

Department of Civil, Environmental and Geomatic Engineering (D-BAUG)**Additional Provisions (re-issued) to the Ordinance on Doctoral Studies (ODS)¹
and the Rector's Implementation Provisions for the Ordinance on Doctoral Studies
(RIPO)²**

of: 01. September 2011 (version of: 09.12.2015)

The English text serves as a mere translation and has no legal force.
The original German text is the legally binding document.

in effect as of 01 July 2016

The Department D-BAUG issues the following Additional Provisions³ on a Doctorate:

1. Objectives (ODS Art. 1 to 3 and RIPO 1.)

The following provisions set forth standardised requirements on doctorates in order to ensure high-quality doctoral theses.

2. Additional Admission Requirements (ODS Art. 10 and RIPO 3.)

2.1 Qualifying exams need to be on Master's degree level and may not be administered by the thesis supervisor or a representative of his/her professorship alone.

3. Research Plan (ODS Art. 12 and RIPO 4.)

3.1 Within 12 months after provisional admission, the Research Plan must be submitted, along with the form "Approval of the Research Plan", duly signed by the doctoral thesis supervisor (confirms definitive admission to doctorate). Submission to Doctoral Administration Office D-BAUG, attention Doctoral Committee.

3.2 Content and Captions of Research Plan

- cover sheet with name of doctoral student and thesis supervisor as well as title of thesis
- abstract, ½ page max.
- thesis objectives, i.e. research question (research gap)
- state of the art of current research and relation to ongoing research at institute or department
- detailed research plan (methodology, experimental approach, type and nature of results)
- relevance to science and economy
- time schedule

¹ SR 414.133.1

² RSETHZ 340.311

³ These Additional Provisions were discussed and approved by: PK 25.11.2010, DK 15.12.2010, Datum Genehmigung Rektorin 11.01.2011, Datum PK 13.11.2015, DK 09.12.2015.

- expected publications (excluding monograph and cumulative thesis)
- activities beyond doctoral thesis work (teaching responsibilities, projects, laboratory work)
- mention of expected type of thesis (monograph or cumulative doctoral thesis)
- confirmation of research plan presentation to expert committee (incl. name list and addresses). Co-examiners are allowed to be expert committee members (optional though).
- signature of thesis supervisor, principal investigator, co-examiners (if known yet), and doctoral student
- bibliography

3.3. Total length of research plan: 4-8 pages

4. Co-examiners (ODS Art 15 and RIPO 6, ODS Art 38c), incl. Rectorate's Directive "Physical Presence of the Examination Committee at Doctoral Examinations", Appendix 3 of Glossary of RIPO

4.1 Upon request by the thesis supervisor, the Doctoral Committee appoints co-examiners and informs the Rectorate accordingly. The first co-examiner may be appointed upon submission of the research plan, but no later than 3 years after provisional admission.

4.2 A minimum of two co-examiners must be appointed, of which

a) one must be an active University professor outside ETH and

b) a second one must be a University professor (external or internal) or a scientifically qualified person in the relevant field of research or an established expert from the practical sphere, e.g. from industry

c) at least person a) or b) must be completely independent (e.g. no co-authorship with the doctoral student and/or no involvement in the project.)

Note: Pursuant to the Directive „Physical Presence of the Examination Committee at Doctoral Examinations", Article 2, (minimum number of committee members) at least one co-examiner must be physically present during the doctoral examination.

4.3 Emeritus professors may be appointed as co-examiners up to one year after their retirement. This temporal limitation does not apply to a former thesis supervisor after his/her retirement. He/she may act as co-examiner for a doctoral thesis previously supervised.

4.4 Content of requests:

- name of the doctoral student
- title of the thesis
- for co-examiners outside ETH: CV or brief statement why person suggested is suitable as co-examiner
- date and signature of the thesis supervisor

4.5 Requests for the appointment of co-examiners need to be submitted via mail or email to the Doctoral Administration D-BAUG, P.O. Box, 8093 Zurich, for the attention of the Doctoral Committee of D-BAUG.

5. Personal Contribution

The doctoral student must formulate a separate declaration of his/her personal scientific contributions to the monograph or the publications that account for a cumulative thesis (brief description of intellectual contribution). This separate declaration needs to be submitted to the Doctoral Administration D-BAUG, together with the exam copy of the doctoral thesis (see Additional Provisions, Section 7.1, hereunder).

6. Cumulative Doctoral Thesis (ODS Art. 26 to 29 and RIPO 10.b)

6.1 Doctoral theses may also be compiled as a cumulative thesis (comprising a framework text plus three publications).

*Corrigenda, after meeting of Doctoral Committee, 14.09.16:
SCI Journal (formerly ISI)*

6.2 It is recommended that two publications have been accepted or published in a peer-reviewed journal (ISI or comparable level). A third publication should at least have been submitted to such a type of journal. Note: Three publications do not automatically imply that a doctorate can be completed.

6.3 The doctoral students must be 1st author of all publications.

6.4 The cumulative doctoral thesis must include a substantial framework text, comprising the following elements:

Overarching introduction into the motivation and the topic of the doctoral thesis

- Elaboration on the (primary) theoretical bases and the methodology used
- Relevance of the thesis to science and society
- General conclusion and outlook on future research and development in the field
- Summary of publications

7. Doctoral Examination (ODS Art. 26 to 29 and RIPO 10.)

7.1 The Doctoral Administration D-BAUG will send out a request for the written reports to the thesis supervisor and all co-examiners on the strict condition that the exam version of the doctoral thesis has been submitted electronically (generally as a pdf) to the Doctoral Administration D-BAUG no later than 6 weeks prior to the exam date.

In addition, the doctoral student must confirm that the pdf exam version is identical with the paper copy he/she uses to register for the examination at the Doctoral Administration of the Rectorate, ETH Centre, no later than 12 working days prior to the exam date.

7.2 The examination date will be confirmed once all reports have been submitted (by the thesis supervisor as well as by the co-examiners). A period of at least 12 working days between submission and examination day must be observed. Thesis supervisor and co-examiners cannot have insight into the reports prior to the examination day.

7.3 A member of the Doctoral Committee (Director of Studies or Department Head) is to chair a doctoral examination.

- 7.4 The doctoral examination is semi-public. The exam result is communicated within 2 days. Procedure and Duration of the Doctoral Examination (1 hour minimum):
- Public oral presentation of the thesis by the doctoral student: 30 minutes maximum.
 - Thereafter: Short, general Q&A session (approx. 5-10 minutes). This Q&A session is public. (However, answers given are not included in the assessment.)
 - Following the public Q&A is a non-public part, only open to the Examination Committee and members of the Department Conference. (Duration: 30 minutes minimum.)
- 8. Procedure in case of Retirement and Resignation of a Thesis Supervisor, i.e. Professor Emeritus (ODS Art. 6 and 15 as well as RIPO 6.)**
- 8.1 In the event that the retirement of a professor has not been addressed by the President two years prior (“Emeritierungsgespräch”), the Department Head should take up initiatives to ensure that ETH guidelines on financing, infrastructure and employment be adhered to.
- 8.2 No later than 6 months prior to retirement or resignation of a thesis supervisor must employment and remuneration of a doctoral student be settled and co-examiners appointed.
- 9. ETH-external doctoral students (ODS Art. 16 and RIPO 7.)**
- ETH-external doctoral students are obligated to list ETH in their published works.
- 10. Transitional Provisions**
- Doctoral students matriculated before the implementation of these Additional Provisions are subjected to the following transitional provisions:
- instead of 3.2. “Research Plan”, previous provision on “Research Plan” 3.2 of Additional Provisions of 01.01.2011 (complemented 01.11.2013)
 - instead of 4.2. “Co-Examiners”, previous provision on “Co-Examiners” 4.2. of Additional Provisions of 01.01.2011 (complemented 01.11.2013)
 - instead of 6.2 “Cumulative Doctoral Thesis”, previous provision on “Paper Dissertations” 5.3 of Additional Provisions of 01.01.2011 (complemented 01.11.2013)