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## **Doctoral program regulations**

**for the Doctorate in economics and business administration at the Faculty of Economics, Business Administration and Information Technology of the University of Zurich**

Version 1.1 as decided at the meeting of the Faculty Assembly on 12 March 2014

These Doctoral program regulations are based on the ordinance for obtaining a Doctoral degree (PVO<sup>1</sup>) in economics and business administration at the Faculty of Economics, Business Administration and Information Technology of the University of Zurich of 5 November 2012 (effective as of 1 February 2013). All references to paragraphs of the PVO13 refer to this document.

<sup>1</sup> Ordinance for obtaining a Doctoral degree (EN) = Promotionsverordnung (DE), abbr. PVO

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# 1 General provisions

## 1.1 Purpose of the Doctoral program regulations

These Doctoral program regulations specify the regulatory statues for the Doctorate in economics and business administration at the Faculty of Economics, Business Administration and Information Technology of the University of Zurich (UZH) in accordance with PVO13.

## 1.2 Overview of Doctoral programs

When registering for Doctoral studies, candidates choose one of the programs offered. The Doctoral programs differ (1) with respect to specializations and (2) with respect to structure (tracks).

(1) Specializations offered:

- Economics
- Business administration
- Banking and finance
- Management and economics

(2) Within the selected specialization, candidates apply for one of the following tracks (§ 2 PVO):

- Track A: General Doctoral program
- Track B: Structured Doctoral program
- Track C: Structured fast-track Doctoral program

It is possible to petition the respective examination delegate to switch to another program or to another track during Doctoral studies if cogent reasons can be demonstrated. Switching is ruled out if a candidate has been irrevocably rejected (§ 42 PVO) or the acceptance and admission criteria (§§ 7-10 PVO) for a program have not been fulfilled.

With the exception of the general Doctoral program Track A in business administration, all programs are conducted in English.

## 1.3 Notifications, information and contact persons

Important notifications relating to Doctoral studies are regularly published on the website of the Faculty of Economics, Business Administration and Information Technology ([www.oec.uzh.ch](http://www.oec.uzh.ch)) as well as the websites of the individual Doctoral programs. Up-to-date contact information is also available on these websites.

The first-line contact person for Doctoral students is always the program coordinator of the respective program, who forwards requests to the appropriate responsible body (examination delegate or Doctoral Board). Only questions and information with regard to graduation and the publication of the dissertation as described in Chapters 9 and 10 of these program regulations should be addressed directly to the Dean's Office.

Information regarding the Doctoral program is also sent to the Doctoral student's personal UZH e-mail account, which is opened upon matriculation. Information is considered disseminated once it has been received in the student's UZH mailbox.

## **2 Structure and content of Doctoral programs**

### **2.1 General preliminary remark**

The programs differ with regard to their content requirements. The minimum requirements for all programs include writing a dissertation (in accordance with Chapter 8), passing a defense (in accordance with Section 9.4) and successfully completing the specified minimum number of ECTS credits (in accordance with Chapter 2).

The programs differ from one another primarily in the number and selection of the compulsory and core elective modules to be completed. The minimum number of compulsory and core elective modules to be completed is defined for each program.

- Compulsory modules are modules defined in these program regulations for each specialization that must be successfully completed during the course of studies at the Faculty of Economics, Business Administration and Information Technology in order to register for graduation.
- Core elective modules are modules that are to be chosen from a list (published in the course catalogue) set by the examination delegates for the respective programs.

If compulsory modules of a program have been completed prior to registering for Doctoral studies and credited to a different degree, then a corresponding number of additional core elective modules must be completed during the Doctoral studies.

### **2.2 Track A: General Doctoral program**

#### **2.2.1 Structure**

Doctoral programs in Track A comprise:

- preparation of a dissertation
- passing the defense
- successful completion of modules totaling at least 18 ECTS credits

Modules must be selected from the doctoral-level core elective area of the respective specialization.

## 2.2.2 Repetitions

The dissertation and defense may be repeated once if they are failed.

## 2.3 Track B: Structured Doctoral program

### 2.3.1 Structure

Doctoral programs in Track B comprise:

- successful completion of the number of ECTS credits in compulsory and core elective modules as specified in the following table
- preparation of a research proposal representing 15 ECTS credits
- preparation of a dissertation
- passing the defense

Modules/ECTS credits	Economics	Business administration	Banking and finance	Management and economics
Compulsory and core elective modules	78 ECTS credits	36 ECTS credits	78 ECTS credits	36 ECTS credits
Research proposal	15 ECTS credits	15 ECTS credits	15 ECTS credits	15 ECTS credits
Dissertation				
<b>Total</b>	<b>93 ECTS credits</b>	<b>51 ECTS credits</b>	<b>93 ECTS credits</b>	<b>51 ECTS credits</b>
Number of repetitions permitted for compulsory modules	1	1	1	1
Deadline for the completion of compulsory and core elective modules	6 semesters	6 semesters	6 semesters	6 semesters
Number of repetitions permitted for research proposal, dissertation and defense	1	1	1	1

Table 1: Overview of Track B, lists of modules can be found in Appendix A1

### 2.3.2 Deadlines and repetitions

All compulsory modules of the Doctoral program (cf. lists in Appendix A1) may only be repeated once during the course of studies at the Faculty of Economics, Business Administration and Information Technology (§ 29 PVO). All compulsory and core elective modules of the Doctoral program must be successfully completed within six consecutive semesters of beginning of the Doctoral studies. In cases of hardship, the examination delegate decides on the extension of deadlines.

The research proposal, dissertation and defense may be repeated once if they are failed.

Failing a compulsory module twice or exceeding the deadline for passing the compulsory and core elective modules will result in exclusion from Doctoral studies in accordance with § 42 PVO.

## 2.4 Track C: Structured fast-track Doctoral program

### 2.4.1 Structure

Structured fast-track Doctoral programs comprise a Master's level and a Doctoral level.

The Track C Master's level comprises:

- successful completion of compulsory and core elective modules from the Master of Arts degree program in accordance with the following table
- successful completion of the number of ECTS credits in compulsory and core elective modules from the Doctoral level as specified in the following table
- preparation of an independent research proposal

The Track C Doctoral level comprises:

- successful completion of the number of ECTS credits in compulsory and core elective modules at the Doctoral level as specified in the following table
- preparation of a dissertation
- passing the defense

Modules/ECTS credits	Economics	Business administration	Banking and finance	Management and economics
<b>Master's level</b>				
Compulsory modules from the Master of Arts degree program	30 ECTS credits	12 ECTS credits	33 ECTS credits	42 ECTS credits
Core elective modules from the Master of Arts degree program	30 ECTS credits*	30 ECTS credits	12 ECTS credits	-
Compulsory or core elective modules from the Doctoral level		18 ECTS credits	15 ECTS credits	18 ECTS credits
Research proposal	30 ECTS credits	30 ECTS credits	30 ECTS credits	30 ECTS credits
Max. number of failed attempts in compulsory and core elective modules at the Master's level	6	6	6	6
<b>Total, Master's level</b>	<b>90 ECTS credits</b>	<b>90 ECTS credits</b>	<b>90 ECTS credits</b>	<b>90 ECTS credits</b>
<b>Doctoral level</b>				
Compulsory and core elective modules	78 ECTS credits	36 ECTS credits	78 ECTS credits	36 ECTS credits
Dissertation				
Deadline for the completion of compulsory and core elective modules at the Doctoral level	6 semesters	6 semesters	6 semesters	6 semesters
<b>Total, Doctoral level</b>	<b>78 ECTS credits</b>	<b>36 ECTS credits</b>	<b>78 ECTS credits</b>	<b>36 ECTS credits</b>
Number of repetitions permitted for compulsory modules from the Doctoral level over both levels	1	1	1	1
Number of repetitions permitted for research proposal, dissertation and defense	1	1	1	1
<b>Total, Track C</b>	<b>168 ECTS credits</b>	<b>126 ECTS credits</b>	<b>168 ECTS credits</b>	<b>126 ECTS credits</b>

Table 2: Overview of Track C, lists of modules can be found in Appendix A1

\*The 30 ECTS credits can be obtained by completing core elective modules from the Master of Arts degree program as well as compulsory and core elective modules from the Doctoral level.

## **2.4.2 Deadlines, failed attempts and repetitions**

Each compulsory or core elective module failed during matriculation at the Master's level counts as a failed attempt.

Students who have successfully completed the modules at the Master's level, including the research proposal, have fulfilled the conditions for the Master's degree in accordance with §§ 31-32 PVO and are admitted to the Doctoral level. Exceeding the maximum number of failed attempts permitted at the Master's level (§ 28 PVO) will result in exclusion from the Master's and Doctoral studies in accordance with § 42 PVO.

All compulsory doctoral-level modules (cf. lists in Appendix A1) may only be repeated once during the course of the Master's and Doctoral levels (§ 29 PVO). All compulsory and core elective modules at the Doctoral level must be successfully completed within six consecutive semesters of beginning of the Doctoral program. In cases of hardship, the examination delegate decides on the extension of deadlines.

The research proposal, dissertation and defense may be repeated once if they are failed; these do not, however, count as failed attempts.

Failing a compulsory doctoral-level module twice or exceeding the deadline for passing the compulsory and core elective modules at the Doctoral level will result in exclusion from Doctoral studies in accordance with § 42 PVO.

## **2.5 Duration of the Doctorate**

The Doctorate or the Doctoral level in Track C must be completed within a maximum of six years. This period begins with courses in the first semester after admission to the program and ends on the day of registration for graduation.

# **3 Admission and acceptance to a program**

## **3.1 General provisions**

Admission to the Doctoral level is dependent on having a Bachelor's or Master's degree from a university or an equivalent degree with the distinction of summa cum laude or magna cum laude. In justified cases, the Doctoral Board may waive the requirement of distinction. Degrees from Master of Advanced Studies programs (e.g. MAS, EMBA, MBA, etc.) do not qualify for acceptance to a program.

The following requirement for acceptance must also be fulfilled: A professor of the faculty must declare his or her willingness to serve as dissertation supervisor for the applicant. A definitive supervisor for the candidate in accordance with Chapter 4 is assigned at a later point in time.

Acceptance to the programs is regulated in §§ 7 - 10 PVO.



Moreover, the specifications in the ordinance on admission to studies (VZS) at the University of Zurich are binding.

Admission may be made dependent on demonstration of sufficient language skills.

Any student having been irrevocably expelled from the Faculty of Economics, Business Administration and Information Technology or from another institute of higher education in a similar Doctoral program for failing examinations or not observing examination regulations will not be admitted to Doctoral studies (§ 10 PVO).

### **3.2 Application and admission procedure**

An application for acceptance to a Doctoral program may be submitted at any time as long as the deadlines and formalities are observed. All documents must be submitted exclusively to the responsible examination delegate via the program coordinator, who later forwards the documents to the Admissions Office for verification of the admission criteria of the University.

Deadlines and formalities are published in a suitable form. Addresses and homepages containing information on the documents to be submitted for the individual programs can be found at [www.oec.uzh.ch](http://www.oec.uzh.ch).

### **3.3 Admission with additional requirements or conditions**

If the admission is granted subject to additional requirements or if conditions must be met before admission, they are communicated with the notification of acceptance. It specifies the additional required coursework and the deadlines, and determines the permissible number of failed attempts.

As a rule, the modules to be completed as part of additional requirements (= earning of additional qualifications) must be completed within four consecutive semesters after admission is granted. The reference date for deadlines is the first day of the semester in which the first course is taken. In cases of hardship, the examination delegate may extend the deadline for the fulfillment of additional requirements. Documentation must be provided when registering for graduation. The ECTS credits earned in this process cannot be credited towards the Doctoral program.

As a rule, the modules to be completed as part of the conditions (= earning of additional qualifications) must be successfully completed within four consecutive semesters before admission to the Doctoral program. The reference date for deadlines is the first day of the semester in which the first course is taken. In cases of hardship, the examination delegate may extend the deadline for the fulfillment of admission conditions. Documentation must be provided when registering for the Doctoral program. The ECTS credits earned in this process cannot be credited towards the Doctoral program.

### **3.4 Acceptance to a program**

The result of the admission process is communicated to the candidates in writing. Objections must be submitted in writing to the Dean's Office within 30 days. The decision of the Dean's Office may be appealed to the Appeals Committee of the Cantonal Institutes of Higher Learning in Zurich<sup>2</sup>.

After the student is accepted to the program, the examination delegate for the Doctoral program that the candidate has selected formally takes on the role of supervisor until the definitive supervisor has been determined in accordance with Chapter 4.

Upon acceptance to the program, the candidate is entitled to receive supervision in accordance with Chapter 4 within the selected specialization, as long as all modules have been completed in accordance with Chapter 2 of these program regulations.

## **4 Dissertation committee and supervisor**

The Doctoral Board appoints a dissertation committee for the candidate to evaluate the dissertation and defense. This dissertation committee consists of the supervisor and at least one additional expert.

The Doctoral Board appoints a professor to serve as dissertation supervisor to the candidate. The supervisor must be a member of the faculty who is authorized to vote or must have been authorized by the faculty to confer a Doctoral degree (§ 11 PVO). As a rule, the supervisor is a member of the department which the candidate's specialization is affiliated with.

Professors emeriti of the Faculty of Economics, Business Administration and Information Technology may act as supervisors for Doctoral candidates if the dissertation is defended no later than three years after the professor's retirement. The reference date is the date of retirement.

In Track A, a supervisor is assigned upon admission. In Tracks B and C, a supervisor is assigned no later than upon the successful completion of the compulsory doctoral-level modules.

### **4.1 Dissertation committee and experts (§ 12 PVO)**

After the supervisor has been determined, the Doctoral Board specifies the dissertation committee. The candidate's supervisor is the chair of the dissertation committee. At least one member of the dissertation committee must be a member of the department which the candidate's specialization is affiliated with.

In coordination with the candidate, the supervisor will propose one or more experts with appropriate qualifications to the Doctoral Board. As a rule, experts are members of the faculty who are autho-

<sup>2</sup> Be aware that the legal documents have to be in German.

ized to vote or have been authorized by the faculty to confer Doctoral degrees. Additional possible experts are:

- full or associate professors at other faculties or other universities
- Privatdozierende (lecturers) or adjunct professors at the University of Zurich

If the experts are not members of the faculty, the decision of the Doctoral Board must be submitted to the Faculty Board for approval.

The number of members on the dissertation committee cannot be changed once the dissertation has been submitted; substitution of one member of the dissertation committee for another after this point is only possible for compelling reasons.

The supervisor and all members of the dissertation committee designated as experts are required to write an expert report on the dissertation in accordance with Section 9.3 (§ 34 PVO).

#### **4.2 Doctoral agreement**

Doctoral students receive regular feedback on the quality and progress of their research from their supervisors (§ 11 PVO).

For this purpose, the Doctoral student and supervisor conclude an agreement on the progress, goals and framework conditions for the Doctoral level.

Each program has a standard agreement approved by the Doctoral Board that can be individually modified. The Doctoral agreement may be modified for changing circumstances if necessary.

## **5 Modules and ECTS credits**

### **5.1 Overview**

All academic achievements are measured on the basis of the European Credit Transfer System (ECTS).

### **5.2 Modules and courses**

Most modules correspond to a course offered by lecturers in a certain semester. An explicit assessment is required to pass (i.e. successfully complete) a module.

With respect to the degree of requirement, the specializations distinguish between:

- compulsory modules, which are mandatory for all Doctoral students in the Doctoral program and
- core elective modules, which are to be chosen from a list set by the examination delegates for the respective programs

### **5.3 Information on modules offered**

For each module offered, the following information is published in the online version of the UZH course catalogue:

- Title of the module
- Format of the module
- Number of ECTS credits to be earned
- Information on time and location as required
- Responsible lecturer
- Detailed information on the content (learning objectives) and relevant course reading
- Prerequisites for attending the module
- Registration and drop modalities
- Requirements for the assessment (what coursework is required to earn the ECTS credits for the module), including all information on examination dates, etc.
- Information on crediting the course as a compulsory or core elective module

### **5.4 Recognition and transfer of external credits**

The provisions according to § 27 PVO apply.

Coursework completed at another university or in another degree program may be transferred towards the Doctoral degree if the coursework was completed at Doctoral level. Credits for such coursework are recognized and transferred by the examination delegate upon petition of the candidate. Particular attention is given here that modules with similar course content are not credited more than once. The burden of proof lies with the Doctoral student. Petitions must be submitted with the corresponding transcripts of records to the examination delegate.

When changing tracks, specializations or transferring from a different university to the Faculty of Economics, Business Administration and Information Technology, it is recommended that the student contact the examination delegates of both programs as soon as possible.

A maximum of half of the ECTS credits required in Chapter 2 can be transferred in any program.

Dissertations completed or submitted at other institutions cannot be recognized or transferred.

## 6 Examination regulations

The following provisions apply for all examinations. "Examination" refers to every prescribed component of an assessment which ECTS credits are earned for (e.g. a written test, an oral examination, a seminar presentation, etc.).

### 6.1 Assessments

Doctoral students can only earn ECTS credits for a module if they fulfill the requirements specified in the module description (cf. Section 5.3), are registered prior to the deadline (cf. Section 6.2) and successfully complete the assessment.

Assessments have a direct temporal relationship with the corresponding course.

### 6.2 Registration and cancelation

Doctoral students must register in the electronic system in due time for each module which they want to earn ECTS credits for and which was duly published in the online course catalogue (22 PVO). It is only possible to withdraw from a module without stating reasons until the date specified for the respective module.

Late registrations and cancelations of modules are only accepted in well justified exceptional cases (for instance, if it was not possible to announce a module in due time). The examination delegate decides on exceptions.

### 6.3 Inability to take an examination

If a candidate is prevented from attending an examination or does not complete an ongoing examination, the regulations under § 23 PVO apply.

If a candidate is prevented from attending an examination for a compelling reason which did not exist or was not foreseeable by the official drop deadline, he or she must immediately notify the Dean's Office and submit a written drop petition.

If such a reason for prevention occurs directly before or during an examination, the candidate must immediately inform the Dean's Office, or in the case of examinations in progress, the examiner of the withdrawal in writing. The drop petition or written notification must be submitted with the corresponding confirmation (e.g. doctor's attestations) to the Dean's Office within five business days.

The assertion of reasons for examinations that have already been completed is excluded if the candidate was able to discern these reasons prior to or during the examination. If medical reasons are claimed, a medical certificate is required.

## **6.4 Grading**

Examination results are evaluated with grades from 1 to 6. Half grades are permitted. The grades have the following meanings:

6	= excellent
5.5	= very good
5	= good
4.5	= satisfactory
4	= sufficient

Grades below 4 are considered failing and are weighted as failed attempts.

## **6.5 Resources**

The resources allowed during assessments are listed for each module in a suitable form.

# **7 Conferral of the Master of Science degree in Track C**

## **7.1 Registration**

Once the candidate has completed the required coursework (90 ECTS credits) for the degree at the Master's level of the fast-track program in accordance with Section 2.4 of these program regulations, he or she may register with the Dean's Office to receive the Master's degree (in accordance with §§ 31-32 PVO).

## **7.2 Crediting coursework toward the Master's degree**

Only ECTS credits that have been earned within the five years prior to graduation can be credited toward the degree. The reference dates are, on the one hand, the day of registration for graduation and, on the other hand, the last day of the semester in which a credit was earned.

## **7.3 Entrance and transition into the Doctoral level**

Once the Master's level has been successfully completed, the candidate may enroll at the Doctoral level. Additional modules in the compulsory and core elective areas from the Doctoral level may be completed prior to completion of the Master's level; it is important to note, however, that these courses are not credited toward the Master's degree.

## 8 Dissertation

### 8.1 Contents

The subject of the dissertation must be selected from the specializations stated under Section 1.2 and meet the conditions specified in § 33 PVO. It shall provide evidence of the candidate's in-depth specialist knowledge and his or her ability to work according to scientific principles and develop an independent opinion. Moreover, it shall make an independent academic contribution in its findings.

Results that the candidate has already published may be part of the dissertation's academic contribution if the prior publication has not already been used to obtain an academic degree.

A work that has already been published in print may also be accepted as a dissertation by the Doctoral Board. However, the main part of the dissertation must have been drafted during the candidate's Doctoral studies. A work that has already been used to earn an academic degree at an institute of higher education may not be submitted as a dissertation.

### 8.2 Language

The dissertation is to be composed in German or English. The Doctoral Board may authorize composition in a different language.

### 8.3 Format

The dissertation may consist of a monograph or a collection of academic articles that have already been published or are suitable for publication (cumulative dissertation).

Individual publications in a cumulative dissertation may have been written with co-authors. Papers in the dissertation that have already been published or are about to be published and which are therefore protected by copyright must be added as an appendix. If the individual academic works of a cumulative dissertation are not subject to copyright restrictions, these articles may also be assembled into book form with chapters. In all cases, at least one background document (chapter) must be written independently without co-authors.

The candidate is responsible for observing copyrights with regard to the publication of all components of the dissertation, both in the context of the dissertation and in any other publications.

### 8.4 Academic contribution, co-authors

The candidate must submit a signed written declaration that he or she drafted the dissertation independently as a monograph, or for cumulative dissertations, wrote the background document independently and has properly cited and listed all sources and aids in all components of the dissertation.

If the academic contribution of a dissertation depends on work with co-authors, a declaration composed and signed by the candidate, and countersigned by the co-authors, regarding to the division of contributions to the work must also be submitted for each work.

Members of the dissertation committee (supervisor and experts) may act as co-authors. However, at least one expert report must be written by a person who is not a co-author.

## 9 Graduation

### 9.1 General information

The graduation process comprises the following steps in chronological order:

- 1 Registration for graduation at the Dean's Office (see Section 9.2)
- 2 Obtaining expert reports for the dissertation (see Section 9.3)
- 3 Defense of the dissertation (see Section 9.4)
- 4 Degree conferral date and mailing of the provisional academic record (see Sections 9.5 and 9.6)
- 5 Publication of the dissertation (see Chapter 10)
- 6 Granting of the title of Doctor (see Section 10.4)

### 9.2 Registration

The candidate must register in person at the Dean's Office for graduation. The documents to be submitted for that purpose are published on the Dean's Office homepage and comprise at least:

- a) The completed registration form
- b) Proof of matriculation as a Doctoral student at the University of Zurich
- c) Proof of admission to the Doctoral program in accordance with §§ 7-10 PVO, including a list of any additional requirements and conditions as well as proof of their completion, if applicable
- d) The dissertation in publication-ready form (electronic and printout)
- e) Proof of the required ECTS credits

The candidate must be continuously enrolled from the start of the Doctoral program until the end of the degree-conferral process.

### 9.3 Evaluation of the dissertation

The supervisor as well as all experts on the dissertation committee submit an expert report on the dissertation (§ 34 PVO). Each expert report includes a grade. They are to be submitted to the Dean's Office no later than three months after submission of the dissertation.

Grades from 6 to 1 are assigned, where 6 indicates the highest achievement and 1 the lowest. Only whole and half grades are permitted. The dissertation is considered passed if all grades are at least a 4 and no objections are raised in accordance with § 35 PVO.

In the event that the dissertation earns a failing grade, the candidate has the opportunity to revise the dissertation within one year in accordance with § 36 PVO.



The expert reports on the dissertation must be submitted to the Dean's Office no later than five business days before the defense date.

#### **9.4 Defense**

Every Doctorate is completed with the dissertation defense, which takes place after the dissertation has been approved and the expert reports have been submitted. The result of the defense must be submitted to the Dean's Office no later than 20 business days before the degree conferral date.

The candidate coordinates the date with the chair of the dissertation committee and the experts, and informs the Dean's Office no later than five business days before the defense date.

The chair of the dissertation committee conducts the defense. At least one additional expert from the dissertation committee takes part in the defense.

The defense consists of:

- a presentation on the subject of the dissertation
- a discussion on the subject of the dissertation

For Track A, the discussion also includes the subject matter of one module from the course program. Which module is discussed in the defense must be coordinated with the chair of the dissertation committee.

The defense is graded by the members of the dissertation committee present at the defense and is considered passed if a minimum grade of 4 is achieved. Whole and half grades are permitted.

In the event that the defense earns a failing grade, it must be repeated within six months.

#### **9.5 Overall evaluation and final degree**

The result of the defense must be submitted to the Dean's Office no later than 20 business days before the degree conferral date.

The overall grade consists of the grade on the defense and the average of the expert reports on the dissertation weighted in a ratio of 1:3. Overall grades of 5.0 or higher are also awarded a distinction:

- 5.5 to 6:                      summa cum laude (with distinction)

- 5 to below 5.5:              magna cum laude (very good)

#### **9.6 Mailing of the provisional academic record**

Once the defense grade and expert reports have been submitted to the Dean's Office, a provisional academic record is prepared for the next degree conferral date. The provisional academic record is validated by the Faculty Board and lists all modules credited toward the Doctoral degree as well as

those modules recognized for, but not credited toward, the Doctoral degree, including their respective evaluations. In addition, it contains the grades of the expert reports and the defense, as well as the title of the dissertation. For coursework that was not completed at UZH, the university where the assessment was completed is also listed. The provisional academic record serves as confirmation of having graduated from the Doctoral studies in accordance with § 41 PVO. The definitive academic record is delivered with the diploma in accordance with § 45 PVO.

## **10 Publication**

### **10.1 General provisions**

Publication of the dissertation is a prerequisite for the granting of the title of Doctor and must take place within two years of the degree conferral date.

The provisions of the central library are binding. The candidate must assign the rights required for publication to the central library at no charge.

### **10.2 Approval of publication**

Before printing, the candidate must submit at a minimum the final versions of the title page, the first inside page and the CV to the Dean's Office to verify compliance with the form requirements. All subsequent modifications and corrections (see § 43 PVO) must be approved by the chair of the dissertation committee and submitted with the request for printing approval.

After printing is approved, only the correction of errors in form is permissible; no modifications may be made to the content. In these cases, the Dean's Office must be informed of the planned changes.

### **10.3 Publication formats**

In accordance with the guidelines of the central library, the following publication formats are permitted for the dissertation:

- Publication in the book trade or in the central library
- Publication as printed brochures in the central library
- Publication on the Internet

The number of deposit copies to be delivered to the central library is determined by the publication format.

### **10.4 Granting of the title of Doctor**

After the deposit copies have been received by the central library, the final documents (diploma, diploma supplement and academic record in accordance with § 45 PVO) are prepared by the Degree Office and sent, as a rule, within approximately eight weeks to the candidate.

The title of Doctor must not be held before the diploma has been received. Use of the title of Dr. des. is explicitly prohibited.

## **11 Irrevocable exclusion**

### **11.1 Use of unauthorized aids, obtaining admission by fraud**

In the event of examination fraud, in particular someone having unauthorized resources, communicating with third parties without permission during an examination, submitting plagiarized material, not writing the research proposal or components of the dissertation him- or herself, or fraudulently obtaining admission and acceptance on the basis of incorrect or incomplete information, the examination is to be considered to have been failed by decision of the Faculty Board. Any transcripts of records and documents that may have been issued are declared invalid. The University of Zurich reserves the right to take disciplinary action.

The Faculty Board decides whether disciplinary proceedings should be requested.

If a title under § 3 PVO has been awarded on the basis of an examination that has been declared null and void, it must be revoked by decision of the faculty. Any diplomas will be confiscated.

### **11.2 Irrevocable rejection of the dissertation**

If the dissertation earns a failing grade after being revised or the defense is failed again upon being repeated, or if the requirements regarding deadlines, failed attempts and repetitions as set forth in Chapter 2 of these program regulations are not observed, the respective candidate is considered irrevocably not to have completed the required achievements for the Doctoral program and will be irrevocably excluded from Doctoral studies in economics and business administration (§ 42 PVO).

## 12 Transitional regulations

The provisions in § 50 PVO apply.

Doctoral students who began their Doctoral studies under the ordinance for obtaining a Doctoral degree in economics and business administration at the Faculty of Economics, Business Administration and Information Technology of the University of Zurich of 15 December 2008 (PVO08), must complete their studies by 30 April 2015 in accordance with PVO08 or request to be transferred to the present Doctoral programs by submitting a written petition to the Doctoral Board.

Coursework completed to date to be credited toward the degree in accordance with PVO08 may also be credited toward a degree in accordance with PVO13. If a candidate has completed all compulsory modules in accordance with PVO08 and the associated Doctoral program regulations (Version 1.3 of 5 November 2012, Appendix A1.3), then these modules will, upon transfer, be credited as a whole as successfully completed compulsory modules in accordance with these program regulations (Appendix A1). The Doctoral Board will also issue a list for the transfer of individual courses.

Students changing from the Doctoral program under PVO08 to the present Doctoral program lose the right to a Doctoral degree under PVO08.

All candidates studying under PVO08 who do not complete their examinations by 30 April 2015 will be switched to the analogous Doctoral programs under the new program regulations. The reference date for completion of the degree is the degree conferral date.

## A1 Overview of compulsory and core elective modules in the Doctoral programs

Content and structure as well as regulations on failed attempts and repetitions can be found in Chapter 2 of these program regulations.

### A1.1 Compulsory and core elective modules in economics

Economics	ECTS credits
<i>Compulsory modules at the Doctoral level in economics (Tracks B &amp; C)</i>	
Introductory Maths Course	6
Econometrics for Research Students I	9
Econometrics for Research Students II	9
Macroeconomics for Research Students I	9
Macroeconomics for Research Students II	9
Microeconomics for Research Students I	9
Microeconomics for Research Students II	9
<i>Core elective modules at the Doctoral level (Tracks A, B, C) can be found in the course catalogue</i>	
<i>Compulsory modules at the Master's level in economics (Track C)</i>	
Empirical Methods	6
Advanced Microeconomics 1	6
Advanced Microeconomics 2	6
International Macroeconomics	6
Advanced Macroeconomics	6

### A1.2 Compulsory and core elective modules in business administration

Business administration	ECTS credits
<i>Compulsory modules at the Doctoral level in business administration (Tracks B &amp; C)</i>	
Business Administration for Research Students: Theory	9
Business Administration for Research Students: Empirical Methods	9
<i>Core elective modules at the Doctoral level (Tracks A, B, C) can be found in the course catalogue</i>	
<i>Compulsory modules at the Master's level in business administration (Track C)</i>	
Empirical Methods	6
Advanced Microeconomics for Business Administration	6
<i>Permissible core elective areas at the Master's level (Track C)</i>	
Business Administration 1-6:	30

### A1.3 Compulsory and core elective modules in management and economics

Management and economics	ECTS credits
<i>Compulsory modules at the Doctoral level in management and economics (Tracks B &amp; C)</i>	
Business Administration for Research Students: Theory OR Microeconomics for Research Students I	9
Business Administration for Research Students: Empirical Methods OR Econometrics for Research Students I	9
<i>Core elective modules at the Doctoral level (Tracks A, B, C) can be found in the course catalogue</i>	
<i>Compulsory modules at the Master's level in management and economics (Track C)</i>	
Advanced Microeconomics 1	6
Empirical Methods	6
ME 1: Personnel Economics	6
ME 2: Microeconomic Theory of the Firm	6
ME 3: The Economics of Innovation	6
ME 4: Organizational Economics	6
Accounting & Economics	3
Advanced Corporate Finance I	3

### A1.4 Compulsory and core elective modules in banking and finance

Banking and finance	ECTS credits
<i>Compulsory modules at the Doctoral level in banking and finance (Tracks B &amp; C)</i>	
Microeconomics for Research Students I	9
Financial Econometrics OR Econometrics for Research Students I	9
Corporate Finance	9
Mathematical Finance	9
Banking and Contract Economics	9
Asset Pricing	9
Empirical Corporate Finance	6
<i>Core elective modules at the Doctoral level (Tracks A, B, C) can be found in the course catalogue</i>	
<i>Compulsory modules at the Master's level in banking and finance (Track C)</i>	
Microeconomics	6
Advanced Microeconomics 1 or Advanced Microeconomics 2	
Macroeconomics	6
Advanced Macroeconomics or International Macroeconomics	
Empirical Methods	6
Advanced Corporate Finance I	3
Advanced Financial Economics	6
Quantitative Finance	3
Advanced Banking	3