



Eidgenössische Technische Hochschule Zürich  
Swiss Federal Institute of Technology Zurich

## **Ordinance on Doctoral Studies ETH Zürich**

**Ordinance  
on Doctoral Studies  
at the Swiss Federal Institute of Technology Zurich  
(Ordinance on Doctoral Studies ETH Zürich)**

*of 1 July 2008*

**Rector's Implementation Provisions  
for the Doctorate Ordinance of 2008**

*of 1 September 2008*



# **Ordinance on Doctoral Studies at the Swiss Federal Institute of Technology Zurich**

## **(ETH Zurich Doctorate Ordinance)**

of 1 July 2008

*The Executive Board of the Swiss Federal Institute of Technology Zurich,*

pursuant to Art., Para. 3, Lit. 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 forth the requirements, procedures and responsibilities for awarding doctoral degrees of the Swiss Federal Institute of Technology (ETH Zurich).

### **Art. 2 Doctorates**

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

- a. regular doctorates as proof of the graduate's ability to conduct high-level scientific research based on an independently produced original study;
- b. honorary doctorates in recognition of outstanding contributions to science.

<sup>2</sup> The ETH Zurich publishes the names of the persons awarded a doctorate.

### **Art. 3 Doctoral Title**

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

<sup>2</sup> Honorary doctors are awarded the title of "Honorary Doctor" or "Doctor honoris causa".

### **Art. 4 Doctoral Committee**

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

<sup>2</sup> For the purposes of this Ordinance, the term "professor" refers to:

- a. professors defined in Art. 1(1) of the ETH Faculty Ordinance of 18 September 2003<sup>2</sup>;
- b. holders of a chair financed by the Swiss National Science Foundation (SNF-sponsored chairs).

<sup>3</sup> The doctoral committee is elected by the department conference for a term of two years. Re-election is possible.

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

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<sup>1</sup> SR 414.110.37

<sup>2</sup> SR 172.220.113.40

## Chapter 2: Regular Doctorates

### Section 1: Admission

#### Art. 5 Basic Requirements

<sup>1</sup> Admission to doctoral studies requires good scientific credentials.

<sup>2</sup> The following persons may apply for doctoral studies at ETH Zurich:

- a. holders
  1. of an ETH Master degree;
  2. of a Swiss degree in pharmacology;
  3. of a Master degree in mathematics, engineering or natural sciences from a Swiss university which meets the requirements of Art. 11(1) of the University Advancement Law of 8 October 1999<sup>3</sup> or from another university with which an agreement to this effect has been signed;
- b. holders of a university degree equivalent to an ETH Master degree in terms of content, scope and importance;
- c. candidates enrolled in an ETH Zurich Master programme who fulfil the requirements for the fast-track doctoral studies as specified in the Study Regulations of the department concerned;
- d. holders of a Master degree from a university recognized by ETH Zurich in a field other than mathematics, engineering or natural sciences, but which lies within the teaching and research field of the thesis supervisor;
- e. holders of a Master degree from a university recognized by ETH Zurich;
- f. candidates with outstanding credentials.

#### Art. 6 Thesis Supervisor

<sup>1</sup> To initiate the admission procedure, the candidate must have obtained the written agreement of a faculty member to supervise the thesis.

<sup>2</sup> The supervisor can be:

- a. a professor;
- b. an honorary professor or senior lecturer, provided
  1. he/she is working at ETH Zurich on a full-time basis; and
  2. the department concerned has given its consent.

#### Art. 7 Admission Procedure

The admission procedure consists of two stages:

- a. provisional admission (Art. 8-10);
- b. final admission (Art. 13).

#### Art. 8 Provisional Admission: Principles

<sup>1</sup> The candidate must register at the Rectorate.

<sup>2</sup> The Rectorate determines the supporting documents required to accompany the application. It then forwards the application, together with an evaluation by the Prorector for Doctoral Studies, to the department specified by the supervisor.

<sup>3</sup> The department's doctoral committee reviews the applications and, after consulting the supervisor, formulates the appropriate recommendations to be presented to the department.

<sup>4</sup> The department submits a recommendation of approval or rejection to the Rector.

<sup>5</sup> Generally, candidates who fulfil the requirements stipulated under Art. 5, Para. 1 and 2, Lit a, b, c or d are provisionally admitted without any further requirements.

#### Art. 9 Provisional Admission: Procedures

<sup>1</sup> The Prorector for Doctoral Studies may provisionally admit candidates, who fulfil the requirements stipulated under Art. 5, Para. 1 and 2, Lit a, b, c or d or Art. 6, to doctoral studies without consulting the department. This abbreviated procedure is subject to the department's approval.

<sup>2</sup> In the case of candidates who, in the opinion of the Prorector for Doctoral Studies, do not fulfil the requirements stipulated under Art. 5, Para. 5 or come under Art. 5, Para 2, Lit. 3 or f, the doctoral committee of the department concerned reviews their scientific qualifications on the basis of their dossier. In agreement with the supervisor, it proposes additional requirements to be met.

<sup>3</sup> At the department's request, the Rector determines the additional requirements (qualifying exams).

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<sup>3</sup> SR 414.20

**Art. 10 Additional Admission Requirements**

<sup>1</sup> The department specifies on an individual basis the time period within which the additional requirements must be met which normally does not exceed one year.

<sup>2</sup> The Rectorate verifies that the additional requirements have been met.

<sup>3</sup> If the candidate does not pass the qualifying examination(s) specified in the additional admission requirements, he/she may, with the supervisor's consent, retake the exam(s) once within a period of six months.

**Art. 11 Enrolment and Registration**

<sup>1</sup> Once the complete application and supporting documents have been submitted, the candidate is provisionally enrolled if he/she is judged fit by the Prorector for Doctoral Studies.

<sup>2</sup> Following provisional admission to doctoral studies, the candidate is matriculated and registered.

**Art. 12 Research Plan**

<sup>1</sup> The provisionally admitted candidates must draw up a research plan. It should state:

- a. the thesis objectives;
- b. the thesis concept;
- c. the doctoral candidate's duties.

<sup>2</sup> The research plan is submitted to the supervisor and, if possible, to a co-examiner.

<sup>3</sup> The supervisor submits the research plan to the doctoral committee for approval.

<sup>4</sup> The research plan must be submitted within twelve months of registration. Any extension of this deadline must be approved by the doctoral committee.

**Art. 13 Advancing to Full Candidacy**

<sup>1</sup> Advancing to full candidacy for doctoral studies is granted when:

- a. the research plan has been approved; and
- b. the additional admission requirements specified during the admission procedure have been met.

<sup>2</sup> Candidates for the fast-track doctoral programme only advance to final admission when they have obtained their Master's degree.

<sup>3</sup> The departments may stipulate further generally applicable admission requirements which are subject to the Rector's approval.

<sup>4</sup> At the department's request, the Rector decides on admission to the doctorate.

**Section 2: Doctoral Thesis****Art. 14 Topic**

The topic of the doctoral thesis must have its focus in the supervisor's area of expertise and may be interdisciplinary.

**Art. 15 Thesis Supervision and Mentoring**

<sup>1</sup> If necessary, the thesis supervisor may additionally appoint one or several mentors for the doctoral candidate.

<sup>2</sup> At the supervisor's request, the doctoral committee appoints a co-examiner and informs the Rector of this appointment. This appointment may occur concomitantly with the approval of the research plan, but no later than two years from the date of provisional admission. In the course of the doctorate, the doctoral committee may designate other experts.

<sup>3</sup> The doctoral candidates submit every year a written report on the progress of their work to their supervisor at his/her request or of their own accord. The supervisor promptly communicates in writing his/her opinion about the report.

**Art. 16 Carrying out the Doctoral Thesis**

<sup>1</sup> As a rule, the doctoral thesis must be carried out at ETH Zurich or at another research institute within the ETH Domain.

<sup>2</sup> Subject to the department's approval, the thesis may be carried out outside the ETH Domain, if the thesis topic requires it and the necessary prerequisites allow it.

<sup>3</sup> The supervisor may authorize brief research visits outside the ETH Domain.

<sup>4</sup> In any case, the supervisor must have access to the research documents and installations. .

#### **Art. 17 Disagreements**

<sup>1</sup> In the case of serious disagreement between the supervisor and the doctoral candidate, the head of the department concerned, or his/her designated representative, will attempt to settle the dispute amicably.

<sup>2</sup> If necessary, the Prorector will act as mediator.

<sup>3</sup> Should the mediation efforts fail, and the supervisor no longer wants to act in this role, the Prorector for Doctoral Studies will, at the doctoral candidate's request, refer the matter to the Conciliation Committee.

<sup>4</sup> Should no agreement be reached, the Rector will decide the matter.

#### **Art. 18 Members of the Conciliation Committee**

<sup>1</sup> The Conciliation Committee for doctoral studies is composed of:

- a. the Prorector for Doctoral Studies (chair);
- b. the head or, as his/her representative, the director of studies of the department concerned;
- c. a representative of the ETH Association of Scientific Staff (AVETH).

<sup>2</sup> AVETH elects its representative in the Conciliation Committee for a term of two years. He/she may be re-elected.

<sup>3</sup> No persons involved in the thesis work may serve on the Conciliation Committee.

#### **Art. 19 Conciliation Committee Procedure**

<sup>1</sup> The Conciliation Committee will hear both parties and submit a settlement proposal, if deemed appropriate.<sup>2</sup> If no settlement proposal is submitted or if such a proposal is rejected by a party, the Conciliation Committee will close the procedure and forward its recommendation to the Rector.

#### **Art. 20 Resignation or Incapacity of the Supervisor**

If, in violation of the outcome of the procedure specified in Art. 17, the supervisor refuses to supervise the doctoral thesis without sufficient reasons, or if he/she becomes incapable of doing so, the department will make reasonable efforts to ensure that the doctoral thesis can be continued.

#### **Art. 21 Language**

<sup>1</sup> The doctoral thesis may be written in German, French, Italian or English. A mixture of languages is not permitted.

<sup>2</sup> Upon a written and substantiated request by the doctoral candidate, the Rector may authorize an exception.

<sup>3</sup> In any case, an abstract must be written in German, French, Italian or English.

### **Section 3: Doctoral Studies**

#### **Art. 22 Objective, Form and Requirements**

<sup>1</sup> The doctoral candidates have the right and obligation to continue their professional development.

<sup>2</sup> The objectives of doctoral studies are to enable doctoral candidates :

- a. to acquire knowledge and skills in the field of the doctoral thesis, in cognate disciplines and in interdisciplinary areas;
- b. to integrate themselves into the scientific community.

<sup>3</sup> Candidates must earn a certain number of credits during their doctoral studies.

<sup>4</sup> One credit corresponds to a workload of between 25 and 30 hours. Credits are awarded only if the candidate has performed the work required on his/her own.

<sup>5</sup> At least twelve credits must be earned.

<sup>6</sup> The doctoral candidate must obtain at least one third of the required credits outside his/her research field.

<sup>7</sup> Active participation in committees and workgroups at ETH can be recognized in the form of credits.

<sup>8</sup> Doctoral studies may be taken within an individually-tailored or regulated doctoral programme.

#### **Art. 23 Individual Doctoral Studies**

<sup>1</sup> The doctoral candidates may, in consultation with the supervisor, individually tailor their doctoral programme.

<sup>2</sup> If the doctoral thesis is carried out outside the ETH Domain, the department decides, at the supervisor's request, on the requirements for doctoral studies.

#### **Art. 24 Doctoral Programmes**

The departments can organise the courses they offer into doctoral programmes.

**Art. 25 Detailed Regulations**

<sup>1</sup> At the request of the teaching committees, the departments issue detailed regulations concerning individual doctoral studies and departmental doctoral programmes.

<sup>2</sup> The detailed regulations are subject to the Rector's approval.

**Section 4: Doctorate Procedure****Art. 26 Examination Committee**

<sup>1</sup> The examination committee is composed of:

- a. a chairperson;
- b. the thesis supervisor as examiner;
- c. the co-examiners;
- d. another independent expert, if a dependence relationship exists between the supervisor and the co-examiner.

<sup>2</sup> The head of department appoints the chairperson.

<sup>3</sup> If the supervisor is not a professor, at least one of the co-examiners must be a professor.

**Art. 27 Doctoral Examination**

<sup>1</sup> The doctoral examination of at least one hour duration covers the field(s) of the doctoral thesis.

<sup>2</sup> The examination is conducted by the examination committee.

<sup>3</sup> The department conference determines whether the doctoral examination is open to the public.

<sup>4</sup> The doctoral examination must be taken no later than six years after matriculation. In exceptional cases, at the department's request, the Rector may authorize an extension of this period.

**Art. 28 Doctoral Thesis Assessment and Oral Examination**

<sup>1</sup> The examiner and each co-examiner prepare a written report on the doctoral thesis and forward it to the department before the examination.

<sup>2</sup> The examination committee assesses both the doctoral thesis and the oral examination as passed or failed and appropriately informs the department conference concerned.

**Art. 29 Retake**

<sup>1</sup> The doctoral candidates who have not successfully completed the doctoral examination may retake the examination once within the next six months.

<sup>2</sup> If the doctoral thesis has been refused, it can be revised once. In consultation with the supervisor, the department determines the deadline for the revision and informs the doctoral student in writing about further procedures.

**Art. 30 Awarding of the Doctoral Degree**

<sup>1</sup> On the basis of the report by the examination committee, the department conference in which the doctoral candidate is registered submits a recommendation for award or denial of the doctoral degree to the Study Conference.

<sup>2</sup> The Study Conference decides whether the doctoral degree is to be awarded or denied.

<sup>3</sup> It decides on the basis of its assessment of the doctoral thesis and the results of the doctoral examination.

<sup>4</sup> It must decide within six months of the submission of the doctoral thesis.

**Art. 31 Doctoral Degree Certificate**

The doctoral degree certificate contains:

- a. the name of the doctoral graduate;
- b. the doctoral title;
- c. the signatures of the Rector and head of department.
- d. the ETH Zurich seal.

<sup>2</sup> The doctoral certificate is presented to the graduate at the doctoral awards ceremony following submission of the deposit copies and of an electronic version of the doctoral thesis.

**Art. 32 Use of the Title of Doctor**

After submitting the deposit copies and the electronic version of the doctoral thesis, the doctoral graduate receives confirmation that he/she is authorized to use the title of doctor.

**Art. 33 Fee**

The regular doctorate is subject to a fee.

## Chapter 3: Intellectual Property Rights

### Art. 34 Copyrights

<sup>1</sup> Save as provided in Art. 35, the doctoral thesis is in general subject to intellectual property laws.

<sup>2</sup> The doctoral thesis may not be published in its entirety before the Study Conference has accepted it.

<sup>3</sup> Agreements entered into with third parties, such as research contracts, may not provide for an unreasonable delay of publication and may not under any condition prohibit publication.

<sup>4</sup> The ETH Zurich may provide scientific and public institutions with abstracts or copies of the doctoral thesis.

<sup>5</sup> Upon delivery of the electronic version of the doctoral thesis, the ETH Zurich may make it available to the public and process it for archival purposes, unless otherwise provided by a written statement of the candidate or by third party rights.

### Art. 35 Inventions

The candidate's rights to inventions made while performing his/her duties in conjunction with the doctoral thesis are governed by labour law.

## Chapter 4: Honorary Doctorates

### Art. 36

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

a. it is requested by the full, associate and assistant professors of a department without any dissenting vote; and  
b. the Conference of the heads of departments approves this request with simple majority.

<sup>2</sup> Votes are cast by secret ballot; abstention is permitted.

<sup>3</sup> The doctorate procedure is set forth in more detail in a directive from the Rector.

<sup>4</sup> He/she awards the honorary doctorates at an academic awards ceremony.

## Chapter 5: Administration of Justice

### Art. 37

<sup>1</sup> Decrees issued on the basis of this Ordinance may be appealed by filing a complaint.

<sup>2</sup> The appellate body is the ETH Appeals Committee.

## Chapter 6: Final Provisions

### Art. 38 Implementation Provisions

The Rector issues the implementation provisions, in particular concerning

- a. the organization of the qualifying examination(s);
- b. the doctoral theses carried out outside the ETH Domain
- c. the doctorate procedure and doctoral examination;
- d. the submission of the doctoral thesis and delivery of the deposit copies;
- e. the supervision of doctoral theses after resignation or retirement in emeritus status.
- f. the prerequisites for the appointment of supervisors and co-examiners;
- g. the delivery of abstracts or copies of the doctoral thesis to scientific and public institutions.

### Art. 39 Repeal of Previous Regulations

The ETH Zurich Doctorate Ordinance of 16 December 2000<sup>4</sup> is hereby repealed.

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<sup>4</sup> AS 2001 1665



**Art. 40** Transitional Provisions

<sup>1</sup> The previous regulations apply to doctoral candidates who were matriculated before 1 September 2008.

<sup>2</sup> Art. 34, Para. 5 applies to doctoral theses submitted after 1 September 2008, even if the doctorate commenced before 1 September 2008.

**Art. 41** Effective Date

This Ordinance is effective as of 1 September 2008.

On behalf of the ETH Executive Board

President: Ralph Eichler

Representative: Hugo Bretscher

# Rector's Implementation Provisions for the Doctorate Ordinance of 2008

1 September 2008

*The Rector of the Swiss Federal Institute of Technology Zurich,  
pursuant to Art. 38 of the ETH Doctorate Ordinance of 1 July 2008<sup>1</sup>,  
decrees the following Implementation Provisions:*

## **1. General Provisions (Art. 1-3)**

Doctoral studies introduce students to current research and constitute one of the most essential parts of scientific work at the ETH Zurich. Awarded on the basis of an independently produced original study and an oral examination, the doctoral degree provides proof of the graduate's ability to conduct high-level scientific research. The Doctorate Ordinance must be interpreted in the spirit of understanding for the interests of science.<sup>2</sup>

## **2. Application, Registration and Matriculation (Art. 5 -11)**

### **a) Thesis Supervision**

By signing the application form, the supervisor of the doctoral thesis agrees to accept the candidate as a doctoral candidate. He<sup>3</sup> determines the department responsible for the doctoral thesis. The complete application must be submitted to the Doctoral Administration Office before commencing doctoral studies. The candidate must register at the beginning of each semester until the decision on the award of the doctoral degree is made.

### **b) Applying for Doctoral Programmes**

A candidate may also apply for admission to the doctoral level through a doctoral programme, if the department concerned provides it. The application through a doctoral programme precedes the admission procedure set forth in the Doctorate Ordinance; the details are specified in the detailed regulations of the departments concerned. A doctoral candidate may register for only *one* doctoral programme. Doctoral candidates who participate in several programmes must register for the programme in which they complete the major part of their doctoral studies.

### **c) Candidates with Outstanding Credentials (Art. 5, Para. 2, Lit. f)**

Candidates with outstanding credentials are admitted as doctoral candidates, if they fulfil the following minimum criteria:

1. outstanding scientific credentials (e.g. several publications as main author in referred journals);
2. testimonials from two professors of ETH Zurich<sup>4</sup> and a testimonial from an external expert designated by the department concerned.

### **d) Fees**

The fees for doctoral studies are specified in the Ordinance on Fees for the ETH Domain.<sup>5</sup>

## **3. Research Plan (Art. 12)**

The research plan must address the following points:

- a) research tasks,
- b) framework in terms of content and timetable,
- c) margin of freedom for research work,
- d) other duties.

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<sup>1</sup> SR 414.133.1

<sup>2</sup> Supplementary guidelines: Guidelines for Research Integrity and Good Scientific Practice at the ETH Zurich, RSETHZ 414

<sup>3</sup> The gender-marked terms used in these Implementation Provisions refer to both genders.

<sup>4</sup> For the purposes of these Implementation Provisions, the term "professor" refers to: a. professors as defined in Art. 1, Para. 1 of the ETH Faculty Ordinance of 18 September 2003 (SR 172.220.113.40); b) SNF-sponsored chairs.

<sup>5</sup> SR 414.131.7

Approval of the research plan by the doctoral committee must be reported to the Doctoral Administration Office using the official form. Advancing to full candidacy is then granted, provided all other admission requirements have been met.

#### **4. Additional Admission Requirements (Art. 10)**

##### **a) Examinations**

Any qualifying examination as part of the additional admission requirements must be taken at the level of a Master degree. The qualifying examinations may not only be conducted by the thesis supervisor.

##### **b) Grading of Qualifying Examinations**

The qualifying examinations are graded 6-1 where 6 is the top grade and 1 the lowest. The examination is considered passed, if a minimum grade of 4 is achieved in all partial examinations. Subject to his supervisor's approval, a doctoral candidate may retake failed examinations once. Should a candidate fail the examinations twice, he forfeits his admission to the doctoral studies and will be exmatriculated. The examination results and confirmation of the fulfilment of other additional admission requirements must be promptly forwarded to the Prorector for Doctoral Studies.

#### **5. Thesis Supervision and Mentoring (Art. 6 and 15)**

##### **a) Thesis Supervision and Mentoring by Senior Lecturers and Titular Professors**

If doctoral theses are supervised by ETH senior lecturers or honorary professors, the following prerequisites must be met:

1. the supervisor must work on a full-time basis at ETH Zurich as a lecturer and researcher,
2. the doctoral candidate must have a workplace,
3. the financial and technical resources must be provided for the doctoral candidate, and
4. the head of department concerned confirm his approval in writing.

Co-examiners, who are not professors at ETH Zurich, must be approved by the department concerned. Approved co-examiners must be reported to the Prorector for Doctorate Studies.

##### **b) Remuneration of Co-Examiners from outside the ETH Domain**

Co-examiners of theses are remunerated by the chairs on a lump-sum basis which includes their attendance of the doctoral examination. Details are specified in the Rector's directive concerning remuneration for participating at performance assessments.

##### **c) Transfer of a Thesis Supervisor to ETH Zurich**

If a professor newly appointed at ETH brings doctoral candidates with him, their credentials will be appropriately recognized.

##### **d) Thesis Supervision by Professors near Emeritus Status, Retirement or Resignation**

If professors, honorary professors and senior lecturers accept doctoral candidates less than three years before their emeritus status or retirement, the following issues must, in consultation with the head of department, be addressed, reduced to writing and communicated to the Prorector for Doctoral Studies.

1. a potential successor as thesis supervisor,
2. the necessary infrastructure at the disposal of the candidate until completion of his thesis and
3. the financial support for the doctoral candidate concerned.

It is incumbent upon the department to ensure that these arrangements are complied with. These arrangements will become effective if the thesis is not completed at the time of the supervisor's resignation.

##### **d) Examiner in Emeritus Status, after Retirement or Resignation**

Thesis supervisors can be appointed as examiners in doctoral examinations up to one year after their emeritus status, retirement or resignation. The department is responsible for approving the examiners. In so doing, it must ensure that at least one professor of ETH Zurich is designated as co-examiner.

## **6. Completion of the Doctoral Thesis outside the ETH Domain (Art. 16)**

Doctoral theses outside the ETH Domain will be authorized under the condition that 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. When applying for doctoral studies, the candidate must submit an outline of the proposed thesis, including an explanation as to why it should be carried out outside the ETH Domain. The confirmation that the external institution agrees to be bound by the provisions of ETH Zurich must be enclosed with the application for doctoral studies.

## **7. Doctoral Studies (Art. 22-25)**

### **a) Detailed Regulations**

Each department will issue detailed regulations concerning doctoral studies. The leading department will issue separate detailed regulations for each doctoral programme.

### **b) Components of Doctoral Studies**

The compulsory components of doctoral studies include the following:

1. seminars/sessions,
2. colloquia for doctoral candidates,
3. courses designed or particularly appropriate for doctoral candidates.

The optional components of doctoral studies include the following:

4. didactics courses,
5. management and personality development courses,
6. mentoring events for doctoral candidates,
7. other courses from the range of courses offered by ETH Zurich, the University of Zurich or other universities.

### **c) Proof of Credits**

The department's detailed regulations specify the requirements for the recognition of credits.

### **d) Organization of the Doctoral Programme**

Each doctoral programme is attached to a department and managed by a programme committee composed of professors and a representative of the doctoral candidates.

## **8. Doctoral Thesis and Examination (Art. 26-29)**

### **a) Assessment**

The doctoral thesis is assessed not only on its scientific, but also on its linguistic quality. If the candidate does not pass the doctoral examination, or his doctoral thesis is accepted subject to revision, the examination committee's chairperson will notify him concerning the continuation of the procedure and set (a) a deadline for the revision to be completed or (b) a date to retake the doctoral examination. The time limit may not exceed 6 months. The Doctoral Administration Office and the department concerned must be informed in writing of the arrangements made with the candidate.

### **b) Use of Published Work as Part of the Doctoral Thesis**

Summarized in an appropriate explanatory text, including an introduction and an abstract, manuscripts published or submitted for publication may be incorporated in the doctoral thesis, if it allows the examination committee to assess the doctoral candidate's independent scientific contribution, and if the text of the doctoral thesis is written in only one language. Appendixes in other languages are allowed.

### **c) Registration for Doctoral Examination**

With the examiner's consent and after consultation with the co-examiner, the candidate may register for the doctoral examination. A complete copy of the doctoral thesis (examination copy) must be submitted to the Doctoral Administration Office in the prescribed format as shown in Appendix 1 "Thesis Format" with a title page, an abstract in an official language and in English, and a curriculum vitae. Together with the examination copy, a separate copy of the curriculum vitae and the official form that contains the following points must be submitted:

1. request to be awarded a doctoral degree;
2. statement by the doctoral candidate that the doctoral thesis is his own work and that it has not been submitted at any other university;
3. confirmation from the responsible department that the candidate has earned the required credits.

The Doctoral Administration Office forwards the doctoral thesis to the head or the director of studies of the department concerned. The examination copy must be submitted to the Doctoral Administration Office at least twelve working days before the examination. The tuition fees are invoiced immediately after registering for the examination.

### **9. Awarding of the Doctoral Degree (Art. 30)**

The request of the department conference to award the doctoral degree is submitted by the department to the Prorector for Doctoral Studies who then forwards it to the Study Conference. The signed originals of the reports must be enclosed with the request. In addition, the request must include the following details:

- a) the doctoral candidate's family name and first name(s),
- b) approved title of the doctoral thesis;
- c) date of the doctoral examination,
- d) date of approval by the department conference.

The title and content of the doctoral thesis may not be altered after approval by the department conference. In case of change in name, the candidate is referred to by his/her legal name at the time of the approval of the doctoral thesis by the department conference. In its next meeting, the Study Conference decides on the department conference's request, provided it was received by the Doctoral Administration Office three days before the Study Conference meets.

### **10. Deposit Copies (Art. 31 and 32)**

After the decision of the Study Conference on the award of the doctoral degree, doctoral candidates are requested to deliver three bound copies (deposit copies) to the Rectorate. By signing the first page of a deposit copy, the supervisor confirms acceptance of this version. In addition, the doctoral candidates are required to deliver a copy of the final doctoral thesis to their examiner and co-examiners.

The copies submitted to the Doctoral Administration Office are distributed as follows:

- a) two copies to the ETH library;
- b) one copy to the Swiss National Library in Bern.

Moreover, in accordance with the Open Access Policy of ETH Zurich, the doctoral candidates are required to upload an identical electronic version of the approved doctoral thesis to the ETH library's document server . If the electronic publication is not allowed for copyright reasons, an abstract must be published in any case.

The deadline for submitting the deposit copies is six months after the decision by the Study Conference to award the doctoral degree. For an extension of the deadline, the doctoral candidate must submit a written request, signed by the supervisor, to the Prorector for Doctoral Studies. If the deadline is not met, the awarding of the doctoral title of doctor may be refused. The doctoral title may only be used once the deposit copies and the electronic version of the doctoral thesis have been delivered.

### **11. Final Provisions**

#### ***Transitional Provision***

These Implementation Provisions also apply generally for doctoral studies commenced before 1 September 2008. Admission decisions based on the previous implementation provisions remain valid.

#### ***Repeal of Previous Regulations***

The Implementation Provisions of 1 April 2001 are hereby repealed.

#### ***Effective Date***

These Implementation Provisions are effective as of 1 September 2008.

The Rector of ETH Zurich ,  
Prof. Dr. H. Wunderli-Allenspach

Zurich, 1 September 2008

## **Appendix 1**

### **Thesis Format**

#### ***Text***

Bright, easily legible and reproducible font.

#### ***Illustrations***

Half-tones and blue are difficult to reproduce.

#### ***Binding***

The dissertation must be bound as a book. Spiral or wedge binding are not permitted

#### ***Cover***

The front cover must contain the following minimum details:

- doctoral thesis number
- author's first names and family name
- title of doctoral thesis
- otherwise, optional design

#### ***Title Page***

See Appendix 2

#### ***Layout***

- cover (optional)
- title page as shown in Appendix 2
- dedication, acknowledgments (optional, can also be incorporated at the very end)
- table of contents
- abstract in an official language and in English
- introduction
- text of doctoral thesis with appendixes, if any
- bibliography
- curriculum vitae

#### ***Abstract***

One-and-a-half A4 pages in one of the three official languages and in English.

#### ***Electronic Version***

- if possible in PDF/A format, otherwise in normal PDF format for text files
- no active links (write out the URLs)
- embed fonts, illustrations and other objects in the file
- resolution: colour images: 150dpi / black and white images: max. 300dpi
- do not implement password protection or other security measures
- as far as possible, fill in file information (properties)
- save for web optimized

More recommendations concerning the format of the electronic version are available on the E-Collection website (<http://e-collection.ethbib.ethz.ch/>) under the heading "Über E-Collection".

**Appendix 2 – Title Page Templates**

DISS. ETH Nr. \_\_\_\_\_

**TITEL DER DISSERTATION**

Abhandlung zur Erlangung des Titels

DOKTOR / DOKTORIN DER WISSENSCHAFTEN

der

ETH ZÜRICH

vorgelegt von

VORNAME & NAME

abgekürzter akademischer Titel, Name der Hochschule

geboren am

von

*(Schweizer = Bürgerort(e) / Ausländer = Staatsangehörigkeit)*

Angenommen auf Antrag von

Name Referent/Referentin

Namen Korreferenten/Korreferentinnen

200X

*(Jahr, in dem die Dissertation abgeschlossen, d.h. von der Studienkonferenz genehmigt wurde)*

Diss. ETH N° \_\_\_\_\_

**TITLE OF THE THESIS**

**DISSERTATION**

Submitted to

ETH ZURICH

for the degree of

**DOCTOR OF SCIENCES**

by

FIRST NAMES & FAMILY NAME

academic title, name of university

date of birth

citizen of

*(Swiss: place of origin / foreigners: nationality)*

accepted on the recommendation of

Name of examiner

Names of co-examiners

200X

*(Year of acceptance of the thesis by the Study Conference "Studienkonferenz")*