

*Important:*

*Please note that this document is a translation of the*

*“Promotionsordnung der Philosophisch-Naturwissenschaftlichen Fakultät der Universität  
Basel”*

*and as such is NOT legally binding.*

*For legal purposes, please refer always to the original German document.*

**University of Basel**

**PhD Regulations**

**Faculty of Science at the University of Basel**

of December 16, 2003

Approved by the University Council on January 21, 2004.

The Faculty of Science at the University of Basel issues the following Doctoral Degree Regulations – subject to approval by the University Council and based on § 15 lit. d of the University Statutes of May 6, 1996<sup>1</sup> as well as on § 6 of the regulatory framework of January 15, 2002<sup>2</sup> governing the bachelor programmes, master programmes, and doctoral studies at the Faculty of Science, University of Basel:

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<sup>1</sup> SG 440.110.

<sup>2</sup> SG 446.710.

## I General Provisions

### Purpose and scope

These regulations govern the doctoral studies at the Faculty of Science at the University of Basel (hereinafter called Faculty) and pertain to all doctoral candidates of the Faculty of Science.

2) The regulations do not apply to the doctoral studies programme offered jointly with the Faculty of Medicine. This course of studies is regulated by separate provisions.

### Degrees awarded

The Faculty awards the degree of “Doctor of Philosophy” (Dr. phil., PhD) to a student who has successfully completed his doctoral degree programme.

### Requirements for admission to the doctoral degree programme

The qualifications and procedures required for admission to the doctoral programme are laid out in the Student Regulations of the University of Basel.

2) The following documents must be annexed to the written application for admission:

- Proof of previous university degrees
- A letter of application as well as two copies of a CV describing the personal and professional history of the candidate
- A letter of intent written and signed by the thesis advisor
- A statement about unsuccessful previous and on current doctoral studies.

3) Admission to a doctoral degree programme can only be granted if the applicant holds a masters degree or a diploma awarded by the Faculty of Science at the University of Basel.

4) Masters degrees or diplomas awarded by other Swiss Universities or confederate technical universities are recognized as being equivalent.

5) Degrees awarded by other tertiary institutions may be recognized as being wholly or partially equivalent – possibly under the condition that missing study achievements or credits be compensated for by further studies in a programme offered by the Faculty of Science at the University of Basel. Where applicable, such requirements will be specified after consultation with the persons or committees heading the respective course of studies.

6) Admission is granted by the rectorate (Rektorat) upon request of the Examining Board.

### Compulsory Matriculation

The obligation to matriculate at the university is regulated by the Student Regulations of the University of Basel.

## **II. Responsibilities**

### Examining Board

The Examining Board consists of five members of the Faculty (three members of Group I plus one member each of Group II and Group III). It is chaired by a member of Group I.

The members of the Examining Board are selected by the faculty assembly.

The Examining Board performs all tasks assigned to it in the present Doctoral Degree Regulations, supervises all other tasks laid out in these Regulations, and decides – in consultation with the Thesis Committee – on all matters not governed by these Regulations. Furthermore, the Examining Board signs responsible for the organization and correct implementation of the performance reviews.

### Thesis Committee

The Thesis Committee consists of the thesis advisor, the co-advisor and, if appointed, a thesis supervisor.

2) The thesis advisor supervises the correct implementation of the doctoral studies programme and of the thesis. He or she also evaluates the thesis performance. The thesis advisor must be a member of the Faculty and must be competent in the subject the thesis addresses. Furthermore, he or she must hold a professorship, an assistant professorship or be a titular professor. The Faculty may, upon request, accept as thesis advisors qualified members of other faculties of the University of Basel, provided these persons are well acquainted with the subject of the thesis and the doctoral studies programme.

3) Holders of a professorship may delegate the supervision and evaluation of the thesis in whole or in part to a thesis supervisor, provided this person is a habilitated or equally qualified member of the Faculty. Upon request of the thesis advisor, the Faculty is authorized to accept as thesis supervisors equally qualified members of other faculties and/or scientists of the institutes mentioned in § 7, in which case the thesis document should be co-signed by the thesis advisor.

4) The co-advisor writes up a second, independent evaluation of the dissertation. He or she must be a habilitated or equally qualified member of the Faculty. Upon request of the thesis advisor, the Dean of the Faculty may admit as co-advisor an expert non-Faculty member.

5) If a candidate enrolls in an inter-faculty doctoral studies programme, the members of the faculties Medicine or Humanities who act as thesis advisors or co-advisors are equal in status to the members of the faculty of Science. In such cases the Thesis Committee must always consist of members of both faculties involved.

6) If the Thesis Committee consists of Faculty members only, a non-Faculty expert may be asked to co-evaluate the thesis.

### III. Procedures

#### Implementation of the Doctoral Thesis

§ 7. The thesis has to be conducted at an institute of the Faculty or one of the following institutes: CERN in Geneva, Friedrich-Miescher-Institute, Paul-Scherrer-Institute in Würenlingen, or the Research and Training Centre at the Swiss Tropical Institute (Schweizerisches Tropeninstitut) in Basel. Upon written substantiated request from the doctoral candidate, the Faculty may approve the thesis to be conducted at a company or institute other than the above-mentioned, provided the following conditions are fulfilled:

- a) The institute or company at which the thesis is to be conducted must certify in written that the regular implementation and publication of the thesis is guaranteed.
- b) The institute or company must acknowledge in written that the members of the Thesis Committee are authorized to supervise the research activities on site.
- c) The thesis advisor and/or the thesis supervisor must be in a position to effectively supervise and support the candidate's doctoral work.

2) The candidate's written request, including all documents required, must be submitted to the dean's office prior to starting his or her thesis and must be supported by the thesis advisor.

#### Attendance of Courses

§ 8. The courses the doctoral candidate will attend during his doctoral studies programme are arranged individually by the thesis advisor (or the thesis supervisor) and the doctoral candidate from a choice of study programmes offered at the Faculty.

2) The performance reviews and the credit points to be awarded are governed by the respective study regulations.

#### Thesis Document

§ 9. The thesis must demonstrate the doctoral candidate's ability to do original and independent scientific work. It must satisfy the scientific demands of the respective study programme.

2) A dissertation document may be:

- a) an unpublished scientific manuscript
- b) a scientific paper published in whole or in part
- c) an article or series of articles submitted for publication in a scientific / specialist journal that has either been accepted for publication or has already been published in the journal.

3) If the document submitted is a joint work, the candidate's contributions have to be clearly marked and denoted. These contributions by themselves have to meet the demands laid down in §1.

4) The thesis must represent a coherent account of the candidate's research work and its results.

#### Evaluation of the Thesis Document

§ 10. The members of the Thesis Committee evaluate the thesis – if applicable in due consideration with external assessments –and assign to it a grade in compliance with § 13 below. They then suggest that the Faculty either accept or reject the thesis.

2) In case one of the readers recognizes shortcomings in the work the elimination of which is deemed necessary and possible, he or she may recommend that the doctoral candidate be asked to revise the thesis.

3) If the assessments deviate from each other or the thesis is graded "non sufficit" by one of the readers, the student may request an additional reader to evaluate the thesis, if his or her request is approved by the thesis advisor.

#### Admittance to the Oral Exam (Doctoral Viva)

§ 11. The candidate must apply in written to be admitted to the doctoral viva, the application being comprised of the following documents:

- an application form signed by the thesis advisor,
- a copy of the thesis manuscript,
- proof of enrolment as a doctoral candidate at the University of Basel,
- a written declaration signed by the candidate which reads as follows: "I declare that the thesis ..... [TITLE] represents my own work except where otherwise stated and that I have not submitted this same thesis to any other university or any other faculty of the University of Basel." In case of a cotutelle, the declaration must read: "I declare that the thesis ..... [TITLE] represents my own work except where otherwise stated and that I have not submitted it to any university other than the one defined by contract, neither to any other faculty of the University of Basel."

2) Filing dates, timeframes and deadlines are specified on the doctorate's application form. Admission ensues in the Faculty assembly following the filing date.

3) Based on the report, co-report and if applicable external assessments, the Faculty decides on the acceptance of the dissertation and the admission to the doctoral viva.

4) The doctoral candidate has to defend his thesis within six months of the date of admission.

5) In case the thesis is rejected, the Faculty will inform the candidate by way of an official notification.

Doctoral Viva

§ 12. The purpose of the doctoral viva is to render proof of the candidate's ability to orally present and discuss scientific issues.

2) The viva is a one-hour oral examination which may be held as a public colloquium. It is chaired by a professor, an assistant professor or a titular professor. The chairperson must not be a member of the Thesis Committee.

3) All members of the Thesis Committee are examiners. Additional examiners may be called in upon request of the candidate provided the thesis advisor consents.

4) The examiners will jointly agree on a grade to be assigned to the doctoral viva in accord with § 13.

5) The candidate has passed the doctoral viva if the examination is graded 4 or better (higher). In case he or she has not passed the viva, it may be repeated once.

Grades and Honours

§ 13. The grades to be assigned are:

6.0	outstanding
5.5	very good
5.0	good
4.5	satisfying
4.0	sufficient
3.5 to 1.0	not sufficient (not passed)

2) The following quotient determines the honours degree:

The sum of (2 x the grade of the dissertation + 1 x the grade of the viva) divided by 3.

The honours degrees are defined by the following limit values:

5.8	summa cum laude
5.5	magna cum laude
5.0	cum laude
4.5	bene
4.0	rite
below 4.0	non sufficit

Award of the Doctorate

§ 14. When the candidate has passed the viva, the chairperson awards the doctoral degree and swears the candidate in.

2) His words are: “After having given proof of your scientific skills in your doctoral thesis and viva, you are awarded the title “Doctor of Philosophy” by the Faculty of Science at the University of Basel – under the provision that you will fulfill all remaining obligations.”

3) He then formulates the oath: “As the Dean’s representative, I ask you to swear that you will endeavour to always practice scientific research in an honest and responsible way, that you will respect it as a truly noble ambition and will always act with high conscientiousness and impartial objectiveness in your service to the academic community.” The candidate answers: “I will.”

#### Returning documents and issuing an acknowledgement of the successfully passed doctoral viva

§ 15. Following the doctoral viva, the following documents are issued against receipt: the thesis, a copy of the dissertation submission guidelines, and acknowledgement of the successfully passed doctoral viva. The acknowledgement is written in German and contains the following specifications:

- a) the doctoral studies programme
- b) the title of the thesis
- c) information on the candidate’s masters degree resp. diploma
- d) credit points awarded for doctoral study courses

All other documents will be filed in the Faculty archives.

#### Printing of Doctoral Thesis and Statutory Copies

§ 16. It is the candidate’s obligation to submit his or her thesis at the latest two years after having passed the doctoral viva. The formal requirements and the number of copies to be submitted are specified in the Faculty’s dissertation submission guidelines.

2) Requests for a deadline extension have to be substantiated and submitted in written to the Dean of the Faculty, who will decide on the request.

3) If the candidate fails to satisfy the regulations specified in § 16, 1) and 2) without any substantiated justification, the Dean will declare the graduation application void and the doctoral exam invalid.

#### Doctoral Diploma and Use of Title

§ 17. Once the thesis has been published, a doctoral diploma is drawn up in Latin. It contains the following specifications:

- a) the name of the Faculty and of the officiating director (Rektor)
- b) name and signature of the Faculty Dean
- c) name and place of birth resp. nationality of the PhD graduate
- d) the academic title awarded
- e) the graduation date, which is the date of the doctoral viva
- f) the honours degree of the doctorate

- 2) The doctoral diploma is to be issued to the PhD graduate within six weeks of the dissertation submission as specified in § 16. It entitles the holder to use the academic title “Dr. phil.”, engl. “PhD”.
- 3) The doctorate will be published in the “Kantonsblatt” (official journal of the canton Basel).

### Retraction and Repetition

§ 18. The doctoral candidate may file a request to discontinue the doctoral procedure as long as a report is not yet available, in which case the submittal of the thesis proposal and the opening of the doctoral procedure are considered as being void.

- 2) If the doctorate has not been passed successfully, the student may apply for a new doctoral procedure, but not during the year following the exams.

### Dishonest Conduct

§ 19. If, prior to the conferrence of the doctoral diploma, it becomes that the candidate has influenced the doctoral procedure by dishonest conduct or has deliberately provided fallacious information, the Faculty assembly will determine whether the doctoral procedure is to be discontinued. In case of doubt the procedure will be pending until final clarification is reached. The candidate must be allowed to comment on the accusations raised against him.

- 2) In case the doctoral procedure is ultimately discontinued, the doctorate is rated as “not passed”.
- 3) If the thesis is proven to be a plagiarism in part or in whole, the doctorate is rated as “not passed”.
- 4) If a plagiarism according to § 19, 3) is detected after the doctoral title has been conferred, the Faculty may withdraw the title.

### Cases of Hardship

§ 20. In cases of hardship, the Dean may grant exceptions from the provisions laid down in these regulations if those provisions generally fall under the responsibility of the Faculty.

#### IV. Legal Means

##### Official notifications and recourses

Official notifications specified in these regulations have to be submitted in written to the person concerned, including instructions on the person's right to appeal. In accordance with § 27 of the Universities Act, the notifications may be contested before the Recourse Committee instituted by the University Council.

#### V. Final Clause

These Regulations replace the Doctoral Degree Regulations of the Faculty of Science at the University of Basel issued on June 22, 1993.

2) These Doctoral Degree Regulations are to be published, they take effect immediately.<sup>3</sup>

<sup>3</sup> in effect since February 29, 2004.