

Employment and Supervision of Doctoral Candidates at the University of Basel

University process, valid from January 1, 2022

The aim of the process described below is to ensure good, transparent and equal conditions during the qualification phase of the doctorate for all members of the University of Basel, in particular for all doctoral candidates and supervisors. The process leaves room for adaptations so that the faculties, institutes and departments have the opportunity to implement the process steps in a way that takes the different research cultures into account. It is recommended that the faculties and university institutes establish further detailed regulations that define process flows and responsibilities. Links to the documents mentioned in the process diagram and faculty regulations can be found on the website of the Graduate Center (unibas.ch/grace).

Overview of the different doctorate scenarios:

With an employment contract: → Process A on page 2

1. Doctoral candidate with a structural position (staff category according to the «Ordnung für das Wissenschaftliche Personal OWP»: assistant with a master's degree)
2. Doctoral candidate with a non-structural position (third-party funded position, staff category according to the OWP: project assistant)

Without an employment contract: → Process B on page 4

3. Doctoral candidate who is not employed at the University of Basel

A. Process Employment and Supervision of Doctoral Candidates Who Are Employed 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
What	<ul style="list-style-type: none"> Request to fill a position Job description Non-structural positions (project assistant): funding plan 	<ul style="list-style-type: none"> Job posting <p>Note: A job posting is not mandatory. Potential doctoral candidates may also be approached 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 PR, provided that supervision and job responsibility are shared between two people). The candidate informs himself/herself about the conditions of employment and clarifies any open questions regarding the conditions and tasks. The job description is signed by the first supervisor and the doctoral candidate (as well as the PR, if the PR and the supervisor are not the same person).</p>	<ul style="list-style-type: none"> Personnel record form, copy of passport or ID and diplomas, CV, photo (for UNIcard) Confirmation of matriculation (check admission first if necessary) Questionnaire for assistants Job description Doctoral agreement (a first version must be submitted within half a year) 	<ul style="list-style-type: none"> Employment contract A-Z for Staff Overview of Advisory Services 	<p>A status review meeting between at least the first supervisor and the doctoral candidate takes place at least once a year in order to discuss the academic qualification work/thesis, the work situation and non/academic career paths. The results of the meeting will be documented in the 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 non-renewal of the contract in written form (email suffices) at least two months before the contract ends. Further details and procedures if the extension is viewed critically → ***</p>	<p>If both the first supervisor and the doctoral candidate agree with an extension after one year, the contract will be extended for another three years (structural position) or according to the doctoral agreement (non-structural position). (****)</p> <p>In justified cases, the contract can be extended for the maximum duration of one additional year.</p>
Who	PR	PR		PR	HRc		PR
Action	prepares documents and sends them to	prepares the job posting and sends it to		submits documents to	sends documents to		sends personnel request form (incl. justification) to
To whom	HRd	HRc via HRd		HRc via HRd	doctoral candidate via HRd		HRc via HRd
Action	→ Approval of the request by MD once all the required documents are ready.	→ Posting of the job ad by HR Services hr-services@unibas.ch		→ Preparation of contract by HRc after approval by MD once the employment file is complete. MD also checks whether the doctoral agreement has been submitted.	→ Filing of contract and updating of SAP by HRc (eDossier), doctoral candidate receives second original.		→ Preparing and filing of contract and updating of SAP 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) is not identical with the supervising person (first supervisor), the PR and the first supervisor coordinate the process together. Steps 1 to 7 may, if appropriate, (partially) be passed on from the PR to the first supervisor or the faculty may pass on administrative processes to HRd or to the Office of the Dean of Studies/Research.

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At least the first (within half a year of starting the doctorate) and the final version of the doctoral agreement is filed in accordance with current faculty practice. The managing directors (or a person or persons delegated by them) file the originals of the current doctoral agreement centrally and check that 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 specified in the doctoral agreement.**

If the extension of the contract is viewed critically by the first supervisor and/or the PR (if the first supervisor and the PR are not the same person), the status review meeting must be held with the doctoral committee (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 must be justified in writing by the doctoral committee and be submitted to the doctoral board (filing in eDossier by HRc via HRd or in accordance with current faculty practice | controlling by MD). It is recommended to inform the doctoral candidate about the non-renewal of the contract in written form at least three months before the contract ends, in particular if the doctoral candidate is a person from a third country and has to leave Switzerland immediately after the end of the contract. Written information at least two months before the end of the contract is mandatory in the case of structural as well as non-structural positions (filing in eDossier by HRc via HRd or in accordance with current faculty practice). If the doctoral candidate is not informed about the non-renewal of the contract at least two months before its end, the organizational unit (department or faculty without department-structure) may, at the request of the doctoral candidate, extend the expiring contract once for a maximum of two months at the expense of the professorship. The MD must check that this deadline is met.

In cases of conflict, doctoral candidates can always turn to various low-threshold contact and coordination points responsible for dealing with such matters (coordinators of the doctoral programs and Graduate Center, Personal Integrity Coordinator, Ombudsman's Office, HRd officers, Leadership & Development, avuba). They have been informed about the present process and the individual escalation levels (doctoral committee, doctoral board, faculty management) and explain the steps that need to be taken (as described below) to the doctoral candidates.

In critical cases, it is recommended to consult HRz (for advice as well as to ensure that the correct process is being followed and that legal deadlines are met). If the doctoral committee is divided over the continuation of the employment and in case of difference of opinion regarding the scientific work, the doctoral board tries to mediate at the request of a member of the doctoral committee or of the doctoral candidate. The head of the doctoral board conducts the mediation. For this purpose, the doctoral board hears both sides. If no mediation proposal is submitted or if such a proposal is rejected by one side, the doctoral board stops the procedure and forwards its results to the faculty management for final evaluation.

In cases of conflict concerning scientific integrity, the [Regulations relating to Academic Integrity at the University of Basel](#) (Integritätsordnung) of May 3, 2018 apply. In cases of conflict concerning personal integrity, the [Regulations on the Protection of Personal Integrity at the University of Basel](#) of October 13, 2020 apply.

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

Note

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

B. Process Supervision of Doctoral Candidates Who Are Not Employed at the University of Basel

1. Entry Interview

The first supervisor informs the prospective doctoral candidate about the process of doctoral studies and the expectations for the doctorate. The applicant clarifies any open questions regarding supervision, doctoral studies, and the qualification work. No later than six months after the entry interview, the first supervisor sends the doctoral agreement (first version; signed by the first supervisor and the doctoral candidate) as well as the confirmation of matriculation to the managing director or the person delegated by him/her for central filing in the faculty.

2. Status Review Meeting

A status review meeting between at least the first supervisor and the doctoral candidate takes place at least once a year. At this meeting, the doctoral agreement is checked and, if necessary, updated and then sent to the managing director or the person delegated by him/her for central filing in the faculty. The meeting may be waived at the express request of the doctoral candidate. Note: If the continuation of the supervision is viewed critically, the doctoral committee must be consulted. In the case of discontinuation, the doctoral board must be informed.

Note

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