



## Faculty of Arts and Social Sciences

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# Doctoral Program Regulation for the Conferral of Doctorates at the Faculty of Arts and Social Sciences of the University of Zurich (DO)

Resolution of the Faculty Assembly from 14 December 2018 (Version 5, as of 21 October 2022)

## Part 1: Object and Scope of Further Basic Principles

### § 1 Object of the Doctoral Program Regulation

<sup>1</sup> This doctoral program regulation implements the Ordinance on Obtaining a Doctoral Degree of the Faculty of Arts and Social Sciences of the University of Zurich (PromVO 2019) dated 1 October 2018<sup>1</sup>.

<sup>2</sup> The doctoral program regulation consists of a general section and the appendices. The general section governs the overarching aspects, while the appendices focus on the subject-specific aspects.

### § 2 Explanations and Information

If explanations and further details are published with regard to the doctorate, these shall be for the information of the doctoral candidates.

## Part 2: Admission

### § 3 Admission to a Doctoral Degree Program

<sup>1</sup> Before admission to a doctoral degree program, binding confirmation of supervision from two supervisors must be provided, as stipulated in § 7 para. 1 PromVO 2019. Evidence is provided by submitting the relevant form, completed in full, to the Coordination Office of the graduate school.

<sup>2</sup> The graduate school assesses whether the proposed supervisors meet the requirements for the composition of the supervisory committee.

<sup>3</sup> If all requirements are met, the graduate school issues a provisional confirmation of supervision, which also includes the proposed additional requirements in accordance with § 4.

<sup>4</sup> Responsibility for initiating the admission procedure lies with the applicant. The ruling on admission and the imposition of any additional requirements will be issued by Student Services.

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<sup>1</sup> LS 415.452.

#### **§ 4 Additional Requirements**

<sup>1</sup> Additional requirements up to 60 ECTS credits may be imposed for admission to a doctoral degree program. The additional requirements are proposed by the person who is expected to be the principal supervisor.

<sup>2</sup> In addition to the provisions stipulated in the respective ruling, the imposition and fulfillment of additional requirements shall also be subject to the provisions of the ordinance on admission to studies at the University of Zurich (VZS)<sup>2</sup> and the framework ordinance on Bachelor's and Master's degree programs at the Faculty of Arts and Social Sciences (RVO PhF)<sup>3</sup>.

<sup>3</sup> The module type of the modules stipulated in the additional requirements is based on the specialist requirements relevant for admission to the study program from which the stipulated module was taken.

<sup>4</sup> A definitively failed module leads to definitive exclusion from studies if it is listed as a compulsory module in the specialist requirements.

<sup>5</sup> Definitive exclusion from studies has the effect of banning the candidate:

- a. From all study programs in which the definitively failed module is compulsory;
- b. From all study programs for which it would have to be passed as an additional requirement.

### **Part 3: The Doctorate in General**

#### **§ 5 Duration of the Doctorate**

<sup>1</sup> The counting of semesters commences in the first semester after admission to the doctoral degree program at UZH.

<sup>2</sup> Only the semesters in which the candidate has been admitted to the doctoral degree program at UZH are included in the calculation of the doctorate's duration. Counting ceases every time the candidate withdraws from the University and is resumed every time they resume their studies.

#### **§ 6 Request to Extend the Duration of the Doctorate**

<sup>1</sup> At the end of the 11th semester after enrollment in the doctoral degree program, the doctoral candidate receives the instruction together with the transcript of records to contact the principal supervisor without delay.

<sup>2</sup> The request to extend the duration of the doctorate by two semesters must be submitted to the graduate school within 30 days of receipt of the transcript of records, which is delivered via UZH's digital infrastructure. The candidate must provide detailed reasons for the request and attach the required documentation (e.g. doctor's note, birth certificate).

<sup>3</sup> Compelling reasons include, in particular:

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<sup>2</sup> LS 415.31.

<sup>3</sup> LS 415.455.1

- a. Semesters of leave, pursuant to the VZS;
- b. Extended absence due to sickness or military service;
- c. Childcare or caring for close relatives;
- d. Delays due to research-related activities such as stays abroad.

<sup>4</sup> Candidates may submit multiple requests to extend the duration of their doctorate. For each additional request, they must provide proof of the compelling reasons for their inability to complete their doctorate within the already extended duration.

<sup>5</sup> As a rule, the vice dean of the graduate school decides on the request within 30 days. The vice dean may request further proof or obtain reports.

### **§ 7 Right to Confer a Doctorate of Professors and Privatdozents**

<sup>1</sup> The right to confer a doctorate of professors and privatdozents ends either:

- a. Upon retirement from professorial duties or retirement on reaching retirement age, or
- b. Upon the return or revocation of the *venia legendi*.

<sup>2</sup> The right to confer a doctorate can be extended for up to five further years after retirement from professorial duties or retirement on reaching retirement age upon request to the graduate school.

<sup>3</sup> A prerequisite for the extension is that the ongoing doctoral project for which the request to extend the right to confer a doctorate is being submitted can be expected to be completed within the extended period.

### **§ 8 Right to Supervise for Visiting Professors and Teaching Staff from Universities of Applied Sciences and Universities of Teacher Education**

<sup>1</sup> Visiting professors may become co-supervisors for doctoral projects, subject to authorization by the graduate school. The graduate school will decide on a case-by-case basis according to the circumstances.

<sup>2</sup> Teaching staff from Swiss universities of applied sciences or teacher education with a PhD may become co-supervisors for doctoral projects with authorization from the graduate school if their overall academic track record is sufficient.

<sup>3</sup> Academic track records are deemed to be sufficient if, in addition to the doctorate:

- a. The person in question has amassed relevant academic achievements, which do not have to be equivalent to habilitation, and
- b. The person in question has at least three years of proven research experience in the subject area(s) of the doctorate for which the right to supervise is being requested, and
- c. The academic qualification in terms of research experience under letter b was acquired via a relevant publication (mandatory) and can also be proven through research stays and international cooperation projects or research funding raised (optional), and
- d. In the area of teaching, the person in question can prove that they have taught modules involving assessment and supervised final theses at least at Master's level.

<sup>4</sup> Teaching staff have the right to confer a doctorate in accordance with para. 2 and 3 as part of a cooperative doctorate (TP 2) initiated by swissuniversities.

<sup>5</sup> In response to a justified request, the graduate school can extend the right to supervise/the right to confer a doctorate for an unfinished doctoral project in accordance with § 7 para. 2 and 3.

<sup>6</sup> Teaching staff as defined in para. 1 are excluded from becoming principal supervisors or sitting on the doctoral committee.

### **§ 9 Doctoral Agreement**

<sup>1</sup> The doctoral agreement must be submitted to the graduate school within 16 weeks of the issue of the provisional confirmation of supervision in accordance with § 3 para. 3.

<sup>2</sup> The graduate school may reject incomplete or inadequate doctoral agreements and return them to the principal supervisor for completion or correction within 30 days.

### **§ 10 Termination of the Doctoral Agreement**

<sup>1</sup> Prior to termination of the doctoral agreement, the graduate school must be notified by the principal supervisor and the relevant proof submitted.

<sup>2</sup> The graduate school checks whether the reason asserted for the termination does indeed apply. It may conduct further investigations and, if necessary, initiate measures aimed at achieving a mutually acceptable solution.

<sup>3</sup> The ruling on the termination of the doctoral agreement is issued by the graduate school.

<sup>4</sup> The search for new supervisors following the termination of the doctoral agreement is the responsibility of the doctoral candidate.

## **Part 4: PhD Thesis**

### **§ 11 Language**

<sup>1</sup> The supervisory committee lists the language in which the PhD thesis is to be written in the doctoral agreement.

<sup>2</sup> The graduate school checks whether the language could be problematic in relation to the composition of the doctoral committee and, if necessary, proposes suitable measures in consultation with the supervisory committee.

## **§ 12 Written Works That Have Already Been Published**

<sup>1</sup> Written works that have already been published can be accepted as part of the PhD thesis.

<sup>2</sup> If the candidate uses written works that they have already published for the PhD thesis, evidence must be supplied of their original place of publication.

<sup>3</sup> Manuscripts that have already been submitted for the purpose of earning an academic degree at another higher education institution cannot be accepted as a PhD thesis or a part thereof.

## **§ 13 Form**

<sup>1</sup> If the PhD thesis is written as a monograph, co-authorship is not possible.

<sup>2</sup> Cumulative PhD theses are subject to the following provisions:

- a. They must contain at least two articles of which the candidate was the sole, lead or principal author, which are intrinsically linked, and which are connected by an overriding question;
- b. In addition to the articles, the candidate must write an introduction and a closing discussion or a synopsis explaining the academic context and the added value created by the combination;
- c. If the cumulative PhD thesis contains articles from multiple authors, the candidate's own contribution to an article must be indicated by means of a self-declaration and appended to the PhD thesis as a separate section;
- d. The graduate school must be provided with confirmation in the form of a self-declaration that any rights to data have been clarified among the authors;
- e. The corresponding appendix shall list the subject-specific requirements.

<sup>3</sup> If the subject-specific requirements have been fulfilled, articles that have not yet been submitted for publication can also be part of a cumulative PhD thesis.

## **Part 5: Procedure for Obtaining a Doctoral Degree**

### **§ 14 Preliminary Procedure and Initiation**

<sup>1</sup> Prior to the initiation of the procedure for obtaining a doctoral degree:

- a. The doctoral candidate confirms that they wrote the thesis independently and
- b. The principal supervisor conducts a standard check of the PhD thesis, e.g., by using the plagiarism detection software provided by UZH.

<sup>2</sup> Together with the request to initiate the procedure for obtaining a doctoral degree submitted to the graduate school, the principal supervisor suggests – in consultation with all other members of the supervisory committee and the doctoral candidate – suitable teaching staff as members of the doctoral committee.

<sup>3</sup> The graduate school checks on the basis of the self-declaration submitted whether there are any indications of personal bias in accordance with § 5a of the law on administrative procedures and jurisdiction of 24 May 1959 (VRG)<sup>4</sup>. The UZH Guidelines on Recusal in Professorial Appointments and Promotions<sup>5</sup> apply *mutatis mutandis*. If necessary, it will reject the request and send it back to the principal supervisor.

<sup>4</sup> Once the request to initiate the procedure for obtaining a doctoral degree has been submitted, modification or revision of the PhD thesis is no longer permitted.

### **§ 15 Suspicion of Plagiarism**

<sup>1</sup> If plagiarism is suspected after the plagiarism check, the principal supervisor shall give the doctoral candidate in question the opportunity to make a verbal or written statement in accordance with the statutory right to a fair hearing. Verbal statements will be recorded in a written protocol.

<sup>2</sup> If the suspected plagiarism is confirmed, the procedure is passed on to the graduate school for further processing.

<sup>3</sup> The graduate school checks whether there are reasonable grounds to suspect plagiarism. If necessary, it will suspend the doctoral process and initiates disciplinary proceedings.

### **§ 16 Confirmation of Plagiarism**

<sup>1</sup> If the disciplinary proceedings confirm that plagiarism has occurred, the graduate school will continue the process. It shall:

- a. Declare the PhD thesis as failed,
- b. Terminate the doctoral agreement in collaboration with the supervisory committee,
- c. Initiate the doctoral candidate's withdrawal from the doctoral degree program.

<sup>2</sup> Upon the request of the graduate school, a degree that has already been awarded will be retracted by the faculty. Any final records already issued must be surrendered.

### **§ 17 Disagreement on the Composition of the Doctoral Committee**

<sup>1</sup> The request to initiate the procedure for obtaining a doctoral degree must also be submitted if there is disagreement within the supervisory committee, including the doctoral candidate, in relation to the composition of the doctoral committee.

<sup>2</sup> The graduate school will make the final decision on the composition of the doctoral committee, taking into account the suggestions made. As a general rule, the suggestions of the principal supervisor will be given more weight than those of the doctoral candidate.

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<sup>4</sup> LS 175.2.

<sup>5</sup> Richtlinien für die Anwendung der Ausstandsbedingungen in Berufungs- und Beförderungsverfahren (vom 29. Mai 2018).

<sup>3</sup> If there are proven differences of opinion between a member of the supervisory committee and the doctoral candidate during the supervision phase, the graduate school may qualify these as indications of a potential bias against the doctoral candidate. A prerequisite for this is that the doctoral candidate himself/herself did not recommend this person as a member of the doctoral committee.

### **§ 18 Expert Reports and Revision Requirements**

<sup>1</sup> Expert reports contain a grade and the justification for that grade, both for monographs and cumulative PhD theses.

<sup>2</sup> In the case of cumulative PhD theses, every member of the doctoral committee draws up an overall expert report for all articles submitted.

<sup>3</sup> As a general rule, expert reports must be submitted to the graduate school within four months of the submission of the PhD thesis. The expert reports from the individual experts are not combined to form an overall expert report.

<sup>4</sup> The doctoral committee records any requirements to revise the PhD thesis in a consolidated form.

## **Part 6: Curricular Coursework**

### **§ 19 Curricular Coursework**

<sup>1</sup> The completion of curricular coursework is subject to the provisions of the RVO PhF<sup>6</sup> and the study regulations (StO PhF)<sup>7</sup>.

<sup>2</sup> The curricular coursework may take the form of coursework for which ECTS credits are awarded or which is evidenced by means of a workload.

<sup>3</sup> Requirements for a transfer of credit are that:

- a. A learning and education outcome is linked to the course, and
- b. A workload is proven to exist, i.e. a certain degree of effort is demanded of the doctoral candidate and has indeed been expended, and
- c. An assessment is carried out, resulting in specific feedback to the doctoral candidate.

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<sup>6</sup> LS 415.455.1.

<sup>7</sup> StO PhF; Study regulations for the Bachelor's and Master's degree programs at the Faculty of Arts and Social Sciences from 28 September 2018.

<sup>4</sup> No ECTS credits can be awarded for the research section of the doctorate or for any work done in administration and teaching, in particular for the PhD thesis, essays, conference attendance, involvement in or assistance with the organization of conferences, and supervision of final theses.

<sup>5</sup> The corresponding appendix shall list the subject-specific regulations.

## **§ 20 Recognition and Transfer of Credit for Curricular Coursework Completed Externally**

Curricular coursework completed externally will only be recognized by the graduate school if

- a. it has been listed in the doctoral agreement and
- b. it can be transferred to the doctorate.

## **§ 21 PhD Defense**

<sup>1</sup> The PhD defense consists of an introductory talk by the doctoral candidate lasting around 20 minutes in total and a subsequent discussion, during which the examiners ask questions in accordance with § 32 PromVO 2019.

<sup>2</sup> Members of UZH who hold a doctoral degree or a higher qualification can be enlisted as co-examiners (= minute-takers).

<sup>3</sup> PhD defenses are open to the members of the faculty. This means that, as a rule, they are only open to persons who are connected to the UZH Faculty of Arts and Social Sciences, in particular professors, non-professorial academic staff, administrative staff, doctoral candidates, and students. In response to a justified request, the graduate school may make the PhD defense open to an extended group of people.

<sup>4</sup> The deliberations on the result of the PhD defense are closed to the public and the doctoral candidate. The chairperson will inform the doctoral candidate of the result of the PhD defense (pass/fail), the overall grade of the PhD thesis, and the distinction immediately afterwards.

## **§ 22 Holding of the PhD Defense**

<sup>1</sup> The PhD defense may only be held if the chairperson, the co-examiner, and at least two examiners are present in person and the other examiners are present either in person or via a video link.

<sup>2</sup> In the event that examiners participate via a video link, the graduate school will determine how this will be implemented technically.

<sup>3</sup> If the chairperson or an examiner is unable to attend or has to withdraw or the video link malfunctions during the PhD defense, the defense must be discontinued.



<sup>4</sup> In the event that the co-examiner has to withdraw, a replacement must be found within half an hour. If this is not possible, the PhD defense must be discontinued.

<sup>5</sup> If the PhD defense cannot be completed due to one of the events listed in para. 3 or 4, it must be carried out in full on the next possible date.

### **§ 23 Revision of the PhD Thesis**

As a rule, the experts will review the revised version of an accepted PhD thesis within one month.

### **§ 24 Repetition**

Repetitions of failed PhD theses or PhD defenses must be carried out within the maximum duration in accordance with § 20 PromVO 2019.

### **§ 25 Publication**

<sup>1</sup> If no revision requirements are imposed on an accepted PhD thesis, it can be published immediately after completion of the PhD defense.

<sup>2</sup> A prerequisite for the publication of a cumulative PhD thesis is the fulfillment of the subject-specific requirements set out in the corresponding appendix.

<sup>3</sup> After the expiry of any embargo period, the content of the publication copy will be published in full in the repository. The publication will take place either worldwide or within UZH.

<sup>4</sup> If the graduate school has authorized an indefinite embargo on the publication of the content of the PhD thesis, the name of the doctoral candidate and the title of the PhD thesis will still be published in the repository.

## **Part 7: Transitional Provisions**

### **§ 26 Requirements and Conditions**

Requirements and conditions that have not yet been met will be reviewed and re-evaluated after this doctoral program regulation enters into force.

### **§ 27 Doctoral Agreement in Accordance with § 60 Para. 4 and § 61 Para. 4 PromVO 2019**

The doctoral agreement under § 60 para. 4 resp. § 61 para. 4 PromVO 2019 must be submitted to the graduate school within 16 weeks. This period begins on the date of the provisional confirmation of supervision issued by the graduate school in accordance with § 3 para. 3.

**§ 28      Entry into Force**

This doctoral program regulation enters into force on 14 December 2018.

**Subject-specific appendices**

- **Appendix I: Subject-specific requirements for cumulative PhD theses**
- **Appendix II: Subject-specific regulations on curricular coursework**

**Appendix I: Subject-specific requirements for cumulative PhD theses**

PhD subject	Cumulative possible	Provisions for cumulative PhD thesis			
		Minimum number of submitted or accepted or published articles (must be peer-reviewed)	Minimum number of articles as sole author*	Minimum number of articles as lead/principal author**	Maximum number of articles co-authored by a supervisor***
History	No				
Philosophy	Yes	3 (2 accepted, 1 submitted)	2	-	1
Greek Philology	Yes	5 accepted	4	-	1
Latin Philology	Yes	5 accepted	4	-	1
Medieval and New Latin Philology	Yes	5 accepted	4	-	1
Prehistoric Archaeology	Yes	3 submitted	0	2	2
Medieval Archaeology	No				
Classical Archaeology	No				
Indian Studies	Yes	4 (at least 1 published; 2 accepted; 1 submitted)	1	3	2
Islamic Studies	Yes	4 (at least 1 published; 2 accepted; 1 submitted)	1	3	2
Japanese Studies	Yes	4 (at least 1 published; 2 accepted; 1 submitted)	1	3	2
Chinese Studies	Yes	4 (at least 1 published; 2 accepted; 1 submitted)	1	3	2
Gender Studies	No				
Film Studies	No				
Art History	No				
East Asian Art History	No				
Musicology	No				
Cultural Analysis	No				
German Literature	Yes	2 accepted, 1 submitted	No requirement	No requirement	No supervisor may be a co-author
English and American Literature	No				
English Literature	No				
French Literature	No				
Italian Literature	No				
Portuguese Literature	No				
Rhaeto-Romanic Language and Literature	No				
Scandinavian Studies	Yes	2 accepted, 1 submitted	No requirement	No requirement	No supervisor may be a co-author

PhD subject	Cumulative possible	Provisions for cumulative PhD thesis			
		Minimum number of submitted or accepted or published articles (must be peer-reviewed)	Minimum number of articles as sole author*	Minimum number of articles as lead/principal author**	Maximum number of articles co-authored by a supervisor***
Slavic Literature	No				
Spanish Literature	No				
Comparative Romance Literature	No				
General and Comparative Literature	No				
Linguistics	Yes	3 submitted	Further specifications will be set out in the doctoral agreement.		
Computational Linguistics and Phonetics	Yes	3 submitted	Further specifications will be set out in the doctoral agreement.		
Psychology	Yes	2 submitted	0	2	No restriction
Educational Science	Yes	2 submitted, 1 accepted	0	2	No restriction
Teaching	Yes	2 submitted, 1 accepted	0	2	No restriction
Political Sciences	Yes	3 submitted	1	1	No restriction
Communication and Media Research	Yes	3 accepted	0	2	No restriction
Sociology	Yes	3 submitted	0	2	4
Cultural Studies	No				
Social and Cultural Anthropology	No				

\* "Sole author" means no other author was involved.

\*\* Lead / principal author: The decisive factor is that the doctoral candidates are the authors with the main responsibility for the articles (i.e. the position in the sequence of authors is not the determining factor).

\*\*\* Under § 30, 2 PromVO, this supervisor may not subsequently sit on the doctoral committee as co-authors are prohibited from being members of the doctoral committee.

## Appendix II: Subject-specific regulations on curricular coursework

PhD subject	No subject-specific regulations	Minimum number of subject-specific ECTS credits	Maximum number of interdisciplinary ECTS credits
History		9	3
Philosophy		8	
Greek Philology	x		
Latin Philology	x		
Medieval and New Latin Philology	x		
Prehistoric Archaeology	x		
Medieval Archaeology	x		
Classical Archaeology	x		
Indian Studies	x		

PhD subject	No subject-specific regulations	Minimum number of subject-specific ECTS credits	Maximum number of interdisciplinary ECTS credits
Islamic Studies	x		
Japanese Studies	x		
Chinese Studies	x		
Gender Studies	x		
Film Studies	x		
Art History	x		
East Asian Art History	x		
Musicology	x		
Cultural Analysis		9	
German Literature	x		
English and American Literature		9	3
English Literature		9	3
French Literature		3	9
Italian Literature		3	9
Portuguese Literature		3	9
Rhaeto-Romanic Language and Literature		3	9
Scandinavian Studies	x		
Slavic Literature		9	
Spanish Literature		3	9
Comparative Romance Literature		3	9
General and Comparative Literature		3	9
Linguistics	x		
Computational Linguistics and Phonetics		8	
Psychology		8	4
Educational Science		8	4
Teaching		8	4
Political Sciences		12	
Communication and Media Research		8	4
Sociology	x		
Cultural Studies	x		
Social and Cultural Anthropology	x		