

**Department of Management, Technology, and Economics (D-MTEC)
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 Management, Technology, and Economics at ETH Zurich¹ and based on 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**Art. 1 Scope and purpose**

¹ These detailed stipulations set out the department-specific details governing the doctorate at the ETH Zurich Department of Management, Technology, and Economics (D-MTEC). They are based on the basic 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-MTEC. Decisive for the quality of doctoral theses are doctoral students, their supervision and the project topic.

Art. 2 Doctoral committee

The doctoral committee is made up of three professors and one representative from the scientific staff.

Art. 3 Responsibility for the doctorate in the department

The Professors' Conference appoints a member of the department leadership to be responsible for the doctorate.

¹ Resolution of the D-MTEC 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: Admission to the doctorate

Art. 4 Doctoral plan

¹ The doctoral plan must be submitted to the aptitude committee for information purposes 10 working days before the aptitude colloquium. A template for the doctoral plan is provided by the department.

² The doctoral plan must contain the following information:

- a. Research proposal: The content and contribution of the doctoral thesis, and progress to date
- b. Teaching responsibilities
- c. Other tasks

³ The doctoral candidate and the doctoral thesis supervisor are responsible for meeting deadlines and for the comprehensiveness of the information they provide.

Art. 5 Aptitude colloquium

¹ The aptitude colloquium is organised by the doctoral candidate in consultation with the doctorate thesis supervisor.

² The doctoral candidate must provide the name of the second advisor to the D-MTEC Doctoral Administration on submission of the doctoral plan at the latest. At the same time they must communicate all relevant information about the aptitude colloquium to the D-MTEC Doctoral Administration using the web form.

³ Within the framework of the aptitude colloquium, the doctoral candidate presents the content of the doctoral plan in the form of a talk.

Section 3: Supervision of the doctorate

Art. 6 Approval of adjunct professors as doctoral thesis supervisors

D-MTEC adjunct professors may supervise doctoral theses.

Section 4: Regular doctoral studies

Art. 7

A minimum of 18 ECTS credits must be acquired during regular doctoral studies. Of these, at least 4 credits must be earned at ETH Zurich. Language courses are not recognised towards doctoral studies.

Section 5: Doctoral thesis and doctoral examination

Art. 8 Cumulative doctoral theses

¹ Cumulative doctoral theses consist of at least three manuscripts that

- a. have already been published in peer-reviewed journals or books; or
- b. will be published in appropriate journals or books in the near future.

² For co-authored manuscripts, the nature and extent of the contribution of the doctoral candidate must be described in the introductory chapter.

³ A cumulative doctoral thesis must begin with an introductory chapter. In this chapter, the connections between the single works and their positioning within the area of study must be made clear.

Art. 9 Details of the examination committee

¹ At least six months before the doctoral examination, the doctoral thesis supervisor presents the co-examiner to the doctoral committee for approval.

² D-MTEC adjunct professors may serve as co-examiners of doctoral theses.

³ If a doctoral thesis is cumulative, at least one member of the examination committee may not be a co-author.

Art. 10 Procedure before doctoral examination and submission of examination copies and experts' reports

¹ Doctoral candidates are responsible for the organisation of their doctoral examinations.

- a. Three months before the doctoral examination at the latest, doctoral candidates must submit a transcript of records of their doctoral studies approved by the doctoral thesis supervisor to the D-MTEC Doctoral Administration for confirmation that the required 18 credits have been acquired.
- b. Doctoral candidates make the examination copy available to the doctoral thesis supervisor and the co-examiners for their written reports by arrangement. One month before the doctoral examination at the latest, they must also submit the examination copy as a PDF to the D-MTEC Doctoral Administration as per item 11.4 (d) and Annex 2 of the Rector's Implementation Provisions for the ETH Zurich Ordinance on the Doctorate. At the same time, they must communicate all relevant information about the doctoral examination to the D-MTEC Doctoral Administration using the respective web form.

² The doctoral thesis supervisor and the co-examiners must submit their experts' reports to the D-MTEC Doctoral Administration at least 10 working days before the examination date.

³ The D-MTEC Doctoral Administration provides the chair of the examination committee with all documents relevant to the examination at least one week before the examination.

Art. 11 Doctoral examination and talk

¹ The doctoral plan states whether the examination will be preceded by a short presentation by the candidate of the thesis and its most important research results.

² The doctoral examination and the presentation are open to members of D-MTEC. In consultation with the doctoral thesis supervisor, other guests can be invited.

³ After the examination, the examination committee consults together without the candidate and the audience. The result is made known immediately after the consultation.

Section 6: Final provisions

Art. 12 Transitional provisions regarding regular doctoral studies

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. 13 Entry into force

These detailed stipulations enter into force retroactively on 1 January 2022. They replace the detailed D-MTEC stipulations regarding doctoral studies of 1 September 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.

At D-MTEC the application of salary rates within the Swiss Economic Institute (KOF) and the professorships is handled transparently and a fair distribution of teaching and service work is ensured.

⁵ SR 172.220.113.11

⁶ RSETHZ 622

Implementation: September 1, 2009
Version: September 1, 2009
Information: Student Advisory Service D-MTEC

Anhang 1

Detailed Regulations of D-MTEC for Doctoral Studies

The Department of Management, Technology, and Economics decrees the following detailed regulations for the individual doctoral studies, based on Art. 25 of the Ordinance on Doctoral Studies at the Swiss Federal Institute of Technology Zurich, of July 1, 2008 and the Rector's Implementation Provisions for the Doctorate Ordinance of September 1, 2008.

- Art. 1 Doctoral candidates plan their studies together with their supervisor.
- Art. 2 If a Master of Advanced Studies (MAS) at ETH is obtained simultaneously to the doctorate, no doctoral studies are required.
- Art. 3 The doctoral candidate and his or her supervisor agree on the kind of performance to be achieved for the **doctoral studies**; preferably, this should be done during the first 6 months of the dissertation. The doctoral committee only intervenes in cases of conflict. At the end of the doctoral studies, the doctoral committee controls the respective performance.

As a general rule, only courses on master level or doctoral level – attended at ETH or outside ETH – are creditable. In exceptional cases, substantiated by the supervisor, courses on bachelor level can be credited. The efficiency controls required to get the respective credit points also apply for doctoral students (attestations are not sufficient). Furthermore, courses outside ETH which are especially offered to doctoral students are accepted.

- Art. 4 Evidence of the doctoral studies is given by **credit points**. Generally, at least 18 credit points have to be earned. The supervisor can reduce the required minimum number to 12 credit points (the doctoral committee has to be informed of this reduction). One credit point corresponds to a performance of 25 to 30 working hours. Credit points are only assigned for personal contributions.

At least 4 of the credit points to be obtained must be earned outside the doctoral candidates' field of research. Furthermore, the doctoral candidates are expected to earn at least 4 credit points at ETH.

As to the consideration of achievements outside ETH's course for doctoral students, one credit point also corresponds to a performance of 25 to 30 working hours.

- Art. 5 A **research plan** usually consists of 3-6 pages and contains the following items:
- Issue to be dealt with
 - Goals
 - Theory / Methodology / Data
 - Procedure
 - Bibliography

Art. 6 A **dissertation** can be either a monograph or a cumulative dissertation.

The rules for cumulative dissertations are as follows:

Composition

- 1) At least 3 scientific papers, which
 - already are published in scientific journals with peer-review, or in books;
or
 - are about to be published in respective journals or books;
or
 - the examination board considers worthy of being published in scientific journals or books
- 2) In case of co-authorship, the form and extent of the doctoral student's contribution has to be explained in the introductory chapter.
- 3) A cumulative dissertation has to be introduced by an introductory chapter. This chapter highlights the interrelations of the papers and their positioning within the particular area of expertise.

Structure

- 1) Introductory chapter, including
 - a. Issue to be dealt with
 - b. Goals
 - c. Methodology
 - d. Abstract of scientific papers
 - e. Contribution
- 2) Scientific papers

Art. 7 The present detailed regulations replace the detailed regulations of September 21, 2007, and become effective after approval by the Rector of ETH Zurich. They apply for all doctoral students who have started their doctoral studies after this date.

Art. 8 For doctoral students who have started their doctoral studies before September 1, 2009 (date of approval by the Rector), the detailed regulations of September 21, 2007 still apply.

Approved by the Department Conference on: March 4, 2009

Approved by the Rector on: September 1, 2009