

**Department of Humanities, Social and Political Sciences (D-GESS)
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 Executive Board of ETH Zurich,

at the request of the Department of Humanities, Social and Political Sciences of 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 detailed stipulations set out the department-specific details governing the doctorate at the Department of Humanities, Social and Political Sciences of ETH Zurich (D-GESS). They are based on the provisions of the ETH Zurich Ordinance on the Doctorate of 23 November 2021³ and 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 help ensure the quality of doctoral theses completed at D-GESS. The quality of doctoral theses depends on the doctoral students, the supervision they receive and the research project.

Section 2: Admission to the doctorate**Art. 2** Doctoral plan

¹ The doctoral plan must be submitted to the D-GESS Doctoral Administration no later than two weeks prior to the aptitude colloquium.

² For the doctoral plan the applicant must use the template provided on the D-GESS website.

¹ Resolution of the D-GESS Department Conference of 30 November 2021 (approval of the detailed stipulations)

² SR 414.133.1

³ SR 414.133.1

⁴ RSETHZ 340.311

³ Doctoral students and thesis supervisors are responsible for compliance with deadlines and for completeness of information.

⁴ If a doctoral plan is not submitted on time or is incomplete, the chairperson of the aptitude committee may cancel the aptitude colloquium.

Art. 3 Aptitude colloquium

¹ Doctoral students are responsible for organising the aptitude colloquium.

² The aptitude colloquium lasts at least 30 minutes. During the aptitude colloquium, the candidate presents their research project for at least 15 minutes and then answers questions from the aptitude committee and, if applicable, from other persons present.

³ The chairperson takes the minutes of the aptitude colloquium and submits them to the D-GESS Doctoral Administration.

Section 3: Supervision of the doctorate

Art. 4 Second advisor

¹ Second advisors of doctoral theses are usually professors at ETH Zurich or at another university. Senior Scientists and Senior Assistants may also be second advisors of a doctoral thesis if they are not employed at the same professorship as the thesis supervisor.

² The D-GESS Doctoral Administration must be notified of the appointment of the second advisor no later than two weeks before the aptitude colloquium.

Section 4: Regular doctoral studies

Art. 5 Regular doctoral studies

¹ The doctoral candidate and the thesis supervisor are responsible for complying with the rules of the ETH Zurich Ordinance on the Doctorate (Art. 34-36) and the Rector's Implementation Provisions for the ETH Zurich Ordinance on the Doctorate (Sections 10.1-10.3) regarding the validity and verifiability of the ECTS credits required for doctoral studies. In cases of doubt, the final decision lies with the chairperson of the doctoral committee.

² On its website D-GESS lists the departmental or doctoral colloquia (with presentations) that can be credited to doctoral studies according to Section 10.3 of the Rector's Implementation Provisions for the ETH Zurich Ordinance on the Doctorate.

³ When they have earned the required 12 credits, and no later than three months before the doctoral examination, doctoral candidates must submit a proof of academic achievement academic record listing the credits acquired to the D-GESS Doctoral Administration, together with a confirmation from the thesis supervisor that the credits have been earned in accordance with the applicable rules.

Section 5: Doctoral thesis and doctoral examination

Art. 6 External doctoral theses

¹ External doctoral thesis projects must be approved by the doctoral committee during the admission process.

² A doctoral thesis may, in particular, be designated as external if a doctoral candidate collects data at a private institution or a university outside the ETH domain, or analyses data collected there. In cases of doubt, the doctoral committee decides whether a thesis project qualifies as an external doctoral thesis.

Art. 7 Cumulative doctoral theses

¹ A cumulative doctoral thesis consists of at least three individual scientific papers together with an introduction and a conclusion which place the individual scientific papers in a context and, in the case of co-authored individual scientific papers or chapters, identify the candidate's individual scientific contribution.

² For a cumulative doctoral thesis, the doctoral candidate must be the first author of at least three individual papers/chapters. First authorship of further papers/chapters is not required. All papers/chapters of a cumulative doctoral thesis may be co-authored.

³ In cases of doubt, the doctoral committee decides whether first authorship stands, taking into account the circumstances of the doctoral candidate's respective subject area.

⁴ In addition to the chairperson, the examination committee must include two further members who are not co-authors of any of the individual scientific papers/chapters submitted.

⁵ If a member of the examination committee has co-authored one of the scientific papers/chapters submitted, the comments of this member with regard to the respective paper/chapter must be restricted in the report and examination to comments on the quantity and quality of the doctoral candidate's contribution only.

⁶ For all co-authored individual scientific papers, the doctoral candidate must complete and submit the «Authorship declaration and confirmation» (authorship declaration) form found on the D-GESS website no later than three months before the doctoral examination. The D-GESS Doctoral Administration will only process the application for the doctoral examination once the completed authorship declaration has been received. This declaration will be made available to the members of the examination committee.

Art. 8 Appointment and approval of co-examiners

¹ In addition to the chairperson and the doctoral thesis supervisor, the examination committee must include at least two co-examiners.

² The chairperson of the examination committee is usually a member of the doctoral committee. If possible, they should belong to a different D-GESS research area than the thesis supervisor.

³ The thesis supervisor requests the doctoral committee's approval of the co-examiners via the D-GESS Doctoral Administration. Requests for approval may be submitted in succession once the aptitude colloquium has been passed, but co-examiner appointments must be finalised no later than three months before the doctoral examination.

⁴ Using a D-GESS form, the thesis supervisor must disclose any possible conflicts of interest between themselves, other members of the examination committee and the doctoral candidate three months before the examination.

Art. 9 Procedure before the doctoral examination and submission of examination copies and reports

¹ The doctoral candidate is responsible for organising their doctoral examination.

² The doctoral candidate submits the doctoral thesis to be examined (examination copy) as a PDF file to the D-GESS Doctoral Administration no later than one month before the doctoral examination.

³ The D-GESS Doctoral Administration confirms the acquired credits listed in the application on the basis of the correctly submitted academic record.

⁴ After examination registration is complete, the D-GESS Doctoral Administration sends the examination copy to the examination committee for the preparation of reports. The members of the committee author their reports independently of one other and submit them to the D-GESS Doctoral Administration no later than one week before the examination date.

⁵ If the reports of the members of the examination committee are not received on time, the chairperson may postpone the doctoral examination.

Art. 10 Doctoral examination and presentation

¹ Before the oral examination begins, the doctoral candidate delivers a 30-minute presentation on the doctoral thesis. This is followed by an oral examination by the examination committee, which lasts at least 60 minutes. The presentation and oral examination are public.

² If the examination committee concludes that the doctoral thesis can only be accepted if revised, it will determine the parts which need revision and the revision deadline. It will also determine whether the revision must be accepted by the supervisor or by the entire examination committee.

Section 6: Final provisions

Art. 11 Transitional provisions

Doctoral students who are completing their regular doctoral studies under the previous regulations in accordance with Art. 65 of the ETH Zurich Ordinance on the Doctorate are subject to the provisions set out in Annex 1.

Art. 12 Entry into force

These detailed stipulations enter into force retroactively on 1 January 2022. They replace the detailed D-GESS stipulations on doctoral studies of 8 January 2009.

Application of salary rates

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.

D-GESS applies salary rates as stipulated by the standard employment conditions for scientific staff at D-GESS. These are published on the D-GESS website.

⁵ SR 172.220.113.11

⁶ RSETHZ 622

Annex 1

General provisions

1. The department delegates to the head of the doctoral programme the task of compiling, together with the doctoral candidate, a course of doctoral studies that is appropriate for the individual and the subject matter in accordance with the ETH Zurich Ordinance on the Doctorate of 1 July 2008.
2. For external doctorates, i.e., those undertaken outside the ETH Domain, a doctoral programme of equivalent quality should be compiled that is appropriate to the individual circumstances.
3. It is the responsibility of the thesis supervisor to monitor the evidence of credits attained during the course of doctoral studies, to ensure that any related documentation can be verified and to confirm that all regulatory requirements have been met before the doctoral candidate registers for the doctoral examination.

Special provisions

1. At least four credits should be attained by attending regular courses at ETH Zurich.
2. Candidates who are not pursuing a doctorate in their original discipline must attain at least two credits in courses from the complementary discipline, depending on their previous field of study (social sciences/humanities or natural sciences/engineering).
3. One credit each per congress attendance may be attained for seminar papers or poster presentations given at non-ETH scientific congresses. Up to a maximum of two credits for the doctoral programme can be attained in this category.
4. For attendance of summer schools and other continuing educational programmes of a scientific nature, up to six credits may be credited towards the doctoral programme. As a general rule of thumb, one-third of a credit can be attained for each day of the course.
5. Active participation (e.g., in the form of presentations or co-presentations) in seminars or colloquia organised by the Department or the professorship may be credited as up to half a credit per semester. A maximum of two credits may be attained in this way.
6. Actively assisting in ETH courses (e.g., leading exercises/tutorials) may count as one credit per course. A maximum of two credits may be attained in this way.
7. Up to two credits can be attained by attending language courses.
8. By serving on one or more ETH Zurich committees, up to half a credit per semester can be earned. No more than two credits may be attained in this way.
9. Work that serves to fulfil any additional requirements within the scope of the ETH Doctoral Studies Ordinance cannot be credited to the doctoral programme.
10. Work undertaken as part of previous BA and MA or BSc and MSc degree courses cannot be credited to the doctoral programme.

Evidence of academic achievement

Recognition of credits attained in the doctoral programme requires evidence of academic achievements. This evidence can be in the form of grades, assessments (pass/fail), or confirmations (if possible in the form of a letter) of the doctoral candidate's attendance of, or assistance with, a summer school, course, committee, etc. As a general rule, all work that goes towards attaining credits must be recorded in a way that is transparent, comprehensible and verifiable.

Exceptions

Should there be any cases of hardship regarding the recommendations listed above, the Head of Department shall decide, at the request of the thesis supervisor, whether specific achievements may be credited to the doctoral programme.

Progress reports

In addition to the annual progress reports referred to in the ETH Zurich Ordinance on the Doctorate (Art. 15.3), if a doctoral thesis has not been completed after four years, the doctoral candidate together with the thesis supervisor shall prepare a progress report for the attention of the Doctoral Committee.

Zurich, 8 January 2009

Approved by the Rector:

Prof. Dr. Heidi Wunderli-Allenspach