

## Supervision Agreement

### between

Salutation: Mr Mrs Miss Ms Other/no salutation  
Title: \_\_\_\_\_  
Last name: \_\_\_\_\_  
First name: \_\_\_\_\_  
Faculty/central institution: \_\_\_\_\_  
Address: \_\_\_\_\_

–hereinafter referred to as the Doctoral  
Candidate–

### and

Salutation: Mr Mrs Miss Ms Other/no salutation  
Title: \_\_\_\_\_  
Last name: \_\_\_\_\_  
First name: \_\_\_\_\_  
Holder of the professorship: \_\_\_\_\_  
Faculty/central institution: \_\_\_\_\_  
Address: Straße der Nationen 62, 09111 Chemnitz

–hereinafter referred to as the Supervisor–

### and (if applicable)

Salutation: Mr Mrs Miss Ms Other/no salutation  
Title: \_\_\_\_\_  
Last name: \_\_\_\_\_  
First name: \_\_\_\_\_  
Faculty/central institution: \_\_\_\_\_  
Address: \_\_\_\_\_

– as an additional member(s) of the supervisory  
team –

### to support the pursuit of a doctoral qualification at the at Chemnitz University of Technology

This Supervision Agreement, to be concluded in accordance with Section 41(5), second sentence, Point 4 of the SächsHSG (Saxony Higher Education Act) in conjunction with the doctoral regulations specified below, is intended to ensure the required academic supervision for a successful doctoral project and to establish a clear framework for the relationship between the Doctoral Candidate and the Supervisor.



Through structured cooperation between the Doctoral Candidate and the Supervisor, the doctoral project is to be independently planned and conducted in a way that allows the project to be completed to a high standard within a reasonable time frame. **A Supervision Agreement expressly does not confer any legal entitlement to the award of a doctorate or to the conclusion of an employment contract.** The legal basis for the terms of this Supervision Agreement is set out in Section 5(3), first sentence, of the Binding Regulation between Chemnitz University of Technology and the Staff Council of Chemnitz University of Technology on the Framework Code Regulating Fixed-Term Employment and the Promotion of Career Opportunities at Higher Education Institutions in the Free State of Saxony, dated 26 July 2018. This Agreement is also based on the recommendations of the German Research Foundation (DFG Form 1.90 – 08.22).

The following terms are agreed to support the pursuit of a doctoral qualification<sup>1</sup>:

### 1. Doctoral project

Area of supervision: \_\_\_\_\_

*If applicable*, the title of the doctoral programme/ postgraduate programme: \_\_\_\_\_

Degree sought: \_\_\_\_\_

Proposed thesis topic (working title): \_\_\_\_\_

The supervision plan is based primarily on the provisions of the doctoral regulations of the \_\_\_\_\_ of Chemnitz University of Technology dated \_\_\_\_\_.

### 2. Schedule and work plan for the proposed doctorate

Supervision start date (month/year): \_\_\_\_\_

Planned completion of the doctorate and expiry of this Supervision Agreement (month/year): \_\_\_\_\_

<sup>1</sup> Please fill in the blanks with the relevant information. Please cross out or delete as appropriate.

Provisional detailed schedule and work plan:<sup>2</sup>

Planned work steps/milestones	Planned time frame (month, year)

### 3. Responsibilities and duties of the Doctoral Candidate

- (1) The Doctoral Candidate undertakes to ensure that they fulfil their personal contribution towards the successful completion of their doctorate within the framework of this Supervision Agreement.
- (2) In consultation with the Supervisor, the Doctoral Candidate shall draw up a structured schedule and work plan and refine it with the Supervisor's mutual agreement. The Doctoral Candidate shall inform the Supervisor immediately of any significant changes to the schedule or work plan upon becoming aware of them and, if requested by at least one party, shall draw up a record of the discussion concerning these changes; this record is to be signed by all parties.
- (3) The Doctoral Candidate is expected to attend, on their own initiative, all supervision and reporting sessions organised by the Supervisor for doctoral candidates (e.g. doctoral seminars, colloquia or groups, and supervision meetings).
- (4) The Doctoral Candidate shall, without being asked, report to the Supervisor on their participation in training programmes, academic training courses and/or events, and shall also report on the current status of their thesis at least once per semester. The Doctoral Candidate shall regularly submit work in progress to the Supervisor. The Doctoral Candidate must document the discussions in writing and have this record countersigned by the Supervisor.
- (5) The Doctoral Candidate undertakes to comply with the principles of good academic practice (Code of Good Scientific Conduct at Chemnitz University of Technology, as amended).
- (6) The Doctoral Candidate undertakes to apply for enrolment as a doctoral student in accordance with Section 7 of the Enrolment Regulations, as amended, no later than upon admission to the doctoral programme.

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<sup>2</sup>Alternatively, a schedule and work plan signed and dated by the Doctoral Candidate and the Supervisor may be annexed to the Supervision Agreement. In this case, the following wording should be used in the Supervision Agreement: "A detailed schedule and work plan has been drawn up by the Doctoral Candidate and the Supervisor and is annexed to the Supervision Agreement."

#### **4. Responsibilities and duties of the Supervisor<sup>3</sup>**

- (1) The Supervisor shall assist the Doctoral Candidate with the selection of a research topic, shall supervise and advise the Doctoral Candidate during the course of their doctoral research within the time frame specified in Clause 2, and shall encourage the development of academic independence at an early stage.
- (2) The Supervisor shall assist the Doctoral Candidate in drawing up and refining the schedule and work plan.
- (3) The Supervisor shall offer the Doctoral Candidate regular individual academic consultations (at least every six months), during which the Doctoral Candidate also reports on the progress of their thesis and usually presents work in progress.
- (4) The Supervisor shall organise regular supervision and reporting sessions for doctoral candidates (e.g. doctoral seminars, colloquia or groups, supervision meetings) at least once per semester. These sessions serve for doctoral candidates to report on the status of their theses and usually to present work in progress.
- (5) The Supervisor undertakes to comply with the principles of good academic practice (Code of Good Scientific Conduct at Chemnitz University of Technology, as amended).
- (6) The Supervisor shall regularly (at least every six months) review the (planned) progress of the Doctoral Candidate's thesis.
- (7) The Supervisor shall, as a rule, provide the Doctoral Candidate with feedback and recommendations within a reasonable period of time when requested by the Doctoral Candidate or when necessary.

#### **5. Additional member(s) of the supervisory team**

- (1) With the Supervisor's and the Doctoral Candidate's mutual agreement, the supervisory team may also include additional members.
- (2) "Additional members of the supervisory team" refers to experts from academia and industry, as well as staff members of the relevant faculty/Centre for Teacher Training and Educational Research, who support the doctoral research project alongside the Supervisor.
- (3) Support from additional members of the supervisory team is coordinated by the Supervisor. The Doctoral Candidate is not entitled to involve any other individuals.
- (4) Separate agreements may be concluded between the Doctoral Candidate and additional members of the supervisory team.
- (5) The involvement of additional members may be terminated by any party with immediate effect by giving written notice to the other parties.

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<sup>3</sup> **Note:** The obligation to provide supervision until completion of the doctorate remains in place regardless of whether funding for the doctorate has ended.

## 6. Equipment to be provided to the Doctoral Candidate

- (1) Upon admission to the university, the Supervisor shall grant the Doctoral Candidate appropriate access to the resources that are necessary for completion of the doctoral project and that the Supervisor has use of.
- (2) In particular, the equipment to be provided to the Doctoral Candidate includes:

*Specify the resources provided to the Doctoral Candidate (e.g. workspace, computer, internet access, telephone, access to laboratory facilities)*

- (3) If the supervisory relationship ends or is terminated, the Doctoral Candidate shall no longer be entitled to use the equipment provided (and may be required to return it).

## 7. Balancing family life and doctoral studies

Chemnitz University of Technology has been certified as a family-friendly university. It provides special support to promote a balance between family life and academic work on the basis of its equality programme and its future strategy for equality (further advice is available from the equality officer or the women's representative). The Doctoral Candidate and the Supervisor hereby agree the following support measures:

*Describe arrangements such as remote working under the Remote Working Agreement; seeking employment as a research associate from ... to ... (indicate if part-time employment is preferred)*

## 8. Dispute resolution

- (1) The parties undertake to comply with the regulations on the prevention and handling of discrimination and sexual violence at Chemnitz University of Technology, as amended.

The Chemnitz University of Technology Council of Confidence is responsible for handling such complaints.

- (2) In the event of breaches of the provisions of this agreement or non-academic misconduct, the parties undertake to reach an amicable solution without delay to resolve the dispute and achieve the objective of the doctoral project within the agreed time frame. The doctoral committee shall be immediately involved in the resolution of the dispute if one of the parties notifies the other party in writing that they wish to involve this body. The Supervisor is to draw up a written record of the entire course of events in the conflict, its resolution and/or outcome; this record is to be signed by the parties. If the dispute cannot be resolved amicably, the matter shall be resolved by involving the vice-president responsible for early-career researchers. This does not affect the responsibilities of other departments.
- (3) For advice on questions concerning academic misconduct, the Doctoral Candidate and the Supervisor can turn to the ombudsperson of Chemnitz University of Technology, who will seek to reach an amicable solution. The procedure to be followed in cases of suspected academic misconduct is set out in further detail in the Code of Good Scientific Conduct at Chemnitz University of Technology, as amended.

## **9. Termination of the supervisory relationship**

- (1) The supervisory relationship may be terminated at any time by mutual agreement without notice. The mutual termination of the supervisory relationship must be documented in writing and signed by the parties.
- (2) The Supervision Agreement shall be terminated upon written notice of termination given by the Doctoral Candidate to the Supervisor, with termination taking effect four weeks after the Supervisor receives such notice.
- (3) The supervisory relationship shall be terminated if the Supervisor or the Doctoral Candidate is no longer able to fulfil the Supervision Agreement for good cause. In particular, long-term incapacity for work or a change of employer or place of work shall be deemed good cause. The Supervisor also has the right to terminate the supervisory relationship if the Doctoral Candidate consistently fails to adhere to the specified work plan and schedule.
- (4) If the Supervisor changes universities, the supervisory relationship must be terminated unless the Supervisor is able to continue supervising the Doctoral Candidate with the Doctoral Candidate's written consent and in compliance with the relevant legal requirements. In this situation, the Supervisor undertakes to notify the Doctoral Candidate without delay that the supervisory relationship must be terminated.
- (5) If the supervisory relationship must be terminated for reasons outside the Doctoral Candidate's control (e.g. in the event of the Supervisor's long-term incapacity for work), the relevant faculty/Centre for Teacher Training and Educational Research shall endeavour, at the Doctoral Candidate's request, to find an academically appropriate alternative supervisor.

- (6) The above provisions shall apply unless otherwise provided for in the doctoral regulations specified above.

## 10. Term and amendment of the Supervision Agreement

- (1) This Supervision Agreement shall apply within the time frame specified for doctoral supervision in Clause 2. The obligation to provide supervision is not affected by the expiry of funding for the doctorate and is independent of any existing employment relationship with Chemnitz University of Technology. The supervision obligation generally ends upon reaching the planned end of supervision agreed in this document in Clause 2.
- (2) The Supervision Agreement shall be extended if, for reasons outside the Doctoral Candidate's control (e.g. due to incapacity for work or similar), the doctorate cannot be completed within the term of the Supervision Agreement. The Supervision Agreement may be extended for other reasons only by mutual agreement.
- (3) The Supervision Agreement (and, *if applicable*, any annexes) may be supplemented or amended by mutual agreement. Any additions or amendments must be made in writing.

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of the Doctoral Candidate

\_\_\_\_\_  
Signature of the Supervisor

*If applicable*

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature(s) of additional members  
of the supervisory team

*If applicable: Annex: Schedule and work plan*