

**Department of Health Sciences and Technology (D-HEST)
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 Health Sciences and Technology at ETH Zurich¹
and pursuant to Art. 52 of the ETH Zurich Ordinance on the Doctorate of
23 November 2021²,

hereby decrees the following detailed stipulations regarding the doctorate:

Section 1: General provisions**Art. 1 Scope and purpose**

¹ These stipulations set out the department-specific details governing the doctorate at the Department of Health Sciences and Technology (D-HEST) at ETH Zurich. They are based on the fundamental provisions of the ETH Zurich Ordinance on the Doctorate of 23 November 2021³ and on the Rector's Implementation Provisions 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 at D-HEST. Principal factors that determine the quality of doctoral theses are the doctoral student, the supervision of the doctoral student and the project topic.

Art. 2 Doctoral committee

The composition of the doctoral committee is set out in Art. 34 of the D-HEST by-laws.

¹ Resolution of the D-HEST Department Conference of 9 December 2021 (approval of the detailed stipulations)

² SR 414.133.1

³ SR 414.133.1

⁴ RSETHZ 340.311

Section 2: Recruitment and admission to the doctorate

Art. 3 Recruitment

¹ Doctoral students are recruited either by individual professors or by persons responsible for doctoral programmes.

² Doctoral students in doctoral programmes remain subject to all ETH Zurich and department regulations.

Art. 4 Admission

¹ ETH Zurich Academic Services checks whether the formal criteria for admission of the doctoral student have been met.

² The doctoral student's academic qualifications are reviewed by the doctoral thesis supervisor.

Art. 5 Doctoral plan

1 The doctoral plan must provide information on the following points:

- a. Research objectives
- b. Teaching tasks
- c. Further tasks
- d. The personal curriculum for extended doctoral studies, if these are required

² The doctoral student must submit the doctoral plan within ten months of provisional admission. Deadline extensions require the approval of the doctoral committee.

³ The doctoral plan must be dated and signed by the doctoral student and the doctoral thesis supervisor.

⁴ The name of the second advisor and the date of the aptitude colloquium must be communicated at submission of the doctoral plan at the latest.

⁵ The doctoral plan may not exceed eight pages in length (not counting title page and bibliography). The department can provide a template.

Art. 6 Organising and conducting the aptitude colloquium

¹ The objective of the aptitude colloquium is to assess whether a doctoral student is capable of conducting an independent research project and writing a thesis. The subject of the aptitude colloquium is the research project described in the doctoral plan.

² Each professor supplies a number of binding dates per year on which they can chair an aptitude colloquium. The exact modalities are defined by the doctoral committee.

³ The number of binding dates to be supplied for the chairing of aptitude colloquia are as follows:

- a. Full and associate professors: six dates per year
- b. Tenure-track assistant professors: three dates per year
- c. Non-tenure-track assistant professors: one date per year
- d. Adjunct professors: three dates per year

⁴ The D-HEST Doctoral Administration contacts the professors who have indicated their availability on the date the doctoral student prefers to hold the aptitude colloquium. The aptitude colloquium usually takes place on the premises of the doctoral thesis supervisor. The doctoral student reserves a suitable room for the aptitude colloquium and informs all members of the aptitude committee and the D-HEST Doctoral Administration accordingly. If the aptitude colloquium takes place by video conference, the doctoral student is responsible for technical implementation.

⁵ If no professor is available on the desired date of the aptitude colloquium, the doctoral student must find another chairperson or propose another date.

⁶ If a professor cannot chair the aptitude colloquium on the date indicated, they are required to find a replacement.

⁷ The aptitude colloquium is conducted as follows:

- a. Presentation of the research project by the doctoral student: 20 minutes
- b. Discussion of the presentation, moderated by the chair of the aptitude colloquium: 15 minutes minimum
- c. Evaluation and decision by the members of the aptitude commission

⁸ If the result of the evaluation is not unanimous, the doctoral committee will decide the matter within one month of the aptitude colloquium.

⁹ A failed examination 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. 7 Aptitude committee

¹ The aptitude committee is composed of the following persons:

- a. The chairperson as representative of the doctoral committee (chair)
- b. The doctoral thesis supervisor
- c. The second advisor
- d. Further persons in individual cases, at the doctoral thesis supervisor's request to the doctoral committee chairperson

² Any member of the D-HEST Professors' Conference, except for associated members with a seat at the Conference, may chair an aptitude colloquium.

³ The thesis supervisor and the doctoral student may ask the chairperson of the Doctoral Committee for exceptions with regard to the members of the aptitude colloquium.

Section 3: Supervision of the doctorate

Art. 8 Doctoral thesis supervisor

The following persons may supervise a doctoral thesis:

- a. An ETH Zurich professor
- b. An adjunct professor employed at one of the research institutes of the ETH domain and in an ETH Zurich dual professorship
- c. *PrivatdozentInnen*

Art. 9 Contact points

¹ In the role of confidant, the D-HEST Deputy Head of Department is available to all doctoral students for counselling on non-academic matters in relation to the doctorate.

² Doctoral students may also approach all internal and external ETH contact points and AVETH for help with personal matters.

Art. 10 Progress report and annual status conversation

¹ After definitive admission to the doctorate, a status conversation must take place every year between the doctoral student and the doctoral thesis supervisor.

² Before every annual status conversation the doctoral student must submit a written progress report to the doctoral thesis supervisor which documents the following:

- a. The progress of the research project
- b. Next steps
- c. The progress of doctoral studies
- d. The working situation in the research group
- e. Personal development possibilities

³ The annual status conversation is conducted according to the stipulations set out in the Rector's Implementation Provisions.

Section 4: Regular doctoral studies

Art. 11 Regular doctoral studies

¹ 1 ECTS credit corresponds to a workload of 25-30 hours. The awarding of credits is contingent on certificated proof of individual academic achievement.

² At least a third of the 12 credits required for doctoral studies must be acquired in the category of «transferable competences».

³ A maximum of 2 credits can be awarded for participation in D-HEST committees, ETH Zurich university groups or ETH Zurich selection committees.

⁴ 1 credit is awarded for each independent contribution as presenting author at a scientific conference. A maximum of 2 credits can be acquired here.

⁵ The application provided by the Rectorate for doctoral students must be used to report and confirm the credits earned.

⁶ The doctoral thesis supervisor is responsible for confirming the candidate's academic achievements during regular doctoral studies. D-HEST is responsible for recognising them.

Art. 12 Extended doctoral studies

¹ The doctoral thesis supervisor, with the agreement of the doctoral student, sets out the study achievements to be completed in a personal curriculum. Any disagreements are settled by the doctoral committee.

² The personal curriculum is a component of the doctoral plan.

Section 5: Doctoral thesis and doctoral examination

Art. 13 External doctoral theses

Doctoral thesis projects conducted outside the ETH domain require the approval of the doctoral committee.

Art. 14 Doctoral thesis structure

¹ A doctoral thesis must include the following: an introduction, a treatment of the research work, a discussion of the intended research findings and an outlook.

² The introduction details the form and scope of the doctoral student's individual contribution and describes how the individual chapters are connected.

Art. 15 Cumulative doctoral thesis

- ¹ A cumulative doctoral thesis consists of manuscripts or proceedings that
- a. have already been published in peer-reviewed journals, media or books;
 - b. have been accepted for publication in peer-reviewed journals or books.

² Engineering science proceedings are equivalent to manuscripts if they are subject to peer review before publication.

³ Cumulative doctoral theses must include an introduction which details the form and scope of the doctoral student's own contribution and describes how the individual manuscripts are connected.

Art. 16 Notification and approval of co-examiners

¹ The doctoral thesis supervisor submits the names of co-examiners to the doctoral committee for approval three months before the doctoral examination at the latest.

- ² The following co-examiners do not require the approval of the doctoral committee:
- a. Full and associate ETH Zurich professors
 - b. ETH Zurich assistant professors

³ All other co-examiners require the approval of the doctoral committee unless they were previously approved. D-HEST maintains a list of the latter persons.

⁴ The doctoral thesis supervisor submits applications for co-examiners to the D-HEST Doctoral Administration. The applications must provide grounds.

⁵ Upon receipt the applications are forwarded to the doctoral committee for approval. The Rector is then informed.

Art. 17 Organising and conducting the doctoral examination

¹ The doctoral student informs the D-HEST Doctoral Administration of the preferred doctoral examination date at least 30 days before this date.

² The D-HEST Doctoral Administration is responsible for the organisation of the doctoral examination.

³ Each professor provides a number of binding dates per year when they can chair a doctoral examination. The exact modalities are defined by the doctoral committee.

- ⁴ The number of binding dates required is as follows:
- a. Full and associate professors: six dates per year
 - b. Tenure-track assistant professors: three dates per year
 - c. Non-tenure-track assistant professors: one date per year
 - d. Adjunct professors: three dates per year

⁵ The D-HEST Doctoral Administration contacts the professors who have indicated their availability on the date for the doctoral examination preferred by the doctoral student, and reserves a suitable room. At the request of the doctoral student, the D-HEST Doctoral Administration will also organise technical support for a video conference.

⁶ If no professors are available to chair the doctoral examination on the desired date, the doctoral student must find another chairperson or propose another date.

⁷ If a professor cannot chair the doctoral examination on the date they have provided, they must find a replacement.

⁸ The doctoral student must register for the doctoral examination with the Doctoral Administration (Academic Services) at least 15 working days before the planned examination date.

⁹ The doctoral examination is public. If special contractual agreements (e.g. regarding confidentiality of research results) indicate, the doctoral thesis supervisor may declare the entire doctoral examination non-public.

¹⁰ The doctoral examination comprises a presentation of the doctoral thesis by the candidate lasting a maximum of 20 minutes, followed by an oral examination of at least 60 minutes.

Art. 18 Examination committee

¹ The doctoral examination may be chaired by professors and adjunct professors.

² At least one member of the examination committee must have no co-authorship relationship with the doctoral thesis supervisor.

Section 6: Transitional provisions and final clauses

Art. 19 Transitional provisions regarding regular doctoral studies

Doctoral students who were provisionally - but not yet definitively - admitted before 1 January 2022 can choose whether they want to pursue regular doctoral studies in accordance with Art. 36 of the ETH Zurich Ordinance on the Doctorate or under the previous regulations. The stipulations governing doctoral studies under the previous regulations are set out in Annex 1.

Art. 20 Final clauses

These detailed stipulations enter into force retrospectively on 1 January 2022. They replace the detailed D-HEST stipulations on doctoral studies of 1 January 2018.

Application of salary rates

The salary rates for doctoral students are governed by the stipulations set out in Art. 8, Para. 3 of the Ordinance Governing Scientific Employees of ETH Zurich⁵, in association with Section 1 (3) of the Directives for Doctoral Students Employed at ETH Zurich⁶.

Salary rates for doctoral students are handled transparently and fairly at D-HEST. To this end each professor defines a uniform salary rate for their doctoral students. D-HEST recommends that all its institutes issue standardized regulations.

If a doctoral student performs significant extra tasks, i.e. in teaching, administration or equipment maintenance, they should be remunerated through a higher salary rate.

⁵ SR 172.220.113.11

⁶ RSETHZ 622

Department of Health Sciences and Technology (D-HEST)**Detailed Regulations for Individual Doctoral Studies**

of 14 December 2016 (as of 1 January 2018)

Important: English is not an official language of the Swiss Confederation. This translation is provided for information purposes only and has no legal force.

Approved by the Executive Board on 12 December 2017

D-HEST,

pursuant to Art. 23 Abs. 3 of the Ordinance on Doctoral Studies ETH Zurich of 1 July 2008¹, in accordance with clause 9 of the Rector's Implementation Provisions to the Ordinance on Doctoral Studies ETH Zurich of 17 October 2013²,

decrees the following detailed regulations for individual doctoral studies:

1. The Study Coordinator is responsible for the approval and confirmation of the performance assessments during the individual doctoral studies.
2. A credit point requires a work effort of 25 to 30 hours³. For the awarding of credit points an individual performance confirmed by a certificate of performance is required⁴.
3. At least a third of the required credits for the doctoral study must be acquired in subjects outside the field of research⁵. To receive credit points, performance assessments for courses from the ETH Zurich Course Catalogue may differ upon agreement with the responsible lecturers from the performance assessments listed in the *Course Catalogue for Bachelor or Master students*.
4. A maximum of 2 credit points can be awarded for participation in committees of D-HEST, in ETH Zurich members associations or selection committees.
5. For the participation at scientific congresses one credit point is awarded for each independent contribution as first author. A maximum of two credit points can be awarded.
6. For the reporting and approval of the gained credit points, the [confirmation sheet for doctoral students](#) supplied by the Rectorate must be used.
7. For doctoral students who began their doctorate before the 1 January 2012 in another department of ETH Zurich and who have changed to a specialist area in D-HEST, the

¹ SR 414.133.1

² RSETHZ 340.311

³ Art. 24 Abs. 2 Doktoratsverordnung ETH Zürich (DV)

⁴ Art. 25a Abs. 1 DV

⁵ Art. 25 Abs. 2 DV

previously given admissions and approvals are valid without limitation. Transitional regulations according to Ziff. 8 apply.

8. Transitional Regulations

The following additional transitional regulations apply to Ziff. 7 of these Detailed Regulations:

A. Doctoral studies beginning before 1 January 2012 and completing after 1 January 2013

For these doctoral students the credit points gained before 31 December 2011 are accredited according to the regulations of the former department.

For credit points gained after 1 January 2012, solely the present Detailed Regulations of D-HEST apply.

B. Accreditation of Admission Requirements

Doctoral students who began their doctorate in 2013 (1.1. – 31.12.), and who were required to fulfil additional admission requirements according to Art. 10 of the Ordinance on Doctoral Studies can have these credit points accredited to their doctoral studies.

C. In cases of uncertainty

In cases of uncertainty regarding the accreditation of credit points mentioned under points A or B, the decision is taken by the Chair of the Doctoral Committee of D-HEST.

9. These Detailed Regulations are effective from 1 January 2018. They replace the Detailed Regulations of 11 December 2013.