



Eidgenössische Technische Hochschule Zürich
Swiss Federal Institute of Technology Zurich

Department of Chemistry und Applied Biosciences (D-CHAB)

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.

The ETH Zurich Executive Board

At the request of the Department of Chemistry and Applied Biosciences of ETH Zurich¹ and based on Art. 52 of the Ordinance on the Doctorate ETH Zurich of 23 November 2021²

hereby decrees the following detailed stipulations regarding the doctorate:

Section 1 - General

Art. 1 Subject and purpose

¹ These detailed stipulations govern the department-specific details for the doctorate at the Department of Chemistry and Applied Biosciences of ETH Zurich (D-CHAB). They are based on the basic provisions of the Ordinance on the Doctorate ETH Zurich of 23 November 2021³ (DO) and on the Rector's Implementations Provisions (IP) for the ETH Zurich Ordinance on the Doctorate of 23 November 2021⁴.

² The measures described below are intended to contribute to the quality assurance of doctoral theses in the Department D-CHAB. The quality of the doctoral theses is determined by the doctoral students and their supervision as well as the project topic.

Art. 2 Doctoral Committee (cf. DO Art. 4)

¹ The Doctoral Committee of the D-CHAB consists of one professor from each of the five institutes/laboratories:

- a. Institute for Chemical and Bioengineering
- b. Institute of Pharmaceutical Sciences
- c. Laboratory of Inorganic Chemistry
- d. Laboratory of Organic Chemistry

¹ Resolution of the D-CHAB department conference of 29.11.2021 (approval of the detailed stipulations).

² SR 414.133.1

³ SR 414.133.1

⁴ RSETHZ 340.311

- e. Laboratory of Physical Chemistry

One member assumes the function of chair.

Section 2 - Recruitment and admission to the doctorate

Art. 3 Doctoral Plan (cf. DO Art.11, IP item 3)

¹ The doctoral candidate submits the doctoral plan in writing and/or electronically to the members of the Aptitude Committee at least two weeks before the performance of the Aptitude Colloquium. In parallel, the D-CHAB Doctoral Administration must be informed about the submission of the doctoral plan.

² The doctoral plan must meet the requirements of Art. 11 para. 1 DV. It contains a one-page summary and a detailed description of the research project (max. four pages in total). The template available on the D-CHAB website is to be used.

³ In the case of an extended doctoral program, the intended curriculum is also part of the doctoral plan.

⁴ The responsibility for meeting the deadlines and for the completeness of the information lies with the doctoral students.

Art. 4 Aptitude Colloquium (cf. DO Art. 12, IP item 4)

¹ The organization of the aptitude colloquium (date and room/infrastructure) is the responsibility of the doctoral candidate. He or she ensures that the members of the Aptitude Committee are available on the scheduled date. He or she informs the D-CHAB Doctoral Administration about the date.

² The aptitude colloquium can be conducted as a face-to-face, hybrid or online examination. As a rule, the duration of the colloquium should not exceed 45 minutes, including the final closed deliberation.

Colloquium Procedure:

- a. Presentation by the candidate (max. 15 min)
- b. Discussion and questioning of the candidate
- c. Closed deliberation by the Aptitude Committee
- d. Notification of the result to the candidate by the chairperson of the Aptitude Committee directly after the colloquium in oral form in the presence of the entire Aptitude Committee.

³ The Aptitude Committee forwards its final report (given form, one page) to the Doctoral Committee and the D-CHAB Doctoral Administration within two weeks.

Art. 5 Aptitude Committee (cf. DO Art. 16)

With the consent of the doctoral candidate and the supervisor of the doctoral thesis, the Aptitude Committee can be extended by a maximum of one person.

Section 3 - Supervision of the doctorate

Art. 6 Authorization of an ETH Zurich adjunct (titular) professor or *Privatdozent* as supervisor of the doctoral thesis (cf. DO Art. 5 para. 1 lit. b)

ETH Zurich adjunct professors and *Privatdozenten* working full-time at D-CHAB may supervise doctoral theses. To do so, they require the approval of the Head of the Department.

Art. 7 Second advisor (cf. DO Art. 28)

¹ The second advisor must be appointed no later than three months after provisional admission to the doctorate.

² Doctoral scientists who have specialist expertise in the field of the doctoral thesis may act as second advisors. In addition to professors, this also includes persons who work in a permanent or temporary scientific position at an institution of the ETH Domain. In addition, suitable scientists with a doctorate from other universities or from industry may be nominated as second advisors. In the case of postdocs, senior assistants or temporary scientific employees as second advisors, care should be taken to ensure that no more than one change in second advisor is necessary in the course of the doctorate.

³ The appointment of a further advisor is possible at any time (according to DO Art. 28 para. 2).

⁴ If a second advisor is no longer available for unforeseeable reasons or if he or she resigns from the advisory function, the supervisor of the doctoral thesis must immediately appoint a replacement in consultation with the doctoral student.

⁵ In justified cases, the doctoral student may, in agreement with the supervisor of the doctoral thesis, release the second advisor from his/her advisory function. A new second advisor must be appointed immediately.

⁶ The D-CHAB Doctoral Administration must be informed immediately of a change of the second advisor.

Section 4 - Individual doctoral studies

Art. 8 Regular doctoral studies (cf. DO Art. 36, IP item 10)

¹ D-CHAB doctoral students are required to attend a didactics course within the first six months of starting their doctoral studies. A list of possible courses is given on the D-CHAB website.

² The achievements to be made in the regular doctoral studies are determined by the supervisor together with the doctoral candidate within the framework of the conditions specified in the doctoral ordinance.

³ The acquired ECTS credits (CP) are shown in the ETH transcript of records. The creditability of the CP is checked and confirmed by the D-CHAB Doctoral Administration (cf. Art. 12 para. 2).

Section 5 - Doctoral thesis and doctoral examination

Art. 9 External doctoral theses (cf. DO Art. 25, IP item 6)

¹ The performance of doctoral theses outside the ETH Domain requires the approval of the Head of Department.

² The application for external performance of a doctoral thesis must be justified by the supervisor of the doctoral thesis. Approval is only granted if the topic of the doctoral thesis is visibly related to the research area of the supervisor of the doctoral thesis.

³ The supervisor is obliged to enable the doctoral candidate to continue the doctoral thesis at ETH Zurich if external continuation is not possible for comprehensible reasons.

⁴ Doctoral students who carry out their research work externally are also obliged to participate in the teaching of the Department. The Head of Department decides on exceptions or a possible reduced scope of teaching work after written justification by the supervisor of the doctoral thesis.

Art. 10 Cumulative doctoral theses (cf. IP item 11.2)

Cumulative doctoral theses are possible, provided that the conditions specified in item 11.2 of the Rector's Implementation Provisions are met. In addition, cumulative doctoral theses in D-CHAB must comply with the following requirements:

- a. The topic of the doctoral thesis must be introduced in an independent introduction of about 15-20 pages (based on the usual paper size DIN A5 for doctoral theses).
- b. All chapters are formatted consistently.
- c. Individual chapters are not preceded by abstracts.
- d. Literature references are uniformly formatted. Either a single list of references for the entire dissertation or chapter-by-chapter reference lists are possible.
- e. The doctoral student's own contribution to each publication must be clearly and understandably declared.
- f. The cumulative publications must be followed by an independent overall summary and outlook.
- g. If necessary, detailed data are compiled in an appendix (depending on the topic).

Art. 11 Notification and approval of co-examiners (cf. DO Art. 40, IP item 11.3)

¹ Professors of ETH Zurich, adjunct (titular) professors working full-time at D-CHAB and D-CHAB *Privatdozenten* may sit on an examination committee as co-examiners without further approval.

² Other co-examiners (ETH Zurich adjunct (titular) professors or *Privatdozenten* from other departments of ETH Zurich, other senior scientists in D-CHAB or within the ETH Domain, as well as external co-examiners require the approval of the Doctoral Committee.

³ Co-examiners are appointed by the Doctoral Committee at the request of the supervisor. Applications for co-examiners are to be submitted electronically or in writing by the supervisor to the D-CHAB Doctoral Administration.

⁴ Co-examiners who are not subject to approval must be notified to the D-CHAB Doctoral Administration at least six weeks before the date of the doctoral examination.

⁵ For co-examiners requiring approval, the application for approval must be submitted to the D-CHAB Doctoral Administration no later than three months before the doctoral examination.

Art. 12 Procedure prior to doctoral examination and submission of examination copies and reports (cf. DO Art. 39 and 41, IP items 11.4 and 11.8)

¹ The D-CHAB doctoral examinations are held on Wednesday afternoons. The room scheduling is done by the D-CHAB Doctoral Administration. Examination dates can be booked at the earliest four months in advance. All inquiries regarding doctoral examination dates should be addressed to the D-CHAB Doctoral Administration.

² The doctoral student submits the completed application for the doctoral examination, including all study and performance records, testate sheet, as well as mystudies performance and study overview to the D-CHAB Doctoral Administration no later than eight weeks before the date of the doctoral examination. The D-CHAB Doctoral Administration checks the eligibility of the acquired ECTS credits for the regular doctoral studies.

³ A complete copy of the doctoral thesis (examination copy) must be provided to the members of the examination committee (one copy for each member) and at the same time to the D-CHAB Doctoral Administration as a rule no later than 15 working days before the date of the doctoral examination. In consultation with the individual members of the examination committee, the examination copy can be submitted either in paper form or electronically. The decision on the form of submission lies with the members of the examination committee.

⁴ The members of the examination committee must submit their experts' reports to the D-CHAB Doctoral Administration no later than five working days before the doctoral examination. The experts' reports must be provided with a letterhead with the complete address of the respective examiner (including all affiliations) and must be signed by the examiner.

Art. 13 Doctoral Examination (cf. DO Art. 39, IP items 11.6 and 11.7)

¹ Doctoral exams at D-CHAB are not open to the public and last 60 minutes.

² The doctoral examination is conducted in the language in which the doctoral thesis was written.

³The following persons may chair the examination committee:

- a. the Head of Department
- b. the Deputy Head of Department,
- c. a former Head of Department; or

d. a member of the Department Doctoral Committee

⁴ In exceptional cases, the Head of Department may designate another member of the professorial conference to chair a doctoral examination.

⁵ If possible, doctoral examinations of the D-CHAB are conducted on site with physical presence of the examination committee and the candidate. The execution can be carried out partially (physical presence of the candidate, but only of part of the examination committee) or completely online.

Art. 14 Public lecture before the doctoral examination (cf. DO Art. 39 para. 4)

¹ Within the last year before the doctoral examination (cf. Art 13 Doctoral Examination), doctoral students must present their research work publicly.

² In addition to the doctoral students, at least the supervisor of the doctoral thesis participates in the public presentation. For other members of the examination committee, participation is optional.

³ The duration of the presentation is 20-40 minutes. Afterwards there will be a discussion.

⁴ The details regarding content, procedure and organization are regulated by the laboratories / institutes of the D-CHAB.

⁵ The public lecture is not taken into account in the evaluation of the doctoral examination.

Section 6 - Final provisions

Art. 15 Transitional provisions to the regular doctoral program

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. 16 Transitional provisions on the composition of the Examination Committee

¹ For doctoral examinations before 01.01.2024, the composition of the examination committee is as per Annex 1.

² With regard to the chairmanship of the examination committee, as of 01.01.2022, the regulation specified in Art. 13 of the detailed stipulations herein shall apply.

Art. 17 Entry into force

These detailed stipulations come into force retroactively as of 01.01.2022. They replace the detailed regulations for doctoral studies at the D-CHAB of 01.02.2010.

Application of the salary rates

The application of the salary rates for doctoral students is carried out in accordance with Art. 8 para. 3 of the Ordinance on Scientific Personnel at ETH Zurich⁵, in conjunction with item 1 para. 3 of the Directives for doctoral students with employment at ETH Zurich⁶.

¹ The D-CHAB promotes the fair and transparent application of salary rates for its doctoral students. For this purpose, each institute defines a uniform salary rate for its doctoral students. If a doctoral student performs teaching or service work that exceeds the usual level in the department, this will be compensated financially.

² Information about the usual salary rate for an institute can be obtained from the respective institute administration. A corresponding notice is published on the department's website.

³ Information about teaching or service activities commonly performed in the department is published on the department's website.

⁵ SR 172.220.113.11

⁶ RSETHZ 622

Annex 1

Implementation: February 1, 2010

Version: February 1, 2010

Contact: Student Administration D-CHAB

Detailed Regulations for Doctoral Studies at the Department of Chemistry and Applied Biosciences (D-CHAB)

Based on and in addition to the Ordination on Doctoral Studies at the ETH dated July 1, 2008, the Conference of the Department of Chemistry and Applied Biosciences (D-CHAB) adopted the following resolutions.

Art. 1 Continuing Education

The doctoral student's academic programme must be approved by the thesis supervisor.

Art. 2 Courses for Doctoral Students

The Department of Chemistry and Applied Biosciences recognises the following courses and educational activities for doctoral studies with credit awards as listed.

- a) All courses labelled «V» and «G» offered as part of the regular study programmes of the ETH Zurich and the University of Zurich; courses offered as part of the doctoral programmes, and courses offered as part of the teaching ability certification programme. Regular course attendance and successful accomplishment of all requirements (tutorials, seminar papers, presentations, project work, etc.) will serve as performance record during semester.

Courses with performance assessment	1 or 2 semester periods per week	1 Credit Point
	3 semester periods per week	3 Credit Points

- b) Institute Colloquia, Institute Seminars, Group Seminars (Type S)

Full-term courses (total maximum of 2 Credit Points)	1 Credit Point
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- c) Summer Schools and Conferences

Attendance of a maximum of two courses of same content, e.g. Cortona Week, series of symposia, etc. permitted.

Summer Schools	1 week with poster/talk	3 Credit Points
	1 week without poster/talk	2 Credit Points
	1-3 day event without poster/talk	1 Credit Point
	1-3 day event with poster/talk	2 Credit Points
Conferences	1 week with poster presentation	2 Credit Points
	1-3 days with poster presentation	1 Credit Point
	1 week with talk	3 Credit Points
	1-3 days with talk	2 Credit Points

- d) Full-term language courses and other continuing education courses
E.g. Computer Support, Radiation Protection, Sports/Coach Education, total maximum of 4 Credit Points

Courses	1 hour/week or equivalent	1 Credit Point
	2 hours/week of equivalent	2 Credit Points

Art. 3 Credit Points during Doctoral Studies

a) The Departmental Coordinator for Doctoral Studies at the D-CHAB is in charge of checking the eligibility of the credit points acquired.

b) Procedure

- At the latest one month ahead of the oral examination, doctoral students must submit to the Departmental Coordinator for Doctoral Studies a review of their doctoral studies which needs to be approved and signed by the thesis supervisor.
- Proofs of attendance of courses as listed under Art. 2 c and d (and, if applicable, confirming the successfully completed record of performance) must be handed in.
- Review and proofs are checked by the Head of the D-CHAB.

c) The Departmental Coordinator for Doctoral Studies will issue a confirmation attesting that the amount of credit points necessary to obtain a doctoral degree has been acquired. This confirmation must be submitted to the Rectorate (Doctoral Administration) when registering for the doctoral examination.

Art. 4 Examination Committee

The formation of the Examination Committee is subject to the following criteria.

- a) ETH Zurich-employed honorary professors and senior lecturers are entitled to supervise dissertations. The Department's approval is a requirement. If a honorary or an associate professor is appointed examiner, at least the co-examiner should be D-CHAB full professor.
- b) Apart from the Head of the D-CHAB, at least two members of the Examination Committee need to be ETH professors (which includes assistant professors, NF or honorary professors).
- c) If the examiner wishes to appoint additional co-examiners (exception: ETH professors) for the doctoral examination, an application must be filed with the Head of the D-CHAB for the attention of the Departmental Conference. This also applies to honorary professors of other departments.
- d) The doctoral examination is chaired by the Head, the Deputy or a former Head of the D-CHAB.

Art. 5 Examination Dates

Fixing a date for the oral examination

- a) Doctoral examinations are usually held on Wednesday afternoons at 2, 3 and 4 p.m.. If additional options are required (too many applications for the same date, or in the event of examiners joining from abroad), please contact the Department Administration, Mrs H. Kaufmann-Baumgartner, in charge of arranging for additional appointments in cooperation with the Head of the Department.

- b) Doctoral examination appointments may be booked earliest 3 months in advance of the favoured date, e.g. beginning of September for December dates, etc. .
- c) Please contact the Department Administration, Mrs H. Kaufmann-Baumgartner (HCI H 207, email helen.kaufmann@chem.ethz.ch) for any queries relating to examination dates.

Art. 6 Preparing for the Examination

Please observe the following points when preparing for the doctoral examination.

- a) At least 4-6 weeks ahead of your doctoral examination, please present your duly completed "Registration for Doctoral Examination" form along with the form "Confirmation of Course Attendance for Doctoral Students" – as proof of credits obtained to fulfill doctoral study requirements – to Mr M. Hauser (HCI H 209, hauser@chem.ethz.ch) who will check your credit points and confirm validity by signature.
- b) As the members of the Examination Committee must be granted enough time to thoroughly read your thesis, please submit it at least four weeks in advance of the examination date.
- c) Thesis and accompanying forms must be deposited with the Doctoral Administration Office at the latest 12 working days prior to the date of the oral examination. After that, the title of the thesis can no longer be altered.

to the Doctoral Administration at
D-CHAB HCI H 207

Art. 7 Procedure of the Doctoral Examination

- a) All members of the Examination Committee must be present.
- b) The doctoral student is granted a maximum of 10 minutes to present his or her thesis, supported by any form of visual presentation. Attendance of the doctoral examination is restricted to the doctoral student under examination and the members of the Examination Committee exclusively.
Exception: Doctoral students of the IPW are granted a maximum of 25 minutes of presentation, and visiting third parties are admitted to the examination.
- c) Thesis and accompanying forms must be deposited with the Doctoral Administration Office at the latest 12 working days prior to the date of the oral examination. After that, the title of the thesis can no longer be altered.
- d) Examiner reports in duplicate and with original signature must be submitted to the Doctoral Administration at least one week prior to the doctoral examination.

Hard Copies for
Visualizer or Laptop

Art. 8 Examiner's Duties

- a) It is the duty of the examiner to inform doctoral students and co-examiners of their respective duties and responsibilities.
- b) According to the directives "Remuneration for Participation in Performance Assessments at the ETH Zurich" dated January 1, 2007, it is the Examiner's duty to refund co-examiners for services rendered, cf. www.rektorat.ethz.ch/lecturers/doctorate/doc_exam/index_EN

Art. 9 Final Provisions

The present detailed regulations shall enter into force on February 1, 2010. For doctoral students having enrolled prior to February 1, 2010, the detailed regulations of the Department of Chemistry and Applied Biosciences dated May 23, 2005 or January 27, 2003, respectively, remain applicable.

Approved by the D-CHAB Department Conference on December 7, 2009

Approved by the Rector on December 15, 2009

Signature of the Rector, H. Wunderli-Allenspach