UNIVERSITY OF LUXEMBOURG

DOCTORAL EDUCATION AGREEMENT

for [NAME OF DOCTORAL CANDIDATE]

upon enrolment at the University of Luxembourg in the doctoral programme [NAME OF DOCTORAL PROGRAMME] / (NAME OF DOCTORAL SCHOOL)

PREAMBLE

The present Doctoral Education Agreement (DEA) lays out the terms for enrolment in the Doctoral programmes at the University of Luxembourg and has been drawn up in accordance with the university Law, the Internal Regulations (Règlement d'Ordre Intérieur), and the Study Regulations (Règlement des Etudes) in force and available on the university webpage: https://wwwen.uni.lu/university/official_documents

The DEA includes:

- **Sections 1 to 11** that specifies requirements for completing a doctoral programme at the University of Luxembourg, adherence to the rights and duties of the Doctoral Candidate and his/her (Co)Supervisor(s), and other issues relevant for the candidate’s doctoral education and training.

- **Research and Training Plan** (Annex 1): while the DEA lays out the applicable terms and conditions for the intended research and training plan, the Research and Training Plan describes in detail the research and training activities and the academic supervision required to accomplish the programme of doctoral education. It has to be completed for each Doctoral Candidate and shall be adapted (hereafter Amendments) after each CET meeting to reflect any change required in the doctoral programme.

- **Amendments** made to the present agreement, following changes in supervision or adaptation made to the Research and Training Plan (subsequent Annexes).
INSTRUCTIONS

TIMELINE FOR COMPLETION

The present agreement and the Research and Training Plan shall be completed for all Doctoral Candidates enrolled at the University of Luxembourg within six months of candidate’s registration in the doctoral study programme.

PARTIES TO THE AGREEMENT(S)

The parties engaging in this agreement and its annexed Research and Training Plan, include the Doctoral Candidate, the Supervisor, the Co-supervisor (if applicable), and the Doctoral Programme Director.

If a candidate has more than one regular academic supervisor (cotutelle), then all involved parties shall enter into the agreement.

The DEA and its Annex(es) are signed by all the parties and each page of any amendment made to either documents is marked with initials by the parties.

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1 Co-supervision is only allowed in the case of cotutelles.

2 In case the supervisor is the Programme-Coordinator, this signatory has to be replaced by a member of the doctoral programme-committee.
DOCTORAL EDUCATION AGREEMENT

Section 1. Objective

The objectives of this agreement are to regulate the rights and obligations of the doctoral candidate and the (Co)supervisors. Over the duration the Doctoral Candidate is working towards his/her doctorate, she/he shall complete a programme of doctoral education consisting of both research and training components (Salzburg Principles\(^3\) and Salzburg II Recommendations\(^4\)).

Research is the core area of activity of doctoral education and as such:
- doctoral research significantly prevails over doctoral training;
- the doctoral research project builds individual capacity for independent research, i.e. the project fosters training through research;
- research is moved beyond the state of the art;
- results are communicated to the scientific community and the general public.

Doctoral training and academic advising support effective and efficient doctoral research through:
- knowledge, information, methodologies and equipment necessary to conduct the research project.
- exposure to research debates and interactions with local and international networks;
- development of research competence as well as transferable skills;
- a focus on career development in and outside academia.

Section 2. Parties to the agreement

The parties to this agreement are the Doctoral Candidate, the (Co)Supervisor(s) and the Programme Director of the [name of doctoral programme], hereafter called Doctoral Programme (DP).

In the case of a cotutelle the agreement shall be signed by both supervisors.

Doctoral Candidate: [NAME]

The academic supervisor appointed for the duration of the agreement: [NAME], [DEPARTMENT OR RESEARCH UNIT/INSTITUTION]

The co-supervisor appointed for the duration of the agreement in the case of a ‘cotutelle’: [NAME], [DEPARTMENT OR RESEARCH UNIT/INSTITUTION]

Doctoral Programme Director
[NAME], [DEPARTMENT OR RESEARCH UNIT/INSTITUTION]

Section 3. Duration of agreement

This agreement is valid for the duration of the candidate’s enrolment in doctoral education at the University of Luxembourg.

\(^3\)http://ec.europa.eu/euraxess/pdf/research_policies/Principles_for_Innovative_Doctoral_Training.pdf

\(^4\)http://www.eua.be/cde/publications.aspx
Amendments to this Agreement can be introduced by

1) agreement of all parties to the original agreement as listed in Section 2, and/or

2) on the proposal of the members of the CET of the Doctoral Candidate. The amendment shall be signed by all parties listed in Section 2. In case of a change of supervision (e.g. Supervisor or Co-supervisor leaving the institution) this Agreement shall be amended accordingly.

Section 4. General requirements for completion of the programme of doctoral education

The programme of the Doctoral Candidate shall culminate in the completion and defence of a doctoral dissertation with the following working title:

[WORKING TITLE OF THE DOCTORAL DISSERTATION]

The Doctoral Candidate is required to successfully complete 20 ECTS of certifiable activities (Study Regulations in force) in the following general areas: at least 5 ECTS in transferable skills including one mandatory course in Ethics. The Doctoral Programme is allowed to determine and specify the distribution of the remaining ECTS between interdisciplinary and disciplinary training hereafter:

- [CAT1] credit points (ECTS) disciplinary training; and
- [CAT 2] credit points (ECTS) interdisciplinary training;
- [CAT 3] credit points (ECTS) transferable skills training

The Research and Training Plan (Annex 1) lists the training components and the corresponding ECTS and any additional requirements for the Doctoral Candidate in accordance with the specificities of the Doctoral Programme. This plan is set up by the Doctoral Candidate and the (Co)-Supervisor(s) at the latest 6 months after the registration of the candidate in the Doctoral Programme.

Section 5. Funding and employment while in the Doctoral Programme

If applicable, the funding and employment conditions supporting the completion of the programme of doctoral education are as specified in the Doctoral Candidate’s work contract or, if applicable, the funding agreement with the funding institution.

The Doctoral Candidate is enrolled for [FULL-TIME – PART-TIME] doctoral education [PERCENTAGE].

The place of work for the Doctoral Candidate is:
[DEPARTMENT/UNIT/EXTERNAL INSTITUTION: % IF MULTIPLE PLACES]

Any additional conditions pertaining to employment and funding:
[ADDITIONAL CONDITIONS]
Section 6. The rights and duties of the Doctoral Candidate and academic (Co)-Supervisor(s)

The Doctoral Candidate and (Co)-Supervisor(s) agree to adhere to the rights and duties as laid out herein and in the in-force Study Regulations (RE) for the duration of the candidate’s enrolment in doctoral education at the University. Any disagreement on these rights and duties or any alleged breach of these rights and duties shall be treated in accordance with the rules laid down in Section 8.

The Doctoral Candidate shall:

- formulate a research plan
  - exchange with supervisor(s) and peers in order to improve and adjust formulation, definition and scoping of the research topic and questions, the hypotheses, research methodology and method selection;
  - discuss and take responsibility for the completion plan.
  - ensure that the dissertation complies with the University Law and Internal Regulations.

- keep the supervisor(s) informed regarding progress
  - agree, organise and attend mutually convenient formal supervision meetings;
  - provide the supervisor(s) with all progress reports either in written form or orally;
  - keep the supervisor(s) informed without delay of any and all factors of significance for the completion of academic supervision and the programme of doctoral education;
  - discuss with the supervisor(s) how to make guidance more effective;

- develop a research mindset and apply curiosity and reflection to further his/her research
  - be committed to a work schedule and take responsibility for understanding expectations, time management and setting of realistic deadlines involved in research, training, dissemination, and writing the dissertation;

- undertake research training and undertake to carry out the research with regard to the highest academic and ethical standards
  - obtain a systematic understanding of a field of study and mastery of the skills and research methods associated with that field, actively taking part in relevant training activities as identified in the research and training plan
  - develop the ability to conceive, design, implement and adapt a substantial process of research with scholarly integrity, striving for initiative and innovation in research;
  - strive to make a contribution through original research that extends the frontier of knowledge by developing a substantial body of work, some of which merits national or international refereed publication;
  - arrange for informal sharing of information and practice in doing research with peers and scientific networks;
  - comply with existing rules and regulations of the Doctoral Programme and School, the University and research community;
  - adhere to general standards of ethics and research integrity and to the ethics rules laid down in the University of Luxembourg Policy on Ethics in Research, and uphold any ethical principles that pertain to his/her area of research as laid down by the learned bodies of the relevant discipline(s);
  - develop his/her capability for critical analysis, evaluation and synthesis of new and complex ideas;
  - play an active role in the research group of which he/she is part.

- communicate with peers, the greater scholarly community and with society in general about the area of expertise
communicate relevant results promptly to his (Co-)Supervisor(s);
get informed, seek advice about and adhere to relevant intellectual property rules
actively participate in scientific conferences and seminars;
publish relevant results promptly in international journals or monographs
represent the research group, Doctoral School and University in a professional and responsible manner.

The **academic supervisor** and, if applicable, the **co-supervisor** shall:

- assist the Doctoral Candidate in formulating a research plan
  - provide or assist the candidate with a stimulating, realistic and up-to-date research topic;
  - ensure that the Doctoral Candidate understands what is expected and how his/her research fits into the research group or project of which the Doctoral Candidate is part;
  - advise on the formulation and scoping of the research topic and questions, and ensure that these as well as the hypotheses, research methodology and method selection are discussed;

- keep informed as regards the candidate’s progress
  - regularly meet with the Doctoral Candidate for formal supervision (as defined in the Research and Training Agreement);
  - keep the Doctoral Candidate informed, without delay, of any and all factors of significance for the completion of academic supervision and the programme of doctoral education;
  - help the Doctoral Candidate set up, evaluate and discuss progress against the research and training plan and advise on suitable modifications to ensure timely the submission of the dissertation;
  - actively and jointly with the Doctoral Candidate and members of the CET address any situations or circumstances that could threaten programme completion;

- assist the Doctoral Candidate in developing critical thinking and independence, and provide constructive feedback
  - discuss research methodologies, data collection, results and their interpretation;
  - provide feedback on and discuss various aspects of written and oral presentations (content, structure, language, referencing and documentation, etc.);
  - inform the candidate of positive comments or objections and criticisms which may arise in relation to his/her work;
  - read and comment upon any scientific abstracts or manuscripts, including the dissertation, within a period of 4 weeks, unless otherwise agreed.

- provide guidance about literature, training, ethics, research integrity, research methods and techniques and academic conventions
  - provide assistance in orienting the candidate in the literature and relevant data sources;
  - provide the candidate with guidance in ethical matters related to the research project and the publication of its results;
  - identify training needs and advise on training as laid out in the research and training plan;
  - help increase the Doctoral Candidate’s visibility in the relevant research community including where to present and publish his/her work, the dissemination of research results, and participation in relevant conferences and other events;

- promote and serve as role model for general standards of ethics and research integrity and to the ethics rules laid down in the University of Luxembourg Policy on Ethics in Research, and uphold any ethical principles that pertain to his/her area of research as laid down by the learned bodies of the relevant discipline(s);
• advise on and respect the Doctoral Candidate’s decision on his/her research potential and career prospects.

Section 7. Data Protection and IPR

Processing of Doctoral Candidate’s personal data
The Doctoral Candidate acknowledges and accepts that the UL will process personal data related to him/her at any time before, during or after his/her affiliation to the UL for the following purposes:

- In the performance of its statutory and regulatory obligations and its obligations under this agreement including the supervision and support for the completion and defence of his/her doctoral dissertation;
- In the performance of the Research and Training Plan detailed in Annex 1.
- In the legitimate interest of the University for the investigation of acts or omissions in which the Doctoral Candidate may have been involved;
- In order to transfer data to countries within or outside the European Union. In the latter case, the University will, where necessary, take appropriate measures to ensure an adequate level of protection of the data. Such international transfer will be made in the course of the supervision and support for the completion and defence of his/her doctoral dissertation or in the performance of the Research and Training Plan.

The Doctoral Candidate acknowledges that the personal data processing in relation with the employment conditions are specified separately in the work’s contract.

The Doctoral Candidate’s personal data may be communicated to third parties (such as service providers or partners of the UL as much as this is necessary for the purposes referred to above) as well as to administrations and local authorities.

The Doctoral Candidate will be authorised to access his/her data at reasonable intervals free of charge, and is entitled to request correction of the data if necessary. The Doctoral Candidate must provide any personal data required for the performance of this agreement. He/she must notify the UL of any amendments to be made to the data as soon as possible. The data will be kept for the duration necessary for the achievement of the purposes referred to in this clause and in any case no longer than permitted by applicable law.

Confidentiality

The Doctoral Candidate may process Personal Data in the course of his/her affiliation at the University for the performance of research, teaching and administrative tasks.

The Doctoral Candidate shall refrain from disclosing confidential information acquired as a result of or during the performance of his/her duties. The Doctoral Candidate shall comply at all times with the procedures in force at the University and especially with the Data Protection Law and the data protection procedures and policies laid down by the UL and available on the UL website. In particular, any disclosure of sensitive data or any attempt to re-establish the identity of a research subject made unlawfully outside the proper course of duty constitutes a data breach and will be
treated as a serious disciplinary offence. The term sensitive data refers to specific categories of data as defined in the article 9(1) of European General Data Protection Regulation 2016/679 and includes data that has been pseudonymised or coded either in full or in part.

In the event of a personal data breach the Doctoral Candidates undertakes to inform the data protection officer and the chief information security officer without undue delay in accordance with applicable procedures.

The UL reserves the right to carry out any verification which it deems useful to monitor compliance with the aforementioned obligations by the Doctoral Candidate.

The disclosure of confidential information including sensitive data shall put an end to this agreement effective immediately.

If the Doctoral Candidate breaches this clause after his/her affiliation has ended, the University may take legal action against the Doctoral Candidate.

**Intellectual property**

All documents, objects or equipment entrusted to the Doctoral Candidate to enable him/her to perform his/her duties shall remain the property of the UL. The UL owns all the intellectual and industrial property rights to all the results generated by the Doctoral Candidate.

The Doctoral Candidate who generates an invention, know-how, computer program, database or a design informs without delay the UL, communicating all relevant information in writing. Without authorisation from the UL, the Doctoral Candidate must refrain from all disclosure which prejudices partially or entirely the intellectual and industrial property rights conferred to the UL.

All publications and presentations resulting from work within this agreement must carry “University of Luxembourg” as affiliation for the Doctoral Candidate.

**Section 8. Disagreements**

Disagreements concerning this Doctoral Education Agreement and more specifically with the rights and duties of the academic (Co)supervisor(s) and the Doctoral Candidate (Section 6), may be brought, by either party, before the Doctoral Programme Director, who will seek to find a solution to the problem with the parties. Should the disagreement persist, any of the signatories of this agreement may appeal to the Doctoral School Council or the relevant Faculty’s Dean who will, without overriding the authority of any of those involved, hear the parties concerned and seek an alternative solution. In case no solution can be identified at the Faculty level, the Doctoral School Head brings the disagreement to the Vice Rector for Research in charge of the Doctoral Education and Training to obtain a final settlement. When an ombudsperson or ombudscommittee is available they may be contacted as well.

Further, those Doctoral Candidates with employment contracts have access to all rights linked to his/her student and/or employee status, as laid out in the Internal Regulations (ROI).

Should the nature of conflict among the parties result from alleged misconduct, the case will be referred to the Rector who may or may not recommend the intervention of the Ethics Advisory Committee or the Litigation Committee. The parties shall follow the disciplinary procedure laid out by the committee.
When completing the doctoral programme, the freshly awarded Doctor is invited to provide anonymously the Office of Doctoral Studies (Bureau des études doctorales, BED) with a feedback on his/her experience within his/her doctoral programme and an evaluation of the supervision quality.

**Section 9. Termination or change of/in academic supervision**

If the supervisor leaves the institution, s/he must inform the Doctoral Programme Director in a timely manner and discuss potential changes in supervision with the Vice Rector for Research in charge of the Doctoral Education and Training. The present Agreement will be amended to consider the changes in supervision and/or the involvement of a co-supervisor in the case of a cotutelle.

If a Doctoral Candidate or a supervisor finds that the other party is not fulfilling his/her obligations in accordance with the present agreement, the party claiming violation of agreement obligation is required to address the issue with the other party, in immediate conjunction with the Doctoral Programme Director.

If, after discussion, the parties are unable to agree upon a resolution, the Doctoral Candidate or the academic supervisor may ask the Head of the Doctoral Programme to be released from the agreement, who shall process the request, in compliance with the rules and regulations of the University of Luxembourg.

**Section 10. Amendments**

The Doctoral Education Agreement shall be amended to reflect changes in supervision arrangements arising from departure or incapacity of the academic (Co)Supervisor(s) and to reflect changes of the superior rules (Law and Study Regulations in force).

The Annex 1 to this Agreement, i.e. the Research and Training Plan shall be updated each year following the candidate’s annual Comité d’encadrement de thèse (thesis advisory committee, CET) meetings. Updates and amendments to the Research and Training Plan are proposed by the Comité d’Encadrement de Thèse (CET) and the Doctoral Candidate following a CET meeting. In the CET presentation, the candidate will report on the status of his/her research and the future research plan as well as on completed and planned trainings. Updates/amendments are detailed in an addendum to the current DEA signed by the (Co)Supervisor(s), the Doctoral Candidate, and the Doctoral Programme Director. A copy of the updated DEA and the CET reports are transferred to the Office of Doctoral Studies (Bureau des études doctorales, BED).

**Section 11. Concluding regulations**

This agreement is subject to current Internal Regulations (ROI) and Study Regulations (RE) in force at the University of Luxembourg, including the statutes in force in the Doctoral Programme in which the Doctoral Candidate is registered.

The parties will each receive a copy of the Doctoral Education Agreement, the Research and Training Plan (Annex 1), and any amendments made to either the Agreement or the Research and Training Plan. The original shall be filed with the BED (Bureau des études doctorales/Office of Doctoral Studies).
[PLACE], [DATE]

We hereby confirm that we have read and understood the UL Study Regulations (2018) and the Loi (2018).

Signatures:

______________________________
Doctoral Candidate:  
[NAME]

______________________________
Academic supervisor:  
[NAME], [DEPARTMENT/INSTITUTION]

______________________________
Co-supervisor (cotutelle):  
[NAME], [DEPARTMENT/INSTITUTION]

______________________________
Doctoral Programme Director:  
[NAME], [DEPARTMENT/INSTITUTION]
ANNEX 1: RESEARCH AND TRAINING PLAN

Initial plan for completion of the doctoral programme
(to be discussed and if necessary amended to suit any changes to
the Doctoral Candidates research focus)

Annex 1 is the research and training plan for the doctoral education programme. It lists the research
and training components (acquisition of ECTS) and any additional requirements expected of the
Doctoral Candidate in accordance with the specificities of the Doctoral Programme in which the
Doctoral Candidate is enrolled. It shall form the basis for academic supervision.

Objective

Over the duration of this agreement, the candidate shall complete a programme of doctoral education
consisting of both research and training components. The objective of this plan is a mean to ensure
the Doctoral Candidates complete their doctoral education. It includes issues related to academic
advising and the plan for completion of the doctoral programme. It is part of the General Education
Agreement and each of its pages and its amendments are marked with the initials of all the parties.

Parties establishing the Research and Training Plan

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¹In the case of a cotutelle

A. Academic supervision

Formal supervision will take place in a dedicated meeting between the (Co)-supervisor(s) and the
Doctoral Candidate on average at least [NUMBER] times per month.

Additional meetings with persons contributing to the supervision [LIST NAMES] of the Doctoral
Candidate can be organised. On a day-to-day basis, post-doctoral fellows not holding a “Autorisation
à dirger des Recherches-ADR” will contribute to the supervision by extending advises and guidance in
laboratory work, research methodologies, scientific publication writing, and in by facilitating the
integration of the Doctoral Candidate in the research group.

B. Research project

Concerning the research project, the following is agreed (may include, but not be limited to internationalisation,
conferences; any specific contractual issues related to employment, funding; contacts with third parties):

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<th>Outline of research plan</th>
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C. Initial training

The Doctoral Candidate shall participate in following training activities:

**Disciplinary and interdisciplinary skills related to the research topic (at least [NUMBER] ECTS):**

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**Transferable skills and career development (at least 5 ECTS):**

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*\(^2\)A course in General Ethics Training is required for all Doctoral Candidates; Doctoral Programmes may require discipline specific training as well.*
### D. Teaching activities

The Doctoral Candidate shall have the following teaching duties (optional).

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### E. Involvement in the research group / research unit

Depending on the provisions of their work contract (if applicable), the Doctoral Candidate may be required or may wish to engage in specified activities within the research group/research unit.

The Doctoral Candidate shall be expected to:
- *Ex. Participate in the seminars of the research group/research unit*
- *Ex. Team duties/responsibilities*
- *Ex. Supervision of Master students*
- *Ex. Teaching responsibilities…*

### F. Dissemination to the scientific community and to the public

The Doctoral Candidate is encouraged to disseminate research results and shall attempt to publish or submit peer-reviewed publications.

Additional dissemination can include: [FREE TEXT]

### G. Miscellaneous

*(Additional rights and duties may be specified, in line with the rules and regulations of the University and the Doctoral Programme)*

The Doctoral Candidate shall be expected to:
- Click here to enter text.

The supervisor(s) shall be expected to:
- Click here to enter text.
- Amendments to the DEA
  [NAME OF DOCTORAL CANDIDATE]
  (please copy paste this section for any additional amendments made following CET meeting recommendations)

### Modifications to the research plan

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### Modifications to the training plan - disciplinary, interdisciplinary, and transferable skills

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### Modifications to the training plan – potential teaching activities

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### Foreseen dissemination activities to the scientific community and to the public

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We hereby confirm that we agree with the modifications made to the personalised DEA Research and Training Work Plan.
Signatures:

Doctoral Candidate:
[NAME]

Academic supervisor:
[NAME], [DEPARTMENT/INSTITUTION]

Co-supervisor (cotutelle):
[NAME], [DEPARTMENT/INSTITUTION]

Doctoral Programme Director:
[NAME], [DEPARTMENT/INSTITUTION]