

Rector's Implementation Provisions for the ETH Zurich Ordinance on the Doctorate

of 23 November 2021

(Version: 1 January 2022)

The English Translation serves information purposes only and has no legal force. The original German version is the legally binding document.

The Rector of ETH Zurich,

pursuant to Art. 57 of the ETH Zurich Ordinance on the Doctorate of 23 November 2021¹,
decrees the following implementation provisions:

Preamble

The doctorate introduces students to current research and represents one of the main components of scientific work at ETH Zurich. The doctoral degree provides certification of the ability to conduct high-quality scientific research and is conferred on the basis of an original thesis and an oral examination. The factors which determine the quality of doctoral theses are the doctoral student, the supervision of the doctoral student, and the project topic.

1 General provisions

1.1 Scope

(Ordinance on the Doctorate (hereinafter: «Ordinance»), Art. 1)

The Doctorate at ETH Zurich comprise research tasks, doctoral studies, participation in teaching and further duties.

1.2 Inter-university doctorates

(Ordinance Art. 3)

Doctorates may be inter-university. The details must be set out in an agreement with the participating university or universities. In particular, this agreement regulates the administrative, organisational and financial matters related to inter-university doctorates and designates the respective leading house. The agreement requires the approval of the Rector.

Inter-university doctorates are possible in the following contexts:

- a. Joint professorships with the University of Zurich
- b. In cooperation with EPFL
- c. In the framework of cooperation with other universities in Switzerland and abroad

If doctorates are inter-university the doctoral title may be conferred in the name of both or all participating institutions.

¹ SR 414.133.1

2 Admission, enrolment, and matriculation (Ordinance Art. 7–10, 18 and 19)

2.1 Admissions procedures and matriculation

If the doctoral thesis supervisor offers the prospect of a doctorate to a candidate, a request for admission to the doctorate must be submitted to Academic Services. Academic Services makes the corresponding application form available on its website, together with a binding list of the application documents required. By signing this application form, the doctoral thesis supervisor declares readiness to take on the candidate as a doctoral student and designates the department which will be responsible for the doctoral thesis.

Academic Services check whether the formal criteria for admission set out in Art. 7 of the Ordinance have been met, and then forwards the admission request to the responsible department, which reviews the candidate's academic qualifications.

If the department then submits a request for admission, matriculation becomes a prospect. Only then may further administrative steps be taken towards matriculation.

If matriculation is to correspond with employment at ETH Zurich, the date on which employment begins must correspond to the date of matriculation.

If the student is pursuing a «direct doctorate» the admissions procedure is handled by the respective Master's degree programme.

2.2 Admission to a doctoral programme

Admission to the doctorate is also possible in the framework of a doctoral programme if a department foresees this. Application via a doctoral programme precedes both the admissions procedure set out in the Ordinance and the admission request described in 2.1; the details are set out in the regulations of the respective doctoral programme. A doctoral student may only enrol in *one* doctoral programme. Doctoral students who participate in more than one doctoral programme should enrol with the department where they will complete the major part of their doctorate.

Doctoral programme regulations require the approval of the Rector.

2.3 Enrolment

Enrolment via *myStudies* at the beginning of each semester is mandatory until the decision to award the doctoral degree has been made (see Art. 45 of the Ordinance for details on the decision).

2.4 Candidates with outstanding credentials (Ordinance Art. 7, Para. 2 (c) and (d))

Outstanding achievements in the discipline include the following in particular:

- a. Academic publications in peer-reviewed journals, e.g., in the sciences
- b. Successful technical developments, e.g., in engineering
- c. Award-winning projects, e.g., in architecture

Candidates' qualifications are checked and evaluated by the doctoral committee of the responsible department.

2.5 Multiple matriculation (Ordinance Art. 19)

Multiple matriculation must be reported to Academic Services in the proper form, with the exception of matriculation in teacher training degree programmes.

3 Doctoral plan (Ordinance Art. 11)

In consultation with the doctoral thesis supervisor, the doctoral student must set out the research objectives associated with the doctoral thesis topic in a doctoral plan.

The following points must be included in connection with the research objectives:

- a. The aim of the doctoral thesis and the problem it addresses
- b. The place of the doctoral thesis in the scientific context
- c. The research approach (e.g., methods) and the progression planned
- d. Any results already achieved

In addition to research objectives, the doctoral plan must include details of teaching tasks and further tasks which the doctoral student will undertake in the working group (e.g., maintenance of used equipment or machines; animal care; organisational tasks for the research group or similar). If doctoral students were admitted subject to completion of extended doctoral studies (see Art. 34 of the Ordinance), the curriculum agreed upon must be integrated into the doctoral plan.

4 Aptitude colloquium (Ordinance Art. 12–16)

4.1 Physical presence of participants in the aptitude colloquium

The physical presence of the aptitude committee at the aptitude colloquium is not mandatory. This also applies to the doctoral student (particularly if this student is conducting experiments outside ETH Zurich, e.g., in the context of field work, external projects or similar). Participants may attend by video link. The departments may set out rules on the minimum amount of presence they require in their own detailed stipulations regarding the doctorate.

If aptitude committee members and/or the doctoral student take part by video link, two-way communication – both video and audio – must be guaranteed during the entire aptitude colloquium. Responsibility for the functioning of the video link lies with the colloquium organiser and the connected person(s). If two-way communication via video or audio is not or is no longer possible, it is the duty of the committee chairperson to interrupt the colloquium and to organise a date to resume it. The chairperson decides whether to restart the colloquium from the beginning, or whether it can be resumed from the point at which it was interrupted.

4.2 Announcement of «passed» or «failed»

The doctoral committee reports the «passed» or «failed» verdict of the aptitude colloquium to Academic Services immediately. If the student has passed, Academic Services issues definitive admission; if the student has definitively failed, it decrees dematriculation.

4.3 Record

The result of the aptitude colloquium is recorded in writing. The document contains the following:

- a. The decision on the suitability of the doctoral student (passed/failed)
- b. If there is disagreement among the committee members: A comprehensive explanation
- c. A statement on teaching activities, further tasks and (if applicable) extended doctoral studies.

5 Re-entry to the doctorate (Ordinance Art. 23)

If students re-enter the doctorate, particularly after illness or maternity leave, their previous achievements must be taken into account.

Re-entry after admission was withdrawn due to a definitively failed aptitude colloquium is only possible if there are new grounds which justify reconsideration of the basic criteria for admission set out in Art. 7 of the Ordinance (e.g., an additional degree or a change of discipline).

6 Conducting of the doctoral thesis project outside the ETH domain (Ordinance Art. 25)

«External» doctoral thesis projects are those conducted at private institutions or at universities outside the ETH domain.

As far as the doctorate is not an inter-university doctorate, doctoral thesis projects conducted outside the ETH domain are only approved on condition that the external institution imposes no requirements which may hinder the supervision of the doctoral student by the ETH Zurich doctoral supervisor or the timely publication of research results. When the student is admitted to the doctorate, a concept for the planned doctoral thesis must be submitted which explains why the doctoral thesis project will be conducted outside the ETH domain. A confirmation that the external institution agrees to abide by ETH Zurich stipulations must be submitted with the request for admission to the doctorate.

External doctoral thesis projects are subject to approval of departments' conference. Approving powers may be delegated to other governing bodies of the department.

7 Supervision of the doctoral thesis (Ordinance Art. 5, 27 and 30–33)

7.1 Supervision of / advisory support regarding the doctoral thesis by *Privatdozenten* and adjunct (titular associate) professors

If doctoral theses are to be supervised by *Privatdozenten* or ETH Zurich adjunct (titular associate) professors, all of the following conditions apply:

- a. The doctoral thesis supervisor must work full-time for ETH Zurich, at a research institute of the ETH domain, or in a joint professorship with another Swiss university.
- b. A workspace must be available for the doctoral student.
- c. Funding and resources for the doctoral student must be ensured.
- d. The responsible department must provide its written consent.

7.2 Transfer of a doctoral thesis supervisor to ETH Zurich

If professors newly appointed to ETH Zurich wish to bring doctoral students with them, these students must fulfil the basic requirements for admission set out in Art. 7 of the Ordinance. If they do, the doctoral committee of the respective department must decide whether their previous achievements can be counted towards the doctoral degree (e.g., waiving of aptitude colloquium, recognition of achievements of doctoral studies).

7.3 Supervision of a doctoral thesis shortly before assuming emeritus status, retiring, or leaving the university

If persons authorised to supervise doctoral theses take on doctoral students less than three years before assuming emeritus status, retiring or leaving the university, all of the following points must, in consultation with the department, be settled, set out in writing and communicated to the Vice Rector for Doctoral Studies:

- a. The person who will, if necessary, succeed the doctoral thesis supervisor
- b. The infrastructure required for the duration of the doctoral thesis project
- c. The funding of the doctoral student in question

Responsibility for adherence to these arrangements lies with the department. The arrangements apply if the doctoral thesis is not completed by the time the supervisor leaves.

7.4 Being an examiner after assuming emeritus status, retiring, or leaving the university

Doctoral thesis supervisors may be appointed as examiners in doctoral examinations for up to one year after assuming emeritus status, retiring, or leaving the university. The department is responsible for the appointment. In such cases it must be ensured that at least one ETH Zurich professor is also appointed as co-examiner.

8 Support from the second advisor (Ordinance Art. 28)

In agreement with the doctoral student, the doctoral thesis supervisor must name a second advisor. This person maintains contact with and advises the doctoral student, above all in academic matters. Academic Services must be given the name of the second advisor before the aptitude colloquium.

9 Progress report and status conversation (Ordinance Art. 29)

9.1 Progress report

Doctoral students must submit a written progress report each year. The report must describe the status and anticipated progress of research work as well as any significant deviations from the research objectives set out in the doctoral plan.

9.2 Status conversation

The status conversation comprises two separate parts:

- a. Scientific progress
- b. Evaluation of career and personal development

The first part of the discussion addresses the doctorate and the research project. To prepare for it, doctoral students must draw up a progress report. The discussion then addresses all the points listed in the doctoral plan, the next steps and any significant changes to the research objectives. Involving the second advisor in the first part is recommended. Further persons may also take part.

The second part of the discussion is conducted as a development interview which involves mutual feedback and addresses the further development of competences. This part concerns the doctoral thesis supervisor and the doctoral student only and is confidential.

10 Doctoral studies (Ordinance Art. 34–38)

10.1 Components of regular doctoral studies

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

To obtain the minimum 12 ECTS credits required in regular doctoral studies, ECTS credits must be earned in each of the following three categories:

- a. Consolidation of knowledge in the research area of the doctoral thesis and the extension of knowledge beyond the original discipline, e.g., through attendance of courses designed especially for doctoral students, regular Master's degree courses or courses from the third year of Bachelor's degree studies
- b. Acquisition of transferable skills, e.g., by attending soft-skills courses or participating in ETH Zurich bodies or committees
- c. Integration into the scientific community, e.g., by attending international conferences

10.2 Good scientific practice and ethics

Doctoral students must acquire at least 1 ECTS credit by attending a course on the topic of ethics and good scientific practice. This academic achievement is recognised in the «transferable skills» area (see 10.1(b)).

10.3 Achievements recognised

To obtain the ECTS credits required the doctoral student must either pass an examination or demonstrate an active, verifiable contribution. 1 ECTS credit generally corresponds to a workload of 25–30 hours.

The following specifications apply:

Academic achievement	ECTS credits
Regular courses	As per Course Catalogue entries
Institute / doctoral colloquia (with talk)	1 ECTS credit
Conference outside ETH with talk/poster	1 ECTS credit
«Summer Schools»	
- 1-3 days	1 ECTS credit
- 1 week	2 ECTS credits
- Plus poster/talk	1 additional ECTS credit
Courses/workshops on «personal and social competences»	
- 1-3 days	1 ECTS credit
- 1 week	2 ECTS credits
- Plus poster/talk	1 additional ECTS credit
Didactic courses and teacher training / Teaching Certificate courses	As per Course Catalogue entries
Language courses	As per Language Center information
Participation in university bodies/committees/groups (minimum duration 1 year)	1 ECTS credit per year
- Member of the executive committee of a university group	1 additional ECTS credit per year

ECTS credits not counted towards regular doctoral studies are those acquired through

- Achievements before entering the doctorate
- Achievements in the framework of multiple matriculation at another level of studies, except for ECTS credits earned in the context of teacher training / Teaching Certificate courses
- Achievements in the framework of extended doctoral studies
- Participation in seminars/courses of the individual professorship, such as group meetings, retreats etc.
- Participation in teaching
- Attendance of courses with no verification of personal performance.

If a doctoral student transfers to or re-enters ETH Zurich after beginning the doctorate, previous achievements can be recognised. The restrictions above on eligibility remain reserved. The doctoral committee makes the decision on recognition at the request of the doctoral thesis supervisor.

10.4 Organisation of the doctoral programme

Every doctoral programme is attached to a particular department and managed by a programme committee composed of professors and a doctoral student representative.

10.5 Academic record

After deposit copies are delivered, doctoral students receive an academic record from Academic Services which covers the period of their studies (see also the transitional provisions in Art. 65 of the Ordinance).

11 Doctoral thesis and doctoral examination (Ordinance Art. 24–26 and 39–48)

11.1 Aim of the doctoral thesis

The doctoral thesis is written with the primary aim of earning the doctoral degree. All other related matters, particularly journal publications, other monographs, or patents, are subordinate to this aim.

11.2 Use of published work as part of the doctoral thesis (cumulative doctoral thesis)

Published or submitted manuscripts may – merged in a suitable framework text with introduction and summary – be used in the doctoral thesis if the examination committee is able to assess the doctoral student's independent contribution on this basis and the text of the doctoral thesis is authored in one language only. Appendices in other languages are allowed.

Doctoral students decide in consultation with the thesis supervisor whether the doctoral thesis will be a monograph work or a cumulative thesis.

The style of the doctoral thesis must be uniform. A succession of already-published articles in the various layouts of the respective publishers is not permitted.

If several doctoral students collaborated on a publication and this publication therefore features in several doctoral theses, the personal contributions of the individual authors must be clearly recognisable and disclosed. Any such publication must correspond clearly to the main topic of the doctoral thesis.

According to the open-access policy², the respective copyright and rights to further use must be ensured if published articles are used.

The Guidelines for Research Integrity and Good Scientific Practice at ETH Zurich of 14 November 2007³ also apply.

² RSETHZ 134

³ RSETHZ 414

11.3 Co-examiners

(Ordinance Art. 40)

a. Appointing of co-examiners

Co-examiners who are not ETH Zurich professors must be approved by the doctoral committee of the responsible department. The names of approved co-examiners must be communicated to Academic Services for the attention of the Vice Rector for Doctoral Studies. Co-examiners must be approved by the doctoral committee before the student registers for the doctoral examination.

b. Second advisors

Second advisors (see Art. 28 of the Ordinance) can be members of the examination committee if they meet the co-examiner criteria set out in (a).

c. External co-examiners

At least one co-examiner must come from outside ETH Zurich. The following persons are eligible:

1. Active professors from other universities
2. Persons who are proven experts in the area of the doctoral thesis and are equivalent to professors in this (e.g., a research director from a research institution in the ETH domain, a Max-Planck institute or a Centre National de la Recherche Scientifique).

Point (2.) does not include persons from universities of applied sciences or private industry with the corresponding expertise. They may, however, be appointed as additional members of the examination committee.

d. Remuneration of external co-examiners

External co-examiners who sit on the examination committee, and possibly attend the doctoral examination, receive a lump sum from the doctoral thesis supervisor for their efforts. The details are set out in the *Weisung der Rektorin/des Rektors über die Entschädigung für die Mitwirkung an Leistungskontrollen*⁴ [directive on remuneration for assisting at performance assessments; in German].

11.4 Registration for the doctoral examination, and tuition fees

(Ordinance Art. 39)

Registration for the doctoral examination may only proceed with the consent of the doctoral thesis supervisor and in consultation with the co-examiners. Registration must take place at least 15 working days before the examination date and involves submitting a printout of the title page of the thesis and the official Academic Services form. This form contains:

- a. A request for the issuing of the doctoral degree certificate
- b. A declaration by the doctoral student that they have authored the doctoral thesis independently and have not submitted it to any other university
- c. A confirmation by the department that the doctoral student has acquired the full number of ECTS credits required for doctoral studies
- d. A confirmation by the department that an examination copy of the doctoral thesis has been delivered in the prescribed form (see Appendix 2).

⁴ www.weisungen.ethz.ch

A complete copy of the doctoral thesis (examination copy) must be submitted to the Study Administration office of the responsible department in the form prescribed in Appendix 2, «Design of the doctoral thesis», with a title page; a summary in German, French or Italian; a summary in English; and a curriculum vitae.

A one-off lump-sum tuition fee will be charged immediately after the doctoral student registers for the doctoral examination⁵.

11.5 Final deadline for undergoing the doctoral examination (Ordinance Art. 39)

Particular grounds for extending the deadline are:

- a. Pregnancy;
- b. Illness, accident, other reasons for inability to work; or
- c. Change of doctoral thesis supervisor.

11.6 Physical presence of participants in the doctoral examination

The physical presence of the examination committee or the doctoral student at the doctoral examination is not compulsory. The participants may attend via video link. The departments may set out rules in their own detailed stipulations regarding the doctorate as to the minimum amount of presence they require.

If examination committee members and/or the doctoral student take part by video link, two-way communication – both video and audio – must be guaranteed during the entire duration of the examination.

Responsibility for the functioning of the video link lies with the examination organiser and the connected person(s). If two-way communication via video or audio is not or is no longer possible, it is the duty of the examination chairperson to interrupt the examination and to organise a date to resume it. The examination chairperson decides whether to restart the examination from the beginning, or whether it can be resumed from the point at which it was interrupted.

11.7 Doctoral examination (Ordinance Art. 39)

The oral examination lasts at least one hour. A talk on the doctoral thesis topic may also be required. If this is the case, it does not shorten the duration of the oral examination.

The departments stipulate the modalities of the doctoral examination (its organisation, its sequence and how far it will be public, among other things) in their detailed stipulations regarding the doctorate.

11.8 Assessment of the doctoral thesis and the doctoral examination (Ordinance Art. 41)

The assessment of the doctoral thesis considers not only scientific quality, but also linguistic quality. The examiner (the doctoral thesis supervisor) and the co-examiners set out their assessments in written reports. These reports must state whether the thesis should be accepted or rejected and whether corrections are required («accepted with additional requirements»). Co-examiners must provide their affiliation and contact data in their reports.

⁵ See Art. 5 of the Fee Ordinance of the ETH Domain of 31 May 1995 (SR **414.131.7**).

The reports must reach the department five working days before the examination date at the latest.

If the doctoral thesis has been accepted, or accepted with additional requirements, the doctoral examination may go ahead.

The examination committee assesses the doctoral examination as «passed» or «failed». If the examination was passed, the committee decides whether the doctoral thesis must be revised and if so, what corrections are required (e.g., more comprehensive descriptions of results; expansion of discussion points; correction of spelling and grammatical errors).

11.9 Procedure following the assessment (Ordinance Art. 43 and 44)

If the doctoral thesis is rejected, the examination chairperson immediately informs the doctoral student of the result in writing. If the doctoral thesis is rejected, the doctoral examination will not take place.

Directly after the doctoral examination, the examination chairperson informs the doctoral student orally on the assessment of the doctoral examination and the doctoral thesis, and states whether any revisions to the latter will be necessary. The chairperson forwards this information (with the written record of the doctoral examination) to the Study Administration of the respective department.

The Study Administration communicates the following to the doctoral student in writing, with a copy to Academic Services:

- a. Revisions to the thesis (if required), and the deadline for these revisions
- b. Information on the deadline for repeating the doctoral examination (if not passed)
- c. A note that it is possible to request an appealable decree (if the doctoral thesis was rejected or accepted subject to additional requirements, or if the doctoral examination was not passed)

The doctoral student may request an appealable decree regarding the assessment of the doctoral thesis or the doctoral examination.

12 Awarding the doctoral degree (Ordinance Art. 45 and 46)

The department communicates the decision of the Department Conference regarding conferral of the doctoral degree to the Vice Rector for Doctoral Studies. The communication must contain the signed reports, and must also include the following:

- a. The last name(s) and first name(s) of the doctoral student
- b. The approved title of the doctoral thesis
- c. The date of the doctoral examination
- d. The date of the Department Conference decision

After the Department Conference makes its decision the title and content of the doctoral thesis may no longer be altered.

If the doctoral student has had a change of name, the last name(s) and first name(s) officially valid at the time of the Department Conference decision will apply.

Doctoral students are dematriculated on the date of the Department Conference at which the decision regarding conferral of the doctoral degree was taken.

13 Deposit copies and use of the doctoral title (Ordinance Art. 47 and 48)

After the Department Conference at which the decision regarding conferral of the doctoral degree was taken, doctoral students will be requested to deliver two bound copies (deposit copies) of the thesis to Academic Services.

The deadline for delivery of the deposit copies is three months after the date of the Department Conference. For any extension to this deadline the doctoral student must submit a written request to the Vice Rector for Doctoral Studies which also contains the signature of the doctoral thesis supervisor. If the deadline is not respected, the awarding of the doctoral title may be refused.

The doctoral title may only be used after the deposit copies and the electronic version have been delivered.

By signing the first page of a deposit copy, the doctoral thesis supervisor confirms that that version has been accepted. Doctoral students are also required to send one copy of the definitive doctoral thesis each to the thesis supervisor and to every co-examiner.

The two deposit copies submitted to Academic Services are delivered to the ETH library.

The open-access policy of ETH Zurich also requires doctoral students to upload an electronic copy of the approved doctoral thesis to the document server of the ETH Library (Research Collection). Complete published doctoral theses on the ETH Zurich document server are made available to the National Library for archiving.

If electronic publication is not possible for reasons of copyright, patent law or any other reason, the doctoral student may, on request, be temporarily relieved of the obligation to publish an electronic version.

A summary must be published in any case.

14 Detailed stipulations of the departments regarding the doctorate (Ordinance Art. 52)

Appendix 1 contains the specifications for the formal design and content of the departments' detailed stipulations regarding the doctorate.

15 Transitional provisions regarding additional admission requirements (Ordinance Art. 59)

15.1 Examinations

Any examinations to be passed in the context of additional admission requirements must correspond to the Master's degree level. These examinations may not be conducted exclusively by the doctoral thesis supervisor.

15.2 Grading of examinations

Individual examinations must be graded as follows: «6» is the highest grade; «1» is the lowest. The admissions examination (composed of the individual examinations) counts as passed as a whole if at least a grade of «4» was achieved in every single examination. Doctoral students may repeat individual failed examinations once if the doctoral thesis supervisor consents. The examination results and the confirmation that the candidate has met other admission requirements must be communicated to the Vice Rector for Doctoral Studies.

16 Final clauses**Rescindment of previous provisions**

The implementation provisions of 1 November 2013 are hereby rescinded.

Entry into force

These implementation provisions enter into force on 1 January 2022.

23 November 2021

The Rector, ETH Zurich

Appendix 1 – Requirements for departments’ detailed stipulations regarding the doctorate

Form of the stipulations

Departments must use the template provided by Academic Services.

Doctoral committee (see Art. 4)

Departments may increase the number of doctoral committee members. The period of office of two years cannot be changed. Re-election is permitted.

Recruitment of doctoral students

Departments may deploy selection committees to choose doctoral students. The composition and selection procedure must be outlined in the detailed provisions.

Doctoral programmes

Departments may offer specially developed doctoral programmes. They must mention these programmes in their detailed stipulations regarding the doctorate.

Doctoral plan

In the context of the doctoral plan, the departments are responsible for submission deadlines and for checking adherence to these deadlines. The submission deadline must be set such that the aptitude colloquium may conclude within 12 months of the student’s provisional admission.

The research objectives listed in the doctoral plan form the basis of the aptitude colloquium discussion. The doctoral plan should contain the points described in the corresponding template; the departments may particularise them according to their own requirements.

The doctoral plan is understood as a tool for goal-setting and planning in the context of the doctorate. It provides both the doctoral student and the doctoral thesis supervisor with an efficient means of shaping the research project, teaching activities and additional duties of the doctoral student.

Aptitude colloquium and aptitude committee

The departments determine the form in which their respective aptitude colloquia take place. They may add further members to their aptitude committees.

Progress report

The departments determine the components and the form of the annual progress report. The report must in any case contain at least the current status of the research project and any significant deviations from the doctoral plan.

Doctoral studies

The departments set out the details of regular and extended doctoral studies, for example by describing a special study programme or any mandatory courses for doctoral students.

Doctoral thesis

The departments may impose special requirements for cumulative doctoral theses.

They also determine the deadlines and formalities for submitting examination copies of the doctoral thesis. For sustainability reasons it is recommended that they forgo printed copies if the examiner and co-examiners agree.

Doctoral examination and presentation

The departments determine how the doctoral examination will be organised, how far it will be public, and whether a presentation will also take place.

Application of salary rates

The departments incorporate the rules on application of salary rates. These take into account the specifications for putting time aside for the doctoral thesis, teaching duties and other activities set out in the «Ordinance governing scientific employees»⁶.

⁶ SR 172.220.113.11

Appendix 2 – Design of the doctoral thesis

Binding

The deposit copies of the doctoral thesis must be bound as books.
Spiral or spine bar binding are not permitted.

Front cover

The front cover must contain at least the following details:

- Doctoral thesis number (only known in the context of deposit copies)
- Author's name(s) and last name
- Title of the doctoral thesis
- Otherwise: free choice

Title page (corresponds to page 1, unless used as a book cover)

See Appendix 3

Structure

- Front cover (optional)
- Title page as per Appendix 3 (can also be used as a front cover)
- Dedication, acknowledgements (optional; can also be placed at end)
- Table of contents
- Summary (abstract)
- Introduction
- Text of doctoral thesis with any appendices
- Bibliography
- Curriculum vitae

Electronic version

- PDF/A format if possible, otherwise normal PDF format for text files
- No active links (provide complete URL)
- Font, images, and any other objects embedded in the file
- Resolution of colour images: max. 150dpi. Resolution of black-and-white images: max. 300dpi
- No password protection or other security measures
- Fill in file properties as far as possible
- Web-optimised saving
- Curriculum vitae can be left out

Further information on the design of the electronic version may be obtained from the ETH Library (Research Collection).

Appendix 3 – Title page template

DISS. ETH NO.

*(The number is assigned at the registration for the examination.
If the number is unknown, the field stays empty.)*

TITLE OF THE DOCTORAL THESIS

(WARNING: The title can no longer be changed after it has been approved by the Department Conference)

A thesis submitted to attain the degree of

DOCTOR OF SCIENCES
(Dr. sc. ETH Zurich)

presented by

FIRST NAME(S) & FAMILY NAME

*abbreviated academic title, name of university
(according to Diploma or Master's Degree certificate)*

born on *dd.mm.yyyy*

accepted on the recommendation of
*name doctoral thesis supervisor
name(s) co-examiner(s)*

20XX

(Year of acceptance of the doctoral thesis by the Department Conference)

Appendix 4 – Glossary

Additional entrance examination	Entrance examination required as an additional entrance requirement. Only for doctoral students admitted before 1 January 2022.
Admission (definitive)	Definitive admission to the doctorate after passing the aptitude colloquium.
Admission (provisional)	Provisional admission to the doctorate according to the decree of the Vice Rector for Doctoral Studies after basic admission requirements are met.
Application	Administrative process of checking fulfilment of basic admission requirements. Coordination of further steps towards matriculation and appointment may rest upon it.
Aptitude colloquium	Investigation into the aptitude of the doctoral student after 12 months at the latest
Co-examiner	Specialist selected according to academic criteria as co-reviewer of the doctoral thesis and for participation in the oral examination
Dissertation	Synonym for doctoral thesis; no longer used in the ETH Zurich Ordinance on the Doctorate and Rector's Implementation Provisions for the ETH Zurich Ordinance on the Doctorate
Doctoral examination	Oral examination in the discipline or disciplinary area of the doctoral thesis after submission of the thesis.
Doctoral plan	Document which summarises important components of the doctorate such as research objectives, participation in teaching, further duties and extended doctoral studies. Serves as a tool for structuring the doctorate as efficiently as possible.
Doctoral programme	Doctoral studies involving a range of courses organised by one or more departments, which may mean further requirements.
Doctoral studies, extended	Extended, in-depth education in the research area of the doctoral thesis during doctoral studies. The scope of this is determined at admission to the doctorate.
Doctoral studies, regular	Education of doctoral students during the doctorate, with achievements comprising at least 12 ECTS credits.
Doctoral thesis	Written work which is a prerequisite for acquiring the doctoral title.
Doctorate	Process leading to acquisition of the doctoral title.
Enrolment	Registration for the respective current semester and confirmation of doctoral student status.
Examiner	Role of the doctoral thesis supervisor during the doctoral examination.
Integration into the scientific community	One of three mandatory goals of regular doctoral studies. Can be achieved by attending conferences outside ETH Zurich and Summer Schools where doctoral students exchange and connect with other researchers.
Matriculation	Inclusion in the list of doctoral students at ETH Zurich. Compiling of master data on the doctoral student and issuing of the Student ID card.

Progress report	Annual report on the progress of the research project which includes findings, anticipated progress and any significant deviations from the research objectives set out in the doctoral plan.
Second advisor	Advises and supports the doctoral student in academic matters.
Status conversation	Annual discussion between the doctoral student and the doctoral thesis supervisor regarding the progress of the research project and of doctoral studies, the working situation in the research group, and personal development possibilities. The basis for the discussion is the progress report.
Supervisor (of the doctoral thesis)	Superior responsible for academic and administrative supervision of the doctoral thesis.
Transferable skills	One of three mandatory goals of regular doctoral studies. Skills acquired and honed in the framework of regular doctoral studies. They include skills needed in the academic environment that are also helpful for future career steps and personal development.