



Annotation: This is a translated Version of an information document published by the Graduate Center. The German original can be found here:

http://www.graduatecenter.uni-muenchen.de/promotion/betreuung/gestaltung_promotion.pdf

GUIDELINES FOR THE DOCTORAL PHASE AT LMU

The GraduateCenter^{LMU} is keen to provide doctoral students at LMU with the best possible framework for their studies. Above all, these guidelines for the doctoral phase have been conceived to make the supervisory relationship between university teaching staff and doctoral students more transparent and productive by outlining what all the parties involved should expect from each other.

Many of the points mentioned here are already standard practice at LMU, while certain aspects have become more important over recent years because of the way the doctoral process has developed.

These recommendations have been formulated in such a way that they cover a wide spectrum of subjects, including the range of traditional subjects offered by LMU. This means that some aspects are more relevant to certain subject areas than to others.

DOCTORAL STUDENTS

- (1) Before deciding whether to embark on a doctorate, prospective students should think carefully about their motivation and whether they are prepared to commit to meeting the high academic standards that are required when completing a doctoral project.
- (2) Candidates should consider their potential academic advisor's qualifications and whether this person will be able to offer appropriate supervision and advice in the field they wish to pursue in their doctoral studies.
- (3) Before beginning their doctoral project, students should talk to their advisor about potential career goals inside and outside the world of academia and discuss whether a doctorate is in fact the right advanced qualification for them.
- (4) Doctoral students who are planning to work on their doctoral project on a part-time basis or alongside a job should inform their advisors about how many hours per week they can commit to it.
- (5) Doctoral students should familiarize themselves with the regulations governing their particular doctoral degree. If there is a language barrier, doctoral students should ensure these regulations are explained to them.
- (6) Ideally, the academic supervision should be carried out by a team of advisors¹.

¹ A supervisory team is made up of the main advisor and one or more additional advisors. The main advisor takes responsibility for the supervision of the project while the other advisors play an advisory role. The supervisory team monitors the academic work but is also available to provide advice on all aspects of the doctoral student's career planning. The supervisory team and doctoral student should meet at regular intervals (e.g. every 6 to 12 months).

- (7) The advisor(s) and doctoral student are required to sign an academic supervision agreement² that includes and clarifies the following points:
 - Details of advisor(s) and doctoral student
 - Working title of dissertation
 - Planned time frame for completing the work
 - Creation of a work plan and schedule
 - Details about the frequency, preparation, progress, and recording of meetings between student and advisor(s)
 - Details about how often and in what framework the doctoral student will present their work and report on its progress (e.g. once a year as part of a doctoral colloquium)
 - Obligation to uphold the rules of good academic practice
- (8) Doctoral students are required to stay in regular contact with their advisor.³
- (9) They should deepen and expand their knowledge by attending specialist and non-specialist courses and record their attendance.
- (10) Doctoral students are required to adhere to their work plan and schedule and report on their progress, interim results, chapters, etc. in a timely manner.
- (11) They should advise their advisor of any deviations from the work plan or schedule without delay and provide reasons for these.
- (12) Doctoral students are required to present their research findings at regular intervals (e.g. once a year at the doctoral colloquium).
- (13) They should treat any criticism or suggestions offered by their advisor in a constructive manner.
- (14) Any materials and resources made available to students in order to carry out their projects must be treated responsibly.
- (15) At the appropriate time, doctoral students should talk to their advisor about how they plan to complete their work and sit the final examination.

ADVISORS

- (1) Advisors are required to discuss the following points in depth with doctoral candidates before agreeing to supervise them:
 - The student's reason for wishing to embark on a doctoral degree
 - The opportunities and risks presented by an academic career
 - Whether gaining a doctorate could in fact be a disadvantage in terms of age, over-qualification, or lack of hands-on experience outside the academic world.
- (2) Advisors are required to ensure that candidates have chosen a suitable topic for their doctoral work.
- (3) They should not accept more doctoral students than they can realistically supervise.

² See draft in appendix

³ And the supervisory team

- (4) Advisors should also ensure that candidates select a subject that can be completed within three years (correspondingly longer for part-time studies).
- (5) Advisors should ensure that doctoral students are familiar with all relevant doctoral regulations. If there is a language barrier, the advisor should ensure that the content of the doctoral regulations is explained to the student.
- (6) Ideally, the academic supervision should be carried out by a team of advisors.⁴
- (7) The advisor(s) and the doctoral student are required to sign an academic supervision agreement⁵ that includes and clarifies the following points:
 - Details of advisor(s) and doctoral student
 - Working title of dissertation
 - Planned time frame for completing the work
 - Creation of a work plan and schedule
 - Details about the frequency, preparation, progress, and recording of meetings between student and advisor(s)
 - Details about how often and in what framework the doctoral student will present their work and report on its progress (e.g. once a year as part of a doctoral colloquium)
 - Obligation to uphold the rules of good academic practice
- (8) Advisors should help doctoral students with practical issues, for example by informing them about jobs, scholarships, projects, grants, etc, advising them on issues such as scholarship applications, and providing recommendations and certificates as required.
- (9) If the doctoral student works at the university, the advisor should ensure that all necessary resources are made available (equipment, computer, internet access, budget for travel and other expenses, etc.)
- (10) If necessary, advisors are also responsible for organizing access to laboratories, archives, etc. before the doctoral student begins work on the project.
- (11) If doctoral students are working as research associates in the faculty, it should be ensured that their research and teaching duties do not unreasonably delay their doctoral work.
- (12) If doctoral students are given the opportunity to teach at the university, their advisor should ensure they receive appropriate training.
- (13) Advisors should stay in regular contact with their doctoral students, ensure they spend an adequate amount of time providing advice and support on their project, and discuss their research findings with them in a constructive manner.
- (14) Advisors should encourage the academic autonomy of their doctoral students.

⁴ See footnote 2

⁵ See draft in appendix

They should also help doctoral students to gain a foothold in the academic world at home and abroad by involving them in working groups and academic networks (depending on the particular field of study), encouraging them to attend conventions, conferences and summer schools, helping them to prepare their own presentations, giving tips on publication opportunities, and assisting with the publication process.

- (15) Advisors should also help doctoral students to plan their future careers and discuss their ongoing development in their field and in other non-specialist areas (if appropriate a written agreement should be drawn up detailing which courses should be attended and which other qualification programs considered). Advisors should advise doctoral students about qualification programs that are available within the department and other LMU establishments (GraduateCenter^{LMU}, PROFiL, internal trainings, etc.)
- (16) If advisors are absent for an extended period, they should ensure their doctoral students are still able to contact them during this time.
- (17) Advisors should discuss the procedures involved in the final oral examination (*Rigorosum*) and dissertation defense (*Disputation*) with their doctoral students.
- (18) Assessment of work submitted by students should be carried out promptly and in an objective manner.

Last revised: June 2010

Academic supervision agreement

Note: The content of this agreement should be determined in accordance with the doctoral regulations that are applicable at the time.

This academic supervision agreement has been entered into by the following persons:

- (doctoral student)
- (main advisor)
- (other advisor, if applicable)
- (other advisor, if applicable)

The doctoral student intends to produce a dissertation with the working title
..... at the
..... faculty of
Ludwig-Maximilians-Universität in Munich, Germany.

The planned time frame for completing the dissertation is as follows:

From (start) to (planned end date)

- (1) The doctoral student will agree a work plan and schedule with the main advisor and promptly advise the advisor of any major changes.
- (2) Every (e.g. six) months the doctoral student will submit a short report (approximately one page in length) to the advisors. This should include work done during the reporting period, details of how the content of the dissertation is progressing, and, if appropriate, information about the student's attendance of courses, conferences, guest lectures, doctoral student meetings, and other programs for gaining non-specialist qualifications. The doctoral student will also present interim results in accordance with the work plan and schedule (e.g. chapters, draft publications, etc.)
- (3) Shortly after the student has submitted this short report, a meeting will be held to discuss the progress of the project, ideally involving all advisors. The work plan and schedule will be checked and adjustments or changes made as necessary.
- (4) The doctoral student will take detailed minutes of this meeting (around one page in length). The minutes are to be signed by everyone involved and distributed to all the advisors.

⁶ The draft should be adapted in line with normal practices in particular fields and individual circumstances.

- (5) Every ... (e.g. twelve) months the doctoral student will report on the progress of their work (e.g. in a doctoral colloquium, as part of a summer school, etc.)
- (6) The undersigned agree to uphold the basic principles of good academic practice.⁷

Date and signatures

..... (Date, doctoral student)

..... (Date, main advisor)

..... (Date, other advisor)

..... (Date, other advisor)

Draft GraduateCenter^{LMU}
Last revised: June 2010

⁷ The regulations that apply to LMU can be downloaded at the following link: http://www.uni-muenchen.de/einrichtungen/zuv/uebersicht/dez_i/hochschulr/lmu/richtlinien/Wiss-Fehlverhalten-r00.pdf