

Supervision Agreement for Doctoral Researchers

The supervision agreement documents general outlines of the supervision arrangement. It defines roles, expectations and obligations for the parties involved in the doctoral research project. Supervisors and doctoral researcher acknowledge aspects that are regarded as fundamental for an adequate supervision and working relationship during the doctoral project. Both sides can agree to complement and adapt the supervision agreement over the course of the doctoral project. Respective changes must be documented in the supervision agreement.

Supervision of the doctoral thesis takes place in accordance with the "[Terms and guidelines of good doctoral training at Helmholtz Munich](#)". All parties adhere to the "[Rules for Safeguarding Good Scientific Practice](#)" at Helmholtz Munich as well as to applicable rules at the degree awarding university.

In the event of differences of opinion or disputes between one or more of the supervisors and the doctoral researcher, all parties agree to make an effort to find an amicable solution. If necessary, they may contact established support structures of the involved institutions ([First Contact Points](#)).

Working title of the thesis: _____

Starting date of the doctoral researcher contract at Helmholtz Munich: _____ (dd/mm/yyyy)

Institute / Research Unit: _____

If applicable: Starting date of doctoral thesis, if deviating from contractual starting date at Helmholtz Munich:
_____ (dd/mm/yyyy)

Planned timeframe for completion of doctoral thesis: _____ (dd/mm/yyyy)

The thesis will be completed at the:

University:

Faculty:

☐ **LMU**

☐ Fakultät für Biologie

☐ Fakultät für Chemie
& Pharmazie

☐ Fakultät für Physik

☐ Medizinische Fakultät

☐ _____

☐ **TUM**

☐ Fakultät für Chemie

☐ Fakultät für Informatik

☐ Fakultät für Mathematik

☐ Fakultät für Medizin

☐ School of Life

Sciences

☐ _____

☐ **Other University:**

Faculty:

The following doctoral regulations at the chosen University / degree awarding institution apply (please name here the respective regulations and insert a link to the regulations):

Link to doctoral regulations: _____

Intended doctoral degree:

☐ Dr. rer. nat.

☐ PhD

☐ Dr. hum.biol.

☐ other: _____

Planned format of doctoral thesis:

- ☐ Monography
- ☐ Publication based (cumulative thesis; in adherence to the requirements of the respective university / degree awarding institution).

The Helmholtz Graduate School Environmental Health (HELENA) is the central Graduate School at Helmholtz Munich in cooperation with the Munich Universities TUM and LMU. HELENA provides the umbrella for further topic specific research schools that cover discipline-specific education according to the scientific and strategic goals of Helmholtz Munich, as well as securing international supervision and training standards. At Helmholtz Munich, active participation of doctoral researchers in a structured graduate school is required. Doctoral degrees are awarded by the respective partner universities.

The doctoral researcher hereby declares to participate in the Helmholtz Graduate School Environmental Health (HELENA). ☐ Yes ☐ No

In case you will not join HELENA, please give a reason:

Please note: a double membership in HELENA and another Graduate Center at TUM GS is not possible. If a HELENA guest status is desired, please contact the HELENA Graduate School Office for further directions.

If applicable: The doctoral researcher declares to additionally participate in one of the following topic specific research schools under the umbrella of HELENA (note: membership in HELENA is a prerequisite to join a research school):

- ☐ International Helmholtz Research School for Diabetes
- ☐ Helmholtz Research School Lung Biology and Disease
- ☐ Helmholtz International Epigenetics Research School
- ☐ Munich School for Data Science at Helmholtz, TUM, LMU

Preliminary thesis work plan listing the aims of the doctoral research project with approximate time schedule including milestones (this plan serves as basis for the detailed thesis work plan to be developed by the doctoral researcher and the supervisor(s) within the first nine months):

Note: If more space is needed please attach a separate document

Risk and feasibility assessment outlining possible areas of delay and points where projects directions may need to be (re-)considered:

Participation in the following mandatory HELENA qualification elements is planned for:

- ☐ HELENA Orientation Day: _____
 - ☐ HELENA Good Scientific Practice Workshop: _____
 - ☐ Training in Statistics and Reproducibility: _____
 - ☐ TUM Kick-Off Seminar (for doctoral researchers pursuing the doctorate at TUM): _____
 - ☐ LMU Midterm Booster (for doctoral researchers pursuing the doctorate at LMU): _____
 - ☐ Please list further mandatory qualifications (if applicable): _____
-

Career development and professional training options have been discussed and will be revisited at the annual TAC meetings.

If specific career development or training measures have already been agreed upon, they can be filled here (40 hours of professional skills training needed over the course of the doctorate)

If specific scientific training measures have already been agreed upon, they can be filled in here (270 hours of scientific training needed over the course of the doctorate):

If specific conference participations and / or research stays have already been agreed upon, they can be filled in here:

Responsibilities of doctoral researchers

Doctoral researchers bear the primary responsibility for the pursuit and completion of their doctoral project and thesis, and for their academic and personal development. Specifically, this includes the following responsibilities:

- They assume ethical responsibility and comply with the [principles of good scientific practice](#). They inform themselves about their rights and duties and about the relevant doctoral regulations of Helmholtz Munich and the applicable university / degree awarding institution and comply with them. In particular, the doctoral researcher enrolls as early as possible, but latest within three months after beginning the doctorate, in a university / degree awarding institution. Proof of successful enrollment has to be submitted to the HELENA GSO and TAC afterwards.
- In agreement with their supervisor(s), they set up a thesis work plan at the beginning of their doctorate, present it at the first TAC, and regularly update and discuss their progress with their supervisor(s) and TAC during the course of their doctorate.
- They select the members of the TAC and organize the meetings to report on the progress of their doctoral research project on a regular basis. This includes informing the TAC about any potential difficulties, delays, or conflict situations at an early stage and taking an active role in overcoming these.
- They inform their supervisors regularly on the progress of their research project and are aware that all results obtained during the doctoral research are property of the supervising institution(s). Processing these results outside the supervising institution is not allowed, excepting under specific cases in which an explicit the agreement of the head of the research group in question has been established.
- They plan and advance their own career development. This includes taking the initiative to create an IDP with support of the Career Center or the corresponding doctoral program where applicable, and discussing and reviewing this at regular intervals with their supervisor(s) and TAC as well as making use of appropriate career development resources and advisory services.
- They give regular informal progress reports and / or oral presentations in addition to the TAC meetings within the scientific community, and present and discuss their doctoral project at international scientific meetings and conferences, under previous agreement with the supervisor.
- They are active members of a structured graduate program, e.g. HELENA, and make use of appropriate training, networking and career development resources and advisory services at Helmholtz Munich.

Responsibilities of doctoral supervisors

The direct, and if applicable, day-to-day supervisor(s) share responsibility for the structured oversight of the doctoral research project and the academic and career development of doctoral researchers. Members of the TAC provide additional support and mentoring. The doctoral supervisors' responsibilities include:

- They select doctoral researchers without discrimination, respecting the personal diversity of doctoral researchers. They support the doctoral researcher in setting up a thesis work plan for their doctoral research project at the start of the doctorate for submission in three to four years.
- They secure necessary resources for the doctoral project (4-year funds covering the doctoral researcher contract including possible extensions, consumables, lab and office space, time and expertise for supervision) and report completed doctoral degrees of their supervised doctoral researchers to HELENA and HR.
- They assist the doctoral researcher by providing regular advice, feedback and support. Yearly formal staff appraisal meetings are also highly encouraged.
- They serve as role models. Consequently, they assume ethical responsibility and act in accordance with the principles of good scientific practice and hold doctoral researchers accountable for doing the same. Supervisors foster doctoral researchers' independence. They introduce doctoral researchers to the scientific community and help them to establish their own network and collaborations. This includes offering doctoral researchers the opportunity to present their research at meetings and conferences, in keeping with data confidentiality issues, and enabling them to gain teaching and supervision experience where appropriate. They encourage regular informal progress reports and / or oral presentations in addition to the TAC meetings.
- They support the active participation in structured graduate programs like HELENA, as well as the integration of relevant training and experiences into the thesis work plan and encourage doctoral researchers to create an individual career development plan. Supervisors actively support various career path that take into account the personal and professional objectives of the doctoral researcher.
- They strive to provide excellent supervision and as such take advantage of offers from Helmholtz Munich, the Helmholtz Association, universities or other professional training sources to continually review and improve their supervision skills.

The supervision agreement is concluded between:

Doctoral researcher

_____,
Place, _____ Date

Name (in block letters)

Signature

Direct supervisor Helmholtz Munich

_____,
Place, _____ Date

Titel Name (in block letters)

Signature

Supervisor at degree awarding institution

_____,
Place, _____ Date

Titel Name (in block letters)

Signature

In case of change of supervisors, a new supervision agreement must be concluded. Direct supervisor and supervisor at the degree awarding institution will be part of the doctoral researcher's personal Thesis Advisory Committee (TAC). The TAC exercises an independent and supporting advisory role, has a mentoring function and is both adviser and point of contact for the doctoral researcher. It meets once a year (further details are specified in the "terms and guidelines for good doctoral training at Helmholtz Munich").

☐ I hereby confirm that I have taken note of the attached information pursuant to Art. 13 GDPR.

_____,
Place, _____ Date

Signature (Doctoral Researcher)

Appendix 1

Team practice: Detailing important aspects of team culture established at the respective research unit

This appendix is meant to be used as a guideline of points for discussion between supervisor and doctoral researcher. Where applicable, discussion results may be documented in this sheet. Please note: all individual arrangements within the supervision agreement must comply with German labor law and respective applicable regulations at Helmholtz Munich and the involved degree awarding institutions.

- Scientific discussion culture established in research unit:
-

- Expected progress reports (time interval / format):
-

- Culture of giving and receiving feedback established at research unit:
-

- How do we react in cases of disagreements or conflicts?
-

Note: additional support structures and processes are described in the "terms and guidelines for good doctoral training at Helmholtz Munich"

- Requirements for authorship: How are credit and authorship handled in the research unit?
-

- Expected fulfillment of general laboratory tasks:
-

- Expected teaching responsibilities:
-

- Expected supervision responsibilities (e.g. bachelor or master students):
-

- Culture for collaboration within the research unit:
-

- Culture for collaboration with other units:
-

- Specific agreements on workspace, work equipment and access to necessary lab infrastructure (e.g. use of laboratory and measuring equipment):
-

- Group specific culture concerning overtime and vacations:
-

- Expected working time (e.g. definition of expected core working times or weekend shifts):
-

- Possibility for mobile work (if applicable, please apply for implementation at HR via [SPIT](#))
-

- To reconcile work and family life the following agreements are met:
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- Additional specific points if applicable:
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Appendix 2

Additional aspects to be considered for all doctoral researchers pursuing the doctorate at TUM

Elements of the doctoral project

- HELENA is a joint initiative for the support of doctoral researchers by Helmholtz Munich, TUM and LMU and as such administrated as an associated thematic graduate Center within TUM-GS.
- To register at the doctoral candidacy list at TUM and to apply for membership in the TUM-GS, the signed HELENA supervision agreement and a confirmation of HELENA membership is needed. The supervision agreement thereby serves as application form for membership in the TUM-GS.
- Upon application for registration in the doctoral candidacy list at TUM, and after a preliminary formal examination by the doctorate providing institution, the doctoral candidate will become a provisional member of TUM-GS. When the entry into the doctoral candidacy list is confirmed, the doctoral candidate becomes a member of the TUM-GS in accordance with Paragraph 6 of the TUM Regulations for the Award of Doctoral Degrees of August 23, 2021.
- To pursue a doctoral project, candidates must be a member of TUM-GS for at least two years and participate in the TUM-GS qualification program, as set out in § 8 of the TUM Regulations for the Award of Doctoral Degrees. The HELENA qualification program fulfills the respective requirements of the TUM-GS qualification program as outlined in these TUM regulations.
- The HELENA qualification program consists of mandatory elements (e.g. Orientation Days, Good Scientific Practice and courses in “Statistics and Reproducibility”) as well as 270 hours of scientific training and 40 hours professional skills training.
- Additionally, the following mandatory qualification requirements of TUM-GS also apply:
 1. Participation in a kick-off seminar at the TUM-GS within the first half year.
 2. Involvement in the academic community of the TUM to be demonstrated by:
 - ☐ Attendance at Helmholtz Munich as recognized partner institution of TUM
 - ☐ Teaching at TUM (e.g., lectures, practical courses, supervising internships and theses) or
 - ☐ Participation in the following research group of the TUM:

The doctoral candidate must discuss the research project in the international expert community. Specific HELENA requirements in accordance with the §8(1f) TUM Regulations for the Award of Doctoral Degrees from 23.8.2021 and §16(9)TUM-GS statute from 23.8.2021 are:

- At least one accepted publication (first or co-first authorship) in an international, peer-reviewed journal or in the proceedings of an international, peer-reviewed conference.
- or**
- Accepted contribution (first or co-first authorship) at an international scientific conference with peer-review **and** at least one submitted publication (first or co-first authorship) in an international, peer-reviewed journal / preprint platform or an accepted publication as co-author in an international, peer-reviewed journal.

Planned activities to fulfil these requirements:

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- No later than two years after entry into force of this agreement, the doctoral candidate and the supervisor will hold a feedback meeting on the doctoral project in accordance with § 15(7) of the TUM GS statutes, in which the progress of the doctoral project and the qualification program will be discussed, as well as next steps. The results of the discussion will be recorded in writing and this supervision agreement will be modified accordingly if necessary. The second TAC meeting can serve as documentation of this feedback session.

Mentoring

- According to the statutory regulations of TUM Graduate School (TUM-GS), at least one mentor must be assigned to every doctoral project. The mentor of the doctoral project may offer appropriate professional, as well as extraprofessional advice, and may be consulted for personal development. Mentors can be all persons who have proven their ability to conduct 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. The mentor may serve as external expert or additional supervisor in the TAC.
- The mentor can give further academic support, but can also focus on advising on transferable skills and personal development as well as support for a rapid progress of the doctoral project.
- The following person will serve as mentor according to the TUM regulations:

Mentor

Place,	Date	Titel	Name (in block letters)	Signature
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Exposé

- Within nine months after start of the doctorate, the detailed thesis work plan (corresponding to the exposé at TUM) is discussed with the TAC in the first TAC meeting. The thesis work plan is afterwards submitted to the HELENA GSO as well as uploaded to DocGS at TUM, respectively.

Good Scientific Practice

The parties to this agreement undertake to comply with the rules of Good Scientific Practice as defined in the TUM Code of Conduct (see www.tum.de) and the “rules for safeguarding good scientific practice at Helmholtz Munich”(<https://www.helmholtz-helena.de/training-program/good-scientific-practice/index.html>). Acknowledgement of these guidelines is confirmed by signature below. The candidates are aware that according to § 7(7) of the TUM Regulations for the Award of Doctoral Degrees scholarly work already submitted for examination purposes may not be re-submitted as part of the doctoral project.

Annual data confirmation in DocGS

- According to the statutory regulations of TUM-GS § 5, both doctoral researcher and supervisor confirm annually that the data and the continuation of the doctoral project are up-to-date.

Submission of copies

- An original copy of this supervision agreement must be submitted when applying for registration in the doctoral candidacy list of the degree-awarding institution.
- Electronic copies must be submitted to the following persons / institutions:
 1. TAC members
 2. Doctoral researcher
 3. HELENA GSO

Doctoral researcher

Place,	Date	Name (in block letters)	Signature
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Direct supervisor Helmholtz Munich

Place,	Date	Titel	Name (in block letters)	Signature
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Supervisor at degree awarding institution

Place,	Date	Titel	Name (in block letters)	Signature
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Information pursuant to Art. 13 of the General Data Protection Regulation (GDPR) about the processing of personal data within the scope of the Supervisory Agreement for doctoral researchers

In the following, we inform you about the processing of personal data by Helmholtz Zentrum München Deutsches Forschungszentrum für Umwelt und Gesundheit (GmbH) (hereinafter "Helmholtz Munich") within the scope of the Supervisory Agreement for doctoral researchers and about the associated data protection regulations, claims and rights.

1. Purposes of data processing

Helmholtz Munich processes the personal data of the doctoral researchers for fulfilling the contractual obligations under this Supervisory Agreement, the "terms and guidelines of good doctoral training at Helmholtz Munich" and the "Rules for Safeguarding Good Scientific Practice".

2. Categories of data processing

Within the supervision arrangement, the following personal data are processed:

- First and last name of supervisor at Helmholtz Munich
- First and last name of supervisor at degree awarding institution
- First and last name of doctoral researcher
- Function/title
- Email-address of supervisors and researcher
- Details regarding the scientific trainings and courses, e.g. certificates of participation
- Other personal information related to the supervision relationship, if applicable

3. Legal basis of data processing

The collection and processing of the personal data is carried out in accordance with Art. 6(1) point (b) GDPR for the implementation and fulfillment of the Supervision Agreement.

4. Recipients of the data and third country transfer (Non-EU/EEA countries)

All personal data collected is only made accessible to those persons who have a legitimate need to process this data due to their function. Recipients of your data in the aforementioned context are the function-related employees of Helmholtz Munich responsible for supervision of doctoral researchers. External recipient of the data is also the chosen university/faculty of the doctoral researcher. Personal data will not be transferred to third parties outside the scope described here without express consent. Personal data is not transferred to third countries (Non-EU/EEA countries).

5. Duration of processing, deletion of data

The access data is deleted 10 years after completion of the doctoral thesis (date oral examination "Prüfungsdatum") and when it is no longer necessary for achieving the purpose of its processing.

6. Rights of Data Subjects under the GDPR

You are entitled to the rights set out below in connection with the processing of your personal data:

- Under Art. 7 GDPR, you have the right to **withdraw** your **consent** to data processing at any time. The withdrawal of consent shall not affect the lawfulness of processing based on consent before its withdrawal.
- Under Art. 15 GDPR, you have the right to **access** any personal data relating to you that is processed by Helmholtz Munich.
- Under Art. 16 GDPR, you have the right to the immediate **rectification** or **completion** of any inaccurate or incomplete data we hold about you.
- Under Art. 17 GDPR, you have the right to demand the **erasure** of all the personal data we hold about you, provided that processing is not required in order to exercise the right to freedom of expression and information; in order to comply with a legal obligation to which Helmholtz Munich is subject; in order to complete a task that is in the public interest; or in order to establish, exercise or defend legal claims.
- Under Art. 18 GDPR, you may demand that **processing of your personal data be restricted**, if you contest the accuracy of the data, or the data is processed unlawfully.

- Under Art. 20 GDPR, you have the right to obtain the data we hold about you in a structured, commonly-used and machine-readable format, and to **transmit** that data to another controller without hindrance, or to arrange for us to **transmit** the data.
- ***Under Art. 21 GDPR, you have the right to object to the processing of your personal data, provided there are grounds for doing so relating to your particular situation. If you object, your data will no longer be processed unless Helmholtz Munich can demonstrate compelling legitimate grounds for processing that override the interests, rights and freedoms of the Data Subject, or where processing is required to establish, assert or defend legal claims.***
- Under Art. 77 GDPR, you have the right to lodge a **complaint** against Helmholtz Munich with the relevant supervisory authority, specifically:

Der Bundesbeauftragte für den Datenschutz und die Informationsfreiheit (BfDI)
Husarenstr. 30, 53117 Bonn
Tel.: +49 (0)228-997799-0
E-Mail: poststelle@bfdi.bund.de

7. Controller's contact details

The Controller in relation to the processing of the personal data described above, and to any requests or queries associated with it, is:

Helmholtz Zentrum München
Deutsches Forschungszentrum für Gesundheit und Umwelt (GmbH)
Ingolstädter Landstraße 1
D-85764 Neuherberg

If you have any questions regarding data protection, please contact our Data Protection Officer:

Werner Bergheim
Helmholtz Zentrum München
Deutsches Forschungszentrum für Gesundheit und Umwelt (GmbH)
Ingolstädter Landstraße 1
D-85764 Neuherberg
E-Mail: datenschutz@helmholtz-muenchen.de