**Initial Agreement on Doctorate Supervision between CRC1535 Doctoral Fellow and CRC1535 Supervision Team at the**

**Faculty of Mathematics and Natural Sciences of**

**Heinrich Heine University Düsseldorf**

**1. General Information**

**1.1 Doctoral Researcher:**

**Mr.  Ms.**

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

**1.2 Doctorate Supervision:**

The Topic Supervisor (TS) and the Complementary Supervisor (CS) are the main responsible supervisors for the CRC1535 doctoral research project. The CRC1535 Fellow is in general integrated into the TS’s research group. Generally, the TS is furthermore the contact supervisor and first referee according to the doctorate regulations of the Faculty of Mathematics and Natural Sciences (Math.-Nat.-Fac.). The CS shall complement the research experience of the TS and provide interdisciplinary advice. In the case of associated projects, the CS must be a principal investigator of a CRC1535 core group. If the TS is a member of the Medical Faculty or does not have a full professorship at the Math.-Nat.-Fac., the CS should also be complementary according to the doctoral regulations of the Math.-Nat.-Fac.. Usually, the CS is the second referee for the thesis.

**1.2.1 Supervision according to Doctorate Regulations:**

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

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

Depending on the focus of the research project the supervision team may be expanded by a further complementing scientist, an experienced postdoc, or an external collaborator. Furthermore, international cooperation partners can be invited as External supervisors and contribute for example as external (third) referees even at a later stage of the doctoral project.

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

**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 describe 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 the perspective of the supervisor(s). 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. 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 Scientific and Research Project Plan of the First Year:**

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| *Shortly describe the research training plan for the first year including approaches and estimated timetable with progress check marks. List the respective methods and skills you will learn. Include arrangements for compatibility with family affairs where applicable.*  *These objectives should match the planned schedule.* |

**2.6 Proposed Financing:**

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| *Project xx will be funded by CRC1535.* |

**2.7 Agreement on Scientific and Additional Training/Education:**

**2.7.1 CRC1535 Method Training Course:**

At least one project-specific method training course organized by CRC1535 supervisors should be attended. Rotation in cooperating groups as well as participating in teaching courses is accepted. If you plan to attend external courses or if previous studies have already covered the topics below please contact the CRC1535 coordinator in advance for registration and crediting.

|  |  |
| --- | --- |
| **Name of Course:** | **Attendance planned in [yyyy]:** |
|  |  |
|  |  |
|  |  |
| External course: |  |

**2.7.2 iGRAD Membership and Basic Curriculum in Transferable Skills:**

*Information on iGRAD may be found on the last page in FAQs. Regarding the planning of the doctorate and future career preferences it could be advisable to discuss at which level of the doctorate phase participation in which particular workshop is most appropriate. Subsequent modifications are possible at any time.*

*A minimum of 5 workshops should be attended during the doctoral phase.*

|  |  |
| --- | --- |
| **Type/Name of iGRAD Course** | ***Participation scheduled for:*** |
| Seminar “Good Scientific Practice” (Participation should be realized in the beginning of doctorate) | ***[Topic of course]* participation planned for *[dd/mm/yyy]*** |
| 2-day workshop from competence field 1: “presentation/communication/rhetoric”**\*** | ***[Topic of course]* participation planned for *[dd/mm/yyy]*** |
| 2-day workshop from competence field 2: “project management/ self-management/ organization” or “teaching and learning /didactics“**\*** | ***[Topic of course]* participation planned for *[yyyy]*** |
| 2-day workshop of free choice from the annual iGRAD-program **\*** | ***[Topic of course]* participation planned for *[yyyy]*** |
| To be selected from the iGRAD course program | ***Topic of course]* participation planned for *[yyyy]*** |

***\*Please note:*** *Only the seminar “Good Scientific Practice” is open for all doctoral researchers. Participation in any other iGRAD-course is only possible for iGRAD members.*

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

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| *Please fill in any additional information/agreement/comments.* |

**2.9 Scheduled Date for 1st Follow-up Meeting:**

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| *Please make an appointment for the next Follow-up Meeting, which should take place about one year after the start of the doctoral project. (dd/mm/yyyy).* |

**3. Agreement on Training and Supervision**

An important aim of CRC1535 is the establishment of a structured, transparent, and engaging supervision framework for its funded doctoral studies and Doctoral Fellows. Therefore, the CRC1535 Supervisors and the CRC1535 Fellow agree in the following guidelines:

**The CRC1535 Doctoral Fellow agrees to:**

* dedicate her/his full working capacity to the funded doctoral research project, to the CRC1535 teaching program, and thereby to the achievement of a doctoral degree according to the doctoral regulations of the Faculty of Mathematics and Natural Sciences of the Heinrich-Heine-University.
* give on-time progress reports on her/his doctoral research project on a regular basis to the Topic Supervisor and the Supervision Team. She/He will inform the Supervisor Team immediately on changes or termination of the doctoral research project.
* complete the CRC1535 teaching and training programs within the CRC1535 funding period of three to four years and actively participate in the teaching program and in other official activities of the CRC1535. CRC1535 Fellows with insufficient or lacking German language skills furthermore agree to attend German language training (accountable for transferable skill program).
* follow the “fundamental principles for safeguarding good scientific practice at Heinrich-Heine-University Düsseldorf” (cf.: “Grundsätze zur Sicherung guter wissenschaftlicher Praxis an der Heinrich Heine Universität Düsseldorf vom 27. Juni 2002“ in: Amtliche Bekanntmachungen der HHU D 14/2002).
* actively communicate her/his research outcomes to the international scientific community (i.e. poster and oral presentations at conferences, writing of publications, progress meetings, etc.).
* obtained data are organized according to the FAIR (Findable, Accessible, Interoperable, Reusable) principle
* all results and findings obtained and data generated are the property of the research institution.
* participate in the surveys and evaluations of the CRC MGK “MibiNeⓍt”. Especially she/he agrees to participate in a final survey after leaving CRC1535.

**The CRC1535 Supervisors agree to:**

* embed the CRC1535 Doctoral Fellow institutionally and the research project specifically in the research group/institute of the topic supervisor in order to ensure regular supervisory guidance and required infra- and social structures (e.g. regular reporting, journal clubs, obligatory security instructions, office and lab space, technical equipment, etc.).
* provide supervisory guidance on a regular basis to promote a successful realization of the doctoral study. In this context, the CRC1535 Supervision Team stays in close contact, exchanges information on once per year, and organizes progress report meetings (including check and management of quality) on a cooperative basis. This is independent of the funding of the doctoral researcher.
* recognize the CRC1535 Doctoral Fellow as an early-stage researcher with commensurate rights.
* guide the CRC1535 Fellow to follow the “fundamental principles for safeguarding good scientific practice at Heinrich-Heine-University Düsseldorf” (cf.: “Grundsätze zur Sicherung guter wissenschaftlicher Praxis an der Heinrich Heine Universität Düsseldorf vom 27. Juni 2002“ in: Amtliche Bekanntmachungen der HHU D 14/2002).
* support and encourage the CRC1535 Fellow integration into the international scientific community (e.g. participation in conferences, poster, and oral presentations, publication of research results, etc.) and provide her/him with the tools to get independent and gain visibility in the international community.
* fully and actively support the CRC1535 Fellow in fulfilling her/his educational training and other activities within the CRC MGK “MibiNeⓍt”. They especially agree to support the CRC1535 Fellow in completing her/his doctoral study over the CRC1535 funding period of three to four years and in accordance with the doctoral regulations of the Faculty of Mathematics and Natural Sciences of the Heinrich-Heine-University.
* provide assistance and mentoring of the CRC1535 Fellow in finding her/his personal career path, respectively to support/encourage the necessary/inevitable steps where applicable.
* participate in official CRC1535 activities (e.g. CRC progress meetings, symposia, etc.).

**The CRC1535 Supervisors and the CRC1535 Doctoral Fellow agree to:**

* send in the annual Follow-up Meeting Report to the CRC MGK “MibiNeⓍt” office. (CRC1535 highly recommends more than one meeting of the CRC1535 Fellow and the CRC1535 Supervision Team per year. However, documentation is obligatory only on an annual basis).
* inform the CRC MGK “MibiNeⓍt” management immediately on changes or termination of the doctoral research project. In cases of family affairs measures and support of CRC1535 and HHU will be applied.
* inform the CRC MGK “MibiNeⓍt” management immediately in case of severe conflicts. Both sides agree to conflict management outside of the respective doctoral fellow-supervision team. If necessary, subsequently also the CRC1535 steering board and the CRC commonalty have to be informed and an extraordinary general meeting has to take place according to the bylaws of CRC1535.
* trade additionally to their institute’s name under the name of “CRC1535” and acknowledge adequately the funding by the DFG in any poster, presentation and/or publication resulting even in parts from the funded doctoral research project, even if published after the funding period (include project ID: 458090666 /CRC1535/1).

**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 realization 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.