

## Instructions for the Supervision Agreement for Doctoral Projects

**In accordance with the Rhineland-Palatinate Higher Education Act, a supervision agreement is obligatory and serves as an exchange between doctoral candidates and supervisors** for the development and formulation of joint agreements on the organization of work. **It documents the mutual tasks and expectations** of the participating parties at the beginning and throughout the doctoral process and makes the cooperation transparent. It can be updated throughout the course of the doctoral process if all participating parties agree.

The present model of a supervision agreement for doctoral projects at Trier University is based on the recommendations of the DFG, the HRK and the German Council of Science and Humanities (Wissenschaftsrat, WR) and is aligned with the *Guidelines for Safeguarding Good Scientific Practice and on the Rules of Procedure for Dealing with Scientific Misconduct* (October 2001) as well as with the *Statutes on Quality Assurance in Doctoral and Habilitation Studies at Trier University* (8 July 2022).

### The supervision agreement consists of the following elements:

- A) Participating Parties
- B) Doctoral Project
- C) Agreement on the Supervision of the Doctoral Project
- D) Accompanying further Training and Qualification
- E) Compliance with the *Guidelines for Safeguarding Good Scientific Practice*
- F) Options in Case of Conflict, Assessment Periods and Dissolution of the Supervision Agreement
- G) Additional Agreements (e.g. binational supervision, etc.)
- H) Attachments

Areas A), B), E) and F) refer to basic requirements of the doctoral project. Under item A), choosing at least one additional participating party is recommended. Elements C), D), G) and H) deal with framework conditions of the doctoral project, but are not a fundamental part of the doctoral work. The sample document contains **obligatory and optional agreements**, so that the degree of detail can be individually determined by the doctoral candidate and supervisor(s). **Elements A), B), E), F) and H) are obligatory**, as well as **the elements highlighted in light grey in sections C) and D)**. It is strongly recommended that you formulate the supervision agreement together with your supervisor(s) taking into account the attached documents relevant to the framework conditions (e.g., employment contract).

The **doctoral procedure at Trier University is carried out in accordance with the subject-specific doctoral regulations**. The regulations and agreements of the supervision agreement may not contradict these doctoral regulations, an employment relationship underlying the doctorate or a scholarship. The supervision agreement does not replace any action to be taken according to the doctoral regulations, such as the application for admission to the doctoral program.

The supervision agreement **serves primarily to ensure the quality of the doctoral procedure in terms of content and time**. It does not constitute a legal document, so it is not legally binding. It does not establish any rights or obligations that do not already exist on a legal basis.

## Supervision Agreement within the Framework of a Doctoral Project at Trier University

**This supervision agreement must be completed jointly by the doctoral candidate and the (first) supervisor. Please consult the instructions for completing the supervision agreement.**

Updates to the supervision agreement are possible at any time by mutual agreement, must be submitted in writing and signed by all participating parties.

### Part 1, also functioning as Registration Form for Doctoral Candidates (pp. 1–3)

#### A) Participating Parties

##### Personal Details of the Doctoral Candidate

Form of address	Surname	First Name
_____	_____	_____
Street and house number		Postal code and city
_____		_____
Birth date	Birth place	
_____	_____	
Nationality	Gender	
_____	_____	
E-Mail	Telephone and mobile number	
_____	_____	

##### Funding of the Doctorate

- |  |   |
|--|---|
| <input type="checkbox"/> Employment at Trier University      | <input type="checkbox"/> Scholarship      |
| <input type="checkbox"/> Employment not at Trier University  | <input type="checkbox"/> Privately funded |
| <input type="checkbox"/> Project funding _____               | <input type="checkbox"/> Other _____      |
| <input type="checkbox"/> Currently no specification possible |   |

**Please note: The obligation to supervise until the completion of the doctorate is independent of the duration of the funding of the doctorate.**

## Qualifications

Previous degrees (e.g. master): \_\_\_\_\_

Date of completion: \_\_\_\_\_

For a master's degree:

Consecutive degree (same as bachelor)

Additional degree (different as bachelor)

Subject(s): \_\_\_\_\_

Grade: \_\_\_\_\_

At the university: \_\_\_\_\_

Country (if outside of Germany): \_\_\_\_\_

## Initial Date of Matriculation/Enrollment

Date of initial matriculation or enrollment in Germany/abroad: \_\_\_\_\_

If **within Germany**, please specify:

If **outside of Germany**, please specify:

City: \_\_\_\_\_

Country: \_\_\_\_\_

University: \_\_\_\_\_

University: \_\_\_\_\_

## University Entrance Qualification

Date of Completion: \_\_\_\_\_

Grade: \_\_\_\_\_

If **within Germany**, please specify:

If **outside of Germany**, please specify:

Type of school: \_\_\_\_\_  
(e.g. Gymnasium/Gesamtschule)

Country: \_\_\_\_\_

State/Province: \_\_\_\_\_

German School Abroad

Other School Abroad

County/District: \_\_\_\_\_

## First Supervisor

Title

Surname

First name

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Department/Institute

E-Mail

Telephone and/or mobile number

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## If Applicable: Additional Participating Party (e.g. second supervisor, co-supervising postdoctoral researcher)

Title

Surname

First name

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

University/College/Department/  
Institute etc.

E-Mail

Telephone and/or mobile number

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Supervisory role: \_\_\_\_\_

## B) Doctoral Project

### B1) Subject

The aim of the project is to earn a degree in accordance with the regulations of the faculty \_\_\_\_\_ Intended Degree \_\_\_\_\_

Subject: \_\_\_\_\_

### B2) Topic or Working Title

The doctoral candidate will write a dissertation on the following topic or with the following working title:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

### B3) Form

According to the options of the doctoral regulations, the dissertation will be a

- monograph       cumulative form

### B4) Language

The dissertation will be written in

- German       English       \_\_\_\_\_

### B5) Start Date

Date of commencement of doctoral research project:

\_\_\_\_\_

### B6) Matriculation/Enrollment

Do you plan to matriculate/enroll as a PhD student at Trier University?

- yes       no

### B7) Participation in a Structred Doctoral Programme:

- If yes, please specify the name of the programme:       no

\_\_\_\_\_

I confirm that the information provided in the supervision agreement is accurate

I confirm that I have entered into a supervision agreement with the above-named doctoral candidate

I confirm that the doctoral candidate was accepted to faculty:

\_\_\_\_\_  
Date, Signature of Doctoral Candidate

\_\_\_\_\_  
Date, Signature of (First) Supervisor

\_\_\_\_\_  
Date, Signature of Dean

## Supervision Agreement within the Framework of a Doctoral Project at Trier University

### Part 2, Further Agreements about the Supervision (pp. 4-9)

The following Supervision Agreement is concluded between the doctoral candidate and the (first) supervisor and (optional) other involved parties within the framework of a doctoral project. The aim of the supervision agreement is to support a constructive, productive and trusting cooperation.

### C) Agreement on the Supervision of the Doctoral Project

#### C1) Project Proposal/Exposé

Is a project proposal/exposé available?

- yes                                       no  
 It will be completed by (date) \_\_\_\_\_

#### C2) Working Period, Duration of the Supervision Agreement, Timetable and Work Plan

Work on the dissertation project begins on (date) \_\_\_\_\_

Expected date of completion: \_\_\_\_\_

The duration of the supervision agreement depends on the doctoral regulations and does not necessarily have to end on the expected date of completion.

**Please note: The working period of the doctoral project may vary depending on the working hours and resources available to the doctoral candidate (5 plus 3 years at Faculty IV).**

The participating parties have agreed on a timetable and work plan for the completion of the dissertation. The timetable and work plan

- are attached to this supervision agreement.  
 are already available to the supervisor.  
 will be submitted by (date) \_\_\_\_\_

Changes to the timetable and work plan are only possible by mutual agreement.

### C3) Meetings/Reporting

The participants agree to exchange information about the progress of the doctoral project on a regular basis.

The frequency of the meetings

- will be subject to mutual agreement and adapted to individual needs.
- will be at least once per semester.
- will be carried out: \_\_\_\_\_

**Please note: If necessary, both sides can request a meeting outside of the agreed arrangement.**

The participating parties shall, if needed, make themselves available to discuss the doctoral project or other matters related to the doctorate as promptly as possible.

#### Additional Voluntary Agreements:

- The main results of the meetings shall be recorded in a short protocol. The minutes are to be taken by the doctoral candidate and signed by him/her and the (first) supervisor.

The doctoral candidate shall regularly present on the progress of the doctoral project in a research/dissertation colloquium.

- yes                                      If yes, how often? \_\_\_\_\_
- no

### C4) Workspace and Resources

The participating parties have agreed on the means and the workspace needed for carrying out the doctoral project.

**Please note: Trier University is not obligated to provide a workspace for the doctoral project.**

#### Additional Voluntary Agreements:

- The doctoral candidate is not provided with workspace or equipment.
- The doctoral candidate is provided with the following workspace and/or equipment

\_\_\_\_\_  
\_\_\_\_\_

- The doctoral candidate was informed about possible restrictive framework conditions (e.g. with regard to workspace that is only temporarily available, etc.). The following was recorded by mutual agreement (if applicable):

\_\_\_\_\_  
\_\_\_\_\_

## C5) Integration

The (first) supervisor has informed the doctoral candidate about opportunities to participate in working groups, research networks, structured doctoral programmes, mentoring programmes or similar.

### Additional Voluntary Agreements:

- The doctoral candidate will participate in the following working groups, research networks, structured doctoral programmes, etc. within the framework of the doctoral project:

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- The doctoral candidate will have the opportunity to participate in the following seminars/workshops/ \_\_\_\_\_  
at the institutes mentioned above:

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## C6) Balancing Family Life and Academic Work

The participating parties discussed and exchanged views on the balance of family life (e.g. children, relatives in need of care) and carrying out doctoral research.

### Additional Voluntary Agreements:

- The following was agreed by mutual consent:

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## D) Accompanying Further Training and Qualification

### D1) Further Training and Studies

All doctoral candidates are welcome to participate in the further training and study programmes at Trier University, in particular that of the Graduate Centre (GUT), to support their work on their doctoral project and to acquire additional academic qualifications.

#### Additional Voluntary Agreements:

The doctoral candidate has agreed to participate in the following compulsory further training and study programmes:

- A seminar about "Good Scientific Practice"
- \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_

### D2) Participation in Conferences

The participating parties discussed and exchanged information about the doctoral candidate attending academic conferences or similar in connection with the doctoral project.

#### Additional Voluntary Agreements:

- The following was agreed by mutual consent:  
\_\_\_\_\_  
\_\_\_\_\_
- The participating parties commit to equally seek funding to enable participation in the academic conferences or similar.

### D3) Visits and Stays Abroad

The participating parties discussed and exchanged information about opportunities for the doctoral candidate to visit or stay abroad while carrying out the doctoral project.

#### Additional Voluntary Agreements:

- The following was agreed by mutual consent:  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
- The participating parties commit to equally seek funding to enable the visit or stay abroad.



#### **D4) Publications**

The participating parties have discussed and exchanged information about opportunities for the doctoral candidate to publish while carrying out the doctoral project (in addition to the monograph or required for the compilation).

##### **Additional Voluntary Agreements:**

- The following was agreed by mutual consent:

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- The (first) supervisor agrees to provide the doctoral candidate with support including organisational and expert advice on the topic for these publications.

#### **D5) Teaching**

The participating parties have discussed opportunities and/or the obligation associated with a state-funded position to teach at the university.

##### **Additional Voluntary Agreements:**

- The following was agreed by mutual consent:

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## E) Compliance with the Guidelines of Safeguarding Good Scientific Practice

The signing parties confirm that they are aware of the obligation to comply with the *Guidelines for Safeguarding Good Scientific Practice*.

### Additional Voluntary Agreements:

- The doctoral candidate was given the Guidelines for Safeguarding Good Scientific Practice at Trier University.

## F) Options in Case of Conflict, Assessment Periods and Termination of the Supervision Agreement

In the case of conflict, an ombudsperson (a third-party individual who is neutral and independent) at Trier University as well as the Graduate Centre (GUT) are available to both doctoral candidates and supervisors for advice, mediation and arbitration. Assessment periods of the dissertation are determined by the specific doctoral regulations of each department. In accordance with the respective doctoral regulations, the supervision agreement can also be terminated before the end of the supervisory period by either side or by mutual agreement upon request (details are regulated by the specific doctoral regulations of each department).

## G) Additional Agreements (e.g. binational supervision, cotutelle-de-thèse)

Additional agreements are recorded in the attachments.

## H) Attachments

The supervision agreement is submitted to the faculty with the current version of all supporting documents attached (if required).

Attached to the supervision agreement are the following:

- |  |  |
|--|--|
| <input type="checkbox"/> Project Proposal/Exposé | <input type="checkbox"/> Timetable and work plan |
| <input type="checkbox"/> _____                   | <input type="checkbox"/> _____                   |
| <input type="checkbox"/> _____                   | <input type="checkbox"/> _____                   |
| <input type="checkbox"/> _____                   | <input type="checkbox"/> None                    |

\_\_\_\_\_  
City, Date  
Signature of Doctoral Candidate

\_\_\_\_\_  
City, Date  
Signature of (First) Supervisor

\_\_\_\_\_  
City, Date  
Signature of Additional Participating  
Party (optional)

## **Datenschutzhinweise hinsichtlich der Betreuung im Rahmen eines Promotionsvorhabens an der Universität Trier**

### **A. Gegenstand der Betreuung**

1. Beschreibung des Betreuungsverhältnisses:

Im Rahmen eines jeden Promotionsvorhabens ist zwischen der Doktorandin bzw. dem Doktoranden und der Betreuerin oder dem Betreuer dieses Promotionsvorhabens eine Betreuungsvereinbarung zu schließen. Im Rahmen dieser Vereinbarung und dem dadurch entstehenden Betreuungsverhältnis werden durch die Universität Trier personenbezogene Daten der Doktorandin bzw. des Doktoranden verarbeitet. Diese Hinweise sollen die Doktorandin bzw. den Doktoranden über die erhobenen personenbezogenen Daten und deren Verarbeitung informieren.

2. Verantwortliche Stelle:

Universität Trier  
Fachbereich IV  
Universitätsring 15  
54296 Trier

3. Dekan des Fachbereichs: Prof. Dr. Volker Schulz

4. Ansprechpartner: Dr. Daniel Felten (Fachbereichsreferent)

### **B. Information über die Erhebung personenbezogener Daten**

1. Art der Verarbeitung der personenbezogenen Daten / Zweck der Verarbeitung

Die in dem vorliegenden Fragebogen erhobenen Daten dienen verschiedenen Zwecken:

- a) Der Teil „Erfassungsbogen für Promovierende“ dient der in § 34 Abs. 4 HochSchG vorgeschriebenen Registrierung der Promovierenden. Seine Inhalte ergeben sich aus § 5 Hochschulstatistikgesetz, Erhebungsmerkmale für Promovierende. Er wird an das Studierendensekretariat der Universität Trier zur weiteren Verarbeitung der Daten weitergeleitet. Zudem benötigt das Dekanat die im Erfassungsbogen enthaltenen Kontaktdaten zur organisatorischen Betreuung des Promotionsverfahrens.
- b) Die Notwendigkeit des Abschlusses der Betreuungsvereinbarung ergibt sich aus § 34 Abs. 3 HochSchG, der die schriftliche Vereinbarung als Voraussetzung für die Annahme von Promovierenden festlegt.

- c) Die Betreuungsvereinbarung wird Teil der Prüfungsakte, die das Promotionsverfahren von der Betreuungsvereinbarung bis zu seinem Abschluss dokumentiert. Damit stehen diese Daten den Mitarbeitenden des Dekanates, die das Promotionsverfahren organisatorisch betreuen, sowie den Prüfern im Promotionsverfahren zur Verfügung.

## 2. Kontaktdaten der Datenschutzbeauftragten

Universitätsring 15,  
54296 Trier  
E-Mail: dsb@uni-trier.de

## 3. Rechtsgrundlage

Rechtsgrundlage der Verarbeitung Ihrer personenbezogenen Daten ist Art. 6 Abs. 1 S. 1 lit. e) DSGVO, § 3 LDSG i.V.m § 67 Abs. 6 HochSchG.

## 4. Empfänger oder Kategorien von Empfängern / Drittstaatenübermittlung

Die personenbezogenen Daten werden nicht an Dritte weitergegeben, außer eine Weitergabe ist nach einer gesetzlichen Vorgabe oder einer gerichtlichen oder behördlichen Entscheidung zwingend erforderlich.

## 5. Dauer, für die die personenbezogenen Daten gespeichert werden / Kriterien für die Festlegung der Dauer

Als Bestandteil der Akte über das Prüfungsverfahren werden die erhobenen Daten noch 10 Jahre nach Abschluss des Verfahrens archiviert und anschließend datenschutzkonform vernichtet. Nachweise über das Bestehen (bzw. das Ergebnis) der Prüfung werden noch 60 Jahre nach Abschluss des Verfahrens archiviert.

## 6. Ihre Rechte im Hinblick auf die gespeicherten Daten

Nach Art. 15 DSGVO haben Sie einen Anspruch auf kostenfreie Auskunft über die zu Ihrer Person gespeicherten Daten. Sie können Ihre bei uns gespeicherten Daten gemäß Art. 16 und 17 DSGVO berichtigen oder löschen lassen, sowie die Verarbeitung der Daten gem. Art. 18 DSGVO einschränken. Weiterhin haben Sie das Recht der Datenverarbeitung gem. Art. 21 DSGVO zu widersprechen.

Darüber hinaus besteht das Recht zur Beschwerde bei der zuständigen Datenschutzaufsichtsbehörde. Für die Universität Trier ist dies der Landesbeauftragte für den Datenschutz und die Informationsfreiheit Rheinland-Pfalz, Hintere Bleiche 34, 55116 Mainz.