



Eidgenössische Technische Hochschule Zürich  
Swiss Federal Institute of Technology Zurich

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## Department of Architecture (D-ARCH)

### Detailed Stipulations regarding the Doctorate of 27 January 2022

This English translation serves information purposes only and has no legal force. The original German version is the legally binding document.

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*The Executive Board of ETH Zurich*

at the request of the Department of Architecture of ETH Zurich<sup>1</sup> and pursuant to Art. 52 of the Ordinance on Doctorate ETH Zurich of November 23, 2021<sup>2</sup>

*hereby decrees the following detailed stipulations regarding the Doctorate:*

## Section 1 – Object, General Provisions

### Art. 1 Scope

These detailed stipulations govern the department-specific details for the doctorate in the Department of Architecture at ETH Zurich (D-ARCH). They are based on the fundamental provisions of the ETH Zurich Doctoral Ordinance of 23 November 2021<sup>3</sup> and the Rector's Implementation Provisions of 23 November 2021<sup>4</sup> for the ETH Zurich Doctoral Ordinance.

### Art. 2 Doctoral office D-ARCH

The doctoral office D-ARCH ensures that the doctorate process is legally and administratively correct. It is the point of contact for questions that arise.

Comprehensive information and forms are available for download on the D-ARCH website.

### Art. 3 Doctoral Committee

<sup>1</sup> The Doctoral Committee D-ARCH consists of four to five professors from the institutes D-ARCH. The doctoral committee Board is elected every two years by the Departmental

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<sup>1</sup> Resolution of the Departmental Conference D-ARCH of 8 December 2021 (approval of the detailed stipulations).

<sup>2</sup> SR 414.133.1

<sup>3</sup> SR 414.133.1

<sup>4</sup> RSETHZ 340.311

Conference D-ARCH (DK). The remaining term of office of the respective candidate is taken into account in the election, as the candidate is committed for a fixed period of two years. The Head of the Department reports the elected doctoral committee members to the Rector.

<sup>2</sup> Tasks of the doctoral committee:

- a. The chairing of the aptitude committee by a member of the doctoral committee;
- b. The approval of co-examiners (before registering for the doctoral examination);
- c. The final decision on passing the aptitude colloquium in the event of disagreement within the aptitude committee.

## **Section 2 – Recruitment and admission to the doctorate**

### Art. 4 Doctoral programmes, time slots for offers and applications

<sup>1</sup>In addition to an application for an individual doctorate, an application for admission to a doctoral program is also possible. The application for a doctoral program precedes the admission procedure regulated in the doctoral ordinance; the details are set out in the regulations of the respective doctoral programs. A doctoral student can only be enrolled in one doctoral program. A doctoral student participating in several doctoral programs enrolls in the program in which he/she completes a substantial part of the doctoral studies.

<sup>2</sup> The following doctoral programs are offered:

- a. Doctoral program at the Institute for Technology in Architecture (ITA)  
The "Doctoral Program in Architecture & Technology" trains young researchers in the fields of architecture, civil engineering and building technology. The application process and formalities are listed on the ITA website under "Doctoral Programmes". The application deadline is 31 January each year.
- b. Doctoral program at the Institute for the History and Theory of Architecture (GTA)  
The "History and Theory of Architecture doctoral program" trains young researchers in the fields of the history of science and the theory of architecture. The incoming applications are evaluated annually in late summer/autumn and the vacant doctoral positions are filled on October 1st. Further information can be found on the website of the GTA Institute.
- c. Doctoral program at the Institute for Landscape and Urban Studies (LUS).  
The "Doctoral Program in Landscape and Urban Studies" promotes interdisciplinary research on contemporary transformation processes of the city and the environment. The website of the LUS Institute provides timely information on formalities and the course of the application process.

### Art. 5 Individual Doctorate

The individual doctorate is based on an agreement between the candidate and the supervisor of the doctoral thesis. Doctoral students who are in an individual doctorate take the aptitude colloquium (see section 6) in the institute to which their supervisor belongs. If the supervisor

belongs to the Institute of Design and Architecture (IEA), the doctoral students can choose the aptitude colloquium/institute in consultation with their supervisor.

### **Section 3 – Doctorate Supervision**

#### Art. 6 Second advisor

The supervisor of the doctoral thesis appoints a second advisor in agreement with the doctoral candidate. Second advisors have at least the level of a post-doc or are ETH internal or external experts in the relevant research area. The second advisor must be reported to the D-ARCH doctoral office when the doctoral plan is submitted (calendar week 16/37).

### **Section 4 – Doctoral studies**

#### Art. 7 Extended doctoral studies

If an extended doctoral program must be completed, an individual study plan will be drawn up which is part of the doctoral plan. A maximum of 30 ECTS credit points must be completed in the extended doctoral program; these are to be acquired in addition to those in the regular doctoral studies. If an extended doctoral program must be completed, the doctoral committee will explain the reasons for this to the doctoral candidate.

#### Art. 8 Regular doctoral studies

<sup>1</sup>The goals of regular doctoral studies are to acquire knowledge and skills in the field of the doctoral thesis and in related fields, to acquire interdisciplinary skills and to integrate into the scientific community. The doctoral thesis supervisor agrees with the doctoral candidate on the studies to be achieved within the regular doctoral program.

<sup>2</sup> ECTS credit points are only awarded if

- a. when completing a learning unit, the associated performance assessment was passed;
- b. the doctoral candidate has made an active, verifiable contribution to participation in other scientific events (conferences, meetings);
- c. the performance was achieved from a course or from an event at Master's level;
- d. the performance was not achieved in a course taught by the student's own supervisor.

<sup>3</sup> When registering for the doctoral examination, proof of at least 12 ECTS credit points is required, with at least one third of the credit points acquired outside the research area. After consultation with the thesis supervisor, the doctoral administration D-ARCH determines which credit points are assigned to be "outside the research area". Active participation in committees and working groups at ETH Zurich can be credited in the form of credit units. One ECTS corresponds to a student workload of at least 25-30 hours. The form "Course confirmation for doctoral students" is to be used and the crediting of the work done is to be confirmed with the original signature of the doctoral thesis supervisor.

## **Section 5 – Doctoral plan**

### Art. 9 Doctoral plan, timeline for submission and acceptance

<sup>1</sup> The doctoral plan must be submitted within one year - in the calendar weeks 16 or 37 - to the following offices:

- a. To the doctoral thesis supervisor;
- b. To the second advisor;
- c. To the doctoral office D-ARCH, for the attention of the head of the aptitude committee.

<sup>2</sup> In justified cases (e.g. pregnancy, illness, etc.) an application for an extension of the deadline can be submitted. Information on the procedure as well as forms and templates are on the department's website.

### Art. 10 Doctoral plan, content and form

The doctoral plan must include the following:

- a. a cover sheet with the signature of the supervisor and details of the second advisor (according to specifications, template);
- b. a summary (max. 1 A4 page);
- c. a CV (max. 2 A4 pages);
- d. the formulation of the research goal and research questions as well as the presentation of the planned methodology and a brief description of the expected knowledge gain (max. 10 A4 pages);
- e. the state of research and the relationship to further research at the institute/department;
- f. the framework conditions in terms of content and time (schedule);
- g. a list of sources and bibliography;
- h. the information on the participation in teaching and the listing of any other tasks; and
- i. a study plan for the extended doctoral studies (if it applies).

## **Section 6 – Aptitude colloquium**

### Art. 11 Aptitude colloquium

<sup>1</sup> Within 12 months of provisional admission, the candidate will be invited to an aptitude colloquium. The aptitude committee examines whether the candidate has the ability to carry out a research project independently and to write a doctoral thesis. The subject of the examination is the research project described in the doctoral plan.

<sup>2</sup> The assessment of doctoral plans (aptitude colloquia) takes place twice a year in calendar weeks 18 and 39.

<sup>3</sup> An aptitude colloquium can take place physically or in a video conference. In the case of video conferences, two-way communication in image and sound must be guaranteed for the entire

duration. In the event of non-compliance, the chairperson is obliged to break off the colloquium and to agree on a new time.

<sup>4</sup> If the assessment of the examination is not unanimous, the doctoral committee decides whether the candidate has passed within one month of the aptitude colloquium. The doctoral committee makes its decision based on the research project described in the doctoral plan and the result of the examination. The committee can also hear the aptitude committee and the candidate to make a decision.

#### Art. 12 Aptitude Committee

<sup>1</sup> The institutes ITA, GTA, IDB, LUS at D-ARCH each form an aptitude committee. The respective aptitude committee consists of a member of the doctoral committee, the doctoral thesis supervisor and the second advisor.

<sup>2</sup> The tasks of the aptitude committee are:

- a. examining the suitability of doctoral students to write a doctoral thesis;
- b. the assessment of the exam - “passed/failed”;
- c. the written transmission of the result (possibly with additions to the research project) for the attention of the doctoral committee;
- d. the written justification of the evaluation in the event of a disagreement between the committee members;
- e. the statement on the participation of doctoral students in teaching and on other tasks;
- f. the statement on the schedule of the extended doctoral studies, if one has to be completed.

### **Section 7 – Progress Report and Annual Status Conversation**

#### Art. 13 Progress Report

Doctoral students with a final admission annually submit a written progress report to the supervisor on:

- a. the status and planned progress of their research work;
- b. any significant deviations from the doctoral plan.

#### Art. 14 Annual Status Conversation and Protocol

<sup>1</sup> The supervisor invites his or her doctoral student to a status conversation at least once a year, to which it is recommended to also invite the second advisor. This serves to determine the position and support of doctoral students and to assess their performance. The result of the discussion is recorded in writing in a template (to be downloaded from the doctoral website) with the following points:

- a. Assessment on the research work based on the progress report;
- b. Determining next steps;
- c. Status in doctoral studies;
- d. Work situation in the research group; and
- e. Personal development opportunities and appropriate measures if necessary.

<sup>2</sup> The status review pursuant to paragraph 1 lit. d-e is conducted confidentially between the supervisor and the doctoral candidate.

<sup>3</sup> Following the progress report and the status conversation, the D-ARCH doctoral office will receive a brief confirmation (template, downloadable from the D-ARCH website) that the status conversation has taken place and that the progress report has been submitted (date, time, place and signature the supervisor and the doctoral candidate).

<sup>4</sup> The supervisor and the doctoral candidate are obliged to keep progress reports and the minutes of the on-site interviews until dematriculation.

## **Section 8 – Doctoral Examination**

### Art. 15 Organization of the doctoral examination and registering at D-ARCH

<sup>1</sup> The appointment request must be made at the latest 10 weeks before the doctoral examination should take place and has to be addressed to the doctoral office D-ARCH. At this point, the required number of ECTS credit points must be shown in the doctoral candidate's transcript of records. The D-ARCH doctoral office suggests one or more dates in consultation with the Head of the examination committee. The doctoral student coordinates this date with his or her supervisor, the co-examiner(s) and, if applicable, the second advisor, and reports the date and the time (binding for everyone) to the doctoral office D-ARCH.

<sup>2</sup> Registration for the doctoral examination takes place using the official form from the academic services, which must be signed by both the supervisor and the doctoral candidate and must also be signed and stamped by the doctoral office D-ARCH. A copy of the doctoral thesis (examination copy) must be submitted with the form.

<sup>3</sup> The doctoral office D-ARCH

- a. invites the doctoral candidate and all members of the examination committee to the examination (e-mail) after receiving the candidate's registration confirmation to the doctoral examination (issued by the Prorector);
- b. asks the supervisor and all co-examiners to send their reports (on letterhead, signed by hand and scanned) to the doctoral office D-ARCH 8 days before the examination date at the latest;
- c. publishes the doctoral examination in the events calendar of D-ARCH and ETH Zurich.

#### Art. 16 Registration with the Academic Services

The official registration form (s. above) must be submitted to the academic services together with a printout of the title page of the work at least 15 working days before the examination date.

#### Art. 17 Form of the doctoral examination

A doctoral examination at the D-ARCH is generally public and can take place physically or virtually. The publicity of the examination can be restricted by the D-ARCH. Besides the candidate all members of the examination board are present.

#### Art. 18 The examination committee

The examination board consists of:

- a. A chairperson appointed by the head of department;
- b. The supervisor of the doctoral thesis as examiner;
- c. At least one co-examiner, whereby the following applies:
  1. at least one co-examiner must be from outside ETH Zurich;
  2. If there is a relationship of dependency between the supervisor and the co-examiners, another independent and expert person must be added.

#### Art. 19 Doctoral examination procedure

<sup>1</sup> The examination procedure is as follows:

- a. Lecture and presentation of the doctoral thesis, max. 20-25 minutes;
- b. Examination interview with the candidate; min. 60 minutes;
- c. Discussion of the examination board in camera - approx. 15 minutes;
- d. Announcement of results - approx. 5 minutes: The chairperson announces the result of the doctoral examination.

<sup>2</sup>The chairperson then signs the examination report by hand and sends it to the D-ARCH Doctoral Office.

#### Art. 20 Procedure after the doctoral examination

The D-ARCH doctoral office prepares the candidate's doctoral degree application to the department conference and ensures that the doctoral candidate is successfully dematriculated from the doctorate on the date of the department conference that approved the application. At the same time, the doctoral candidate receives a provisional confirmation from the central doctoral administration.

Art. 21 Transitional regulation regarding individual doctoral studies

Doctoral students who complete their individual doctoral studies under the previous regulations in accordance with DO Art. 65, follow the provisions set out in Annex 1.

Art. 22 Enter into force

These detailed stipulations enter into force retroactively on 1 January 2022. They replace the detailed stipulations of the D-ARCH on doctoral studies of 28 November 2018.



## **Application of the salary rates**

The salary rates for doctoral students are applied in accordance with Art. 8 Para. 3 of the Ordinance governing scientific employees at ETH Zurich<sup>5</sup>, in conjunction with item 1 Para. 3 of the directives for doctoral students employed at ETH Zurich<sup>6</sup>.

Doctoral students work for at least 70% of their working time on their own doctoral thesis and the underlying research project and for their doctoral studies. Additionally, they perform teaching and general service tasks. The institutes determine the salary rates for all doctoral students according to uniform principles. In doing so, they take into account the doctoral student's commitment to teaching and other tasks. The principle of equal pay for equal commitment shall apply.

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<sup>5</sup> SR 172.220.113.11

<sup>6</sup> RSETHZ 622

## Detailed Regulations for Doctoral Studies D-ARCH

**These detailed regulations refine the general basic doctoral regulations of ETH Zurich and, in addition and with regard to the doctorate studies at D-ARCH, define binding terms and procedures.**

### Admission to the Doctorate

Information regarding the Doctorate (registration, admission) are for download under <https://www.ethz.ch/en/doctorate/registration-admission.html> .

After enrolment, students who have to take further exams will be admitted temporarily to the doctoral studies until their successful fulfilment of all obligations and approval of their research plan, for what the time limit must not exceed 1 year.

All terms of each Doctoral student (additional obligations, research plan submission, second examiners announcement and total time period) are on [www.mystudies.ethz.ch](http://www.mystudies.ethz.ch).

### Starting a Doctorate

Within max. 12 months after the provisional enrolment, the research plan has to be submitted with the

#### **Form Approval of the Research Plan**

[https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/research\\_plan.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/research_plan.pdf)  
in Original (hard copy with CV *and* as PDF with CV to the doctorate office D-ARCH ([doktorat@arch.ethz.ch](mailto:doktorat@arch.ethz.ch))).

The Doctoral Committee D-ARCH meets twice in a semester. In order to become approved within 1 year, your research plan must be submitted as early as possible (**week 4, 15, 37 or 46**).

Any deadline extension requires the permission of the doctoral committee. For this purpose you need the

#### **Form Research Plan – Deadline Extension**

[https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/research\\_plan\\_deadline.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/research_plan_deadline.pdf)

The research plan clearly outlines the goals, the disposition of the doctoral thesis as well as all their duties and responsibilities. First, it is submitted to the supervisor and/or to a co-supervisor for signature. *After the approval of the research plan only and after the fulfilment of all additional requirements, the candidate advances to full candidacy for doctoral studies.*

### The Research Plan shows the following items:

- Cover sheet (name, surname of the student, working title, name of supervisor and possibly already of the co-supervisor, signatures of the supervisor and signature of the student).
- Abstract (max. 1 page),
- Description of the research tasks and questions/problems (a exposure of the methodology focused is useful, also a short discussion with regard to scope and results of the research),
- Current state of research and relation to further research at the institute/department,
- Content-oriented framework and time-frame,
- Relevance
- Overview of the existing literature to the subject,
- A research plan should not exceed 12 A4 pages.

Within max. 36 months after the provisional admittance the supervisor has to advise the name of the co-supervisor to the doctoral office D-ARCH, filling in the

#### **Form Übermittlung genehmigter Korreferenten**

[https://www.ethz.ch/content/dam/ethz/associates/services/lehre/admin-doktorat/files/Formular\\_Genehmigung\\_Korreferenten.pdf](https://www.ethz.ch/content/dam/ethz/associates/services/lehre/admin-doktorat/files/Formular_Genehmigung_Korreferenten.pdf)

### Doctoral studies

The Doctoral studies aim to broaden the students' knowledge and skills not only within the field of their thesis, but also in related research areas, moreover to get a general education as well as to facilitate their integration into the scientific community.

At least 12 ECTS (credits) have to be accomplished during the doctoral studies, whereas at least one third of the credits have to be acquired outside of the research field. Credits can be awarded for active participation in ETH Zurich committees and task forces. Within the registration process to the doctoral exam the student has to bring evidence of the 12 ECTS. One credit corresponds to a study performance of at least 30 working hours. Credits are only issued for a doctoral student's individual performance with the form [https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/participation\\_sheet.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/participation_sheet.pdf) with the supervisor's signature.

## Doctoral exam

10 weeks before the doctoral exam, the doctoral thesis has to be submitted to the supervisor and to the co-supervisor(s) in order they write their reports. For the doctoral thesis cover page please follow the guidelines <https://www.ethz.ch/students/en/doctorate/doctoral-thesis-examination.html>.

### Form *Cover sheet of the thesis*

[https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files-EN/titelpage\\_EN.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files-EN/titelpage_EN.pdf)

To fix a date for the doctoral exam the candidate should get in touch with the Doctoral office of D-ARCH. The candidate will also coordinate the date with the supervisor and the co-supervisor(s).

At least 12 working days (Monday to Friday) before the doctoral exam the student has to enrol for the exam at the Doctoral Administration Office of ETH Zurich, HG FO 23.4, with the

### Form *Registration for the Doctoral Exam*

[https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files-EN/doctoral\\_examination\\_en\\_2012.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files-EN/doctoral_examination_en_2012.pdf)

with a thesis copy, with a filled in and by the D-ARCH Doctoral Office signed confirmation of the 12 ECTS [https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files-EN/doctoral\\_examination\\_en\\_2012.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files-EN/doctoral_examination_en_2012.pdf) as well as with a separate CV. The D-ARCH doctoral office invites the committee to the doctoral defense and, at the same time, asks the supervisor and the co-supervisor(s) to write their thesis report (about 3-4 pages A4 size).

## After the Doctoral Exam

Please find information on the final steps and on depositary copies under <https://www.ethz.ch/students/en/doctorate/final-steps.html>

## Extension of Deadline for Doctoral Studies

If you are not able to finish your doctorate in due time, you will have to ask for an extension of deadline for doctoral studies with the

### Form *Deadline Extension for Doctorate*

[https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/doctorate\\_deadline.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/doctorate_deadline.pdf)

## Change of Supervisor

If you want to change the supervisor, you have to submit the

### Form *Change of Supervisor*

[https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/change\\_supervisor.pdf](https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/change_supervisor.pdf)

You will need an agreement with the new supervisor and, if possible, also the signature (agreement) of the former supervisor. Please hand in the signed form to the Doctoral Administration Office of ETH Zurich.

## Withdrawal of the Doctoral Studies

If you intend to no longer pursue your doctorate, please fill in the

### Form *Withdrawal Form of the Doctoral Studies*

<https://www.ethz.ch/content/dam/ethz/associates/students/doktorat/files/withdrawal.pdf>

and send it to the Doctoral Administration Office of ETH Zurich, HG FO 23.4, Rämistrasse 101, 8092 Zurich, with your legitimization card.

**D-ARCH Doctoral studies Agenda according to the Regulations of 1<sup>st</sup> Nov. 2013**

<b>Dates /Deadlines</b>	<b>Administrative Steps</b>
Any time:	Contact the leading professor; send application to the doctoral administration, ETH main building (HG), with the application form.
Within 1 month:	The department files the application for accreditation/refusal. Subsequently the temporary admission is given with – if necessary – further obligations.
Max. 12 months after the application (provisional admission):	Submission of research plan and CV: a) Handing in one hardcopy (original, with the form "Approval of the Research Plan). Please drop at the doctoral office D-ARCH, HIL E 73.3. b) Email (PDF) to <a href="mailto:doktorat@arch.ethz.ch">doktorat@arch.ethz.ch</a> Appraisal through the Doctoral committee. Definitive admission to the doctoral studies – after approval of the doctoral committee.
Max. 36 months after the application (provisional admission):	Notification of the co-supervisor and indication of the title of the doctoral thesis by the supervisor, to the doctoral office D-ARCH <a href="mailto:doctorat@arch.ethz.ch">doctorat@arch.ethz.ch</a> .
10 weeks before the date of the doctoral examination:	Handing in the final version of the doctoral thesis to the supervisor and to the co-supervisor in order they issue their thesis reports.
After handing in the thesis:	Fix a date for the doctoral examination with the Dean's office D-ARCH and, furthermore, coordinate with the supervisor and the co-supervisor.
At least 12 working days before the doctoral examination:	Registration for the doctoral examination at the doctoral administration office ETH Zurich (HG) with the respective form.
Max. 6 years after application (provisional admission):	Doctoral examination, followed by the "final steps".