



# Agreement to Supervise a Doctoral Dissertation at the Technical University of Munich (TUM) TUM School of Governance

## Attachment 2

to the 11 May 2017 Bylaws of the TUM-GOV Center for Doctoral and Postdoctoral Studies

Degree-awarding institution ("Fakultät"): **TUM School of Governance (TUM-GOV)**

This agreement reflects plans and information available when signed. Changes that refine or further develop the research design of the dissertation project – and/or adapt the specific requirements in section 3 in light of changing needs of the project or changes in the advanced training offered – may be made at any time, provided that they are made by mutual agreement between the doctoral candidate and his/her supervisors. The TUM-GOV Center for Doctoral and Postdoctoral Studies must be notified of any such changes.

Ms./Mr. \_\_\_\_\_ [Doctoral Candidate]

Born on: \_\_\_\_\_ in \_\_\_\_\_

E-mail: \_\_\_\_\_

and

Ms./Mr. \_\_\_\_\_ [Primary Supervisor]

as well as <sup>1</sup>

Ms./Mr. \_\_\_\_\_ [Secondary Supervisor]

*Second advisor's contact information if not at the TUM:*

\_\_\_\_\_

*The secondary supervisor will be designated by \_\_\_\_\_ (date)*

... enter into the following agreement.

The mentor<sup>2</sup> for this doctoral project is: \_\_\_\_\_

*Mentor's contact information if not at the TUM:* \_\_\_\_\_

The mentor will be designated by \_\_\_\_\_ (date).

## 1. Substantive Focus, Degree Sought, and Dissertation Proposal

The **topic** of the doctoral dissertation will be:

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<sup>1</sup> A secondary supervisor must be designated no later than six months after signing this agreement; details are specified in the TUM-GOV Center for Doctoral and Postdoctoral Studies Bylaws.

<sup>2</sup> A mentor shall be designated within six months; the mentor supports the doctoral candidate as an independent advisor, including with regard to career prospects after the completion of the dissertation. The mentor is not an additional supervisor and must not become an examiner for the doctoral dissertation; s/he should not be associated with the chair or professorship of the primary or secondary supervisor. Further details are specified in the Bylaws of the School of Governance's Center for Doctoral and Postdoctoral Studies.

**Doctoral degree sought:**

- Dr. phil. (philosophiae)
- Dr. rer. pol. (rerum politicarum)
- Dr. rer. soc. (rerum socialium)
- Dr. oec. publ. (oeconomiae publicae)

The doctoral degree that can be awarded depends on the substantive focus of the dissertation **and/or** the candidate's prior field(s) of study. Therefore, please specify:

Undergraduate (Bachelor's Degree) field of study/major (minor(s)):

\_\_\_\_\_  
Graduate field of study (degree awarded): \_\_\_\_\_

Primary supervisor's approval of desired degree: \_\_\_\_\_ (initials/signature)

- A **dissertation proposal ("Exposé")** dated \_\_\_\_\_ is enclosed, with confirmation "*I hereby confirm that the research outlined in this dissertation proposal promises to make an original contribution to knowledge and that I consider the proposed project feasible,*" signed by both advisors.
- A **dissertation proposal ("Exposé")** with advisors' confirmation will be submitted no later than \_\_\_\_\_ (date; within 12 months).

## 2. Schedule

- 2.1 The doctoral project shall be completed within a period of \_\_\_\_ years.
- 2.2 The doctoral project is governed by the **dissertation proposal**, which shall include a schedule for the completion of the dissertation research and writing.
- 2.3 The doctoral candidate will regularly update her/his supervisors about the status of the dissertation project. The supervisors commit to devote the time necessary to discuss the project and to promote the quality of the doctoral project through advising and discussion. Every \_\_\_\_ months, the doctoral candidate and her/his advisors will meet to **discuss the progress** of the dissertation. The results of these meetings will be recorded in writing.
- 2.4. In accordance with § 15 (7) of the Bylaws ("Statut") of the TUM Graduate School, the doctoral candidate and his/her advisors will hold a formal **"feedback meeting"** no later than two years after the date of this agreement to take stock of the progress of the doctoral project and to discuss the work that remains to complete the dissertation.

## 3. Elements of the Dissertation Project

- 3.1 Upon the TUM Graduate School (GS)'s receipt of a candidate's complete application to be entered into the list of doctoral candidates, the applicant becomes a provisional member of the TUM-GS; after entry into the list of doctoral candidates is confirmed, s/he becomes a regular full member. As set out in § 8 of the TUM Regulations for the Award of Doctoral Degrees, a doctoral candidate must have been a member of the TUM-GS for at least two years – in addition to completing all mandatory elements of the advanced training for doctoral students ("Qualifizierungsprogramm") – before s/he may submit his/her completed dissertation for the final assessment by the examiners and the oral defense.

3.2 This agreement specifies the doctoral candidate’s planned individual training and qualification program. It may be amended at any time, as long as the changes are consistent with the scope and content of the requirements of the TUM-GOV Center for Doctoral and Postdoctoral Studies. The TUM-GS supports training and qualification as specified in § 16 of its Bylaws ("Statut"; see also "Leitfaden zur Promotion").

3.3 The doctoral candidate and his/her supervisors have agreed that the doctoral candidate will undertake the following in order to meet the requirements for advanced training for candidates for a TUM doctoral degree:

a. Participation in the **"kick-off seminar" for new doctoral students** of the TUM Graduate School within the first half year of TUM-GS membership;

b. **Active involvement in the scientific and intellectual community** of the TUM through:<sup>3</sup>

- regular presence at the TUM-GOV or at the following partner institution<sup>4</sup> in accordance with the bylaws of the Graduate School and the Center for Doctoral and Postdoctoral Studies: \_\_\_\_\_;
- teaching (lecture courses, sections, seminars, supervision of internships and theses, etc.) at the TUM-GOV including the Hochschule für Politik/Bavarian School of Public Policy;
- active participation in the following TUM research group: \_\_\_\_\_; and/or
- regular active participation in the intellectual life of the School of Governance.

Please check all that apply; note specific plans for fulfilling requirement 3.3.b through teaching and/or participation in a research group (if selected above):

Activity	Time/Duration

<sup>3</sup> Please check all that apply. "Regular presence" must always be checked for doctoral candidates with a research associate contract; for others, it is optional to select this option.

<sup>4</sup> Partner institutions are research institutes recognized by the TUM-GOV Center for Doctoral and Postdoctoral Studies in accordance with the guidelines from the TUM Graduate School.

- c. Successful participation in a minimum of **three subject-specific doctoral-level courses** (advanced substantive seminars, advanced methods training, summer/winter schools, etc.), each equivalent to at least 2 credit hours/semester ("Semesterwochenstunden"/SWS) or at least 3 ECTS credit points – corresponding to at least 21 contact hours each – to be taken at any time during the duration of the doctoral project and in accordance with the Bylaws of the TUM-GOV GZ.

Requirement 3.3.c is to be met as follows:

Subject-specific Courses or Training	Type	Time/Duration

A list of subject-specific courses that the doctoral candidate will take to fulfill the requirement for advanced training in her/his discipline or related fields will be submitted within three months.

- d. **Subjecting the doctoral candidate's research to the scrutiny of the international scientific/academic community** (generally demonstrated by a **publication** in a peer-reviewed journal or in the proceedings of an international scientific conference with peer review; alternative comparable achievements may be specified here in accordance with the Bylaws of the TUM-GOV Center for Doctoral and Postdoctoral Studies). This requirement is to be fulfilled specifically through:

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3.4 In addition, the doctoral candidate is planning to enhance her/his dissertation project and PhD-level training through participation in the following **optional activities**:

- a. **Transferable skill courses / not-discipline- or subject-specific advanced training** offered by the TUM Graduate School or other TUM continuing education programs. The TUM-GS recommends participation in least three courses and provides substantial funding support for many of them. Participation in the following advanced training activities is planned:

Course/Activity	Type/Offered by	Duration

- b. **Enhanced international components** of the dissertation research project (e.g., field research abroad, attendance of/presentations at international conferences, involvement of foreign academic experts in the research project). The TUM-GS recommends extended research-related international travels/visits and provides funding support for them.

Event/Type of Stay	Institution Abroad	Country	Duration (days)

#### 4. Resources

The doctoral candidate and her/his primary supervisor have agreed that the following resources (such as equipment, consumable materials, funds for field research, etc.) are necessary to conduct the planned research and have made the following commitments or plans for how to obtain these resources (and have agreed on the following restrictions regarding the use of these resources):

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(Leave blank if not applicable)

#### 5. Measures to Facilitate Making an Academic Career Compatible with Having a Family

The following measures have been agreed upon:

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(Leave blank if not applicable)

#### 6. Good Scientific Practice

All parties to this agreement acknowledge the TUM **Rules of Good Scientific Practice** and the TUM Rules on How to Handle Allegations of Academic Misconduct. They confirm their commitment to comply with these rules.

The doctoral candidate is aware that, according to § 6(7) of the TUM Regulations for the Award of Doctoral Degrees, scholarly work previously submitted for examination purposes may not be re-submitted as part of the doctoral project.

## 7. Consent

I, the doctoral candidate signing this agreement, hereby give my consent that the TUM School of Governance may publish my:

- name
- e-mail address
- photo

on its website.<sup>5</sup>

I have been informed that my personal data, collected in the context of the aforementioned purposes will be collected, processed, used and transmitted in compliance with the Bavarian Data Protection Act (BayDSG). I have also been informed that the collection, processing and use of my data is voluntary. Furthermore, I am aware that I can revoke my consent, at any time and without any adverse consequences for me, by sending a note to this effect to the Office of the Dean at the TUM School of Governance. In the event that I revoke my consent, my data will be promptly deleted from the website of the TUM School of Governance.

## 8. Conflict Resolution

In the event of conflicts regarding the above obligations, the parties shall promptly enter into discussion to restore compliance with this agreement and with the related rules and regulations of the TUM and its School of Governance. If this is not possible, each party may address its concerns to the Academic Director of the TUM-GOV Center for Doctoral and Postdoctoral Studies, the Dean of the TUM School of Governance, the Board of Arbitration of the TUM Graduate School, or the ombudspersons of the TUM, as appropriate.

## 9. Regulations for the Award of Doctoral Degrees

All TUM doctoral projects are subject to, and governed by, the TUM's Regulations for the Award of Doctoral Degrees dated March 12, 2012, in its last amended version dated September 1, 2013, effective as of January 1, 2014, and the Bylaws of the TUM Graduate School effective as of September 1, 2013. This agreement is complementary to and shall be interpreted to be in all regards consistent with those rules and regulations.

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<sup>5</sup> Please check all that apply.

## 10. Severance Clause

Should any individual provisions of this agreement be deemed partially or entirely invalid, it shall not affect the validity of the remainder of the agreement.

\_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(Place) (Date) (Place) (Date)

\_\_\_\_\_  
Doctoral Candidate

\_\_\_\_\_  
Supervisor

### Acknowledged:

\_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_  
(Place, Date) (Place, Date) (Place, Date)

\_\_\_\_\_  
Secondary Supervisor  
(As attachment if designated later)

\_\_\_\_\_  
Mentor  
(As attachment if designated later)

\_\_\_\_\_  
Academic Director of the Graduate Center

### Submission and Recordkeeping

One copy of this agreement, bearing original signatures, must be submitted to the TUM-GOV Center for Doctoral and Postdoctoral Studies as part of the application for entry into the list of TUM-GOV doctoral candidates. Additional copies shall be submitted to and kept by:

1. the doctoral candidate
2. the primary supervisor
3. the secondary supervisor
4. the mentor