

# **Employment and Supervision of Doctoral Candidates at the University of Basel**

**University process, approved by the President's Board on 26 November 2019, valid from 1 January 2020**

The aim of the process described in the following is to ensure that all members of the University of Basel, and above all doctoral candidates and supervisors, enjoy good, transparent and equal conditions during the qualification phase of the «doctorate». The process leaves room for the discipline-specific implementation of the process steps in order to take into account the different research cultures. It is recommended that the faculties and university institutes draw up further detailed regulations regarding process flows and responsibilities. Links to the documents mentioned in the process diagram, faculty regulations and useful self-service instruments (Toolbox, Good Practices) can be found on the Graduate Center's website ([unibas.ch/grace](http://unibas.ch/grace)).

## **Overview of the different doctorate scenarios:**

### **With an employment: → Process A on page 2**

1. Doctoral candidate with a structural position (category according to «Ordnung für das Wissenschaftliche Personal OWP»: Assistant with a Master)
2. Doctoral candidate with a non-structural position (third-party funded position, category according to OWP: Project assistant)

### **Without an employment: → Process B on page 4**

3. Doctoral candidate without an employment at the University of Basel

## A. Process Employment and Supervision of Doctoral Candidates with a Position at the University of Basel for structural and non-structural position

Step	1. Application	2. Job posting or inquiry	3. Job or entry interview	4. Employment documents	5. Employment	6. Status review meeting	7. Extension of contract
<b>What</b>	<ul style="list-style-type: none"> <li>Application to fill post</li> <li>Job description</li> <li>Non-structural positions (project assistant): <a href="#">funding plan</a></li> </ul>	<ul style="list-style-type: none"> <li>Job posting</li> </ul> <p>Note: A job posting is not mandatory. Potential doctoral candidates can also be inquired about personally.</p>	<p>The job description and the application documents form the basis of the interview. The supervisor informs the candidates about the goals and tasks of the position and about the doctoral agreement (**) (if necessary together with the MD, if supervision and job responsibility are divided between two people).</p>	<ul style="list-style-type: none"> <li>Personnel form, copy of passport or ID and diploma, CV, foto (for UNlcard)</li> <li>Confirmation of matriculation</li> <li>Job description</li> <li>Doctoral agreement (a first version must be submitted to HRd within half a year after matriculation)</li> </ul>	<ul style="list-style-type: none"> <li>Employment contract</li> <li>A-Z for Staff</li> <li>Overview Advisory Services</li> </ul>	<p>Annual status review meeting at least once per year between at least the first supervisor and the doctoral candidate to discuss the academic qualification work/thesis, the work situation and non/academic career paths. The result will be documented in the (new) section «Status Review Meeting» of the doctoral agreement; the agreement will be checked and, if necessary, updated (**).</p> <p>Note: The doctoral candidate must be informed about the contract extension at least two months before the contract ends, in written form (email suffices)   filing in eDossier   controlling MD. Process if the extension is viewed critically → ***</p>	<p>After one year, if OK by both first supervisor and doctoral candidate, the contract will be extended for another 3 years (structural position) or <a href="#">according to doctoral agreement (non-structural position)</a> respectively. (***) In justified cases, the contract can be extended for the maximum duration of one year (OWP Par. 23).</p>
<b>Who</b>	Person responsible	Person responsible	The candidate informs himself/herself about the conditions of employment and clarifies any open question regarding conditions and tasks.	Person responsible	Human Resources central		Person responsible
<b>Action</b>	prepares documents and sends them to	prepares the job posting and sends them to		submits documents to	sends documents to		sends personnel form (with justification) to
<b>To whom</b>	HRd <a href="http://unibas.ch/dezhr">unibas.ch/dezhr</a>	HRc via HRd		HRc via HRd	doctoral candidate via HRd		HRc via HRd
<b>Action</b>	→ Job release by Managing Director once all the required documents are ready	→ Job posting by HR Services <a href="mailto:hr-services@unibas.ch">hr-services@unibas.ch</a>	The job description is signed by the first supervisor and the doctoral candidate (as well as the PR, if PR and MD are not identical).	→ Preparation of contract by HRc after OK by MD once the employment file is complete. MD also controls the submission of the doctoral agreement.	→ filing of contract and updating of SAP by HRc (eDossier), doctoral candidate receives second original.		→ Preparing and filing of contract, SAP update by HRc (eDossier), doctoral candidate receives second original.

### Color coding

- Academia
- Administration
- Meetings and interviews

### Abbreviations

- MD = Managing Director
- HRd = Human Resources decentral
- HRc = Human Resources central
- OWP = Ordnung für das Wissenschaftliche Personal an der Universität Basel
- PR = Person responsible for the position (see next page \*)

\*

If the person responsible for the budget (PR for position, e.g. professor with a chair) is not identical with the supervising person (first supervisor, e.g. assistant with a doctorate), the process is carried out in consultation. If appropriate, steps 1 to 7 can be passed on from the PR to the first supervisor or administrative processes delegated from the faculty to HRd or to the Research or Teaching Deans Office.

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At least the first (within half a year of starting the doctorate) and final version of the doctoral agreement is filed in the eDossier. The managing directors (or a person or persons delegated by them) keep the original of the current doctoral agreement centrally and check if the status review meetings are held at least once a year and are documented in the doctoral agreements. In the case of non-structural positions, the duration of employment must be stated in the doctoral agreement.

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If the extension of the contract is viewed critically by the first supervisor and/or the person responsible for the job (if the two persons are non-identical), the status review meeting must be held with the whole doctoral committee or, if it has not yet been formed, with the chair of the doctoral board or a person delegated by the board). The non-renewal of the contract of an assistant in a structural position must be justified in writing by the doctoral committee to the attention of the faculty's doctoral board (filed in eDossier by HRc via HRd | controlling by MD). It is recommended to inform the doctoral candidate in written form about the non-renewal at least three months before the end of the contract, in particular if the doctoral candidate is a person from a so-called third country who will have to leave Switzerland immediately after the end of the contract. Written information at least two months before the end of the contract is mandatory (filed by HRc via HRd in eDossier | controlling by MD). In critical cases it is recommended to consult HRc (advice as well as ensuring correct process and compliance with legal deadlines). If the members of the doctoral committee disagree about further employment, and in cases of conflict in general, the final decision lies with the faculty's doctoral board. If appropriate, the board will endeavour to find another faculty or university internal/external solution for the completion of the doctoral thesis.

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If the doctorate is achieved before the end of the contract, the contract ends automatically at the latest half a year after graduation.

#### **Notice**

Various advisory and support services are available for both doctoral candidates and supervisors. An overview can be found here: [unibas.ch/grace](https://unibas.ch/grace).

## **B. Process Supervision of Doctoral Candidates Without an Employment at the University of Basel**

### **1. Initial Interview**

The first supervisor informs the prospective doctoral candidate about the process of doctoral studies and expectations about the doctorate. The applicant clarifies any open questions regarding supervision, doctoral studies, and the qualification thesis. No later than six months after the entry interview, the first supervisor will send the doctoral agreement (first version) - signed by him/her and the doctoral candidate - as well as the confirmation of enrolment to the managing director or his/her delegate who will file these documents in the faculty's central database.

### **2. Status Review Meeting**

The first supervisor and the doctoral candidate meet at least once per year in order to discuss progress. At this meeting, the doctoral agreement is checked and, if necessary, updated and then sent to the managing director or his/her delegate for central filing in the faculty. Note: If continuation of the supervision is viewed critically, the whole doctoral committee must be consulted. In the event of non-continuation, the faculty's doctoral board must be informed.

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