



TECHNISCHE
UNIVERSITÄT
DRESDEN

VOLITION AND
COGNITIVE CONTROL



MECHANISMS
MODULATORS
DYSFUNCTIONS

DFG
SFB 940

GUIDELINES FOR THE SUPER- VISION OF DOCTORAL DISSERTATIONS

WITHIN THE MODUL GRADUIERTENKOLLEG OF THE
SFB 940 VOLITION AND COGNITIVE CONTROL



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Preamble

By providing these *Guidelines for the Supervision of Doctoral Dissertations*, the Modul Graduiertenkolleg (MGK) of the Collaborative Research Centre (CRC) “*Volition and Cognitive Control*” and participating departments aim to improve the quality of supervision during doctoral training and provide helpful suggestions of both supervisors and doctoral candidates. The guidelines were adopted from the guidelines of the *Bielefeld Graduate School in History and Sociology* by the *Working Group for Good Supervision*, which was formed on the initiative of doctoral candidates and the board of the *Women in Science Program*. The working group is composed of faculty members, academic staff, and doctoral candidates.

In addition to the supervision agreement that all doctoral students conclude with their (principal) supervisors and the MGK Chief Coordinator, the *Guidelines for the Supervision of Doctoral Dissertations* are another component of the efforts to improve conditions for doctoral candidates within the CRC. They form the basis for the arrangement of binding student-supervisor relations and define the role of the MGK with respect to supervision.

These guidelines help in the supervision process by offering suggestions on how to establish commitments and responsibilities and how to prevent conflicts and problems in the supervision process through timely clarification of each party’s expectations. For doctoral candidates, these guidelines intent to encourage the realistic assessment and communication of the own expectations of and needs from the supervision in order to advance their academic and career development. At the same time, the guidelines provide information on the rights and obligations of both, the doctoral candidates and the supervisors. Though faculty members who have already served many years as supervisors at the *Technische Universität Dresden* are familiar with the supervision process, they may find new helpful suggestions in these guidelines.

The guidelines can be downloaded from the website of the CRC. All new doctoral students receive a copy together with the supervision agreement. The *Guidelines for the Supervision of Doctoral Dissertations* are deemed voluntary guidelines for arranging and developing the supervisory relationship.

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[CRC Speaker, MGK represent]

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I. Guidelines for good supervision

1 Supervision framework

The MGK defines the supervision framework: the supervision is to be carried out by two supervisors - the principal and secondary supervisor. Preferably one of these supervisors also serves as a referee of the doctoral thesis. Good supervision requires the active participation of all three parties involved in the dissertation project:

1.1. The Principal supervisor

The principal supervisor is favourably but not necessarily a principal investigator in the CRC project the doctoral student aims to receive a doctor's degree in. He/she is mainly responsible for the supervision and must therefore have sufficient time available for supervising. At best, he/she works in a research area closely related to the dissertation topic.

1.2. The Secondary supervisor

The secondary supervisor can be another professor or a post-doctoral researcher in the department concerned or in another department. It is entirely possible to have a secondary supervisor from a different disciplinary field, particularly when the dissertation project is interdisciplinary. The secondary supervisor monitors and evaluates the supervision process and is required to report to the MGK by handing in the evaluation sheets of supervision (provided in Appendix D) once a year.

Moreover he/she serves the doctoral candidate as a first contact person in case problems with the principal supervisor arise. Only thereafter the consultation of the MGK coordinator to support conflict resolution is recommended. Therefore it is advisable to choose a secondary supervisor who is hierarchically superordinate to the principal supervisor.

The principal and secondary supervisors may have very different roles in the supervision. However, the boundaries are not always well defined, and occasionally the two supervisors may give a doctoral candidate contradictory advice. Should this occur, it is advisable to have both supervisors come to joint supervision meetings, in order to avoid incongruous signals when obtaining guidance. Doctoral students and supervisors can contact the Chief MGK Coordinator Prof. Dr. Alexander Strobel (alexander.strobel@tu-dresden.de) for mediation and assistance in resolving any potential conflicts (see also section I.6. for conflict management).

1.3. The Doctoral candidate

The doctoral candidate supports his/her project, his/her supervisor and the CRC. The candidate commits him-/herself to align his/her work with the project's and therefore the CRC's goals. The supervisor may use the publications of the doctoral candidate for his/her own career. The CRC may be supported by the student's engagement in retreats, workshops and colloquia and is represented by the doctoral candidate at conferences and in the scientific community. Furthermore, the doctoral candidate takes the responsibility to document the progress of his/her dissertation.

2 The supervisors' responsibilities

The core purpose of supervision is to provide professional and topic-specific support during a candidate's doctoral studies and research, which requires to discuss his or her research work and to provide encouragement and advice. This process begins with the formulation of the dissertation topic and continues with the review of project outlines and discussion of methodological and theoretical issues, and comes to an end with the formal doctoral procedures after submission of the dissertation thesis.

2.1. Time expense of the supervision

Supervisors are expected to spend an appropriate period of time preparing for a substantial and formal meeting with their student, particularly through reading materials. This would average out to a minimum of one hour per week (many supervisors find that it takes closer to two hours a week) with more time given at critical points in the candidature. Moreover supervisors will need to be available for confirmation, completion and work in progress presentations, and assist with time intensive tasks such as ethics applications.

2.2. Student-Supervisor relationship and regular supervision meetings

Supervisors should build a constructive and positive working relationship with their doctoral students. The intensity of the supervision depends on the given circumstances and cannot be generalised. It is very difficult for a supervisor to keep track of a candidate's progress or to monitor for problems that might lead the candidate not to complete unless there are regular meetings. The MGK guidelines recommend at least **three substantial and formal meetings per year** even at times where low frequency is needed (see also 1.4 about personal supervision meetings). It is the principal supervisor's responsibility to ensure that regular meetings are held with the candidate. If responsibility for organising meeting times is delegated to a co-supervisor or the candidate, that needs to be made explicit and the principal supervisor should still monitor to ensure meetings occur.

Candidates should be given notice of times when one or both of their supervisors will be absent (for leave or university business). In cases of longer absence of supervisors and inaccessibility (e.g. due to illness) arrangements need to be made about how work will proceed during this time. This may involve the other supervisor(s) taking on a larger role. For the candidate this might also mean to work more independently during such periods.

2.3. Supervising progress on the career path

Next to discussing a student's doctoral work good supervision also involves the promotion of the candidate's integration into the academic work environment and the respective scientific community. Supervisors should counsel doctoral candidates seeking a career in academia on the development of their career perspectives and, together with the student, help cultivate their career perspectives during their conversations. The candidate and supervisor might, for example, discuss publication strategies or other efforts to position the student in a particular academic context. Moreover it might be helpful that the candidate to present his/her dissertation project not only in colloquia series organised within the single departments, but also in other relevant contexts. The supervisor might also point out relevant conferences, while at the same time taking into account the need for a suitable relationship between conference activities and continued progress of the dissertation. Supervisors should encourage doctoral candidates to make contacts within relevant scientific communities, to identify appropriate places and forums for discussing one's research work. Moreover, supervisors should inform doctoral students of measures and services that promote equal opportunities and equality of treatment in academic life (e.g. the *Women in Science Programme*).

2.4. Advising on the content of the doctoral course of studies

The MGK obliges students to participate in certain courses to develop scientific techniques and methodological skills, which are described in the *PHD program information and record of achievement*. Because the course of studies can be individually designed, the supervisor should be available to give advice to the student when he or she is determining the obligations to be fulfilled.

The main responsibilities of the Principal supervisor are summarized in *Figure 1*. Due to their high importance for the dissertation process, personal supervision meetings and the dissertation timeframe and schedule are discussed in section I.3 and I.4 below.



Figure 1. The six main responsibilities of the principal supervisor as recommended by the MGK.

3 Personal supervision meetings

Before signing the supervision agreement, both parties - the supervisor and the doctoral candidate - need to make entirely clear their mutual expectations with regard to the individual supervision and the supervisor's role in accompanying the dissertation process.

3.1. Frequency of meetings

By signing the supervision agreement, the supervisor and the doctoral candidate agree to meet at least for three intensive sessions per year. In these intensive two to three hour meetings the dissertation project and the doctoral student's progress are discussed. The frequency of these discussions can, however, be adapted to suit the individual needs of the supervisory relationship.

3.2. Topics for discussion

Good supervision entails first and foremost discussion of work in progress and the outcomes achieved, as well as a reciprocal understanding of the next stages of work to be completed. Unambiguous and realistic goals on the next steps that can be accomplished until the next meeting help to create clarity about the supervisor's expectations and also facilitate a structured and incremental progress in the completion of the dissertation. The following list provides suggestions that might be discussed (but is not meant to be exhaustive):

- Have the agreed interim goals been achieved?
- What has gone well since the last meeting? Where have things gone less well? What conclusions can be drawn from this for future work?
- In what stage is the research and dissertation currently?
- Which text passages and/or paper drafts need to be discussed?
- Which conferences would be suitable for presenting and discussing the dissertation project and parts of the work?
- What actions can be taken now to further the professional career? What are the impending steps to further develop career perspectives?
- When will the next supervision meeting take place? What stages of work need to be completed by then?
- Are there other important points to cover?

3.3. Logging/ Protocol

It is strongly recommended to log each supervision meeting using the protocol (Checklist 1) provided in Appendix B. Each participant confirms its correctness per signature. In case an unclear situation arises, these notes may contribute to clarification of different perspectives. Additionally these records provide a basis for the monitoring and evaluation of the supervision process carried out by the secondary supervisor.

This protocol also contains the date for the next supervision meeting.

4 Timeframe and schedule for the dissertation

One important responsibility of the principal supervisor is to help the doctoral candidate structuring his/her qualification phase in such a way that the time-to-degree remains manageable and reasonable. Because the number of completed dissertations is an important measure of success for the whole CRC and thus essential for CRC evaluation and extension, the MGK strongly advises doctoral candidates to design their dissertation project in a way that allows a **submission and revision** (not public disputation) of the dissertation within three to **three and a half years**. Due to this tight time schedule, it is advisable to structure the entire course of the dissertation project, most preferably into several work stages that include specific interim goals and an idea on how to achieve them within a realistic period of time.

The three annual supervision meetings recommended by the MGK lend itself for scheduling certain milestones of the dissertation project. Each milestone includes specific interim goals that need to be accomplished within approximately 3 to 4 months. With their high professional expertise the principal supervisor reviews the doctoral candidate's time schedule in order to verify whether the proposed interim goals and timeframes have been realistically planned. The resulting work plan and schedule of the entire dissertation project is then handed in at the MGK office within **six months** (at the latest) of admission to the MGK program. As this work plan and schedule is very likely to change as the dissertation proceeds, the doctoral candidate **annually** submits a current and updated work plan and schedule to the MGK (alexander.strobel@tu-dresden.de).

Despite an intended flexibility in accomplishing the doctoral degree, the MGK established five performance criteria in order to support the completion of a dissertation in time. The criteria are illustrated in *Figure 2* and are considered as standards that need to be maintained by all doctoral candidates admitted to the MGK, irrespective of the concrete CRC project they work in and/or the concrete design of their dissertation process. By signing the supervision agreement, the doctoral candidate and his/her supervisors agree to do their utmost to meet these criteria.

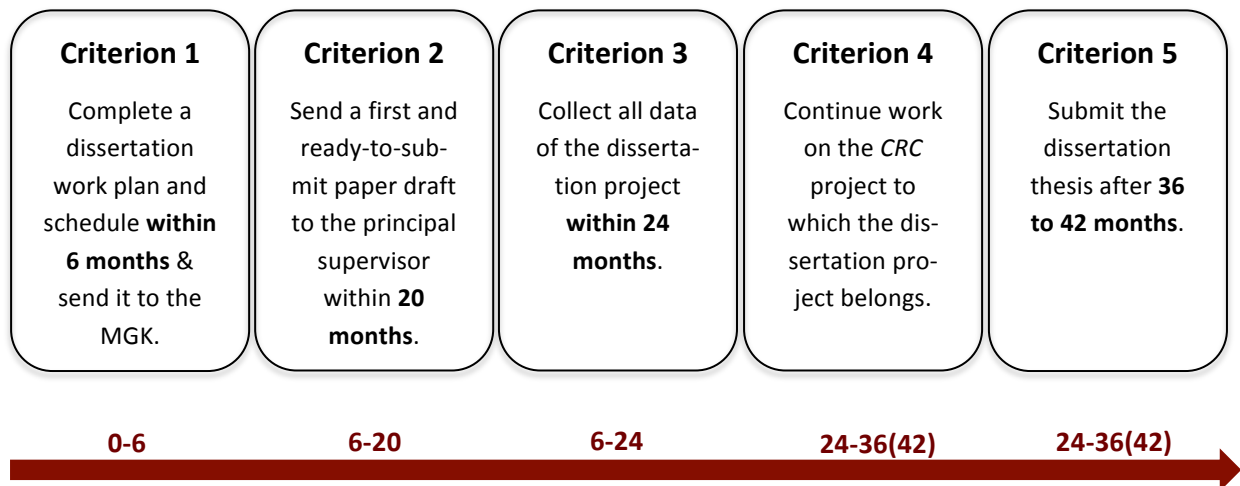


Figure 2. Five criteria established by the MGK that need to be met in order to complete a dissertation project within the *CRC* within three up to three and a half year. The recommended, three annual supervision meetings and the five performance criteria established by the MGK could result in an idealized dissertation process as visualised in *Figure 3*.

Time in months since the beginning of the dissertation

Meeting 1	3	<ul style="list-style-type: none"> *@ MANDATORY: Specify the dissertation topic & research questions *@ OPTIONAL: Discuss the dissertation outline (e.g. number of studies/ aim of studies)
Meeting 2	6	<ul style="list-style-type: none"> *@ MANDATORY: Finalize a dissertation work plan & schedule ⇒ send it to the MGK *@ OPTIONAL: Discuss the design and/or data collection of study 1
	7	<ul style="list-style-type: none"> *@ OPTIONAL: Start data collection of study 1
Meeting 3	10	<ul style="list-style-type: none"> *@ OPTIONAL: Discuss data analysis strategy and/or results of study 1
	11	<ul style="list-style-type: none"> *@ OPTIONAL: Analyse data of study 1/ use results of study 1 to update study 2
	12	<ul style="list-style-type: none"> *@ OPTIONAL: Start data collection of study 2
Meeting 4	14	<ul style="list-style-type: none"> *@ OPTIONAL: Discuss data analysis strategy and/or results of study 2 *@ MANDATORY: Discuss outline* and publication process of paper 1 ⇒ use Checklist D * the first paper might be a review/meta-analysis etc.
	15	<ul style="list-style-type: none"> *@ OPTIONAL: Analyse data of study 2/ use results of study 2 to update study 3
	16	<ul style="list-style-type: none"> *@ MANDATORY: Work on paper 1 ⇒ send it to the principal supervisor
Meeting 5	18	<ul style="list-style-type: none"> *@ OPTIONAL: Discuss study design of study 3 *@ OPTIONAL: Update the dissertation work plan and schedule *@ MANDATORY: Discuss publication process of paper 1 ⇒ update/use Checklist D
	20	<ul style="list-style-type: none"> *@ MANDATORY: Submit paper 1
	21	<ul style="list-style-type: none"> *@ OPTIONAL: Start data collection of study 3
Meeting 6	22	<ul style="list-style-type: none"> *@ MANDATORY: Discuss/update the dissertation work plan & schedule ⇒ send it to the MGK *@ OPTIONAL: Discuss outline and publication process of paper 2 ⇒ use Checklist D
	23	<ul style="list-style-type: none"> *@ OPTIONAL: Work on paper 2 ⇒ send it to the principal supervisor
Meeting 7	24	<ul style="list-style-type: none"> *@ MANDATORY: Finalize data collection of the dissertation project
	25	<ul style="list-style-type: none"> *@ MANDATORY: Continue work in the CRC project
	27	<ul style="list-style-type: none"> *@ OPTIONAL: Submit paper 2
Meeting 8	28	<ul style="list-style-type: none"> *@ MANDATORY: Discuss the dissertation thesis outline (e.g. language/ length/content)
	33	<ul style="list-style-type: none"> *@ MANDATORY: Work on the dissertation thesis ⇒ send it to the principal supervisor
Meeting 9	34	<ul style="list-style-type: none"> *@ MANDATORY: Feedback and final discussion of the dissertation thesis
	36	<ul style="list-style-type: none"> *@ MANDATORY: Submit the dissertation thesis

Figure 3. A schematic flow of a dissertation process as structured by the three annual supervision meetings. Shaded area indicates flexible part/phases of individual dissertation projects. The five performance criteria established by the MGK are illustrated in bold type. Please note that each supervision meeting includes the evaluation of previously set interim goals and the definition of new goals as recommended by the protocol of supervision meetings (provided in Appendix C).

The dissertation project ends with the submission of the dissertation thesis. After submission the regular doctoral degree procedure of the Faculty of Mathematics and Sciences begins. Once initiated, the procedure involves the acceptance of the dissertation thesis (possibly after its revision), its two-week public display, a doctoral viva and an oral defence of the dissertation.

Doctoral candidates are urged to familiarize themselves with the regular doctoral degree procedure as condensed in the doctoral degree regulations. These regulations were adopted on 23rd February 2011 by the faculty council of the Faculty of Mathematics and Science (last constitution amendment was adopted on 18th June 2014) and can be read online on the from the following website:

https://tu-dresden.de/die_tu_dresden/fakultaeten/fakultaet_mathematik_und_naturwissenschaften/promotionsordnung

Important information about the regular doctoral degree procedure

The formal configuration of the dissertation is not specified by the doctoral degree regulations of the faculty. For this reason, it is advisable for doctoral candidates to consult his/her principal investigator for arrangements concerning the type of dissertation (publication based vs. accumulated vs. monograph) and its specific configuration (e.g. language, length) early in the dissertation process. Importantly, these configurations might differ between different dissertation supervisors and between different projects within the CRC. For example, only some supervisors demand the conductance of alternative studies that might be related to but were not directly included in the CRC project.

5 The supervision agreement

The supervisory relationship is laid out in a supervision agreement concluded between the doctoral candidate, the supervisors and the MGK. The agreement is designed to ensure the best-possible counsel, supervision and support to doctoral candidates in the MGK. Among other things listed below, the doctoral candidate and both supervisors commit to observe the rules of good scientific practice (see III.1., p.13). By signing the supervision agreement, the student and supervisors commit to the following rights and obligations:

5.1. The doctoral candidate in the MGK agrees...

- To try his best to meet the five performance criteria provided on page 8
- To provide a detailed dissertation work plan and schedule of the entire dissertation project to the MGK (alexander.strobel@tu-dresden.de) within six months after commencing his/her dissertation project
- To prepare supervision meetings in advance and send the agenda to the supervisor(s) at the latest 3 days in advance
- To annually send an updated work plan and schedule to the MGK
- To inform him-/herself about and participate in events and trainings organised by the *Graduiertenakademie TU Dresden*, the CRC and/or the MGK
- To inform the MGK office of any change of address or other contact information (petra.paschke@tu-dresden.de)
- To inform the supervisors and the MGK in written form should he or she decide to discontinue the dissertation program, and to state the reason for this decision
- To provide work (e.g. manuscripts) of highest quality and formal accuracy
- To acknowledge that giving substantial feedback about his/her work (e.g. manuscript) can take up to 4 weeks

5.2. The first supervisor of the doctoral candidate in the MGK agrees...

- To discuss the doctoral candidate's dissertation project and ongoing work in detail three times per year;
- To check with the doctoral candidate on whether the proposed work stages and timeframes have been realistically planned, thereby securing that the time-to-degree remains manageable and reasonable
- To provide substantial and constructive feedback about the candidates work (e.g. a manuscript) within 4 weeks
- To prepare the three annual supervision meetings in advance

5.3. The second supervisor of the doctoral candidate in the MGK agrees...

- To discuss the doctoral candidate's dissertation project and ongoing work with both, the first supervisor and doctoral candidate once year;
- To evaluate the supervision of the first supervisor at these meetings and provide this evaluation to the doctoral candidate (for archiving) and the MGK (alexander.strobel@tu-dresden.de)

5.4. The MGK agrees...

- To promote doctoral candidates by defraying the costs of conference participation, research-related traveling, trainings and language courses
- To promote doctoral candidates by providing his/her personal profile on the MGK website (displaying his or her CV, dissertation title and topic, etc.)
- To promote dissertation projects by acting as a mediator in the event of a conflict;
- To promote doctoral candidates by supporting the organization of research stays abroad
- To ensure that the period between submission of the work and disputation does not exceed six months.

The supervision agreement obliges all parties involved to observe minimal standards. In the actual elaboration of the supervision arrangement, however, both doctoral students and supervisors are required to actively shape the supervision process, and not simply observe the stated rights and obligations. Good academic supervision arises only if the doctoral candidate and the supervisor seize the opportunity to actively create a supervision arrangement best suited to the particular situation.

6 Conflicts resolution

The MGK is committed to support and mediate any conflict that may occur during the dissertation process. Upon request of one of the two parties (alexander.strobel@tu.dresden.de), a personal meeting with all parties involved and the MGK coordinator will be the first step in the process of conflict management. If thereafter a constructive resolution requires further counselling an external mediator may be consulted. An external mediator will be consulted only after an open discussion among all individuals involved in the conflict has taken place.

It is important to mention that the support provided by the MGK aims at helping both parties involved to reach consensus without direct interference in the supervision relationship. All concerns brought to the MGK office are of course treated with utmost discretion. The

office only takes steps towards conflict resolution in agreement with the person who sought counsel.

II. Related information

1 Rules of good scientific practice

The Guidelines for Safeguarding Good Scientific Practice, Avoiding Scientific Misconduct and Dealing with Violations were adopted on 3rd March 2014 by the Rectorate of the *Technische Universität Dresden* and can be downloaded from the following website:

http://tu-dresden.de/die_tu_dresden/qm/wisprax/guidelines

All research facilities that receive financial support by the *Deutsche Forschungsgemeinschaft (DFG)* - including the CRC- have committed to stick to these Guidelines.

2 Publishing within CRC projects

Conducting research and publishing the results is an essential part of the professional development and advancement of the doctoral candidates. During their research process, doctoral candidates have the opportunity to acquire new skills, network with other researchers and personally contribute new knowledge to a given research field. At best, the research process culminates in publication(s) that acknowledge the scientific or professional contributions of all individuals involved in the research process. In general, the research projects of the CRC have been conceived by the principal investigators (PIs) but are conducted by the doctoral candidates. A successful implementation of a project, including publications, is therefore contingent on the active collaboration of both, the PIs and doctoral candidates, who are commonly subjected to supervision by the PI. In order to prevent any conflicts about authorships and publications that might arise due to infrastructural issues (e.g. because the PI is not the principal supervisor of the doctoral candidate), the following points should be considered to ensure the project's success. These points are adopted from the *Publication Manual* and *Graduate Student's Guide* that have been provided by the *American Psychological Association APA* (2006, 2009) as well as the recommendations for Good scientific Practice of the DFG. Upon request, the Chief and/or Deputy Coordinator of the MGK can provide mediation to resolve conflicts concerning publications (see Section I.6 for conflict management):

⋮⋮⋮⋮ Authorship and other publication credits should accurately reflect the relative scientific or professional contributions of the individuals involved, regardless of their status within the professional hierarchy. Mere possession of an institutional position does not justify authorship credit. Minor contributions to the research or to the writing for publication are to be appropriately acknowledged, such as in footnotes or in an introductory statement. More precisely, meeting **one** of the following points does **not** justify an authorship (recommendation 11 and 12; DFG, 2013):

- Mere attraction of funding

- Mere provision of standard study materials, technical equipment or data
 - Mere possession of an institutional position
 - Mere support in data collection
 - Mere reading of a manuscript draft without providing substantial feedback
 - Mere instruction of project staff into standard methods or equipment
- ☐☐☐☐☐ An open discussion on authorship among all individuals involved in the research project is necessary throughout the research and publication process. The progress of negotiation and determination of authorships is regarded as a dynamic process rather than a predetermined or fixed decision. This discussion might address the following points:
- What is a scientific contribution?
 - What are the expectations **and** responsibilities of each contributor to the project?
 - What is the expected timeframe to accomplish the accepted task(s)?
- ☐☐☐☐☐ In order to prevent conflicts about authorships, the MGK strongly recommends using Checklist 2 **before** as well as **during** the publication process. Therefore initial agreements on the authorship order might change throughout the publication process in order to reflect the actual contributions of all persons involved (Checklist 2 is provided in Appendix C)
- ☐☐☐☐☐ **All co/authors commit themselves to..**
- a. be informed about basic theories and actual development within a given field;
 - b. be well prepared for discussions about the manuscript (e.g. by reading the latest version of the manuscript);
 - c. provide a manuscript of highest quality and formal accuracy;
 - d. provide feedback about a manuscript within **4 weeks**
- ☐☐☐☐☐ In general, the first author has substantially contributed to the project (e.g. by the conception of the study or experiment or by data acquisition, analyses and interpretation) **and** has primarily written the first draft of the manuscript. The senior author generally supervises the research and publication process and takes responsibility of the integrity of the research project and its outcomes. Other contributors should be listed in accordance with their input to the research and publication process.
- ☐☐☐☐☐ If the doctoral position is financed by the CRC, it must be listed on all publications that the doctoral candidates have achieved. This might be realised within the *Role of funding sources* like this “This work was supported by the German Research Foundation (DFG, SFB 940/2 Project), which was not involved in the design of the study, collection and analysis of data, as well as the decision to publish the presented data.”

3 Contact information

Staff	Responsibility	Contact
Prof. Dr. Alexander Strobel	*📧 Chief MGK Coordinator	*📧 alexander.strobel@tu-dresden.de
Prof. Dr. Thomas Goschke	*📧 CRC Speaker/ MGK Represent	*📧 thomas.goschke@tu-dresden.de
Prof. Dr. Clemens Kirschbaun	*📧 Deputy MGK Coordinator	*📧 clemens.kirschbaum@tu-dresden.de
Bianca Fricke, Dipl.-Kfr.	*📧 MGK office	*📧 bianca.fricke@tu-dresden.de
Petra Paschke	*📧 CRC finance	*📧 petra.paschke@tu-dresden.de

Supplement

Appendix A. Parenthood during the dissertation period

Appendix B. Checklist 1. Personal supervision meetings

Appendix C. Checklist 2. Publishing within CRC projects

Appendix D. Checklist 3. Supervision evaluation sheet

Appendix A. Parenthood during the dissertation period

For quite a lot of doctoral candidates, male as well as female, the dissertation period overlaps with a period of life in which family planning becomes an issue as well. Some might, however, delay their private wishes being anxious to reach their academic goals in time before their fixed-form contract expires. For this reason more transparency concerning this topic might be needed: Your fixed-form contract will be extended by the time spent in maternity and parental leave. Simply inform Sabine Wollmann (Mail: sabine.wollmann@tu-dresden.de, Tel.:0351 463-33129) as soon as you know when and for how long you will be on parental leave. She successfully guides scientific assistants through the application. The application form can be found via the link below:

https://www.verw.tu-dresden.de/VerwRicht/Formulare/download.asp?file=Antrag_Elternzeit.pdf

Checklist 1. Protocol for personal supervision meeting		Date
Attendees	Agenda	
Was this agenda communicated at least three days before the meeting? yes <input type="checkbox"/> /no <input type="checkbox"/>		
I. Evaluate the dissertation progress		
How satisfied are you concerning the progress made on the dissertation project? [to be filled in by the PhD student]		
1	2	3
4	5	6
7	8	9
10		
strongly dissatisfied	very satis- fied	
If your answer is below 5, please give reasons for your reply!		
How satisfied are you concerning the progress made on the dissertation project? [to be filled in by the principal supervisor]		
1	2	3
4	5	6
7	8	9
10		
strongly dissatisfied	very satis- fied	
If your answer is below 5, please give reasons for your reply!		
How satisfied are you concerning the progress made on the dissertation project? [to be filled in by the secondary supervisor]		
1	2	3
4	5	6
7	8	9
10		
strongly dissatisfied	very satis- fied	
If your answer is below 5, please give reasons for your reply!		
II. Evaluate previous interim goals		
[If this is the 1 st personal supervision meeting and there are no interim goals to be evaluated please tick the box <input type="checkbox"/>		
Interim goal to be evaluated	Accomplished?	Problems?
	yes <input type="checkbox"/> /no <input type="checkbox"/>	
	yes <input type="checkbox"/> /no <input type="checkbox"/>	
	yes <input type="checkbox"/> /no <input type="checkbox"/>	
	yes <input type="checkbox"/> /no <input type="checkbox"/>	
III. Set new interim goals		
What?	How?	Until when?

IV. Is one interim goal to write a first draft of a manuscript? [If this is the case please use Checklist 2 to arrange manuscript draft writing]		yes <input type="checkbox"/> /no <input type="checkbox"/>
1. If so, is Checklist 2 completed to arrange manuscript draft writing?		yes <input type="checkbox"/> /no <input type="checkbox"/>
2. Are all contributors to the manuscript present?		yes <input type="checkbox"/> /no <input type="checkbox"/>
[If not, please shortly indicate how they should be informed by whom, which activities they should complete and how they should agree on this division of activities]		
3. Are all contributors agreeing on the reached compromise of authorship?		yes <input type="checkbox"/> /no <input type="checkbox"/>
[If not, please shortly indicate how to further proceed]		
As this Checklist serves as a protocol of the meetings please individually sign its correctness and integrity.		
Attendee		Attendee

Checklist 2. Activities associated with a research manuscript. Points and method of assignment. This checklist should be completed collaboratively, with discussion including all contributors. Scores are estimates and are negotiable as the project progresses. Some of the items might not be appropriate for studies analysing existing data and authorship "cut-off" scores may have to be adjusted. Please note that these scores should be used as guidelines and that the final order of authors might not reflect the rank of the contributors' scores (APA, 2006).

(Draft) Title:

Target Journal(s) for submission:

Activity Category	[Category description]	Total Points	Method of assigning points*	Contributor Score (the total of these columns should equal the Total Points of each activity)				
				Initials				
Study conceptualization	[Considers the person who proposed a research idea first as well as those, who have revised and refine it until it could be realised]	50	Q					
Literature search	[Involves information about the construct/ theoretical frameworks/ potential confounders and/or operationalizations]	20	T					
Study design	[Involves specifications of (in)dependent variables/ design/ sample, task characteristics]	30	Q					
Task selection	[Involves operationalizations of variables/ pilot studies/ usage permissions; Simply suggesting an instrument/task is inappropriate to receive points]	10	Q					
Task construction	[Involves empiric evaluation of its psychometric properties; computer task programming; programming of other technical equipment]	40	Q/T					
Data collection/editing	[Involves scoring/coding/evaluating/pre-analysing data and data entry as well as data management]	40	Q/T					
Analysis strategy	[Involves the design of an statistical analysis strategy and at least a verbal communication of it to the author(s) of the manuscript]	10	Q					
Analysing	[Involves the application of the chosen statistical test/ creation of graphs, figures and tables]	10	T					
Result interpretation	[Interpretation of the data and test statistics]	10	Q					

Drafting manuscripts

First draft	[Writing a first draft of a manuscript; different sections can be assigned to different authors]	50	T					
Second draft	[Revision of the first draft, e.g. including given feedback/ formal, style and/or language revisions]	30	T					
Editing manuscript	[Mostly before a first submission/ (formal) correction of grammatical errors/ reference style mistake etc.]	10	T					
Revision/Redraft	[After submission/ Incorporation of reviewer comments/ writing response letter]	2	T					

Total Score
(50 points minimum to be an author)

Special agreements:

Signatures:

Initials		Initials	

* Points assigned on the basis of Q = qualitative criteria of the contribution and its importance and/or T = on the basis of quantitative criteria, i.e. the relative amount of time needed to complete the task/ revise pages etc. The total points of each category can be distributed to several contributors.			

Checklist 3. Supervision evaluation sheet		Number
Doctoral candidate		
Principal supervisor		
Secondary supervisor [Should fill out this evaluation sheet]		
1	What is the dissertation topic?	
2	When did the dissertation project officially start?	Date:
3	How many months have passed since the official start?	Number of months:
	Since the official start, ...	
4a	How many personal supervision meetings have been held with the principal supervisor?	Number of held supervision meetings:
4b	How many personal supervision meetings have been proposed? [i.e. based on the recommended, three annual meetings]	Number of proposed supervision meetings:
4c	How many personal supervision meetings have been held with the secondary supervisor?	Number of meetings:
	In your personal view...	
5	How is the emotional support provided by your principal supervisor?	insufficiently 1-2-3-4-5-6 sufficiently
6	Does your principal supervisor ensure regular supervision meetings (3 per year)?	insufficiently 1-2-3-4-5-6 sufficiently
7	How well prepared does your principal supervisor attend the formal meetings?	insufficiently 1-2-3-4-5-6 sufficiently
8	How did your principal supervisor help you structure your dissertation project?	insufficiently 1-2-3-4-5-6 sufficiently
9	How did your principal supervisor provide advice on your dissertation thesis? [i.e. review paper drafts, discuss methodological and theoretical issues]	insufficiently 1-2-3-4-5-6 sufficiently
10	How did your principal supervisor counsel the publication of data?	insufficiently 1-2-3-4-5-6 sufficiently
11	How did your principal supervisor encourage your career development?	insufficiently 1-2-3-4-5-6 sufficiently
Date/ Signature		