after the supervision agreement comes into force and will be uploaded in DocGS after consultation with the supervisor. For the preparation of an exposé see [Information Sheet Research Proposal](#).

<sup>1</sup> In the event of a change of the supervisor, a new supervision agreement must be concluded.

<sup>2</sup> For doctorates in cooperation with universities of applied sciences as well as with international partner universities, the second supervisor must be included by the cooperating institution and listed in the supervision agreement.

<sup>3</sup> At least one mentor must be appointed for each doctoral project. Mentors can offer specialist but also interdisciplinary advice or can be involved for personal development. Mentors can be all persons who have proven their ability to carry out independent scientific work, usually through a doctorate. If possible, they should be independent persons who do not belong to the chair or professorship of the supervisor. When changing mentors, the mentoring agreement must be presented to the new mentors and, in accordance with Attachment 1, confirmation of the Graduate Center's acknowledgement of the mentoring agreement must be submitted.

The doctorate begins on \_\_\_\_\_ and is to be completed within \_\_\_\_\_ years. The work plan should be discussed with the supervisor and adapted to developments at regular intervals. Regular discussions on the progress of the doctorate are agreed upon at intervals of \_\_\_\_\_ months or alternatively \_\_\_\_\_ weeks.

## 5. Elements of the doctoral project

5.1. After successful formal examination of the application for acceptance on the doctoral list, the doctoral candidate becomes a preliminary member of the TUM-GS. After successful substantive examination of the application, the doctoral candidate becomes a full member of the TUM-GS. A membership of at least two years as well as the participation in the qualification program of the TUM-GS are a prerequisite for the opening of the doctoral procedure according to § 8 of the TUM Regulations for the Award of Doctoral Degrees.

5.2. This supervision agreement specifies the intended individual qualification program for the doctoral candidate. It serves as an orientation and can be adapted at any time but must meet the requirements of the qualification program required in § 16 TUM-GS Statutory Regulations and the Regulations of the Graduate Center.

5.3. The following **compulsory** qualification elements (cf. Graduate Center Regulations §13) are agreed upon:

- a. Participation in a TUM-GS **kick-off seminar** within the first six months.
- b. The integration into the **academic environment of the TUM** is ensured by

- Attendance time at TUM or at the following partner institution<sup>4</sup>: \_\_\_\_\_
- Teaching at TUM (e.g. lectures, tutorials, supervision of internships/project studies/theses)
- The substantive collaboration in the following research group at TUM:

\_\_\_\_\_

If the involvement is through teaching or participation in a research group, the following specific activities are planned:

Activity	Duration

- c. **Subject-specific courses** (seminars, special lectures, summer/winter schools, etc.) from the Graduate Center of Management's qualification program, amounting to a total of at least 10 semester hours (SWS), which may be distributed over the entire doctorate. Recognition of external courses that do not differ significantly from those of the Graduate Center of Management with regard to the level of competence is possible upon application to the Graduate Center (cf. §13 of the Regulations of the Graduate Center). Planned courses are:

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<sup>4</sup> Partner institutions are public, academic research institutions recognized by the Graduate Center.

Course	Course type	SWS/ECTS

In addition to the subject-specific events according to sentences 1 and 2:

Active participation in the doctoral colloquium of the professorship, the chair, or the field of competence. This includes at least one presentation of the own research project per year. Participation in a doctoral colloquium does not count as a subject-specific course according to sentences 1 and 2 of this point.

- d. At the latest two years after the entry into force of this agreement, the doctoral candidate and the supervisor will hold a **feedback meeting** on the doctorate in accordance with § 16 Para. 8 of the TUM-GS Statutory Regulations, in which the progress of the doctoral project and the qualification program will be discussed as well as the further process of the doctoral project. The results of the discussion will be documented in writing (see attachment 4) and this supervision agreement will be updated accordingly.
- e. The doctoral candidate presents his/her research results for **discussion in the international scientific community**, evidenced by at least one accepted international publication or conference paper that is subject to a peer review process. Planned is/are:

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- f. University public seminar presentation that may be substituted for a presentation at an academic conference.

5.4. In addition, participation in the following **optional qualification elements** is planned:

- a. **Interdisciplinary courses** from the range of courses offered by TUM-GS or other continuing education institutions. The TUM-GS recommends participation in at least three courses. Planned are:

Course	Course type	SWS/ECTS

- b. **International integration of** the doctoral project (e.g. stay abroad, conference visit or integration of international guests into the doctoral project). The TUM-GS recommends an international research stay of at least four weeks and supports this financially within the scope of its available funds. Planned is:

Type of planned stay abroad	Visited/ inviting institution	Country	Duration in days

5.5. The central element of the doctoral procedure is **writing the dissertation**. According to §7 (2) of the TUM Regulations for the Award of Doctoral Degrees, it must demonstrate the applicant's ability to conduct independent scientific work and to present its results clearly, and it must make its own, new, and continuing scientific contribution.

## 6. Roles and duties within the framework of the supervision

As part of a trusting supervisory relationship between supervisor and doctoral candidate, both sides agree to fair cooperation during the doctoral project.

### 6.1 Doctoral candidates and supervisors commit to

- actively and conscientiously live the supervisory relationship and jointly create a working environment characterized by trust, mutual respect, esteem and appreciation, and open communication; they strive for a timely and efficient doctoral process,
- support the TUM-GS in its work,
- provide the annual feedback on the status of the doctoral project according to § 5 of the TUM-GS Statutory Regulations and
- exchange views on the topic, the problems, and the structure of the doctoral project, also with regard to the realistic implementation within the targeted period of time.

### 6.2 Supervisors commit to

- actively promote the professional and interdisciplinary education and training of doctoral candidates and to advise them in this regard, promote the quality of the doctoral project through consultation and discussion, including feedback on questions and manuscripts as well as monitoring the completion of the dissertation within an appropriate period of time. At intervals of \_\_\_\_\_ months or \_\_\_\_\_ weeks, detailed documented discussions on the progress of the doctorate are arranged.
- provide the necessary support, tailored to the individual needs of the doctoral candidates, for the achievement of the doctoral goal and for the early scientific independence of the doctoral candidates,
- enable and support the participation in scientific conferences in Germany as well as abroad according to the financial possibilities of the professorship as well as through time flexibility, as well as the completion of stays abroad, if desired by the doctoral candidates and
- advise the doctoral candidates regarding further career planning, if they so wish, and to continue to support the doctoral project even if the candidate leaves TUM, e.g. by providing continued supervision within the framework provided by the doctoral regulations or by providing support in case of a change of supervision.

### 6.3 Doctoral candidates commit to

- strive for a successful completion of the doctoral project through goal-oriented and independent scientific work according to the time and work plan,
- independently fulfill the compulsory elements of the doctoral project according to point 4 and point 5 of this agreement,
- maintain regular contact with the supervisor and facilitate and utilize the aforementioned supervising opportunities,
- report precisely and regularly to the supervisor on the status of the scientific work and the completion of the qualification elements,
- inform themselves about requirements and regulations relevant for the doctoral process and
- seek immediate discussion with the supervisor in case of conflict in order to resolve it promptly.

## 7. Work equipment

The supervisor and the doctoral candidate have agreed on the working materials required to carry out the research work (e.g. laboratory access, measurement technology, consumables, etc.). The doctoral candidate has been informed about possible limiting conditions. The following is agreed on in this regard:

(if applicable)

## 8. Good scientific practice

All parties involved undertake to comply with the principles and guidelines laid down in the **statutes of TU Munich for safeguarding good scientific practice and for dealing with scientific misconduct** (see [www.tum.de](http://www.tum.de)). The acknowledgement of these statutes is confirmed with the signature below. The doctoral candidate is aware that, in accordance with § 7 para. 7 of the TUM Regulations for the Award of Doctoral Degrees, his/her own work that has already served examination purposes may not be submitted as a doctoral thesis/dissertation or as part of a doctoral thesis/dissertation.

## 9. Reconciliation of family and scientific activity

The compatibility of family and scientific activity is particularly supported by TUM. To this end, the following agreements are made (if applicable):


## 10. Fair play in the workplace

The parties involved undertake to comply with the TUM "Fair Play in the Workplace" agreement and to jointly and actively create a working environment characterized by trust, mutual respect, esteem and appreciation as well as open communication. Acknowledgement of this agreement is confirmed with a separate signature (see Attachment 3 and the [agreement on fair play in the workplace](#)).

## **11. Regulations for cases of conflict**

In order to clarify disputed issues and cases of conflict, discussions will be held between the parties involved immediately. If the conflicts of at least one person appear to be no longer resolvable, each party can turn to the elected doctoral candidate representatives, the Graduate Center, the head of the respective doctoral institution, the office or management of the TUM-GS or the ombudspersons of the TUM in the respective order.

## **12. Individual agreements**

Individual agreements between the supervisor and the doctoral candidate can be added to the supervision agreement as an appendix (see attachment 2).

## **13. Privacy**

The signing parties are hereby informed that their personal data will be stored and processed by TUM for organizational and statistical purposes as well as for controlling and quality management in accordance with the DSGVO. The legal basis for this is Art. 6 Para. 1 lit. b DSGVO. Data will not be passed on to third parties, except in anonymized form to the Bavarian State Office for Statistics for statistical purposes there and only for such purposes. The legal basis for this is Art. 6 para. 1 lit. c DSGVO.

Under the legal conditions, the right to information, as well as to correction or deletion or to restriction of processing or the right to object processing, as well as the right to data portability holds. There right of appeal to the Bavarian State Commissioner for Data Protection also holds.

Contact for questions: TUM Graduate School, [contact@gs.tum.de](mailto:contact@gs.tum.de) or the Data Protection Officer at TUM.

_____ , the _____	_____ , the _____
_____	_____
Doctoral candidate	Supervisor
_____ , the _____	_____ , the _____
_____	_____
If applicable, second supervisor	Mentor
_____ , the _____	_____ , the _____
_____	_____
If applicable, second mentor	Managing Director of the Graduate Center

### Copies

The supervision agreement, signed by all parties, should be uploaded in DocGS when applying for registration in the doctoral list. Subsequently copies should be received by:

- |                       |                    |
|-----------------------|--------------------|
| 1. Supervisor         | 3. Mentor          |
| 2. Doctoral candidate | 4. Graduate Center |

### Attachments

Attachment 1: Confirmation of knowledge of the supervision agreement by subsequently enrolled or new mentors

Attachment 2: Individual agreements

Attachment 3: Agreement Fair Play at the Workplace

Attachment 4: Interview guidelines for feedback interviews



**Attachment 1:**  
**Confirmation of knowledge of the supervision agreement by new mentors\***

Name of the mentor:

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Acknowledgement of the supervision agreement dated \_\_\_\_\_ (date of supervisor's signature) between \_\_\_\_\_ (the doctoral candidate) and \_\_\_\_\_ (the supervisor) is confirmed.

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Place, date, signature of mentor

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\_\_\_\_\_  
\*At least one mentor must be appointed for each doctoral project. Mentors can offer specialist but also interdisciplinary advice or be called upon for personal development. Mentors can be all persons who have proven their ability to carry out independent scientific work, usually through a doctorate. If possible, they should be independent persons who do not belong to the chair or professorship of the supervisor.

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**Attachment 3:  
Agreement fair play at the workplace**

Notice is hereby taken of the [service agreement "Fair Play in the Workplace"](#) as well as the commitment to comply with them confirmed.

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_  
Doctoral candidate

\_\_\_\_\_  
Supervisor

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_  
If applicable, second supervisor

**Acknowledgement**

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_  
Mentor

\_\_\_\_\_  
If applicable, second mentor

**Attachment 4:  
Interview guidelines: Feedback interview**

Doctoral candidate: \_\_\_\_\_

Supervisor: \_\_\_\_\_

If applicable, second supervisor: \_\_\_\_\_

Date: \_\_\_\_\_

Since the start of the doctorate, the following progress has been made:

**1. Participation in subject-specific courses**

Completion of the following course program is recommended during the first two years.

Course participation 1st year:	Course participation 2nd year:

**2. Review of the relevant literature**

The review of relevant literature has been done (please elaborate):

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**3. Integration into the academic environment of the TUM**

Inclusion is ensured by the following measures:

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**4. Participation in doctoral colloquium of the professorship, the chair or the competence field**

Participation in the following doctoral colloquia has been made or discussed and recommended:

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**5. Participation in interdisciplinary seminars**

Participation in the following courses from the range of courses offered by TUM, the Graduate School or other continuing education institutions has been made or has been discussed and recommended:

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**6. International integration of the doctoral project**

The following measures (e.g. stay abroad, conference visit or involvement of international guests in the doctoral project) were carried out or discussed:

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**7. Identification of and participation in appropriate conferences**

List conferences and dates, if applicable:

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**8. Independent research work**

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**9. Development of first results**

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**10. Development and finalization of a first working paper**

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**11. Submission of working papers to conferences**

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**12. Completion of the dissertation**

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**13. Other**

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\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_  
Doctoral candidate

\_\_\_\_\_  
Supervisor

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_  
If applicable, second supervisor

**Acknowledgement**

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_, the \_\_\_\_\_

\_\_\_\_\_  
Mentor

\_\_\_\_\_  
If applicable, second mentor