

# Ordinance on the Doctorate at the Swiss Federal Institute of Technology Zurich

## (ETH Zurich Ordinance on the Doctorate)

of 23 November 2021 (Version: 1 January 2022)

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*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,*  
pursuant to Art. 3, Para. 1(b) of the ETHZ-ETHL Ordinance of 13 November 2003<sup>1</sup>,  
*hereby decrees:*

### Chapter 1: General provisions

#### Art. 1 Scope

This ordinance sets out the requirements, procedures, and responsibilities for the awarding of doctoral degrees by the Swiss Federal Institute of Technology (ETH Zurich).

#### Art. 2 Doctoral degrees

<sup>1</sup> ETH Zurich confers:

- a. regular doctoral degrees as verification of the ability to conduct high-quality scientific research, based on an independent original work;
- b. honorary doctorates in recognition of outstanding contributions to science.

<sup>2</sup> On request ETH Zurich provides information regarding the doctoral degrees it has awarded.

#### Art. 3 Doctoral title

<sup>1</sup> ETH Zurich confers the title “Doctor of Sciences (Dr. sc. ETH Zurich)”.

<sup>2</sup> If the doctorate is inter-university the title may be conferred in the names of ETH Zurich and the other participating universities.

<sup>3</sup> Awardees of honorary doctorates receive the title “Honorary Doctor” or “Doctor honoris causa”.

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<sup>1</sup> SR 414.110.37

**Art. 4** Doctoral committee

<sup>1</sup> Every department establishes a doctoral committee which is composed of at least three professors.

<sup>2</sup> For the purposes of this ordinance “professors” are professors as defined in Art. 1, Para. 1 of the ETH Professorial Ordinance of 18 September 2003<sup>2</sup>.

<sup>3</sup> The doctoral committee is elected by the Department Conference for a term of two years. Repeated election is permitted.

<sup>4</sup> The composition of the doctoral committee must be reported to the Rector.

**Art. 5** Doctoral thesis supervisor

<sup>1</sup> The doctoral thesis supervisor may be

- a. an ETH Zurich professor;
- b. an ETH Zurich adjunct (titular associate) professor or *Privatdozent*, provided that:
  1. this person works full-time for ETH Zurich, at a research institute of the ETH domain, or in a joint professorship with another Swiss university;
  2. the department concerned has given its consent.

<sup>2</sup> If the doctorate is inter-university the thesis supervisor may belong to one of the other participating universities.

**Art. 6** Fee

A fee will be charged for the regular doctorate in accordance with the Fee Ordinance of the ETH Domain of 31 May 1995<sup>3</sup>.

**Chapter 2: Regular doctorates****Section 1: Admission, doctoral plan and aptitude colloquium****Art. 7** Basic requirements for admission

<sup>1</sup> Admission to the doctorate requires good scientific credentials.

<sup>2</sup> The following persons may apply to pursue a doctorate at ETH Zurich:

- a. Holders of a Master’s degree from

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<sup>2</sup> SR 172.220.113.40

<sup>3</sup> SR 414.131.7

1. ETHZ or EPFL
  2. A university or other university institution in the university domain which is accredited according to the Federal Act on Funding and Coordination of the Swiss Higher Education Sector (HEdA) of 30 September 2011<sup>4</sup>
  3. A university outside Switzerland whose Master's degrees are equivalent to ETHZ/EPFL Master's degrees in content, scope and quality
- b. Holders of a university degree or other credential (state examination, etc.) which is equivalent to an ETHZ/EPFL Master's degree in content, scope and quality
  - c. Holders of a Master's degree from an HEdA-accredited university of applied sciences, an institute of a university of applied sciences, or a university of teacher training, provided that they can verify excellent performance, i.e. outstanding academic achievements and superlative individual achievements in their discipline
  - d. Candidates with outstanding credentials, as verified by outstanding individual scientific achievements in their discipline

<sup>3</sup> Persons with a Bachelor's degree from ETHZ/EPFL or another university who have demonstrated outstanding academic achievements may apply for doctoral programmes at ETH Zurich which allow early entry to doctoral studies.

#### **Art. 8** Admission requirements

<sup>1</sup> The admissions procedure can be initiated if one of the below criteria applies:

- a. One of the persons mentioned in Art. 5 has agreed in writing to supervise the doctoral thesis.
- b. A request for admission to a doctoral programme has been submitted.

<sup>2</sup> The admissions procedure comprises two stages:

- a. Provisional admission
- b. Definitive admission

<sup>3</sup> If the doctorate is inter-university, ETH Zurich may pass responsibility for the admissions procedure partially or fully to one of the other participating universities.

#### **Art. 9** Provisional admission

<sup>1</sup> Persons who wish to pursue a doctorate at ETH Zurich must submit a request for admission to Academic Services. The accompanying documents required are set out by the Rector in the implementation provisions.

<sup>2</sup> Academic Services forwards the request to the responsible department together with an evaluation by the Vice Rector for Doctoral Studies.

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<sup>4</sup> SR 414.20

3 The respective doctoral committee reviews the application and, after consulting with the doctoral supervisor or the body responsible for the doctoral programme, submits a request to the Rector for either

- a. provisional admission with or without extended doctoral studies; or
- b. rejection.

4 The Rector rules on requests for provisional admission. These may be subject to the requirement to complete extended doctoral studies.

5 There is no automatic entitlement to admission to the doctorate.

#### **Art. 10**      Obstacles to admission

1 The Rector may refuse a request for admission if it is established during the admissions procedure that the candidate

- a. has submitted documents that for inexplicable reasons cannot be verified; or
- b. has behaved dishonestly, i.e., has supplied untrue information or bogus documents.

2 If, in the context of Para. 1 (b), there is suspicion of a criminal offense according to federal or cantonal law, ETH Zurich will report the matter. If the offense requires a victim's complaint reporting may be dispensed with.

#### **Art. 11**      Doctoral plan

1 Provisionally accepted candidates must draw up a doctoral plan which provides information on at least the following points:

- a. Research objectives
- b. Teaching tasks
- c. Any other duties, such as monitoring of equipment or organisational tasks for the research group
- d. A timeline for extended doctoral studies, if applicable

2 The candidate must submit the doctoral plan to the following persons and bodies before undergoing the scrutiny of the aptitude colloquium:

- a. The doctoral thesis supervisor
- b. The second advisor
- c. The doctoral committee, for the attention of the chairperson and any further members of the aptitude colloquium

**Art. 12** Aptitude colloquium: Deadline

All candidates must undergo the scrutiny of an aptitude colloquium within twelve months of provisional admission. The same deadline period also applies to doctoral programmes but can start at a later point if the Rector permits.

**Art. 13** Aptitude colloquium: Tasks of the aptitude committee

The aptitude committee, within the framework of the aptitude colloquium, has the following duties:

- a. Focusing on the research objective described in the doctoral plan, it considers the suitability of the candidate for conducting a research project independently and authoring a doctoral thesis.
- b. It evaluates the investigation of the applicant as “passed” or “failed” and provides the result to the doctoral committee in writing, together with any additional comments on the research objective.
- c. It gives its opinion on the further points in the doctoral plan as listed in Art. 11, Para. 1 (b–d) and may provide recommendations. The opinion is also set out in writing but has no influence on the overall assessment mentioned in (b) above.

**Art. 14** Aptitude colloquium: Decision, and repetition of the examination

<sup>1</sup> If the result of the evaluation described in Art. 13 (b) is not unanimous, the doctoral committee will decide the matter within one month of the aptitude colloquium. The doctoral committee will take its decision by focusing on the research objective described in the doctoral plan and the result of the evaluation; it may also call in the aptitude committee and the candidate to obtain further information.

<sup>2</sup> An examination which concluded with a “failed” result may be repeated once, provided that the doctoral thesis supervisor agrees. The doctoral thesis supervisor may only refuse a repetition if the aptitude committee unanimously assessed the first attempt as “failed”. Any repetition must take place within three months of the first definitive result.

**Art. 15** Aptitude colloquium: Extension of the deadline

On substantiated request the Vice Rector for Doctoral Studies may extend the deadline for the first aptitude colloquium or the repetition of the examination. Requests for extension must always contain a statement on the matter by the doctoral thesis supervisor.

**Art. 16** Composition of the aptitude committee

<sup>1</sup> The aptitude committee is composed of the following persons:

- a. A member of the doctoral committee or someone named by the doctoral committee as chairperson; this person must be a member of the Professors’ Conference of an ETH Zurich department

- b. The doctoral thesis supervisor
- c. The second advisor

<sup>2</sup> The doctoral committee may add further persons to the aptitude committee in individual cases or in general. These persons are entitled to participate in the examination.

**Art. 17** Definitive admission

Definitive admission to the doctorate proceeds if the aptitude colloquium evaluates the examination as “passed”.

**Section 2: Matriculation and dematriculation/withdrawal**

**Art. 18** Matriculation and enrolment

Matriculation and enrolment proceed after provisional admission to the doctorate is granted.

**Art. 19** Multiple matriculation

<sup>1</sup> Simultaneous matriculation at ETH Zurich and another university is not permitted at the doctoral level, with the following exceptions:

- a. Temporary matriculation at other universities in the framework of research cooperation or a mobility/exchange programme
- b. Matriculation at other universities participating in an inter-university doctorate

<sup>2</sup> Simultaneous matriculation in the doctorate at ETH Zurich and at another level of studies at ETH Zurich or another university requires the agreement of the doctoral thesis supervisor.

<sup>3</sup> The givens associated with multiple matriculation as mentioned in Para. 2, particularly a heavy doctoral student workload or date conflicts, are not accepted as grounds for extending deadlines or for other individual exceptions.

**Art. 20** Dematriculation / withdrawal

Dematriculation/withdrawal results in expiration of all rights associated with matriculation.

**Art. 21** Withdrawal by the doctoral student

Doctoral students who wish to leave ETH Zurich before completing the doctorate must provide Academic Services with a written declaration of withdrawal.

**Art. 22** Dematriculation by ETH Zurich

1 Persons who have completed the doctorate are automatically dematriculated.

2 Doctoral students are also dematriculated if any of the following apply:

- a. They obtained admission to the doctorate based on untrue or incomplete information.
- b. They definitively fail the examination of the aptitude colloquium, miss the deadline for it, or miss the deadline for repeating it.
- c. They do not enrol for the semester.
- d. They fail to respect payment deadlines for tuition fees, obligatory semester fees or any other fees.
- e. They fail to respect the deadline for the doctoral examination as set out in Art. 39, Para. 2.
- f. They (in accordance with Art. 30, Para. 2) or the department (in accordance with Art. 33) fail to find a new doctoral thesis supervisor.
- g. They are subject to disciplinary measures associated with the ETH Zurich Disciplinary Code of 10 November 2020<sup>5</sup>.

**Art. 23** Re-entry to doctoral studies at ETH Zurich

1 Re-entry to the doctorate at ETH Zurich is subject to the regular admissions procedures set out in Art. 7–17.

2 If the doctoral committee provides a well-grounded request the Vice Rector for Doctoral Studies may simplify the admissions procedure.

**Section 3: Doctoral thesis****Art. 24** Doctoral thesis topic

The focus of the doctoral thesis topic must lie within the thesis supervisor's area of expertise. The topic may be cross-disciplinary.

**Art. 25** Research work in the doctoral framework

1 Research work in the context of the doctorate must normally be conducted at ETH Zurich or another institution of the ETH domain.

2 It is possible to conduct it outside the ETH domain if one of the following applies:

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<sup>5</sup> SR 414.138.1

- a. The research topic requires it, the necessary requirements have been met and the department has given its consent.
- b. The research work is part of an inter-university doctorate and will be carried out at one of the participating universities.

3 The doctoral thesis supervisor may approve short research stays outside the ETH domain.

4 In all cases the thesis supervisor must have access to the facilities used and to experimental documentation, including data.

#### **Art. 26** Language of the doctoral thesis

1 The doctoral thesis must be authored in German, French, Italian or English. A mixture of languages is not permitted.

2 The Rector may permit exceptions if a written request citing cogent grounds is submitted.

3 All theses must contain an abstract in German, French or Italian, plus an abstract in English.

### **Section 4: Thesis supervision and mentoring of doctoral students**

#### **Art. 27** Responsibility of the doctoral thesis supervisor

The doctoral thesis supervisor is responsible for the academic supervision and personnel management of his/her doctoral students.

#### **Art. 28** Second advisor and further advisors

1 In consultation with the doctoral student, the doctoral thesis supervisor must designate an academically qualified person who, as a second advisor, will also assist the doctoral student academically. This person must be appointed by the time the doctoral plan is submitted at the latest.

2 During the entire doctorate period doctoral students have the right to request a further advisor who will provide academic or non-academic assistance.

#### **Art. 29** Progress report and status conversation

1 Definitively admitted doctoral students must submit a written progress report to the doctoral thesis supervisor each year in preparation for the status conversation. The report must describe the following:

- a. The status and anticipated progress of research work
- b. Any significant deviations from the research objectives set out in the doctoral plan

<sup>2</sup> The supervisor must conduct an individual status conversation with each doctoral student at least once a year on the basis of the progress report. Further persons whose input is relevant to the points referred to in Para. 3 (a)–(c) may be included in the discussion. The discussion is logged in writing.

<sup>3</sup> The status conversation addresses the following in particular:

- a. Discussion and assessment of research progress
- b. Determination of next steps
- c. The progress of doctoral studies
- d. The working situation in the research group
- e. Personal development possibilities and the corresponding measures if required

<sup>4</sup> The progress report and the report on the status conversation must be submitted to the second advisor for information purposes.

<sup>5</sup> The doctoral thesis supervisor and the doctoral student are both obliged to store progress reports and the respective status conversation reports until the time of dematriculation. If legal proceedings are pending the documents must be retained until a legal ruling has been issued.

### **Art. 30**      Withdrawal of the thesis supervisor

<sup>1</sup> The doctoral thesis supervisor may withdraw from the supervision task. The reasons for withdrawal must be given. The doctoral student, the second advisor, the Vice Rector for Doctoral Studies and the doctoral committee must be informed in writing.

<sup>2</sup> After the withdrawal of the supervisor it is the responsibility of the doctoral student to find a new doctoral thesis supervisor within a maximum of six months. This period begins on the date of withdrawal and applies irrespective of whether an arbitration procedure as described in Art. 49 is underway.

### **Art. 31**      Regulated agreement if the doctoral thesis supervisor withdraws

<sup>1</sup> The withdrawing doctoral thesis supervisor and the doctoral student must come to a regulated agreement on the use of already processed data and findings, and on authorship rights.

<sup>2</sup> The agreement is to be drawn up in line with good scientific practice and according to the respective guidelines issued by the Executive Board<sup>6</sup>.

<sup>3</sup> ETH Zurich trusted intermediaries (confidants)<sup>7</sup> can provide guidance in drawing up the agreement. If there is any disagreement they must be involved.

<sup>4</sup> The agreement must be forwarded to the doctoral committee and Academic Services for information purposes.

<sup>6</sup> Guidelines for Research Integrity and Good Scientific Practice at ETH Zurich of 14 November 2007; RSETHZ 414 (<https://rechtssammlung.sp.ethz.ch>).

<sup>7</sup> [www.ethz.ch](http://www.ethz.ch) > Services & resources > Organisation > Ombudspersons and confidants

**Art. 32** Change of the doctoral thesis supervisor at the request of the doctoral student

Doctoral students may change doctoral thesis supervisors during the course of the doctorate. The reasons for the change must be provided, and the change may only take place with the written agreement of the new supervisor. The previous supervisor, the second advisor, the Vice Rector for Doctoral Studies and the doctoral committee must be informed in writing. The provisions of Art. 31 apply analogously.

**Art. 33** Absence of the doctoral thesis supervisor

<sup>1</sup> If the doctoral thesis supervisor is absent from duty the department will make every possible effort to ensure that the doctoral thesis project can continue under a new supervisor.

<sup>2</sup> If the efforts of the department are still unsuccessful after a period of six months, the doctoral student will be dematriculated.

<sup>3</sup> If the doctoral thesis project can continue under a new supervisor, the provisions of Art. 31 will apply analogously if the corresponding agreement can still be drawn up.

**Section 5: Doctoral studies****Art. 34** Regular and extended doctoral studies

<sup>1</sup> Doctoral studies comprise:

- a. Regular doctoral studies, which are compulsory for all doctoral students
- b. Extended doctoral studies, which must be completed only by those doctoral students whose admission to doctoral studies was contingent on the fulfilment of additional requirements

<sup>2</sup> Doctoral studies must be completed by the date of registration for the doctoral examination.

**Art. 35** Proof of academic achievement and academic record

<sup>1</sup> Doctoral studies are documented in the form of European Credit Transfer and Accumulation System (ECTS) credits.

<sup>2</sup> One ECTS credit corresponds to a workload of 25–30 hours.

<sup>3</sup> Study achievements during doctoral studies are documented in an academic record. This academic record is only issued after the doctoral procedure is concluded.

**Art. 36** Regular doctoral studies

1 Doctoral students have both the right and the obligation to pursue their education in the context of regular doctoral studies.

2 The objectives of regular doctoral studies are:

- a. Consolidation of knowledge in the research area of the doctoral thesis and the extension of knowledge beyond the original discipline
- b. Acquisition of transferable skills
- c. Integration into the scientific community

3 At least 12 ECTS credits must be earned during regular doctoral studies, and these must cover all of the objectives set out in Para. 2. The doctoral committee may permit exceptions at the substantiated request of the doctoral thesis supervisor.

4 The departments

- a. indicate course units suitable for regular doctoral studies from the existing range of courses;
- b. may offer course units specifically designed for doctoral students, such as courses, seminars, workshops or other course forms;
- c. may designate individual course units or pre-defined programmes as compulsory.

5 The doctoral thesis supervisor and the doctoral student agree on the individual course units to be completed during regular doctoral studies. Any disagreements are settled by the doctoral committee.

**Art. 37** Extended doctoral studies

1 The objectives of extended doctoral studies are to extend and deepen knowledge in the research area of the doctoral thesis.

2 Extended doctoral studies may comprise a maximum of 30 ECTS credits. These must be acquired in addition to the ECTS credits required for regular doctoral studies.

3 The stipulations set out in Art. 36, Para. 4 (a) and (b) apply analogously.

4 The doctoral thesis supervisor and the doctoral student agree on the study achievements to be completed, set out in a personal curriculum. Any disagreements are settled by the doctoral committee.

5 The personal curriculum is a component of the doctoral plan.

**Art. 38** Acquisition of ECTS credits and achievements recognised

1 ECTS credits are issued only if both of the following apply:

- a. The performance assessment associated with a completed course unit is passed. Here the current stipulations of the respective university or scientific institution regarding pass or failure apply.
- b. During scientific events such as conferences or colloquia, the contribution of the participating person is both active and verifiable.

2 Sufficient compensation possibilities for failed course units must be available during doctoral studies.

3 Active participation in ETH Zurich bodies and working groups can be recognised in the form of ECTS credits only in the framework of regular doctoral studies.

4 ECTS credits not recognised in the framework of regular doctoral studies are:

- a. Credits earned before commencement of doctoral studies
- b. Credits already recognised towards a degree programme at another level of studies in the context of multiple matriculation as per Art. 19, Para. 2.

5 ECTS credits acquired in the context of didactic training, such as the Teaching Diploma for Upper Secondary Education or the Teaching Certificate programmes, may, in the context of multiple matriculation, be recognised towards both the didactic training programme and regular doctoral studies.

6 In cases of re-entry to doctoral studies at ETH Zurich the doctoral committee may, at the request of the doctoral thesis supervisor, recognise ECTS credits for previous study achievements or the achievements described in Para. 3. The stipulations of Para. 4 still apply. There is no automatic entitlement to recognition.

**Section 6: Doctoral examination and issuing of the doctoral degree****Art. 39** Doctoral examination

1 Doctoral students register with Academic Services for the doctoral examination. Registration can only proceed at the consent of the doctoral thesis supervisor and after consulting with the co-examiners.

2 The following deadlines apply to the doctoral examination:

- a. It must take place within six years of provisional admission to the doctorate.
- b. It must take place within three months of the date of registration.

3 At the substantiated request of the doctoral committee the Vice Rector for Doctoral Studies may allow an extension to the deadlines in Para. 2.

4 The doctoral examination comprises the following:

- a. An oral examination of at least one hour which addresses the discipline or the field of the thesis
- b. A doctoral thesis presentation, if the respective department's detailed stipulations regarding the doctorate specify a talk as part of the doctoral examination

5 The examination committee conducts the doctoral examination.

**Art. 40**      Composition of the examination committee

1 The examination committee is composed of the following persons:

- a. A chairperson
- b. The doctoral thesis supervisor as examiner
- c. At least one co-examiner
- d. A further independent expert if there is any relationship of dependence between the thesis supervisor and the co-examiner(s)

2 The Head of the responsible department names the chairperson. The chairperson must be a member of the Professors' Conference of an ETH Zurich department.

3 The doctoral committee names the co-examiner(s) at the request of the doctoral thesis supervisor, subject to the following points:

- a. If the doctoral thesis supervisor is not a professor, at least one co-examiner must be an ETH Zurich professor.
- b. At least one co-examiner must come from outside ETH Zurich and be a proven expert in the area of the doctoral thesis.

**Art. 41**      Assessment of the doctoral thesis and the doctoral examination

1 The examiner and every co-examiner each draws up a written report on the doctoral thesis and submits it to the department before the doctoral examination. The experts' reports must state whether the doctoral thesis should be accepted with or without additional requirements, or whether it should be rejected.

2 The examination committee

- a. assesses the doctoral thesis as accepted or rejected;
- b. assesses the doctoral examination as "passed" or "failed".

3 All members of the examination committee are authorised to conduct the examination. The committee takes its decision by majority vote; if there is a tie the chairperson casts the deciding vote. The outcome is recorded in writing.

4 The examination committee submits a report to the respective Department Conference.

**Art. 42** Confidentiality of experts' reports

- 1 The reports described in Art. 41, Para. 1 are confidential.
- 2 The persons authorised to view the reports are:
  - a. The members of the examination committee
  - b. Members of further bodies who are tasked with assessing the doctoral thesis
- 3 When the doctoral procedure is complete, doctoral students can view reports pertaining to their own doctoral theses on request.

**Art. 43** Repetition of the doctoral examination

Doctoral students who fail the doctoral examination may repeat it once within six months.

**Art. 44** Revision of the doctoral thesis

- 1 If the doctoral thesis was accepted subject to corrections it may be revised once.
- 2 The examination committee
  - a. determines the deadline for the revision, which may not exceed six months;
  - b. informs the doctoral student on the next steps, in particular naming the person to whom the revised doctoral thesis should be submitted for checking, and adds this information to the documentation mentioned in Art. 41, Para. 3.
- 3 On substantiated request by the doctoral student and subject to the approval of the doctoral thesis supervisor, the Vice Rector for Doctoral Studies may extend the deadline for the revision.

**Art. 45** Decision on awarding of the doctoral degree

The Department Conference of the department in which the doctoral student is enrolled decides on the basis of the examination committee's decision whether to award or refuse the doctoral degree.

**Art. 46** Doctoral degree certificate

- 1 The doctoral degree certificate contains the following:
  - a. The name and date of birth of the doctoral graduate
  - b. The doctoral title
  - c. The title of the doctoral thesis
  - d. The name of the doctoral thesis supervisor
  - e. The date of the doctoral examination

- f. The date from which the doctoral title may be used
- g. The signatures of the Rector and the Head of Department who are in office on the date from which the doctoral title may be used
- h. The seal of ETH Zurich

<sup>2</sup> The doctoral degree certificate is presented to the graduate at the doctoral degree ceremony. Presentation is only possible if deposit copies, and an electronic version of the doctoral thesis have been delivered in advance.

<sup>3</sup> If the doctorate is inter-university, ETH Zurich and the other participating universities may issue the doctoral certificate together. The details it contains may differ from those listed in Para. 1.

#### **Art. 47** Use of the doctoral title

Once the deposit copies and an electronic version of the doctoral thesis have been delivered, the doctoral graduate receives a confirmation; this entitles the graduate to use the doctoral title.

#### **Art. 48** Publication of the doctoral thesis

<sup>1</sup> The doctoral thesis is published in its entirety. Publication may only proceed when the thesis is accepted by the Department Conference.

<sup>2</sup> Contracts with third parties, such as research contracts, and vested interests on the part of the parties concerned, such as prospective patent applications and ongoing follow-up applications to research institutions, may not delay publication and may under no circumstances prevent it. Publication may only be prevented if legal limitations apply.

### **Section 7: Disagreements, conflicts and arbitration**

#### **Art. 49** Disagreements and conflicts

<sup>1</sup> If disagreement or conflicts arise between the doctoral thesis supervisor and the doctoral student, a second advisor as mentioned in Art. 28 will seek to settle the dispute amicably between the parties.

<sup>2</sup> If this fails, the responsible Head of Department or a person designated by the Head as deputy will act as a mediator. The mediator will hear both parties and provide them with a written mediation proposal.

<sup>3</sup> If mediation efforts fail, the Vice Rector for Doctoral Studies will, at the written request of one of the parties, convene the Arbitration Committee.

<sup>4</sup> In the discussions mentioned in Para. 1–3 both parties have the right from the outset to call in representatives of their respective ETH Zurich university groups, i.e. the Academic Association of Scientific Staff at ETH Zurich (AVETH) and the Lecturers' Conference (KdL).

#### **Art. 50**      Composition of the Arbitration Committee

<sup>1</sup> The Arbitration Committee for the doctorate is composed of the following persons:

- a. The Vice Rector for Doctoral Studies (chairperson)
- b. The Head of the respective department. If the stipulations of Para. 4 prevent this, the doctoral committee will name a professor from the respective department for the role.
- c. An AVETH representative
- d. If required: Experts in the subject area of the doctoral thesis or representatives of units which address themes of inappropriate behaviour

<sup>2</sup> AVETH selects its Arbitration Committee representative, and that person's deputy, every two years. Repeated election is permitted.

<sup>3</sup> On a case-by-case basis the persons mentioned in Para. 1(d) may be called to join the Arbitration Committee by the Vice Rector for Doctoral Studies.

<sup>4</sup> No persons involved in the respective doctoral thesis project may sit on the Arbitration Committee.

#### **Art. 51**      Arbitration Committee procedure

<sup>1</sup> The Arbitration Committee hears both parties and, if it considers it suitable, provides them with a mediation proposal.

<sup>2</sup> If no mediation proposal is provided or if this proposal is rejected by one of the parties, the Arbitration Committee concludes the procedure and communicates its recommendations to the Rector. The Rector decides on the next steps.

### **Section 8: Detailed stipulations regarding the doctorate**

#### **Art. 52**

<sup>1</sup> Every department submits its own detailed stipulations regarding the doctorate to the Executive Board for approval.

<sup>2</sup> These detailed stipulations list department-specific specifications, in particular:

- a. The modalities of
  1. the doctoral plan, including submission deadlines;

2. aptitude colloquium procedure and the supplementing of the aptitude committee; and
  3. the doctoral examination
- b. The formal specifications for the progress report
  - c. Individual details regarding regular doctoral studies and extended doctoral studies

### Chapter 3: Intellectual property rights

#### Art. 53 Copyright

<sup>1</sup> The writer of the doctoral thesis is considered its author as its author under copyright law. The author holds full and sole copyright to the thesis. Para. 2 still applies.

<sup>2</sup> ETH Zurich has the non-exclusive right to publish the doctoral thesis for non-commercial purposes. It may provide scientific and public establishments with summaries or copies of the doctoral thesis.

#### Art. 54 Additional intellectual property rights

The provisions of Art. 36 of the ETH Law of 4 October 1991<sup>8</sup> govern any intellectual property generated in the framework of the doctoral thesis project which is not covered in Art. 53.

### Chapter 4: Honorary doctorates

#### Art. 55

<sup>1</sup> ETH Zurich confers the honorary doctorate if

- a. a 90% majority of the members of the Professors' Conference of a department who are present and entitled to vote requests this; and
- b. the Conference of the Heads of Department grants the request by the majority vote of those entitled to vote.

<sup>2</sup> The ballot is secret; abstention is permitted.

<sup>3</sup> The Rector sets out the honorary doctorate procedure in detail in a directive.

<sup>4</sup> The Rector awards honorary doctorates at an academic event.

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<sup>8</sup> SR 414.110

## Chapter 5: Administration of justice

### Art. 56

Decrees issued on the basis of this Ordinance on the Doctorate may be appealed by lodging a complaint with the ETH Appeals Commission within 30 days of receiving the decree.

## Chapter 6: Final clauses

### Art. 57 Implementation provisions

The Rector issues implementation provisions which address the following points in particular:

- a. The documents required for provisional admission to the doctorate
- b. The organisation of the admissions examination mentioned in Art. 59(c)
- c. The form in which outstanding individual achievements as mentioned Art. 7, Para. 2 (c) and (d) are to be certificated
- d. The doctoral plan
- e. The aptitude colloquium
- f. Doctoral studies, including the range of courses
- g. Doctoral thesis projects conducted outside the ETH domain
- h. The doctoral examination and the issuing of the doctoral degree certificate
- i. Submission of the doctoral thesis and the delivery of deposit copies
- j. The supervision of doctoral theses after leaving or retiring
- k. The criteria for designating doctoral thesis supervisors and co-examiners
- l. The delivery of summaries or copies of the doctoral thesis to scientific and public establishments
- m. The content and formal design of the detailed stipulations regarding the doctorate created by the departments

### Art. 58 Rescindment of previous regulations

The Ordinance on Doctoral Studies ETH Zurich of 1 July 2008<sup>9</sup> is hereby rescinded.

### Art. 59 Transitional provisions regarding additional admission requirements

If a doctoral student was provisionally admitted before 1 January 2022 subject to additional admission requirements, the following points apply:

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<sup>9</sup> [AS 2008 6437, 2013 3369]

- a. The deadline for fulfilling additional admission requirements is one year from the date of provisional admission.
- b. Academic Services will check whether the additional admission requirements have been fulfilled.
- c. If the additional admission requirements involve sitting examinations, any failed examinations may, with the consent of the doctoral thesis supervisor, be repeated once within six months. If an examination is not offered again within this period the Vice Rector for Doctoral Studies may approve an extension of the deadline at the request of the doctoral thesis supervisor.
- d. If additional admission requirements cannot be fulfilled due to failure to respect set deadlines or definitive failure of examinations or other performance assessments, the affected doctoral student will be dematriculated.
- e. No credits are counted towards regular doctoral studies for the examinations mentioned in (c).

**Art. 60** Transitional provisions regarding the doctoral plan and the research plan

<sup>1</sup> Art. 11 does not apply to doctoral students who were definitively admitted before 1 January 2022.

<sup>2</sup> Doctoral students who were provisionally – but not yet definitively – admitted before 1 January 2022 are subject to the following stipulations regarding the research plan.

- a. They must draw up a research plan which contains information on at least the following points:
  1. Their research objective
  2. Their participation in teaching
  3. Their further duties
- b. The research plan should be submitted to the doctoral thesis supervisor and, if possible, to a co-examiner.
- c. The doctoral thesis supervisor presents the research plan to the doctoral committee for approval.
- d. The research plan must be presented within 12 months of the date of provisional admission. Any extensions to this deadline require the approval of the doctoral committee.

**Art. 61** Transitional provisions regarding the aptitude colloquium

Art. 12–15 do not apply to doctoral students who were provisionally or definitively admitted before 1 January 2022.

**Art. 62** Transitional provisions regarding definitive admission

Doctoral students who were admitted provisionally – but not yet definitively – before 1 January 2022 will be definitively admitted if

- a. their research plan is approved; and
- b. they have fulfilled any additional requirements set when they were provisionally admitted.

**Art. 63** Transitional provisions regarding designation of a second advisor

If doctoral students were admitted before 1 January 2022, a second advisor must be designated for them by the following deadlines:

- a. If admission is definitive on 1 January 2022: Designation by 30 June 2022
- b. If admission is provisional on 1 January 2022: Designation by 31 December 2022

**Art. 64** Transitional provisions regarding the progress report and status conversation

Art. 29, Para. 4 applies to doctoral students who were provisionally or definitively admitted before 1 January 2022 as soon as the second advisor has been named.

**Art. 65** Transitional provisions regarding regular doctoral studies and the academic record

<sup>1</sup> Doctoral students who were admitted provisionally – but not yet definitively – before 1 January 2022 can choose whether they will pursue regular doctoral studies according to the provisions of Art. 36 or according to previous regulations.

<sup>2</sup> The department sets out details of regular doctoral studies according to previous regulations in its detailed stipulations regarding the doctorate.

<sup>3</sup> Only doctoral students who complete regular doctoral studies as set out in Art. 36 receive an academic record as described in Art. 35, Para. 3.

**Art. 66** Transitional provisions regarding the examination committee

Art. 40, Para. 3(b) is binding in the context of doctoral examinations conducted from 1 January 2024 onwards.

**Art. 67** Transitional provisions regarding disagreements and conflicts

Art. 49, Para. 1 comes into effect as soon as the second advisor is named.

**Art. 68** Entry into force

This ordinance enters into force on 1 January 2022.