

Implementation Provisions

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

dated 2 May 2017

The Senate Committee of the University of St.Gallen issues the following implementation provisions based on the award regulations for Doctor's degrees of the University of St.Gallen dated 7 November 2016 (PromO 17)¹:

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).

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I. Scope of application and general principle

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

Scope of application

- 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

²The 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. ¹The following deliverables of the Ph.D. programme shall all be presented in German or English:

Programme language

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

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

Art. 3. ¹The assessment of language quality is a matter for the Supervisor or Co-supervisor. An opinion shall be issued on this in the written reviews.

Language quality

Art. 4. ¹The Ph.D. diploma shall be issued in the language in which the thesis was written.

Language of the Ph.D. diploma

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

³The 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

a. Range and type of teaching offered

Art. 5. ¹Lectures, 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.

Range and type of teaching offered:
a) teaching staff

²In 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.

b) Frequency

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).

<p>Art. 6. ¹Compulsory courses shall be offered each year. ²The 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.</p>	
<p>Art. 7. ¹The courses and seminars shall be offered during term time. The Programme Committee may approve exceptions.</p>	c) Timing
<p>Art. 8. ¹A suitable number of teaching options must be provided in the specified programme or specialisation language.</p>	d) Language
<p>Art. 9. ¹There shall be no theoretical limit on the number of participants in a course or seminar. ²In cases where it is necessary, the Programme Committee may apply a reasonable limitation.</p>	Number of participants: a) Limitation
<p>Art. 10. ¹Courses 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. ²When there is a lower number of participants, or on cancellation, no teaching credits or other remuneration shall be awarded. ³Additionally, Ph.D. students who have already completed their quota of compulsory courses may register for courses, seminars or colloquia as well.</p>	b) Minimum number
<p>Art. 11. ¹For each course or seminar, fact sheets shall be prepared, following the instructions issued by the Dean of Studies.</p>	Course fact sheets
<p>b. Registration and participation</p>	
<p>Art. 12. ¹Under 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. ²The registration shall also oblige the student to sit the relevant examination. ³De-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). ⁴The Ph.D. Office shall publish the deadlines for registration and de-registration. ⁵Art. 44 of PromO 17 shall also be applicable in analogy to Ph.D. students of PromO 07.</p>	Binding registration and de-registration
<p>Art. 13. ¹Students are required to attend teaching sessions of the coursework and research phases in person. ²Ph.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).</p>	Required attendance

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

c. Holding examinations

Art. 14. ¹The examinations shall basically be held on a decentralised basis.

Timing of examinations

Art. 15. ¹All those attending a course or seminar shall sit the examination in the same form.

Types of examination

d. Credits for courses and seminars

Art. 16. ¹Courses 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.

Credits for courses and seminars

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

³The Programme Committee shall decide on credits.

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

a. General provisions

Art. 17. ¹The Supervisors shall be responsible for the proper procedure for the colloquium of the research proposal, the thesis defence, and, if required, the pre-defence.

Carrying out the colloquium of the research proposal and the thesis defence:
a) Responsibilities

Art. 18. ¹The 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:

b) Requirements

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.

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

b. Special provisions for the thesis defence

Art. 19. ¹The thesis defence shall be open to the public; anyone may participate as part of the audience.

Special provisions:
a) Public defence

²Prior 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.

b) Prior notice

³ Consolidated Statute Book of the Canton of St.Gallen, No. 217.15.

³The 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. ¹If 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.

c) Acceptance of thesis

c. Deadlines

Art. 21. ¹The 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.

Deadlines:

- a) colloquium of the research proposal
- b) Defence

Art. 22. ¹After 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

a. Change to the thesis form and topic

Art. 23. ¹The 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.

Change to the form and topic

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

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

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

Art. 24. ¹The topic for the thesis is defined in the letter of recommendation from the Supervisor and confirmed through the submission of the research proposal.

Thesis topic:
a) Decision

Art. 25. ¹A change of topic, as understood here, shall mean changing the approach and content of the thesis.

b) Changes

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

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

b. Formal requirements

Art. 26. ¹The following indices shall be submitted together with the thesis:

Formal requirements:
a) Indices

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

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

³The 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. ¹The 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.

b) Declaration

Art. 28. ¹Where 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.

c) Documentation of co-authorship

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

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

c. Submission and publication

Art. 29. ¹The thesis shall be submitted to the Ph.D. Office in hard copy and electronic form.

Submission

²Both versions shall be identical.

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

Art. 30. ¹The thesis shall be published in seven copies suitable for libraries and in electronic form.

Publication
a) Type

²Both versions shall be identical.

Art. 31. ¹Ph.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.

b) Assignment of rights

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

Art. 32. ¹The 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.

c) Delivery deadline

²If 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).

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

Art. 33. ¹The thesis shall be published in the version that was approved by the Programme Committee.

d) Version

²Stylistic 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.

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

Art. 34. ¹If the thesis was accepted subject to amendments, the Supervisor and Co-supervisor shall confirm in writing that the amendments have been made as required.

e) Version after corrections

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

Art. 35. ¹For a cumulative thesis, constituent parts shall be published in accordance with the terms of Art. 37 (3) 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. ¹Graduation may only occur after publication of the thesis in accordance with Art. 30.

d) Precondition: Graduation

Art. 37. ¹A thesis may only be published in book form, in an institute's series of journals or in similar form after graduation.

e) Exceptions

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

³If 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.

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

Art. 38. ¹Ph.D. students shall be entitled to publish excerpts from their thesis with the approval of their Supervisor prior to its definitive acceptance.

Art. 39. ¹The Senate Committee shall issue instructions for the submission and publication of theses.

"Ready to print"

²Such 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. ¹An 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.

Extension of deadline

Art. 41. ¹Ph.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.

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

Art. 42. ¹Significant 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.

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

VII. Rights and duties

a. Rights and duties of the Supervisors/Co-supervisors

Art. 43. ¹Supervisors shall advise Ph.D. students appropriately on how to approach the coursework phase.

Rights and duties of the supervisors

²They 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.

³If 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. ¹The Supervisor and the Co-supervisor shall undertake to continue with their supervisory role until the end of the process.

Termination of supervision

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

³Significant 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.

b. Rights and duties of the Ph.D. students

Art. 45. ¹Ph.D. students shall be responsible for respecting agreed times and deadlines.

Rights and duties of the Ph.D. students

Art. 46. ¹During 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).

²Ph.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. ¹A change of Supervisor or Co-supervisor during the Ph.D. studies shall only be permitted for significant reasons.

Changing the Supervisor/Co-supervisor

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

Art. 48. ¹The Dean of Studies shall define the procedure for changing the Supervisor or Co-supervisor in accordance with Art. 44 and Art. 47.

Procedure for changing the Supervisor/Co-supervisor

c. Rights and duties of the Thesis Committee

Art. 49. ¹All 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).

Rights and duties of the Thesis Committee

Art. 50. ¹Academic staff with temporary teaching appointments, and external members of the Thesis Committee shall be entitled to remuneration, which the Ph.D. Office will arrange.

²The 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.

d. Rights and duties of the Programme Committee

Art. 51. ¹The Programme Committee shall regularly check that published theses meet the prescribed quality criteria.

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

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

⁴The 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.

Rights and duties
of the Pro-
gramme Commit-
tee

VIII. Final provisions

Art. 52. ¹These implementation provisions shall enter into force on 1 August 2017.

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

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

Date of applica-
tion

Art. 53. ¹For 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.

Transitional rules

Art. 54. ¹The 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).

Suspension of
currently applica-
ble statutes

The President:
Prof. Dr Thomas Bieger

The General Counsel:
lic.iur. Hildegard Kölliker