



UNIVERSITÄT ZU LÜBECK  
PhD Council

# GUIDE FOR THE SUPERVISION AGREEMENT

JUNE 17, 2021



# GENERAL INFORMATION



- For every doctoral candidate of the University of Lübeck it is **mandatory** to sign a supervision agreement
- The supervision agreement is meant to protect the doctoral candidates from conflicts regarding the supervision or access of lab spaces and data

## Preamble

For the University of Lübeck (UzL), the qualified promotion of young scientists by integrating them through a doctorate is an integral part of its scientific research. The goal is a trustful cooperation between supervisor and doctoral candidate at a high scientific level. The relationship between doctoral candidate and supervisor represents a special relationship of trust, which is to be made transparent through this supervision agreement. By concluding this supervision agreement, the supervisor and the doctoral candidate document their mutual expectations and obligations. This includes in particular the obligation to adhere at least to the current guidelines for ensuring good scientific practice at the UzL. Admission to the doctoral procedure is governed by the doctoral regulations, regardless of the supervision agreement.

- Link to download the form [in German or English]: <https://www.uni-luebeck.de/promotion/service/downloads.html>

# SUPERVISION AGREEMENT - PAGE 1



## Supervision agreement for doctoral studies at the University of Lübeck

between

surname, first name of the doctoral candidate

intended academic degree

Address

(hereinafter referred to as doctoral candidate)

and

Title, surname, first name, of the supervisor (doctoral mother/father)

Institution/institute

(hereinafter referred to as supervisor)

and

the University of Lübeck,  
Center for Doctoral Studies Lübeck,  
Ratzeburger Allee 160, 23562 Lübeck,

(hereinafter referred to as CDSL).

(by mail to the CDSL or by e-mail to cdsi.service@uni-luebeck.de)

1 / 7

The intended academic degree may be changed afterwards.  
(e.g. Dr. rer. nat., Dr. ing., Dr. med., ...)

This field is intended for the doctorate supervisor  
(not any post doc or other supervisor).

# SUPERVISION AGREEMENT - PAGE 2



## Preamble

For the University of Lübeck (UzL), the qualified training of young scientists by integrating them through a doctorate is an integral part of its scientific research. The goal is a trustful cooperation between supervisor and doctoral candidate at a high scientific level. The relationship between doctoral candidate and supervisor represents a special relationship of trust, which is to be made transparent through this supervision agreement. By concluding this supervision agreement, the supervisor and the doctoral candidate document their mutual expectations and obligations. This includes in particular the obligation to adhere to at least to the current guidelines for ensuring good scientific practice at the UzL. Admission to the doctoral procedure is governed by the doctoral regulations, regardless of the supervision agreement.

This supervision agreement applies to all doctorates of the MINT and Medicine sections at UzL. Please note the exceptions (footnotes).

## § 1 Subject of the doctorate

(1) The doctoral candidate intends to complete a doctoral project under the supervision of the supervisor at the following institution/institute

(2) The subject area in which the doctorate is to be pursued is

(3) The doctorate is conducted as

- Structured doctorate (e.g. in medicine; within a doctoral programme)  
 Other doctorate (e.g. individual doctorate within the MINT section).

## § 2 Duration of supervision and doctoral thesis

(1) The supervisory relationship begins on

(2) The duration of the doctoral project (excluding the review process) is \_\_\_ year/s.

2 / 7

e.g. uni institute, company, ...

This is not meant to be the title of the work – only the research area.

This date should be linked to the start of the doctorate and may be filled in retrospectively.

The supervision agreement may be extended – this is only a rough estimation of the project duration. However, it should be a realistic time estimation independent of the duration of the contract / stipend.

# SUPERVISION AGREEMENT - PAGE 3



(3) The supervisor commits to support the doctoral candidate in keeping to the duration of the doctoral studies. Both parties acknowledge that there may be deviations in the intended duration of the doctoral studies.

## § 3

### Tasks and duties of the doctoral candidate

(1) A doctoral degree is a scientific achievement that has been independently developed and is intended to lead to substantial progress in the subject area concerned. As a rule, this also includes the publication of the results in a manner customary in the field.

(2) <sup>2</sup>The doctoral candidate commits to submit regular reports on her/his doctorate's progress to the supervisor (at least semi-annually).

Frequency of the reports

semi-annually  quarterly  more often

namely

## § 4

### Tasks and duties of the supervisor

(1) <sup>1,2</sup>The supervisor commits to provide regular professional advice and regular discussions on the progress of the work (at least semi-annually). In doing so, he/she will also provide feedback on the doctoral candidate's achievements and potential and recommendations for the next qualification/development steps.

Frequency of the consultations/conversations

semi-annually  quarterly  more often

namely

(2) The supervisor supports the academic independence of the doctoral candidate (e.g. participation in [international] conferences or congresses) as well as the publication of his/her research results and enables participation in the UZL's further education and training programs. There is no entitlement to reimbursement of costs.

<sup>1</sup> Paragraph does not apply to doctoral degrees in the Section of Medicine registered before March 31, 2021.

<sup>2</sup> Paragraph also applies to the co-supervisor in the case of structured doctorates.

Write down the intended time interval of the reports, if the interval differs from the suggested ones. For structured doctorates written reports are mandatory, everyone else may choose reports in oral form.

The doctoral candidate may claim his right on supervision / consultations if the supervisor signed this document. In case of problems, please contact the CDSL (Inga Oberpichler).

# SUPERVISION AGREEMENT - PAGE 4



(3) The obligation to provide supervision until the completion of the doctorate is independent of the duration of the financing of the doctorate.

## § 5

### Conflicts and termination of the supervision relationship

(1) In cases of conflict that cannot be resolved between the parties involved, the doctoral candidate or supervisor may contact the CDSL, the Conflict Advisory and Anti-Discrimination Service (KoBAS) of the UzL and/or the relevant ombudsperson.

(2) The doctoral candidate may terminate the supervision relationship at any time. The termination must be in writing to the CDSL and the supervisor and has to be justified.

(3) The Supervision Agreement can be terminated at any time by mutual consent if the supervisor and the doctoral candidate agree that the doctoral candidate cannot cope with the doctoral project. If there is no mutual agreement in such cases, the supervisor will contact the CDSL. If, after the involvement of the CDSL and after an appropriate further processing time, the supervisor's assessment is unchanged, the supervision agreement will be terminated. Notice of termination must be given in writing and has to be justified.

(4) Further reasons for the dissolution of the supervision agreement by the supervisor are regulated by the doctoral regulations in their currently valid version.

(5) The UzL may dissolve the supervision relationship if the doctoral candidate violates the guidelines and regulations of the UzL, disrupts the peace of the company or seriously damages the reputation of the UzL.

## § 6

### Obligation to comply with the principles to ensure good scientific practice

(1) The parties are aware that they are obliged to adhere to good scientific practice, whereby at least the guideline on the principles for ensuring good scientific practice at the University of Lübeck as amended from time to time must be adhered to, and will carry out the doctoral project accordingly.

(2) The supervisor shall perform a plausibility check of the primary data on which the doctoral thesis is based, check the process by which the data were generated and provide the doctoral candidate with early feedback on methodology and data quality. He or she makes sure that any relevant bodies are involved (e.g., regarding ethical questions or animal protection).

The CDSL will act as third party in this agreement and mediate  
in any cases of conflicts.  
(Please contact Inga Oberpichler in case of problems.)

# SUPERVISION AGREEMENT - PAGE 5



**§ 7  
Handling of data and materials of the UzL**

(1) If confidential data or materials (e.g. patient data, safety-relevant data, internal data of companies, research data or research materials, etc.) of the UzL are needed for the doctoral project, the conclusion of a further agreement is necessary for the transfer of rights. Should a further agreement be necessary according to this agreement, the supervisor and the doctoral candidate should work towards its conclusion.

**§ 8  
Compatibility of family and science**

(1) The compatibility of family and scientific work is particularly appreciated and supported by the UzL. Special support measures are agreed upon according to need and operational possibilities.

(2) The contact person for the doctoral candidate is a representative of the UzL's Department for Equal Opportunities and Family.

**§ 9  
Further agreements**

The Annex is part of this Agreement. Insofar as the doctorate is conducted in a structured program, the Annex is binding. In all other respects, the Annex may be completed voluntarily in part or in full; in this case the contents are also mandatory.

\_\_\_\_\_  
Place, date

\_\_\_\_\_  
Place, date

\_\_\_\_\_  
Signature of doctoral candidate

\_\_\_\_\_  
Signature of supervisor

Be aware of this paragraph and consider an additional agreement for data handling.

# SUPERVISION AGREEMENT - PAGE 6



**If applicable:**  
Co-supervision<sup>3</sup>/Secondary supervision<sup>4</sup> by

<input type="text"/>	<input type="text"/>
Name	Place, date
<input type="text"/>	<input type="text"/>
Institution, Institute	Signature of co-supervisor

Lübeck, the

Signature of CDSL management

<sup>3</sup> Mandatory for structured doctorate.  
<sup>4</sup> Second supervision is necessary for the doctoral procedure if the doctoral supervisor is not a (dual) member of the section in which the doctoral thesis is to be submitted.

6 / 7

Co-Supervision is mandatory if:

- You are taking part in a structured doctoral program, or if
- Your primary doctoral supervisor does not have a membership in the section (i.e. STEM or Medicine) in which the thesis will be submitted.

Otherwise, a second supervisor is optional.

The supervision agreement is signed by the CDSL management to negotiate between doctoral candidate and supervisor.



# SUPERVISION AGREEMENT - PAGE 7



**Annex - Supplementary agreements according to § 9 Supervision agreement**

If "Structured Doctorate" is checked in §1, all of the following agreements apply.  
If "Other doctorate" was checked, the numbers 1 2 3 4 5 apply additionally.

1. The doctoral candidate must present the scientific goals and methods in an exposé. The exposé must basically consist of the following elements: Problem definition, state of research, initial hypothesis/objective, preliminary work, procedure and methods, time and work schedule, literature. It must be submitted to the supervisor no later than six months after signing the supervision agreement.

2. Possibilities were discussed how the living expenses of the doctoral candidate can be financed during the doctoral project.

3. Access to the workplace/laboratory space in the institute for:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
was agreed upon.

4. Access to the following resources/research resources (e.g. laboratory space, IT, software, data)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
was agreed upon.

5. Other agreements were made (e.g. participation and contributions to internal colloquia; participation in further training events):  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Points 3, 4 and 5 shall apply from signature until \_\_\_\_\_  
7 / 7

The annex shows further topics worth considering.  
The doctoral candidate should make use of these extra agreements to arrange access to lab spaces and materials.

Doctoral candidates conducting structured doctorates **MUST** fill in all points of the annex – for everyone else each point is optional.

Here a specific office and/or lab space may be defined (e.g. desk XY in room 1.23)

Possible resources may include laboratory tools/supplies, study participant compensation, etc. - Exemplary wording: *Access to all research data that are relevant for the conclusion of the dissertation project (in compliance with all legal rules).*

Also consider summer schools, PhD-symposia, internal training courses (IWB), weekly internal group meetings...

If any supplementary agreement is declared, don't forget to enter the duration for which the agreements are valid (e.g. submission of the dissertation).