

Department of EARTH SCIENCES (D-ERDW)**Detailed Regulations governing Individual Doctoral Studies**as of 18th February 2013

Approved by the Executive Board on 12th May 2015

The Department of Earth Sciences (D-ERDW) enacts the following regulations governing the individual pursuit of doctoral studies, based on Art. 23, Para. 3 of the Ordinance on Doctoral Studies ETH Zurich of July 1st, 2008 in conjunction with Section 9 of the Rector's Implementation Provisions for the Ordinance on Doctoral Studies at the ETH Zurich of October 2013:

Art. 1 Doctoral Committee (as in DVO Art. 4)

The doctoral committee of the Department of Earth Sciences is composed of 3 professors who are elected by the department conference in accordance with Art. 7 GO D-ERDW for a term of three years. Re-election is possible. The doctoral committee notifies the Rector of the composition of the committee.

Art. 2 Provisional Admission (as in DVO Art. 9)

The doctoral committee reviews the scientific qualifications on the basis of the candidate's dossier (Art. 9 Para. 2 DVO) and stipulates any additional entrance requirements. In general, these consist of oral examinations in the scientific fields relevant to the PhD thesis.

Art. 3 Final Admission (as in DVO Art. 12, 13)

In order to ensure that candidates possess sound qualifications for postgraduate studies, all are subject to examination by the Department of Earth Sciences prior to final admission, in accordance with DVO Art. 13 Para. 3. This internal examination takes place within the framework of the Research Plan Defense and is based on the research plan.

Art. 4 Research Plan Defense (as in DVO Art. 11)

¹Doctoral candidates in the D-ERDW are required to give a Research Plan Defense, during which they present background information, the scientific focus, the broader context, and the aims of their thesis work, as well as what they have achieved to date, followed by a discussion. The Research Plan Defense is a supplementary requirement leading to final admission to the doctoral program, as outlined in Art. 12. Para 3 of the DVO.

²The Examination Committee consists of at least 3 lecturers or professors (examiners), including the supervisor, at least one of whom must be a professor from the Department of Earth Sciences (D-ERDW). Further, at least one of the examiners may not be part of the research team concerned. The examination committee is approved by the doctoral committee upon recommendation of the thesis supervisor.

³Prior to the Research Plan Defense the supervisor and the members of the examination committee will receive a preliminary version of the research plan.

⁴The Research Plan Defense takes place within 9 to 12 months after doctoral studies have begun.

⁵Procedure:

- a. A public lecture of maximum 30 minutes
- b. A discussion open to the public
- c. A minimum period of 30 minutes, closed to the public, during which the examiners pose questions to the candidate. Professors and thesis advisors may attend and question the candidate after the examiners. The questions posed relate mainly to the background, the aims, and the manner in which the candidate intends to proceed.
- d. Consultation among the examiners, professors and thesis advisors. Failure to pass is determined by a simple majority.
- e. The candidate is informed immediately of the decision, and in the event that admission requirements fail to be met, detailed reasons are given.

⁶If the candidate does not pass the Research Plan Defense, it may be repeated once within a period of 3 months.

⁷Upon passing the Research Plan Defense, the final version of the research plan is completed, signed by the thesis supervisor and submitted to the doctoral committee for approval, as per Art. 11 Para. 3 DVO.

Art. 5 Supervision of the Doctoral Thesis (as in DVO Art. 15)

The doctoral committee reviews the request of the thesis supervisor for approval of the co-examiners and notifies the Rector when it is granted. At least one co-examiner needs to have been appointed not longer than 3 years after the candidate's provisional admission to the doctoral program (Art. 15 Para. 2 DVO). A change in supervisor requires the signature of both the current and the new supervisor, as well as the approval of the doctoral committee.¹

Art. 6 Pursuit of the Doctoral Thesis beyond the ETH Domain (as in DVO Art. 16)

Should a candidate wish to pursue doctoral studies at an external institution, the doctoral committee, at the recommendation of the thesis supervisor, investigates the general conditions there and decides whether approval can be given, as per Art. 16 Para. 2 DVO. The doctoral committee notifies the Rector of its decision.

Art. 7 The Earning of Credits during Doctoral Studies (as in DVO Art. 22)

¹At the time of the Research Plan Defense, a study plan must be set up outlining the individual doctoral program or the credit points to be earned. This study plan, and any alteration thereof, must be approved by the doctoral committee.²

²Doctoral candidates must earn a minimum of 12 credits during their doctoral studies. One credit corresponds to a workload of between 25 and 30 hours. At least one-third of the required credits must be obtained outside the candidate's own field of expertise (Art. 24, 25 DVO). A maximum of 4 credit points can be earned by attending ETH or external colloquia, seminars or conferences.³

³The courses offered for doctoral studies in the Department of Earth Sciences include all of the required and optional courses for *Master's degree studies in Earth Sciences*, as well as for the *Teaching Diploma in Geography*.

- a. Courses which previously have been completed successfully as part of a Master's programme do not count as credits toward the doctorate.

¹ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

² This rule applies to doctoral candidates enrolled as of Spring semester 2013. Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015.

³ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

- b. Two credits are awarded for the presentation of a lecture at colloquia or seminars in the Department or the Institute.
- c. Two credits are awarded for the discussion or the presentation of a poster at a national or international symposium.

For continued studies in a field related to the doctorate, special consideration is given to deepening or expanding the knowledge and skills required for the candidate to successfully complete the doctorate.

⁴Upon consultation with the thesis supervisor, the doctoral candidate may acquire credits by taking special courses in other departments which enhance personal or professional development.

⁵The doctoral committee decides, at the recommendation of the thesis supervisor, which qualifications acquired outside of the ETH Zurich can be counted toward the doctorate.

⁶Active participation in committees and workgroups at the ETH can be recognized in the form of credits.

⁷Credits acquired as part of an admissions examination do not count toward the doctorate (Art. 25a, Para 3 DVO). The credits shown on the Geography Teaching Diploma can be counted upon approval of the doctoral committee.

⁸The study administration office is responsible for verifying the recognized credits, as indicated in the ETH transcript of records, study overview (myStudies) or in the course attendance confirmation sheet for doctoral students. These must be confirmed in advance by the thesis supervisor's signature. At the latest upon submission of the doctoral thesis to the Office of the Rector and registration for the doctoral examination (12 workdays before the examination), the doctoral candidate must submit written documentation along with registration for the doctoral examination to the study administration office which reviews the documentation and confirms the credits⁴.

Art. 8 Doctoral Examination (as in DVO Art. 27, 28)

¹The doctoral thesis must be submitted to the supervisor and to the members of the examination committee at least 6 weeks (30 workdays) prior to the date of doctoral examination⁵.

²The supervisor and the co-examiners submit their signed thesis reports to the chairperson and the study administration office at least 15 workdays prior to the doctoral examination. If the reports are not available on time, the examination must be rescheduled to respect the 15-day period. With the submission of their reports, the supervisor and the co-examiners confirm their agreement with the date set for the doctoral examination⁶.

³If the supervisor and the members of the doctoral examination committee do not agree unanimously to accept the doctoral thesis, then the chairperson, upon consultation with the examination committee members and a hearing with the candidate, is empowered to cancel the doctoral examination⁷.

⁴Registration for the doctoral examination is only possible upon approval of the chairperson⁸.

⁵The official invitation to the doctoral examination can be issued only upon receipt of written approval by the chairperson, at the latest 10 days prior to the examination date⁹.

⁴ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

⁵ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

⁶ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

⁷ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

⁸ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

⁹ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

⁶The doctoral examination in the D-ERDW is open to the public, however, the chairperson is entitled to stipulate that only persons with a doctorate may attend. The examination is of at least one hour duration and consists of:

- a. A presentation by the candidate of the research results lasting no more than 30 minutes.
- b. An oral examination, during which the members of the examination committee pose questions to the candidate in the following order: first the supervisor, then the first co-examiner, then the second co-examiner, and so on. The order may be altered with the consent of the chairperson, who may also pose questions.
- c. The chairperson then opens the questioning to other persons with a doctorate, and is entitled to disallow certain questions and thus exclude the answers from being considered in the final evaluation.

⁷The doctoral examination may be conducted in either German or English¹⁰.

Art. 9 Evaluation of the Doctoral Thesis¹¹

¹When the oral examination is completed, all lecturers are invited by the committee to participate in a discussion of the thesis. The examination committee alone decides whether the doctoral candidate has passed the examination, and with or without distinction. Possible outcomes of the examination are:

- a. Accepted (no corrections)
- b. Accepted with minor corrections (the corrections will be assessed by the supervisor and must be completed within 6 months, incl. submission of the final version)
- c. Accepted with substantial modifications (modifications will be verified by the examination committee and must be completed within 6 months of the doctoral examination, incl. submission of the final version)
- d. Not accepted (the examination must be repeated within 6 months of the examination)

² The chairperson notifies student administration of this decision.

³ The department conference approves or denies the request for awarding of the doctoral degree.

⁴ Upon authorization by the department conference, student administration forwards the original documents (thesis appraisal and result of the doctoral examination) to the Office of the Rector.

Transitional Regulations¹²

(applies to doctoral candidates whose examination committee was approved by the department conference up to and including March 3rd 2015)

The oral examination may be announced officially once the chairperson and the members of the examination committee have confirmed their participation to student administration via e-mail at the latest 10 days before the examination date. Further, the supervisor and the co-examiners must report at least three days before the examination date whether they recommend to the department that the doctoral thesis be accepted. The chairperson of the examination committee must receive their signed reports at the latest immediately prior to the examination. Following the examination, all signed reports will be submitted by the chairperson to student administration. In the event of problems with the examination, the chairperson shall consult with the Vice-Rector.

Approved by the Department Conference on 3rd March 2015
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¹⁰ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

¹¹ Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015

¹² Version as per Executive Board Decision dated 12th May 2015, in effect since 3rd March 2015