**Initial Agreement on Doctorate Supervision at the**

**Faculty of Mathematics and Natural Sciences of**

**Heinrich Heine University Düsseldorf**

**1. General Information**

**1.1 Doctoral Researcher:**

|  |  |  |
| --- | --- | --- |
| Last Name | First Name(s) | Academic Degree |
|  |  |  |

**1.2 Doctorate Supervision:**

**1.2.1 Supervision according to Doctorate Regulations[[1]](#footnote-1):**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Role/Function | Title | Last Name | First Name(s) |
| 1. | Supervisor |  |  |  |
| 2. | Mentor |  |  |  |

**1.2.2 (optional) Additional Supervisor(s):**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Role/Function | Title | Last Name | First Name(s) |
| 3. | Co-Supervisor |  |  |  |
| 4. |  |  |  |  |

**1.3 City and Date of Advisory Meeting:**

|  |  |  |  |
| --- | --- | --- | --- |
| City: | ***[Düsseldorf]*** | Date: | ***[dd/mm/yyyy]*** |

**2. Contents and agreements regarding doctoral research**

**2.1 Working title of Doctoral Research Project/Thesis:**

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|  |

**2.2 Doctoral Research Project/Thesis:**

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| --- |
| *Please shortly sketch the background, topics, objectives and specific aims of the doctoral research project/thesis.* |

**2.3 Conditions for the Successful Completion of the Doctorate:**

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| --- |
| *Please list the conditions for the successful completion of the doctorate which have to be met by the doctoral researcher from perspective of the supervisor(s) (according to Doctorate Regulations §3(7)). This could be e.g. the fulfilment of (scientific) milestones, achieved scopes of studies, number of publications to be written or submitted, etc. It is important to achieve a mutual understanding on how the doctorate can successfully be completed.*  |

**2.4 Estimated Schedule:**

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| *Please provide an estimated schedule for the fulfilment of the conditions listed in 2.3 (according to Doctorate Regulations §3(7)). It should include the general time frame for the doctorate and which steps towards a successful doctorate should be fulfilled and at what time. Ideally milestones are to be estimated and included. Obviously scientific projects cannot be planned in every detail; however, a rough estimate for orientation is to be given.*  |

**2.5 Objectives of the First Year:**

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| *Please briefly outline the concrete objectives addressed during the first year of the doctoral research project/thesis (according to Doctorate Regulations §3(7)). These objectives should match the planned schedule.*  |

**2.6 Proposed Financing:**

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| *Please shortly describe – based on current plans - how the doctoral researcher will be financed for the doctorate phase as described in 2.4 (according to Doctorate Regulations §3(7)). In this respect several financing models and changeovers are possible (Budget or project position, stipend, even non financing or assistant positions - to various extents and/or for different periods). If you are planning to use HHU budget for financing, please also take into account the individually possible time frame for being employed via a fixed-term contract in accordance with the ‘Wissenschaftszeitvertragsgesetz’. The human resources department will communicate the maximum limit when the contract is signed or may be inquired about. Please document precisely any uncertainties (e.g. funding will only be possible if third party funding is granted). The main objective is that the planned financing concept is comprehensive and transparent for every participant of the meeting.* |

**2.****7 Seminar on good scientific practice**

*Doctoral researchers of the Faculty of Mathematics and Natural Sciences must participate in the introductory seminar ‘good scientific practice’ (according to Doctorate Regulations § 5 (1i.)). According seminars are offered by iGRAD (cf. FAQs in Appendix B) and participation should be realized in the beginning of the doctorate.*

|  |  |
| --- | --- |
| Seminar “Good Scientific Practice” (Participation should be realized in the beginning of doctorate) | **Registration until *[dd/mm/yyy]*** |

**2.8 (optional) Additional Information, Agreements and Comments:**

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| --- |
| *Please fill in any additional information/agreement/comments relevant for the doctorate phase (like e.g. scientific trainings, courses on methodology, research stays abroad, ring lectures, seminars, summer schools, date of next advisory meeting, etc.).* |

**3. General Agreements and Premises**

**3.1 Integration into research group(s) and working conditions:**

The Supervisor named in 1.2.1 agrees to institutionally embed the Doctoral Researcher into her/his research group/institute ensuring the required scientific and social infrastructure for a successful realisation of the doctoral research phase /thesis (e.g. contribution of/providing access to: office/lab/work space, required mainframe/minicomputer/etc., scientific devices and/or security equipment, regular progress meetings, seminars, journal clubs, safety briefings, etc.). Furthermore she/he agrees to actively guide and support the doctoral researcher. The doctoral researcher named in 1.1 agrees to regularly inform the supervisor on the progress of the doctoral research project.

Additional agreements of particular importance can be listed below:

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| --- |
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**3.2 Compliance with Good Scientific Practice**

All persons named in 1. agree to comply with the [“Basic principles for safeguarding good scientific practice at Heinrich Heine University Düsseldorf“](https://www.uni-duesseldorf.de/home/fileadmin/redaktion/Oeffentliche_Medien/Presse/Pressemeldungen/HHU_Rules_Good_Scientific_Practice-GB-final.pdf) (German original published in: [Amtliche Bekanntmachungen der HHU D, Nr. 7/2014 vom 24.02.2014](https://www.uni-duesseldorf.de/home/fileadmin/redaktion/ZUV/Justitiariat/Amtliche_Bekanntmachungen/2014/2014_02_24_AB_7.pdf)), as well as to comply with the attached regulation (Appendix A) for the prevention of plagiarism of the Faculty of Mathematics and Natural Sciences.

**3.3 Support in the event of possible crises and conflicts in the context of a doctorate**

Most challenges can be overcome by an open and transparent culture of communication and trust between doctoral researchers, supervisors and mentors.

In the event of possible crises or conflicts going beyond, all doctoral researchers of the Faculty of Mathematics and Natural Sciences and also all doctoral supervisors may use iGRAD’s confidential counselling services. There is also the possibility of a neutral moderation. [Please contact the iGRAD office or iGRAD’s managing director](http://www.igrad.hhu.de/en/igrad-office.html).

In case of conflict, doctoral researchers and doctoral supervisors can also confidentially contact [the Doctoral Office](http://www.math-nat-fak.hhu.de/en/doctoral-research.html) or the [Vice-Dean of the Faculty of Mathematics and Natural Sciences](http://www.math-nat-fak.hhu.de/en/deans-office.html).

**4. Signatures of attendees to advisory meeting**

All participants of the advisory meeting must sign this “agreement on supervision”. If required add additional signature fields.

**4.1 Doctoral Candidate**

Name:

Signature:..................................................................... Date: ..........................

**4.2 Supervisor**

Name:

Signature:..................................................................... Date: ..........................

**4.3 Mentor**

Name:

Signature:..................................................................... Date: ..........................

**4.4 (optional) Additional Supervisor**

Name:

Signature:..................................................................... Date: ..........................

#### Appendix A: Regulation for preventing plagiarism

###### The Faculty Council of the Faculty of Mathematics and Natural Sciences decided at its meeting of June 30th 2015 the following regulation for preventing plagiarism:

###### **General principle:**

###### An expert reader must be able to judge at any time whether a certain passage of the thesis is an original achievement of the doctoral researcher or not.

###### **In particular the following three rules apply:**

1. Use of ideas, concepts etc. – anything beyond the general knowledge about a subject - has to be marked by referencing.
2. Direct copies of texts or figures have to be marked as citation – if not standard formulas or standard phrases. This refers to any kind of borrowing of ideas and any part of the thesis.
3. Principally, quoting from one’s own publications in the thesis is permitted - even if other authors have contributed to these publications. This type of citation has to be marked by full reference (names of all authors). The doctoral researcher has to indicate the amount and content of his or her own contribution to these publications in the appendix (cf. Doctorate Regulations).

It is, of course possible that by standardized linguistic usage or by chance particular phrases might match those of other texts.

#### Appendix B: FAQs

###### At which time must the Agreement on Doctorate Supervision be concluded?

*According to §3(6) of the doctorate regulations, an Advisory Meeting between the Doctoral Candidate, her/his Supervisor(s) and her/his Mentor takes place* ***latest three months after*** *the start of the doctoral research phase. During the Advisory Meeting, an Agreement on Doctorate Supervision clearly defining the mutual demands is agreed upon.*

*This agreement can be prepared during or soon after the advisory meeting. Ideally, it should be comprehensible for all participants of the meeting retrospectively and for third parties. Summary minutes of the meeting will usually be written by the doctoral researcher as draft proposal for the supervision agreement. This draft will be revised until all participants of the advisory meeting approve the agreement on supervision. Please use the form to fill in any information and agreement relevant to the doctoral project. The blue texts are exclusively intended for explanations and can – like optional paragraphs – be deleted if not required. Form and length of text boxes primarily serve as orientation and do not represent space or page limitations.*

###### Who participates in the Advisory Meeting?

*The Doctoral Candidate, her/his Supervisor as well as the Mentor of the doctoral project, (as defined in §3 (2)-(5) of the doctorate regulations) participate in the Advisory Meeting. For some doctoral projects, it might be necessary or advisable to involve additional persons in the supervision process (e.g. supervision teams, external supervisors in companies, partners in scientific collaboration projects, or postdoctoral researchers entrusted with co-supervision duties). Additional supervisors should also participate in the Advisory Meeting and be enlisted in section 1.2.2. The main supervision responsibility is entrusted to the Supervisor named in section 1.2.1, regardless of the number and roles of further supervisors.*

###### Who will receive a copy of the Agreement on Doctorate Supervision?

*The Agreement on Doctorate Supervision will finally be signed by all persons attending in the Advisory Meeting. Each participant receives a copy of the signed agreement. An additional copy must be submitted during the* [*1st electronic registration as doctoral researcher*](http://www.math-nat-fak.hhu.de/en/doctoral-research/doctoral-research/registering-as-a-doctoral-researcher-1-electronic-registration.html) *to the Dean’s Office.*

###### What needs to be considered regarding Follow-up Progress Reports?

*According to §3 (7) of the doctorate regulations the doctoral researcher, the supervisor(s) and the mentor meet at least once a year in order to compose a progress report. Among others the progress report describes, which objectives are to be targeted in the upcoming research year and documents fulfilled objectives and describes any changes to the Supervision agreement. A specific form for progress reports* [*is available on the webpage of the Dean’s office (click here)*](http://www.math-nat-fak.hhu.de/en/doctoral-research/service/doctorate-regulations-and-standard-forms.html)*.*

###### Where do I find information on iGRAD and the obligatory seminars in good scientific practice?

*The iGRAD – Interdisciplinary Graduate and Research Academy Düsseldorf is the graduate institution of the Faculty of Mathematics and Natural Sciences. For all doctoral researches of the faculty iGRAD offers – independent of any membership in* [*iGRAD – seminars in good scientific practice (click here)*](http://www.igrad.hhu.de/en/course-offers/good-scientific-practice-for-postdoctoral-researchers.html) *as well as* [*confidential counselling in crisis and/or conflict situations (click here)*](http://www.igrad.hhu.de/en/consulting-services.html)*. In addition, members of iGRAD can complete a curriculum in professionally relevant transferable skills, use the career counselling services of iGRAD and may receive the ‘iGRAD Doctorate Transcript’ after a successful doctorate. For the vast majority of doctoral researchers, membership and participation in the courses of the iGRAD curriculum is free of charge, as the costs are covered by the Faculty of Mathematics and Natural Sciences, the Medical Faculty, the IUF and/or structured doctoral programs. Further information is available on the* [*iGRAD website (click here)*](http://www.igrad.hhu.de/en.html)*.*

###### I am member of iGRAD and/or of a structured doctoral program (Collaborative Research Centre, Graduate School, Research Training Group, DFG Research Group, etc.). Which forms should I use for Agreements on Doctorate Supervision and for Progress Reports?

*For (prospective) members iGRAD offers supplemented forms, which also consider the attendance of iGRAD courses. These* [*are available on the iGRAD webpage (click here).*](http://www.igrad.hhu.de/en/agreement-on-doctorate-supervision.html)

*Some structured doctoral programs (e.g. Research Training Groups) use specific forms for Agreements on Doctorate Supervision and for Progress reports, specifically adapted to the respective program contents. Please contact your program coordinator. For structured doctoral programs (e.g. research training groups) adaptable templates are available in the iGRAD office. However, provided forms must fulfil all minimum standards stipulated by the Doctorate Regulations. Responsible heads and coordinators of structured doctoral programs may receive corresponding adaptable form templates via iGRAD.*

###### Is this form to be used for the Agreement on Doctorate Supervision?

*No, this form is a non-binding proposal for the design of an Agreement on Doctorate Supervision at the Faculty of Mathematics and Natural Sciences of Heinrich Heine University Düsseldorf. We would be pleased to receive feedback for future optimisation. Please send your suggestions to:* *promotionmnf@hhu.de**.*

1. [“Doctorate Regulations of the Faculty of Mathematics and Natural Sciences of the Heinrich Heine University Düsseldorf”](http://www.math-nat-fak.hhu.de/en/doctoral-research/service/doctorate-regulations-and-standard-forms.html) version of June 15th 2018 and according amendments, hence “Doctorate Regulations”. [↑](#footnote-ref-1)