

Implementation Provisions

for the Award Regulations for Doctor's Degrees of the University of St.Gallen

dated 2 May 2017 (as embedded: 1 August 2017)

The Senate Committee of the University of St.Gallen

issues

based on

the award regulations for Doctor's degrees of the University of St.Gallen dated 7 November 2016 (PromO 17)

the following implementation provisions¹:

I. Scope of application and general principle

Art. 1 Scope of application

¹ These provisions shall govern the following for all Ph.D. programmes of the University of St.Gallen:

- a) Programme language;
- b) Teaching and examinations;
- c) The colloquium of the research proposal and the (pre-) defence of the thesis;
- d) Thesis;
- e) Extension of deadline;
- f) Rights and duties.

² The Programme Regulations for the Ph.D. programmes shall govern the programme-specific provisions as defined by the Award Regulations for Doctor's Degrees of the University of St.Gallen (PromO 17).

II. Programme language

Art. 2 Programme language

¹ The following deliverables of the Ph.D. programme shall all be presented in German or English:

- a) the colloquium of the research proposal;
- b) the defence and, if relevant, the pre-defence of the thesis, and;
- c) the thesis.

² The Programme Committee can approve exceptions, at the request of the Supervisor.

Art. 3 Language quality

¹ The assessment of language quality is a matter for the Supervisor or Co-supervisor. An opinion shall be issued on this in the written reviews.

¹ These implementation provisions shall also be applicable to Ph.D. students still studying under the University of St.Gallen's Award Regulations for Doctor's Degrees of 11 December 2006 (as amended on 7 May 2012) (PromO 07).

Art. 4 Language of the Ph.D. diploma

¹ The Ph.D. diploma shall be issued in the language in which the thesis was written.

² If the language of the thesis is neither German nor English, then the Ph.D. diploma shall be issued in German.

³ The second designation of the grade pursuant to Art. 55 of the PromO 17 (Art. 65 of the PromO 07²) shall be its official translation.

III. Teaching and examinations**1. Range and type of teaching offered***Art. 5 a) teaching staff*

¹ Lectures, seminars and other teaching activities may be provided to Ph.D. students by members of the teaching staff who are permitted to act as Ph.D. supervisors in accordance with Art. 11 PromO 17.

² In exceptional cases, the Programme Committee may also allow other members of the University's teaching staff, or full professors from other universities, to provide these.

Art. 6 b) Frequency

¹ Compulsory courses shall be offered each year.

² The provision of compulsory elective and non-compulsory elective courses shall be organised in two consecutive semesters in such a way that Ph.D. students are able to take all their courses for the programme in one academic year with a reasonable level of choice.

Art. 7 c) Timing

¹ The courses and seminars shall be offered during term time. The Programme Committee may approve exceptions.

Art. 8 d) Language

¹ A suitable number of teaching options must be provided in the specified programme or specialisation language.

2. Number of participants*Art. 9 a) Limitation*

¹ There shall be no theoretical limit on the number of participants in a course or seminar.

² In cases where it is necessary, the Programme Committee may apply a reasonable limitation.

Art. 10 b) Minimum number

¹ Courses and thesis-related seminars, group discussions or oral presentations (colloquia) shall take place when three or more participants have registered. The Programme Committee may define a higher minimum number.

² The articles referred to in brackets shall be applicable to Ph.D. students still studying under the Award Regulations for Doctor's Degrees 07 (PromO 07).

² When there is a lower number of participants, or on cancellation, no teaching credits or other remuneration shall be awarded.

³ Additionally, Ph.D. students who have already completed their quota of compulsory courses may register for courses, seminars or colloquia as well.

Art. 11 Course fact sheets

¹ For each course or seminar, fact sheets shall be prepared, following the instructions issued by the Dean of Studies.

3. Registration and participation

Art. 12 Binding registration and de-registration

¹ Under Art. 44(3) PromO 17, a binding registration shall be required in order for a student to take part in a course or seminar of the coursework and research phases.

² The registration shall also oblige the student to sit the relevant examination.

³ De-registration from a course or seminar shall be possible if this:

- a) is done at the latest two weeks after the end of the registration window (end of the bidding round or registration for the HSG's course on methodology) or;
- b) is the result of special circumstances such as illness, accident or family events (birth, death).

⁴ The Ph.D. Office shall publish the deadlines for registration and deregistration.

⁵ Art. 44 of PromO 17 shall also be applicable in analogy to Ph.D. students of PromO 07.

Art. 13 Required attendance

¹ Students are required to attend teaching sessions of the coursework and research phases in person.

² Ph.D. students who fail to attend teaching sessions cannot then be awarded a pass for this (Art. 44(3) PromO 17). Students who fail at least two courses shall no longer be able to continue their Ph.D. studies (Art. 44(2) PromO 17).

³ Art. 44 of PromO 17 shall also be applicable in analogy to Ph.D. students of PromO 07.

4. Holding examinations

Art. 14 Timing of examinations

¹ The examinations shall basically be held on a decentralised basis.

Art. 15 Types of examination

¹ All those attending a course or seminar shall sit the examination in the same form.

5. Credits for courses and seminars

Art. 16 Credits for courses and seminars

¹ Courses taken at other universities and equivalent degree awarding institutions may be credited towards the degree if their scope and the level of requirements are equivalent to the courses or seminars for which they are being substituted.

² If the programme requires a grade for the courses or seminars, then only graded courses or seminars may be credited.

³ The Programme Committee shall decide on credits.

IV. The conduct of the colloquium of the research proposal and the thesis defence

1. General provisions

Art. 17 Responsibilities

¹ The Supervisors shall be responsible for the proper procedure for the colloquium of the research proposal, the thesis defence, and, if required, the predefence.

Art. 18 Requirements

¹ The colloquium of the research proposal, the pre-defence and the final defence of the thesis may only be carried out as a video conference under the following circumstances:

- a) at least the Supervisor or the Co-supervisor and the Ph.D. student must be present in person;
- b) in total, at least half of the members of the Thesis Committee must be present in person.

² No extra costs shall be incurred by the University of St.Gallen if a video-conference is used.

2. Special provisions for the thesis defence

Art. 19 Public defence and prior notice

¹ The thesis defence shall be open to the public; anyone may participate as part of the audience.

² Prior notice shall be limited to the members of the University as defined in Art. 31 of the University Statutes³ (university audience) and shall be published by the Ph.D. Office through generally accessible electronic channels.

³ The Supervisor shall be responsible for giving notice to the Ph.D. Office, such notification to be given at least two weeks before the date of the defence.

Art. 20 Acceptance of thesis

¹ If a Ph.D. student has completed and passed the defence of the thesis on the strength of written reports and if subsequently the Programme Committee refers the thesis for revision, the result of the defence may be upheld on application by the Ph.D. student.

3. Deadlines

Art. 21 Colloquium of the research proposal

¹ The colloquium of the research proposal shall be carried out within eight weeks of the date when the research proposal was submitted to the Ph.D. Office.

³ sGS217.15.

Art. 22 Defence

¹ After submission of the thesis to the Ph.D. Office, the defence, or the pre-defence, must take place within four months, while the written report on the thesis is expected within three months.

V. Thesis**1. Change to the thesis form and topic***Art. 23 Change to the form and topic*

¹ The form of the thesis is defined in accordance with Art. 32 PromO 17 (Art. 37 PromO 07) and confirmed by the Supervisor when the research proposal is accepted.

² In justified cases, the form of the thesis may be changed after the research proposal has been accepted.

³ The change from an essay-based thesis (cumulative thesis) to a monograph or vice versa must be approved by the Supervisor.

⁴ The Supervisor shall inform the Ph.D. Office about any change to the form of the thesis.

Art. 24 Decision

¹ The topic for the thesis is defined in the letter of recommendation from the Supervisor and confirmed through the submission of the research proposal.

Art. 25 Changes

¹ A change of topic, as understood here, shall mean changing the approach and content of the thesis.

² A change of topic shall be approved by the Supervisor.

³ The Supervisor shall inform the Ph.D. Office about any changes to the thesis topic.

2. Formal requirements*Art. 26 Indices*

¹ The following indices shall be submitted together with the thesis:

- a) table of contents;
- b) reference list (including a list of other sources used).

² Other customary indices, such as an index of illustrations, or a list of abbreviations may be added.

³ The indices shall be bound with the copies to be submitted and with any publication in book form or they shall form part of the version to be submitted or published electronically.

Art. 27 Declaration

¹ The declarations required under Art. 35 PromO 17 (Art. 40 PromO 07) shall be signed by hand by the Ph.D. student and submitted to the Ph.D. Office. They shall be scanned and attached to the thesis.

Art. 28 Documentation of co-authorship

¹ Where articles are co-authored, a declaration shall be made as required by Art. 35(3) PromO 17 , including information about the type and scope of the relative contribution made by each Ph.D. student.

² The declaration shall be signed by hand by all co-authors.

³ The Programme Committee may define further criteria for information that must be disclosed in the declaration.

3. Submission and publication*Art. 29 Submission*

¹ The thesis shall be submitted to the Ph.D. Office in hard copy and electronic form.

² Both versions shall be identical.

³ The number of paper copies to be submitted shall depend on the number of members of the thesis committee.

Art. 30 Type

¹ The thesis shall be published in seven copies suitable for libraries and in electronic form.

² Both versions shall be identical.

Art. 31 Assignment of rights

¹ Ph.D. students shall declare that they authorise the University of St.Gallen to store the thesis electronically, to make it publicly available in data networks and, if necessary, in printed form for the professors of the University of St.Gallen.

² Electronic access rights may be extended to include national libraries and academic document servers.

Art. 32 Delivery deadline

¹ The copies in the version that is in compliance with library regulations and the electronic version shall be delivered one year at the latest after the final overall grade has been published.

² If such delivery does not take place by such point in time, Ph.D. studies shall be deemed terminated as per Art. 54. PromO 17 (Art. 64 PromO 07).

³ Where there is due cause, the Dean of Studies may extend the deadline by six months or one year.

Art. 33 Version

¹ The thesis shall be published in the version that was approved by the Programme Committee.

² Stylistic corrections and grammatical changes that do not adulterate the contents, and adjustments to reflect the academic state of the art, are permitted without formal approval being required.

³ Any changes to the contents and any additions or abridgements shall be approved by the Supervisor or Co-supervisor.

Art. 34 Version after corrections

¹ If the thesis was accepted subject to amendments, the Supervisor and Co-supervisor shall confirm in writing that the amendments have been made as required.

² The amended version shall constitute the version which is to be published.

Art. 35 Publication of cumulative dissertations

¹ For a cumulative thesis, constituent parts shall be published in accordance with the terms of Art. 37 (3) PromO 17 PromO 17 (Art. 42 PromO 07) which at the time of the approval of the thesis had not yet been published or accepted for publication.

Art. 36 Precondition: Graduation

¹ Graduation may only occur after publication of the thesis in accordance with Art. 30.

Art. 37 Exceptions

¹ A thesis may only be published in book form, in an institute's series of journals or in similar form after graduation.

² In this case, the publication shall include a note that this is a copy of a thesis of the University of St.Gallen.

³ If it is published with amended contents, a note shall be attached that it is based on a Ph.D. thesis accepted by the University of St.Gallen.

⁴ Such publication shall contain a reference to the author, title and year of publication of the original thesis.

Art. 38 Publication before acceptance

¹ Ph.D. students shall be entitled to publish excerpts from their thesis with the approval of their Supervisor prior to its definitive acceptance.

Art. 39 „Ready to print“

¹ The Senate Committee shall issue instructions for the submission and publication of theses.

² Such instructions shall define, in particular, the form and production rules for theses, as well as the obligation to have them declared ready for printing.

VI. Extension of deadline*Art. 40 Extension of the coursework phase*

¹ An extension to the coursework phase may only be granted if a Ph.D. student has completed all relevant courses and seminars without receiving a pass grade in all elements.

Art. 41 Preliminary study

¹ Ph.D. students who need to complete additional programme-specific entry requirements as a precondition for admission shall be entitled to a six-month extension of the period required to complete a written research proposal. However, the deadline for submitting the thesis shall remain unchanged, as defined in Art. 23 PromO 17.

² Art. 23 of PromO 17 shall also be applicable in analogy to Ph.D. students of PromO 07.

Art. 42 Significant reasons

¹ Significant reasons for an extension under Art. 23 (2) PromO 17 include, in particular:

- a) death, illness, pregnancy or accident;
- b) not passing the phases of the Ph.D. programme as defined in the relevant regulations.

² Art. 23 of PromO 17 shall also be applicable in analogy to Ph.D. students of PromO 07.

VII. Rights and duties**1. Rights and duties of the Supervisors/Co-supervisors***Art. 43 Rights and duties of the supervisors*

¹ Supervisors shall advise Ph.D. students appropriately on how to approach the course-work phase.

² They shall evaluate the students' progress and performance and discuss their evaluation with each Ph.D. student personally and at a suitable frequency; they shall provide feedback.

³ If no Ph.D. supervisor has yet been appointed, then a member of the Programme Committee who is a full professor or an associate professor shall take on this supervisory role until a supervisor is appointed.

Art. 44 Termination of supervision

¹ The Supervisor and the Co-supervisor shall undertake to continue with their supervisory role until the end of the process.

² A Supervisor or a Co-supervisor may only give up the supervisory role for a significant reason.

³ Significant reasons may be:

- a) health issues;
- b) irreconcilable differences with the Ph.D. student;
- c) a change in the topic of the thesis;
- d) retirement from the faculty, although theses that are under way may be continued to completion.

2. Rights and duties of the Ph.D. students*Art. 45 Rights and duties of the Ph.D. students*

¹ Ph.D. students shall be responsible for respecting agreed times and deadlines.

Art. 46 Supervision

¹ During the entire period of their Ph.D. programme, Ph.D. students shall be appropriately supervised by a Supervisor as defined in Art. 43(1 and 2).

² Ph.D. students shall inform their Supervisor about any significant changes to their thesis and shall ensure that they meet, and discuss matters with, the Supervisor on a regular basis.

Art. 47 Changing the Supervisor/Co-supervisor

¹ A change of Supervisor or Co-supervisor during the Ph.D. studies shall only be permitted for significant reasons.

² Significant reasons, in addition to those listed in Art. 44(3) may include irreconcilable differences with the Supervisor.

Art. 48 Procedure for changing the Supervisor/Co-supervisor

¹ The Dean of Studies shall define the procedure for changing the Supervisor or Co-supervisor in accordance with Art. 44 and Art. 47.

3. Rights and duties of the Thesis Committee*Art. 49 Personal participation*

¹ All the members of the Thesis Committee shall attend the colloquium of the research proposal and also the pre-defence or the defence of the thesis in person, with arrangements for video conferencing permitted (Art. 18 of these provisions) and Art. 38 PromO 17 (Art. 44 PromO 07).

Art. 50 Remuneration

¹ Academic staff with temporary teaching appointments, and external members of the Thesis Committee shall be entitled to remuneration, which the Ph.D. Office will arrange.

² The Director of Administration shall define the level of this for each type of involvement (Supervisor, Co-Supervisor, member of the Thesis Committee), as well as the scope and level of travel expenses.

4. Rights and duties of the Programme Committee*Art. 51 Quality assurance*

¹ The Programme Committee shall regularly check that published theses meet the prescribed quality criteria.

² The Programme Committee shall ensure that students have easy access to teaching staff, by organising either a weekly office hour or a guaranteed turnaround time for questions of no more than one week.

³ The Programme Committee shall be available to talk to any students who feel they are receiving inadequate supervision.

⁴ The Programme Committee shall ensure that the personal details of the external members of the Thesis Committee are recorded and that, in the event of another Supervisor or Co-supervisor being appointed, there is proof of justification for the handover.

VIII. Final provisions*Art. 52 Date of application*

¹ These implementation provisions shall enter into force on 1 August 2017.

² They shall apply to students who commence their Ph.D. studies at the University from Autumn Semester 2017 onwards.

³ From 1 August 2017 onwards, these regulations shall apply to all Ph.D. students.

Art. 53 Transitional rules

¹ For students who started their Ph.D. programme before 1 August 2017 and remain in PromO 07 after 1 August until 1 August 2020, the articles mentioned in brackets shall refer to the Award Regulations for Doctor's Degrees 07.

Art. 54 Suspension of currently applicable statutes

¹ The following decrees shall be repealed as of 1 August 2017:

- a) Implementation provisions of the Senate Committee relating to the Organisation and Implementation of Doctoral Study Programmes (as per PromO 07) dated 16 December 2008;
- b) Implementation provisions of the Senate Committee relating to the Production and Publication of a Thesis at the University of St.Gallen dated 10 December 2007;
- c) Implementation provisions for admissions to Ph.D. Programmes (pursuant to the Award Regulations for Doctoral Theses at the University of St.Gallen dated 11 December 2006).

On behalf of the Senate:

The President

Prof. Dr. Thomas Bieger

The General Counsel

lic. iur. Hildegard Kölliker