

In effect:	01.01.2022
Date:	08.12.2021
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## D-MAVT Complementary Regulations on Doctoral Affairs

The Department Conference of the D-MAVT adopted the following regulations on 8 December 2021. These regulations are framed on the basis of the following procedures and rules, and in reference to the following conferences and discussions:

- 1) the Ordinance on Doctoral Studies ETH Zurich, dated 1 July 2008 (version: 1 November 2013);
- 2) the Ordinance on Doctoral Studies ETH Zurich, dated 23 November 2021
- 3) the Rector's Implementation Provisions for the Doctorate Ordinance of 2008, dated 17 October 2013 (version: 1 November 2013);
- 4) the Rector's Implementation Provisions for the Doctorate Ordinance dated 23 November 2021;
- 5) the Detailed Regulations for Doctoral Studies at D-MAVT (17 December 2013, approved by the Rector on 11 March 2014, in German);
- 6) the Detailed Regulations for Doctoral Studies at D-MAVT (approved by the Rector on 23 November 2021, in German);
- 7) D-MAVT Complementary Regulations on Doctoral Affairs, dated 16.03.2018
- 8) the Procedural Rules (GO) of D-MAVT, dated 1 December 2015.

Changes to these complementary regulations require formal approval of the Department Conference of the D-MAVT.

### 1. Doctoral committee

The doctoral committee is composed of at least seven D-MAVT professors, which reflect the diverse expertise in the department. Members of the doctoral committee are elected by the Department Conference for a two-year term. Re-election is possible twice. The Head of the doctoral committee is the Delegate for Doctoral Affairs of D-MAVT (Deputy Head of the Department's Board).

The doctoral committee has the following responsibilities:

- decisions about the admission of new doctoral students
- decisions about the requirement of extended doctorate studies for new doctoral students
- supervision of the aptitude colloquium
- approval of co-examiners
- approval of withdrawal or change in supervisor
- nominations for doctoral awards (ETH Medal, Department- and industrial awards).

The D-MAVT Doctoral Administration informs the Rector about the composition of the doctoral committee.

## **2. Delegate for Doctoral Affairs**

All responsibilities concerning doctoral studies within D-MAVT are delegated to the Deputy Head of Department as the department's Delegate for Doctoral Affairs.

## **3. Thesis supervision**

### **3.1 Accredited and titular professors**

Accredited and titular professors elected in D-MAVT may act as supervisors for doctoral theses, in which case they are responsible for the infrastructures and funding.

### **3.2 Retiring professors**

According to the Rector's Implementation Provisions for the Ordinance on Doctoral Studies, if a professor or titular professor is to accept a doctoral candidate less than three years prior to retirement, the following points must be addressed in consultation with the DL prior to admission and the results set out in writing and communicated to the Prorector for Doctoral Studies:

1. another professor acting as the potential successor for the supervisory role
2. confirmation of the availability of all infrastructure required up to completion of the doctoral thesis
3. confirmation of the availability of lab and office space needed up to completion of the doctoral thesis
4. confirmation of the availability of funding to support the doctoral candidate beyond retirement.

### **3.3 Second advisor**

The second advisor must have a doctoral degree and preferably be a professor or permanent scientist. The appointment of the second advisor must be reported to Academic Services prior to the aptitude colloquium.

### **3.4 Change of supervisor**

In case of a supervisor's withdrawal from supervision or in case of a doctoral student's request to change supervisors, the department requires a written agreement between the doctoral student and the doctoral thesis supervisor to be submitted to and approved by the Doctoral Committee (following the ETH Guidelines for Research Integrity). If no agreement can be reached, doctoral student and supervisor should ask for mediation (see Point 19, Special Contact Points).

## **4. Provisional Admission**

The Doctoral Committee of D-MAVT serves as the Admission Committee for doctoral students in D-MAVT. The Department Conference defines selection criteria to apply to prospective doctoral students to ensure minimum quality standards. These are enforced by the Doctoral Committee, which decides about the admission or rejection of doctoral students – after consultation with the doctoral thesis supervisor.

The DK approved on 6.10.2021 the following general criteria:

- D-MAVT aims for excellent students (ranked in the top 10% of their Bachelor/Master programs) from very good institutions (ranked highly internationally, ideally with past (positive) experience with graduates at ETH/MAVT).
- D-MAVT typically does not admit weak students (not ranked in the top 30% of their Bachelor/Master programs), especially so if from institutions that are lowly ranked or without prior experience with graduates at ETH/MAVT.

- Specific criteria about known/unknown institutions and the 10% and 30% GPAs per country will enter a continuously evolving document (based on ETH/MAVT statistics).
- Before admission (and before hiring), the department will be consulted about each student to decide about the student's admission.
- The supervisor will be consulted in all critical cases prior to a decision.

In case of a positive decision about a doctoral student's admission, the Doctoral Committee decides if extended doctoral studies are imposed, based on the criteria defined by the department.

Extended doctoral studies in D-MAVT are for doctoral students without adequate qualifications, as demonstrated by their Bachelor and Master grades and institutions. Basis for the decision by the Doctoral Committee are the criteria defined by the Department Conference.

In case of a negative decision about a doctoral student's admission, the Doctoral Committee requests the rejection by the Rector.

## 5. Regular doctoral studies

The aim of the regular doctoral program is:

1. to deepen knowledge in the research area of the doctoral thesis and to expand knowledge outside the traditional discipline,
2. to enable doctoral students to acquire cross-disciplinary competences;
3. to integrate doctoral students into the scientific community.

A total of 12 credit points across the three objectives must be achieved (1 credit point corresponds to 25-30 hours of workload). A maximum of two credit points can be acquired through integration into the scientific community (such as conferences, participation in workshops, posters or presentations, etc.). A maximum of 1 credit point can be acquired for participation in committee work.

Every doctoral student acquires at least 1 credit point by attending an event on ethics and good scientific practice. This performance is credited in the area of "interdisciplinary skills".

The credits that can be credited are specified in the Rector's implementation provisions for the Doctoral Ordinance of ETH Zurich.

Credit points are only awarded if:

- a) an associated performance assessment to the course is passed;
- b) when participating in other scientific events such as conferences or meetings, the person taking part makes an active and verifiable contribution.

The following credit points cannot be counted towards the regular doctoral program:

- a) credits achieved before entering the doctorate;
- b) credits achieved within the framework of multiple enrolment at a different study level, with the exception of the teaching diploma or didactics certificate;
- c) credits achieved as part of the extended doctoral program;
- d) participation in the professorship's own seminars and events, such as group meetings, group retreats, etc.;
- e) participation in teaching;
- f) attendance of courses without performance assessment.

## 6. Extended doctoral studies

Extended doctoral studies in D-MAVT require the acquisition of 12 credit points through graded examinations beyond the 12 credit points required for the regular doctoral studies.

- The study plan for extended doctoral studies respects the following criteria:
- At least 12 credits are obtained with ETH exams.
- This includes at least 2 written exams, as stipulated in the Course Catalogue of ETH Zürich.
- All courses are offered at the Master's level.
- At least one course is offered by D-MAVT.
- No more than one exam may be given by the student's supervisor or the supervisor's team.

The thesis supervisor, in agreement with the doctoral student, defines the coursework to be achieved in the individual study plan and notifies the D-MAVT doctoral administration of these. In case of disagreement, the D-MAVT Doctoral Committee decides.

It is strongly recommended that the 12 credits of the extended doctoral studies are acquired during the first year of (provisional) doctoral studies.

The individual study plan and the schedule of the extended doctoral program are part of the doctoral plan.

## 7. Doctoral Programs

Doctoral students enrolled in the doctoral program of D-MAVT may be affiliated with Doctoral Program's. Doctoral students who are admitted based on the recommendation of a Doctoral Program's admission process will be admitted automatically to D-MAVT. In such cases, the D-MAVT Doctoral Committee decides about conditions for the extended doctoral studies.

## 8. Excellent independent achievements

Graduates with excellent achievements, incl. candidates from universities of applied sciences, can be admitted to D-MAVT's doctoral program, if they meet the criteria for admission and if they have demonstrated excellent independent achievements in the form of, e.g., scientific publications, patents, scientific distinctions and outstanding educational performance. The Doctoral Committee of D-MAVT decides about admission or rejection of a candidate.

## 9. External thesis

At the Rector's request, the Department Conference approves/rejects permission for a doctoral thesis to be pursued outside the ETH Domain.

D-MAVT defines the following procedure and documents for the final decision in DK about an external thesis:

- a) Confirmation that the external institution agrees to be bound by the provisions of ETH Zurich rules: "the external institution does not impose any order which would hinder the supervision of the doctoral candidate by the ETH supervisor or restrict timely publication of the research results". (Form "Thesis project outside the ETH Domain", part of the application's dossier).
- b) Outline of proposed thesis (part of the application's dossier) with the title of the doctoral thesis.

- c) Declaration of the company that the doctoral student is working for the doctoral thesis (definition of the time available for the research and courses) and declaration of the duties.
- d) The supervisor must provide in writing for the doctoral committee and the PK/DK:
  - I. the reasons why the doctoral thesis should be pursued outside ETH,
  - II. the name and function of an experienced and qualified person at the external institution who supervises the student at the external institution,
  - III. a plan of the activities at ETH Zürich (credits, discussions, meetings with supervisor, milestones, etc.),
  - IV. the name of an independent professor, not involved in the research, acting as second advisor,
  - V. information about the timeline and finances of the doctoral studies.
- e) The doctoral committee checks the documents and makes a recommendation for the PK/DK.
- f) The list of the external theses is distributed to the PK/DK one week in advance.
- g) Members of the DK have access to the dossier in the Doctoral Administration.
- h) The supervisor or a suitable representative of the supervisor attends the PK and DK to summarize the case and answer potential questions.

Approval is granted, if the thesis topic requires that the project be pursued at an external institution and if all prerequisites are fulfilled. The DK decides about approval, rejection or postponement of the request and informs the Rector of the decision.

## **10. Research plan and annual report (for doctoral students enrolled before 1.1.2022)**

The research plan must be submitted to the Doctoral Administration within 12 months of receiving provisional admission to doctoral study, along with the form "Approval of the research plan" signed by the supervisor.

The structure of the research plan is as follows:

- a) cover sheet with a working title of the thesis and the current date, and with the name and signature of the doctoral candidate, the supervisor;
- b) abstract, max. ½ page;
- c) scope of the project, research tasks;
- d) elaboration on how the proposed research fits within the overall research of the institute and how it connects to other projects in the institute or department;
- e) literature review;
- f) future opportunities emerging from this research;
- g) time schedule;
- h) planned publications;
- i) teaching tasks;
- j) additional duties of the doctoral candidate.

The Head of the Doctoral Committee gives approval and the documents are forwarded to ETH Doctoral Administration for the formal admission to doctoral studies.

Art. 15<sup>3</sup> of the Doctoral Ordinance 2008 requires that the Doctoral students submit a written annual report on the progress of their work to the supervisor, either at the latter's request or of their own accord. DK 06.03.2018

decided to formalize the *Annual Report*: after each year, together with the request of approval of the research plan, the student and supervisor must submit the form «Annual Report on Doctoral Studies», signed by both, to the Doctorate Administration of D-MAVT. The form contains the following:

1. a paragraph recalling important existing rules and guidelines,
2. an update on the expected date of doctoral thesis submission,
3. comments on:
  - the progress of the work,
  - improvements recommended, changes needed, measures to be taken,
  - critical issues with no agreement on the measures to be taken,
4. a funding statement,
5. links to the D-MAVT webpage for advice or assistance, contacts for confidential dialog with the DL or ombudsperson.

The form is confidential and is archived by the D-MAVT Doctoral Administration, who is also responsible for deadline reminders. In case of critical issues, the Doctoral Administration will inform the Department's Executive Board.

## **11. Doctorate Plan (for doctoral students enrolled after 1.1.2022)**

The doctorate plan should contain (at least) the following elements:

- a) cover sheet with a working title of the thesis and the current date, and with the name and signature of the doctoral candidate, the supervisor;
- b) abstract, max. ½ page;
- c) scope of the project, research tasks;
- d) elaboration on how the proposed research fits within the overall research of the institute and how it connects to other projects in the institute or department;
- e) literature review;
- f) future opportunities emerging from this research;
- g) time schedule;
- h) planned publications;
- i) teaching tasks;
- j) additional duties of the doctoral candidate;
- k) the timeline and courses of the extended doctoral studies (if applicable).

The doctorate plan must be submitted to the supervisor, to the second advisor and to the Doctoral Administration of D-MAVT at least three weeks before the aptitude colloquium, together with information about the planned aptitude colloquium (see Template and Form).

## **12. Aptitude Colloquium**

The aptitude colloquium shall take place in the twelfth month after provisional admission of the doctoral student. In case the deadline cannot be met, a request for a deadline extension with reasons and a proposed new deadline, signed by the supervisor, must be submitted to the D-MAVT Doctoral Administration. The Delegate for Doctoral Affairs approves, signs and forwards it to the Academic Services. In case of a rejection, the D-MAVT Doctoral Administration informs the thesis supervisor and the doctoral student to discuss the situation.

The aptitude colloquium is private and shall last 45-60 minutes. Members can be admitted, if student and supervisor agree. The colloquium consists of a presentation of not more than 20 minutes, followed by a discussion with the committee members.

The chair of the aptitude colloquium is a D-MAVT professor appointed by the Doctoral Committee. Each doctoral student is assigned a committee chair in the first months of their doctoral studies.

If the doctoral student's second advisor is from the same lab as the supervisor, another independent professor (not from the same lab) must be included in the committee of the aptitude colloquium.

The Doctoral Committee decides, upon request by the doctoral thesis supervisor, about additional members of the aptitude committee. All committee members as well as the doctoral student may join the aptitude colloquium virtually. All connected participants are responsible for the functionality of their connection.

In consultation with the supervisor, committee members and the committee chair, the doctoral student is responsible for finding a date, time and location for the aptitude colloquium and communicates those of the D-MAVT Doctoral Administration (see form) at least four weeks before the aptitude colloquium.

The aptitude colloquium committee performs the following tasks:

- a) It assesses the candidate's aptitude to independently carry out a research project and to write a doctoral thesis.
- b) It declares the assessment "passed" or "failed" and records the result in writing for the attention of the doctoral committee, with additions to the research objectives if necessary.
- c) It comments on the other points listed in the doctorate plan and may make recommendations in their regard.

If the decision is not unanimous, the doctoral committee will make the final ruling within one month of the aptitude colloquium, basing its decision on the research objectives described in the doctorate plan and the results of the assessment; it may also hear the aptitude committee and the candidate to make its decision.

In case of a repetition, upon the approval of the supervisor of the doctoral thesis (the approval for repetition can be refused only if the aptitude committee unanimously decided that the first attempt was "failed"), the second attempt takes place within three months of the result of the first attempt and follows the same procedures as for the first attempt,

The result of the aptitude colloquium (pass/fail) is communicated to Academic Services.

### **13. Progress report and annual status conversation**

Doctoral student and doctoral thesis supervisor meet (at least) once per year for a detailed discussion of the research progress and for a general status review (see Template). This annual conversation is divided into two parts.

The first part (*progress report*) deals with the doctoral project and the research work. In preparation for this, the doctoral student writes a progress report, which forms the basis for the discussion of the research

progress achieved, and submits it two weeks before the annual status conversation. It is recommended to consult the second advisor on this first part.

Following the earlier “*Annual Report*” of D-MAVT, the MAVT template for the progress report contains a page that aims to provide an early-warning system in problematic cases of student-supervisor relationships, to reduce the student/supervisor asymmetry, to formalize the supervisor’s funding commitment, and to demonstrate the two-way commitment between doctoral student and supervisor.

To this end, the form includes:

1. An update on the expected date of doctoral thesis submission,
2. comments on the progress of the work, recommended improvements, changes needed, measures to be taken, critical issues with no agreement on the measures to be taken,
3. a funding statement.

This part of the progress report must be sent to the D-MAVT Doctoral Administration. In case of critical issues, the DL will be notified and may follow up with doctoral student and supervisor.

The second part (*annual status conversation*) addresses in addition:

- a. discussion and evaluation of the research project based on the progress report;
- b. determination of next steps;
- c. the work situation in the research group;
- d. the doctoral student’s state of progress within the doctoral studies;
- e. personal development possibilities and appropriate measures if necessary.

The thesis supervisor and the doctoral student are both responsible for storing the progress report and the result of the status discussion until the doctoral student is dematriculated.

In case of critical points without an agreement, the supervisor and the doctoral student can involve one of the contact points (see 19).

## 14. Co-examiners

The supervisor informs the Doctoral Administration and the doctoral student about the proposed co-examiner(s) and provides information about the latter, as indicated in the form (see Form).

Co-examiners for a doctoral thesis in D-MAVT must adhere to the following criteria:

- At least one co-examiner must be from outside ETH Zürich and have proven expertise in the subject of the doctoral thesis (an active professor from another university, or a person who has proven expertise in the subject area of the doctoral thesis and is equivalent to a professor, e.g. Max Planck Director, Directeur de Recherche in France, or Reader in the UK). Professors from Universities of Applied Sciences or from the private sector with a corresponding expertise do not count towards this requirement, but they can be admitted as additional co-examiners.
- If the thesis supervisor is a titular professor, at least one elected ETH professor without a hierarchical relationship to the titular professor must be a co-examiner (a hierarchical relationship exists, if the titular professor was in a professor’s lab prior to promotion to titular professor, or if the titular professors belongs to the same lab as a professor).
- For external doctoral theses: at least one co-examiner must not have been involved in the research and must be an independent professor.



- If the thesis supervisor has retired, at least one other professor from ETH Zurich must act as a co-examiner.

The doctoral committee approves/rejects co-examiners who have been proposed by the supervisors. The Doctoral Administration, after approval by the doctoral committee, informs Academic Services.

## 15. Cumulative thesis

A doctoral candidate may submit a doctoral thesis in the form of a cumulative thesis (see template), which consists of several (i.e., at least two) publications published or accepted in peer reviewed journals (ISI journals or comparable standard), following these requirements:

- a) the doctoral candidate must be the first author of all publications. If there are multiple leading authors, then only one of the leading authors can use the paper in their thesis (agreement among all authors is required). No duplication (appearance in more than one thesis) is allowed for any paper. Proper crediting of the individual author contributions is required.
- b) the contributions of each author must be highlighted for every paper.
- c) an extended introduction chapter must be included, which covers:
- d) the overriding research question;
- e) the methodology used;
- f) the relevance and the contribution of the thesis to specific subjects;
- g) an extended conclusion chapter must be included, which integrates the results of the different publications and includes suggestions for future research, plus providing evidence for a coherent research framework of the thesis.

The doctoral thesis must be composed in a uniform format; the mere combination of papers in their respective journal formats is not admissible (see ETH Doctoral Ordinance).

According to the Open Access Policy, when using published articles, the appropriate copyright regulations must be followed.

## 16. Doctoral examination

### 16.1 Organization of the doctoral examination and doctoral examination committee

The Doctoral Administration sets the doctoral examination after receiving a written request from the supervisor regarding potential dates (see Form).

The Doctoral Administration identifies a chairperson according to the following order of priorities:

- i. the Delegate for Doctoral Affairs;
- ii. a member of previous Department Boards;
- iii. or, as an exception, a full professor of D-MAVT.

The Doctoral Administration informs the candidate, the supervisor, the chairperson and the co-examiners of the date, time, chairperson and room (or link) as well as of deadlines for delivery of the documents.

The doctoral candidate sends the final version (electronic or hardcopy) of his/her thesis to all co-examiners after approval by the supervisor, but no later than six weeks prior to the exam.

The invitation to the doctoral examination is sent to all D-MAVT employees one week before the set date and provides information on the time, place, subject of the thesis, supervisor and co-examiners.

### **16.2 Doctoral thesis assessment**

The thesis supervisor and every co-examiner prepare a written report on the doctoral thesis, in English or German, and send the signed report as an electronic PDF or as a hard copy to the D-MAVT Doctoral Administration at least three weeks prior to the doctoral examination. If the required reports have not been received one week prior to the exam, the exam is cancelled. The reports on the thesis are confidential but are available to all D-MAVT faculty members.

Each written report must contain at least the following elements:

- a) a short summary of the thesis;
- b) an assessment of the value of the scientific work and the thesis quality (no grade is required);
- c) a recommendation regarding the acceptance of the thesis. Each report must state if the thesis shall be accepted with or without a revision or rejected.

Based on the received reports, the examination committee decides about the thesis' acceptance. If none of the reports advocates against acceptance, the doctoral exam and presentation will be scheduled and announced.

If a significant revision of the thesis is requested (beyond minor corrections such as fixing typos), the examination committee provides the reasons for the required revision in writing, and the doctoral examination must be postponed. If members of the examination committee disagree with the decision, the chairperson tries to mediate a unanimous consensus. If no consensus can be found, a vote is required, with the chairperson casting the deciding vote. The result of the vote must be included in the report.

### **16.3. Doctoral examination and presentation**

A D-MAVT doctoral defense consists of a public presentation with Q&A from the audience, followed by a doctoral exam. The presentation shall not be longer than 40 minutes, the exam shall last at least 60 minutes but not longer than 90 minutes.

The doctoral exam is private by default. If doctoral student and thesis supervisor agree, a maximum of ten guests may be present during the exam. All committee members as well as the doctoral candidate may participate virtually. Audio or video recordings are prohibited.

The language of the presentation and doctoral examination is English or German. If in German, then the chairperson must be informed ahead of time.

### **16.4 Assessment of the Doctoral examination**

The examination committee decides:

- if the doctoral thesis is accepted or rejected (with or without a required revision)
- if the oral doctoral examination is passed or failed.

If a revision of the doctoral thesis is required, then the committee defines which changes are to be made, the deadline for the changes to be implemented, and the committee member(s) responsible for verifying that the changes have been made.

All co-examiners have a vote. The committee takes its decision by majority vote; in the event of a tie, the chairperson has the casting vote. The result is recorded in writing.

Immediately after the doctoral examination, the chairperson of the examination informs the doctoral student verbally about the assessment of the doctoral thesis and of the doctoral exam.

If the doctoral examination is failed, the retake takes place within six months after the first attempt. Only one retake is allowed.

If the doctoral thesis has been accepted with revisions, it can be revised once. The examination committee sets the deadline for the revision within six months after the first attempt and informs the doctoral student in writing about the further procedure, in particular to whom the revised doctoral thesis is to be presented for review.

The chairperson signs the report and submits it to the D-MAVT Doctoral Administration. The D-MAVT Doctoral Administration informs the doctoral student of the following in writing, with a copy to Academic Services:

- a) Points for revision of the doctoral thesis (if required) and deadline for revision;
- b) Information on the deadline for repeating the doctoral examination (if failed);
- c) Reference to the possibility of appeal (if the doctoral thesis was rejected or accepted (with conditions) or the doctoral examination was not passed).

To promote award nominations, the examination committee considers the qualifications of each candidate with respect to a potential nomination for an outstanding thesis award (ETH Medal or industrial awards). If the candidate is considered for nomination, the committee documents the reasons for nomination by completing a separate form. The decision of the committee is confidential within the examination committee and later in the award committees. The supervisor is responsible for deciding about the final nomination and for preparing the nomination documents.

## **16.5 Conferral of the doctoral degree**

The thesis supervisor must approve the final version of a doctoral thesis and inform the Doctoral Administration in writing at least one week prior to the invitation to the Department Conference, for which acceptance of the thesis is scheduled. The title and content of the doctoral thesis may no longer be changed, once it has been approved by the Department Conference.

The Doctoral Administration prepares the list of candidates to receive the doctoral degree, as well as a list of those candidates not recommended for conferral. The list is drawn up on the basis of the examination committees' reports and the additional approval requested for minor revisions.

The Doctoral Administration includes the list of candidates as an attachment to the invitation to the Department Conference, which is distributed one week prior to the Department Conference.

The department requests after the approval of the Department Conference the conferral of the doctoral degree. The de-registration of doctoral students takes place on the date of the Department Conference at which the doctoral thesis was approved.

## **17. Nomination for ETH awards and other awards**

The doctoral committee is responsible for selecting award nominees for the ETH Medal, for industrial awards (ABB Forschungspreis and HILTI) and other awards. The Head of the Doctoral Committee ensures that all excellent candidates are considered as award applicants (based on the nomination forms completed at the time of the doctoral examination).

### **17.1 D-MAVT nomination procedures**

The following nomination procedures must be followed:

- a) nomination window: doctoral candidates are eligible for a nomination, if they finish and pass the doctoral examination (date of exam) before the end of the spring semester (according to the official semester dates of the academic calendar of ETH Zurich) of the respective year of nomination. Accordingly, the

nomination window is defined from the first day after the spring semester of the previous year until the last day of the spring semester of the year of nomination.

- b) The nomination must be submitted by the supervisor no later than July 31 of the year of nomination. There is a general agreement that every group nominates the best 20% of their doctoral candidates per year on a long-term average.
- c) All nominations are evaluated and ranked by the Doctoral Committee in September each year.
- d) According to the number of available awards, which is determined by the Rectorate, the Doctoral Committee identifies the D-MAVT proposal for award nominations based on their evaluation and submits these nominations to the Professors' Conference for vote and approval.
- e) The Doctoral Administration submits the approved nominations to the Rectorate for acceptance and a final decision.

### **17.2 Nominee selection criteria and rules**

The following criteria and rules apply when selecting nominees:

- a) The focus is on both implicit criteria (excellent quality, scientific and/or industrial relevance/impact) and explicit criteria (number of publications, patents, duration, recommendation of the exam chairperson approved by all examiners, etc.).
- b) Before the Doctoral Committee meeting, each committee member ranks all proposals from 1 (most favored) to x (least favored) (whole numbers only). The same ranking may be allocated to more than one candidate.
- c) Committee members abstain from ranking their own/supervised candidates or candidates for which they have a personal conflict of interest.
- d) The scores are averaged to create an anonymous ranking. This ranking serves as the basis for further discussions and for the final decision in the award selection meeting.
- e) Members with conflicts of interest (e.g., member is supervisor of a candidate) leave the room during the detailed discussion of the candidates.
- f) The nominees for ETH awards and industrial and other awards are discussed at the same time.

### **17.3 Material to submit for award nomination**

The following documents must be submitted with award nominations:

- 1) supervisor's recommendation letter, with statement of outstanding achievement, addressed to the doctoral committee (provided by the supervisor);
- 2) statement of the chairperson of the examination committee, approved by all examiners (choosing among the best 10 – 20% of that year). The statement is included in the report from the doctoral examination (provided by the Doctoral Administration).
- 3) standard announcement of the doctoral examination (provided by the Doctoral Administration);
- 4) referee's and co-examiner's evaluation report on the doctoral thesis (provided by the Doctoral Administration);
- 5) copy of the doctoral thesis or link to ETH e-library (provided by the supervisor);
- 6) curriculum vitae of the nominee (provided by the supervisor);
- 7) list of publications (distinguishing between accepted and submitted publications, provided by the supervisor);

- 8) list of posters, lectures and other scientific contributions, patents and contributions relevant to industry (provided by the supervisor);
- 9) duration of doctoral studies and current occupation (provided by the supervisor);
- 10) one additional supporting letter (with original signature) from a referee outside ETH Zürich who has NOT participated in the doctoral examination (provided by the supervisor);
- 11) in the case of nomination for industrial awards, the supervisor will be asked to provide any required additional documentation.

### **18. Application of salary levels**

D-MAVT applies fair and transparent salary levels to all doctoral students. To this end, each lab or professorship defines a default salary level for all its doctoral students (recommended is at least level 2). If a doctoral student performs significant additional functions (e.g., in teaching and mentoring, equipment supervision or administration), this should be honored by a higher salary level than the default.

### **19. Special contact points**

Doctoral students are encouraged to discuss critical situations and concerns (which are not of technical/scientific nature but require advice about doctoral studies or help in challenging situations) with, among others,

- the D-MAVT Delegate for Doctoral Affairs (Deputy Head of Department),
- the D-MAVT study coordinator,
- the D-MAVT Head of Department,
- ETH Zürich's ombudspersons and confidants,
- the AV-MAVT help desk.

The above points of contact maintain confidentiality.