

### Check list for good practice for supervising and completing work on qualifications

This check list is to be used as a guideline for meetings between new doctoral candidates or research associates and the supervising professor or manager. The purpose of the meeting is to establish the tasks, rights and obligations of both parties to enable successful collaboration.

We strongly recommend conducting such a meeting when a new researcher is employed (employment contract or appointment as public servant) at the beginning of a doctoral degree.

- Good scientific practice:** the principles of good scientific practice (see FAU regulations and DFG guidelines) are the basis of collaborative scientific work and both parties must be aware of them. Both parties agree to observe them. Please note that training is available on this topic.
- Determination of the topic:** outline a plan for the research topic/project and formulate a suitable research question and research objectives that will be adjusted and refined in regular discussions.
- Time and work schedule:** a time and work schedule with targets/milestones which is created together and should be made more specific over the course of the work on the qualification:
  - **Working hours and duration of the work:** Clarification of the framework conditions which are standard in the field.
  - **Progress checks:** how often will the work be checked to make sure that targets are being met? How often and where (colloquium, seminar, Examining Committee, etc.) will the employee/candidate report on the progress of their research? How often will the employee/candidate and professor meet to discuss the progress of the work?
- Qualification programme:** is the employee/candidate expected to take part in a qualification programme? If yes, which events/courses must be attended?
- Career planning:** which career paths are being considered? What are the candidate's career goals? Provide information about timing and formal aspects, such as six-year limits for appointments to W1 professorships, contract duration limits governed by 'Wissenschaftszeitvertragsgesetz' (Federal law governing temporary employment contracts in research), habilitation, etc. (FAU websites about careers, young researchers, or personnel).
- Mentoring:** Should additional experienced researchers be available to act as mentors who provide advice on the progress of the thesis, act as points of contact for interdisciplinary questions and, if necessary, can act as an intermediary in conflict situations? (Mentors should not come from the same working group.)
- Representation of interests:** the interests of doctoral candidates are represented by the doctoral candidates' representatives; the interests of all research staff are represented by the research staff representatives.
- Conflicts:** if conflicts occur where the supervisor and employee/candidate cannot agree on a solution and which hinder the progress or completion of the project, the following contacts are available – in addition to the regular representatives:
  - the chairpersons of the doctoral committee and mediators for doctoral degrees
  - the research staff representatives (Governing Board and at department level)
  - the Commission for Research Conflict Management (especially for issues regarding the official relationship between an employee and a superior)
- Discontinuation of a doctoral research project:** if, during the doctoral programme, serious sustained shortcomings occur which give reason to believe that the process cannot be completed successfully, the supervisory relationship may be terminated by the Doctoral Affairs Committee. Doctoral candidates remain free to request that another member of the faculty who is entitled to supervise doctoral candidates takes over the role of supervisor.
- Balancing research and family life:** supervisors and employees work towards enabling a balance between research and family life.

**Guidelines for the employee/doctoral candidate:**

By starting work on a research project, the employee/candidate agrees to:

- participate in the chair's/professor's research process
- remain loyal to all supervisors, superiors, colleagues and employees
- work conscientiously, responsibly and with dedication, address problems that could hinder the progress of the work in good time, and report to the supervisor regularly
- (if applicable) find out about the formal process of completing a doctoral degree and fulfil the requirements within the deadline.

**Guidelines for the professor/supervisor:**

By accepting the research project, the professor or supervisor agrees to:

- support the employee/candidate in independently carrying out their research and provide feedback on the development of the research work
- offer the employee/candidate the best possible conditions for conducting their research and, if applicable and possible, ensure that the position is funded until the qualification has been obtained or the research has been completed or, if applicable, support the employee/candidate in the search for and acquisition of independent funding
- involve the employee/candidate in day-to-day research activities and, where applicable, in the working group, and inform them about relevant seminars, presentations, discussions and conferences and, where possible, support their participation in these events
- inform the employee/candidate about career opportunities and opportunities for further training or make them aware of appropriate information which is available.

**Links:**

<https://www.fau.de/files/2019/01/2017-10-10-Regulations-for-safeguarding-good-scientific-practice.pdf>

[https://www.dfg.de/en/research\\_funding/principles\\_dfg\\_funding/good\\_scientific\\_practice/index.html](https://www.dfg.de/en/research_funding/principles_dfg_funding/good_scientific_practice/index.html)

<https://www.fau.de/graduierenzentrum/>

<https://www.verwaltung.zuv.fau.de/personalhandbuch/befristete-arbeitsverhaeltnisse/>

<https://www.fau.de/universitaet/stellen-praktika-und-jobs/ausgeschriebene-professuren/was-ist-eine-professur-karrierewege-an-der-fau/>