

AWARD REGULATIONS¹ [PromO 17]

for the Degree of Doctor of Philosophy (Ph.D.) of the University of St.Gallen

dated 7 November 2016

pursuant to Art. 9 para. 1(a) of the Act on the University of St.Gallen dated 26 May 1988

the Board of Governors of the University of St.Gallen

hereby issues the following Award Regulations:

I. General provisions

Art. 1 ¹These regulations govern the following aspects of Ph.D. studies at the University of St.Gallen:

Scope of application

- a) Ph.D. programmes;
- b) special academic bodies;
- c) admissions;
- d) programme structure;
- e) examinations and their grading;
- f) passes and repeats;
- g) the award of the degree;
- h) the rights and duties of supervisors and Ph.D. students;
- i) quality assurance;

²The Senate Committee shall issue implementation provisions for these Award Regulations.

Art. 2 ¹During the Ph.D. study period, a research-related education shall be provided in the subjects of the relevant Ph.D. programme.

Ph.D. studies and graduation

²Graduation shall provide evidence of the ability to carry out independent academic work.

II. Ph.D. programmes

Art. 3 ¹The Schools shall offer the following Ph.D. programmes:

The Ph.D. programmes

- a) Management (School of Management);
- b) Economics and Finance (School of Economics and Political Sciences);
- c) International Affairs and Political Economy (School of Economics and Political Sciences);
- d) Organizational Studies and Cultural Theory (School of Humanities and Social Sciences jointly with the School of Management);
- e) Law (School of Law);

¹ Pursuant to Art. 123 of the University Statutes dated 25 October 2010 [sGS 217,15; US] only the German version of these regulations is legally binding.

f) Finance (School of Finance).

²For programmes that are offered jointly by two schools, the school mentioned first shall be responsible for coordination.

Art. 4 ¹The Programme Regulations for the degree programme shall specify the requirements for graduation from the relevant programme. It may define areas of specialisation.

Programme regulations

Art. 5 ¹The programme language shall be German and/or English.

Programme language

²The Programme Regulations shall define the programme language.

III. Special bodies

Art. 6 ¹The School Conference of the School responsible for the Ph.D. programme shall appoint a Programme Committee for each Ph.D. programme.

Programme Committee

²The Programme Committee shall consist of:

- a) two to four full professors, including one member who is the chairperson;
- b) one representative of the non-tenured faculty;
- c) one Ph.D. student who is also employed by the University.

³The chairperson shall have the casting vote.

Art. 7 ¹The members under Art. 6(a) shall be elected by the School Conference, the members under Art. 6(b and c) by the body they represent.

Election of the Programme Committee

²When two schools offer a Ph.D. programme jointly, the members as defined in Art. 6 para. 2 (a) shall be approved by the School Conference of the other school.

³The term of office of members under Art. 6 para. 2 (a) shall be two years; the term for the other members shall be based on the regulations for the relevant body.

⁴Members may be re-elected.

Art. 8 ¹The Programme Committee shall manage the programme.

²In particular it shall

- a) define the content and organisation of the programme,
- b) advise the Dean of Studies in respect of admissions,
- c) recognise completed credits and examination results from other universities or comparable institutions,
- d) appoint the Thesis Committees for individual Ph.D. students;
- e) approve the final grade for individual doctorates,
- f) organise the quality assurance and development of the programme in consultation with the Quality Development division of the University,
- g) ensure the quality of supervision of Ph.D. students within their programme,
- h) monitor compliance with the programme regulations,
- i) ensure the independence of written thesis appraisals.

³The Programme Regulations may also assign further tasks to the Programme Committee.

Art. 9 ¹The Thesis Committee shall consist of at least the Supervisor and the Co-supervisor.

Thesis Committee

²The Programme Committee can appoint further members.

³At least one member of the Thesis Committee (the Supervisor or Co-supervisor) must be a full professor at the University of St.Gallen.

⁴The composition of the Thesis Committee must ensure expert and fair evaluation.

Art. 10 ¹The Thesis Committee must be appointed at the latest by the date on which the Ph.D. student submits their research proposal under Art. 28.

²This can be extended later during the Ph.D. study.

Art. 11 ¹The following members of the teaching staff may serve as thesis supervisors:

Supervisor

- a) a full professor of the University of St.Gallen;
- b) a member of the faculty with an established recognised (habilitation-equivalent) research record who at the time of the official start of the Ph.D. programme is working as a permanent lecturer at the University of St.Gallen or holds another permanent appointment at the University of St.Gallen;
- c) persons as defined in (a) and (b) of this provision who have reached the age limit² by the end of the semester during which they had their 67th birthday. The reference point for their appointment shall be the date of the official start of the student's Ph.D. studies or re-matriculation.

²The President shall approve any exceptions. The Supervisors referred to in (b) must be proposed by the relevant Programme Committee and approved by the School Conference.

³The School Conference shall define the maximum number of theses any of its members may supervise.

Art. 12 ¹The Co-supervisor shall be appointed by the Programme Committee.

Co-supervisor

²The Committee may, in addition to the categories listed in Art. 11 para. 1, appoint one of the following as Co-supervisor:

- a) visiting professors in residence;
- b) professors from other universities who are entitled to supervise theses at their home university;
- c) in individually justified cases, assistant professors, permanent lecturers, and part-time lecturers without an established recognised (habilitation-equivalent) research record but with a long teaching record at the University of St.Gallen.
- d) persons as defined in (a) to (c) of this provision who have reached the age limit³ by the end of the semester during which they had their 67th birthday. The reference point for their appointment shall be the date of the official start of the student's Ph.D. studies or re-matriculation.

³The Programme Committee may approve exceptions.

Art. 13 ¹The Supervisor or the Co-supervisor must belong to the School that offers the relevant programme.

² By analogy to Art. 45 of the University statutes

³ By analogy to Art. 45 of the University statutes

Art. 14 ¹The following tasks shall be incumbent on the Thesis Committee:

Tasks of the Thesis Committee

- a) overall supervision of an individual thesis, with the personal supervision of the Ph.D. student being incumbent upon the Supervisor;
- b) the assessment of the research proposal and the organisation of the colloquium on the research proposal;
- c) assessment of the thesis;
- d) for research proposals and theses that require revision: defining the changes to be made;
- e) request for acceptance, referral for revision and resubmission or rejection of the thesis for the attention of the Programme Committee.

IV. Admission

Art. 15 ¹Admission to a Ph.D. programme must be granted to applicants who hold a relevant Master's degree from the University of St.Gallen, or an equivalent university degree that is in the same or similar subjects as the chosen Ph.D. programme.

Admission:

²The Programme Regulations of the respective Ph.D. programmes shall define what similar subjects are and what additional entry requirements may be imposed for admission to a Ph.D. programme.

³Admission shall be provisional until all additional programme-specific entry requirements have been satisfactorily completed, and the additional requirements must be completed before the research proposal is submitted.

⁴The President of the University may admit students of Master's programmes at the University of St.Gallen provisionally to the Ph.D. programme's coursework phase.

Art. 16 ¹Admission shall be contingent on:

Admission requirements

- a) a Master's degree with an average grade of at least 5.00;
- b) a letter of recommendation from the Supervisor;
- c) for applicants who did not complete their previous studies at the University of St.Gallen: official proof of qualification to commence Ph.D. studies from the university from which they graduated.

²The Programme Regulations for the relevant degree programme may impose further requirements for admission such as, for example, recognised international aptitude tests or proof of proficiency in the language of the programme.

Art. 17 ¹The Programme Regulations may provide an option for the Supervisor to submit a reasoned request to the Programme Committee in cases where the average grade for the applicant's completed studies is below 5.00.

²Instead of the letter of recommendation, the Programme Regulations may allow for confirmation by the Programme Committee; in this case the Programme Committee shall undertake to appoint a Supervisor within one year.

Art. 18 ¹Admission shall be granted to a specific programme under Art. 3 para. 1.

Change of programme

²If a request is submitted for a transfer, the admission requirements must be checked once again.

Art. 19 ¹The Dean of Studies shall make the final decision on admission after consultation with the Chairman of the relevant Programme Committee.

Final decision

V. Programme structure

Art. 20 ¹The Ph.D. programme is split into a coursework phase and a research phase.

Programme structure:

Art. 21 ¹The coursework phase consists of:
a) methodological and specialist courses;
b) preparation of the research proposal;
c) the colloquium on the research proposal.

a) Coursework phase

Art. 22 ¹The research phase consists of:
a) the thesis-related seminars;
b) writing the thesis;
c) the thesis defence (including a possible pre-defence).

b) Research phase

Art. 23 ¹The thesis must be submitted at the latest 10 semesters after starting the Ph.D. programme (from the day of matriculation).

Limits on period of study

²The Dean of Studies may, if there are significant reasons, grant an extension in individual cases.

a. Coursework phase

Art. 24 ¹During the coursework phase, courses must be taken for a total of at least 12 ECTS credits.

Courses:

²A course shall earn either 4 or 6 ECTS credits.

a) Scope

³The Programme Regulations shall define the number and scope of the courses.

Art. 25 ¹The Supervisor shall define which courses need to be taken in addition to the compulsory courses for the programme in consultation with the Ph.D. student.

b) Selecting courses

Art. 26 ¹Courses taken and passed at other universities, the methodology school of the University of St.Gallen or comparable institutions may in principle count as credits.

c) Credits

²The Programme Committee reviews the courses to see if they can be credited.

Art. 27 ¹Courses for Bachelor's and Master's degrees shall not be acceptable for credits at the Ph.D. level as a matter of principle.

²The Programme Regulations may define exceptions.

Art. 28 ¹In the research proposal, the plan for the thesis project and the methodological approach must be described and some initial, already completed, research work must be demonstrated.

Research proposal

²During the colloquium on the research proposal, Ph.D. students shall

outline and justify their thesis project and provide reasons for their approach.

³The colloquium must take at least 30 minutes and shall not be public.

⁴The Thesis Committee shall decide whether to accept the research proposal.

Art. 29 ¹The courses in the coursework phase must be completed and passed within four semesters from the start of the Ph.D. programme.

Deadline

²The research proposal must be submitted within these four semesters.

³The Dean of Studies may grant an extension if there is a significant reason for doing so.

b. Research phase

Art. 30 ¹The Programme Regulations may require thesis-related seminars, and discussion sessions or oral presentations (colloquia) to be held.

Research phase:

²A seminar or a colloquium shall earn 4 or 6 ECTS credits.

a) Seminars

³The thesis-related seminars or the colloquia must be completed before the thesis can be submitted.

Art. 31 ¹The thesis shall be an independent piece of academic work, in which the Ph.D. student provides proof of in-depth expertise in their subject and the ability to apply academic methodologies.

b) Thesis

Art. 32 ¹The thesis may be submitted in the form of a self-contained book (monograph) or as separate essays (cumulative thesis).

Forms of thesis:

²The Supervisor and the Ph.D. student shall jointly define the form. This decision must be made before the colloquium on the research proposal.

a) Monograph
b) Cumulative

Art. 33 ¹A cumulative thesis shall consist of at least three essays that meet the quality standards of leading international journals in the field.

²The individual essays may be prepared and written jointly with other authors (co-authorship).

³At least one contribution must be provided by the Ph.D. student working on their own. This must represent a significant component of the overall thesis.

⁴The Programme Committee may issue detailed requirements and conditions for cumulative theses.

Art. 34 ¹The thesis must be written in German or English.

Language

²The Programme Committee may approve exceptions.

³A thesis must be reviewed by the Supervisor in terms of the quality of its language.

Art. 35 ¹The thesis must include a declaration that it was written by its author in compliance with the applicable provisions of the Code of Academic Integrity⁴ and without illicit help.

Students' declaration that the thesis is their own work

²There must also be a declaration that the thesis has not been submitted previously for a degree at another university.

⁴ "Code of Academic Integrity (Academic Integrity)" issued by the Senate Committee on 24 February 2015.

³For a cumulative thesis, it must be stated for each essay if and whether co-authors were involved. This information must also accompany any subsequent publications.

Art. 36 ¹The thesis shall be examined and graded by the Thesis Committee.

Thesis appraisal

²If the Supervisor or Co-supervisor is involved as a co-author of an essay and if this essay has not yet appeared in a peer-reviewed journal, then a third-party appraisal must be obtained for this part of the thesis (under Art. 8 para. 2 (i)).

Art. 37 ¹The thesis must be published after it has been accepted by the Programme Committee.

Publication

²The publication of excerpts from the thesis before it is finally submitted shall be permitted.

³The Dean of Studies may impose an internal blocking period on the publication of theses for a maximum of two years.

Art. 38 ¹During the thesis defence, Ph.D. students shall demonstrate that they have met the requirements for the award of the degree of Doctor of Philosophy.

Thesis defence

²The thesis defence may take place if the Thesis Committee recommends the acceptance of the thesis.

³The Thesis Committee shall conduct the examination and define the grade.

⁴The thesis defence shall take place on the premises of the University of St.Gallen, shall take at least 60 minutes and shall be open to the public.

⁵The Ph.D. candidate and at least the Supervisor must be present at the thesis defence.

Art. 39 ¹The Programme Regulations may require a pre-defence of the thesis.

Pre-defence

VI. Examinations and their grading

Art. 40 ¹The forms of examinations for individual courses shall be defined in the individual course fact sheets by the member of the teaching staff responsible for the course.

Types of examination

²The forms of examination and assessments stated in the course fact sheets are binding.

³The Programme Regulations define the forms of examination that are acceptable.

Art. 41 ¹The Programme Regulations define in Art. 24 ff. whether the courses are to be graded or whether they are to be assessed as "passed" or "not passed".

Grading of courses

Art. 42 ¹The results of courses under Art. 24ff, in conjunction with Art. 41 para. 1, the thesis and the thesis defence shall be graded using the following grades:

Range of grades

6.0 = excellent

5.5 = very good

5.0 = good

4.5 = satisfactory

- 4.0 = marginal
- 3.5 = unsatisfactory
- 3.0 = poor
- 2.5 = poor to very poor
- 2.0 = very poor
- 1.5 = very poor to useless
- 1.0 = useless

²Theses may be awarded quarter grades.

³The average grade for the courses required during the coursework phase shall be rounded to a quarter grade.

⁴Any element of examination that is awarded a grade below 4.0 is regarded as "failed".

VII. Passes and repeats

Art. 43 ¹In order to be awarded a Ph.D. degree, students must pass all the constituents of the programme (courses, research proposal, thesis-related seminars, thesis and the thesis defence).

Pass conditions:

Art. 44 ¹Students who fail a course

a) Courses

- a) may repeat a compulsory course once;
- b) may repeat a compulsory elective, a non-compulsory elective course, or a seminar or replace it with another course, but there is no automatic right to repeat the same course.

² Students who fail two or more courses shall not be able to continue their Ph.D. programme at the HSG.

³Enrolment in a course shall be binding; students who fail to attend shall be deemed to have failed the course.

Art. 45 ¹The research proposal shall not be graded but must be accepted in order for the student to pass.

b) Research proposal

²The colloquium on the research proposal shall be deemed to have been passed by students if their research proposal is accepted.

Art. 46 ¹A research proposal that is not accepted the first time may either be sent back for reworking or may be rejected.

²When submitted for a second time, the research proposal may not be returned again for reworking.

³A research proposal that is not submitted on time must be submitted within the following six months, but it cannot then be returned for reworking.

⁴A period of 12 months shall be allowed for reworking.

c) Thesis-related seminars

Art. 47 ¹Thesis-related seminars shall not be graded, but students must pass each and every one of them.

Art. 48 ¹If a thesis requires some minor amendments, the final acceptance of the thesis may be made contingent upon the student's making the required revisions.

d) Thesis

Art. 49 ¹A thesis that is not accepted the first time may either be sent back for reworking or may be rejected.

²If a pre-defence of a thesis is required, then after the final submission of that thesis, it can only be accepted or rejected.

³A thesis that is not submitted on time shall be deemed to have been rejected.

⁴When submitted for a second time, a thesis may not be returned again for rework. On second submission, the thesis may only be accepted or rejected.

⁵A period of 12 months shall be allowed for the reworking of the thesis.

Art. 50 ¹If the thesis defence is not successful, it may be repeated once.

e) Defence

Art. 51 ¹If the courses during the coursework phase are graded, then these shall account for 20%, the thesis for 70% and the thesis defence for 10%.

Overall examination:

²If the courses during the coursework phase are not graded, then the thesis shall account for 80% and the thesis defence for 20%.

a) Weighting

Art. 52 ¹The following levels of distinction shall be awarded:

b) Levels of distinction

- a) with a grade average of 5.75 to 6.00: summa cum laude (with the highest distinction);
- b) with a grade average of 5.50 to 5.74: magna cum laude (very good);
- c) with a grade average of 5.00 to 5.49: cum laude (good).

²No level of distinction shall be awarded for average grades below 5.00.

Art. 53 ¹The Ph.D. examination shall be deemed to be failed definitively if:

- a) two or more courses or seminars are failed or
- b) the research proposal is rejected or
- c) the thesis is rejected or
- d) the thesis defence is not passed at the second attempt.

²Anyone who has failed to definitively pass the Ph.D. examinations will not be accepted for any further Ph.D. programme at the University of St.Gallen.

Art. 54 ¹ Students who discontinue their Ph.D. studies voluntarily may be admitted to such studies a second time. They shall have to restart their Ph.D. programme from the beginning. Credits for courses taken during the coursework phase may be possible, but any other credits will not be accepted.

Interruption

²A second discontinuation shall be deemed a conclusive failure.

VIII. Award of the degree

Art. 55 ¹Those who pass the Ph.D. examinations as defined in Art. 43ff. are awarded the degree of Doctor of Philosophy.

Ph.D. degree

²Successful students of the Ph.D. programme in:

- a) Management shall be awarded the degree of "Doktor oder Doktorin der Wirtschaftswissenschaften" (doctor or doctora oeconomiae; abbreviated to Dr. oec. HSG) or a Doctor of Philosophy in Management (abbreviated to Ph.D. HSG);
- b) Economics and Finance shall be awarded the degree of "Doktor oder Doktorin der Wirtschaftswissenschaften" (doctor

- or doctora oeconomiae; abbreviated to Dr. oec. HSG) or a Doctor of Philosophy in Economics and Finance (abbreviated to Ph.D. HSG);
- c) International Affairs and Political Economy shall be awarded the degree of "Doktor oder Doktorin der Staatswissenschaften" (doctor or doctora rerum publicarum; abbreviation Dr. rer. publ. HSG) or a Doctor of Philosophy in International Affairs and Political Economy (abbreviation Ph.D. HSG);
 - d) Organizational Studies and Cultural Theory shall be awarded the degree of "Doktor oder Doktorin der Sozialwissenschaften" (doctor or doctora rerum socialium; abbreviation Dr. rer. soc. HSG) or a Doctor of Philosophy in Organizational Studies and Cultural Theory (abbreviation Ph.D. HSG);
 - e) Law shall be awarded the degree of "Doktor oder Doktorin der Rechtswissenschaft" (doctor or doctora iuris; abbreviated Dr. iur. HSG) or a Doctor of Philosophy in Law (abbreviation Ph.D. HSG).
 - f) Finance shall be awarded the degree of "Doktor oder Doktorin der Wirtschaftswissenschaften" (doctor or doctora oeconomiae; abbreviated to Dr. oec. HSG) or a Doctor of Philosophy in Finance (abbreviated to Ph.D. HSG).

Art. 56 ¹The Senate shall award the degree at a formal ceremony. The President shall present the degrees.

Graduation ceremony

²It is mandatory for Ph.D. students to attend the graduation ceremony. In exceptional cases, the President may exempt a student from this duty.

Art. 57 ¹The degree may be used after it has been awarded.

²It may be quoted in its alternative language form; listing both forms side by side shall be forbidden.

Art. 58 ¹The Senate Committee may revoke the degree if it appears to the Senate Committee that the degree has been achieved through deception or if essential prerequisites for its award were not satisfied.

Revocation of the degree

Art. 59 ¹The Senate may award:

- a) the degree of Honorary Doctor of Philosophy in Management or Honorary Doctor in Philosophy in Economics and Finance or Honorary Doctor in Philosophy in Finance for outstanding services to economic studies or the practice of economics;
- b) the degree of Honorary Doctor of Philosophy in International Affairs and Political Economy for outstanding services to political sciences or to the public welfare;
- c) the degree of Honorary Doctor of Philosophy in Law for outstanding services to the law;
- d) the title of Honorary Doctor of Philosophy in Organizational Studies and Cultural Theory for outstanding service to the research of society or efforts to resolve social issues.

Honorary doctorate

²The Senate shall decide to award honorary doctorates on the basis of a written reasoned proposal by a member of the Senate or a School.

³The President shall award honorary degrees as part of the University's *Dies academicus* celebrations or another ceremonial occasion at the University, by over the presentation of the Ph.D. diploma.

IX. Rights and duties

Art. 60 ¹Ph.D. students shall be entitled to professional and competent supervision from their Supervisor and Co-supervisor. The evaluation of the thesis must be fair and unprejudiced.

Rights and duties:

²If the Ph.D. student changes the topic of their thesis, they may also request a change of Supervisor. In this case, the change of Supervisor must be approved by the Programme Committee.

a) Ph.D. students

³If the Ph.D. student requests an independent appraisal for good cause, then the Programme Committee shall appoint a new Thesis Committee.

⁴Ph.D. students shall be required to respect deadlines and to attend the selected courses and seminars.

Art. 61 ¹The Supervisor and Co-supervisor shall have a right to co-authorship under the present Code of Academic Integrity⁵ if their personal contribution to a publication is significant.

b) Supervisors and Co-supervisors

²The Supervisor or Co-supervisor shall undertake to supervise the Ph.D. students professionally.

³If the Supervisor or Co-supervisor asks to be relieved of their responsibilities for good cause, then the Programme Committee shall make the decision in consultation with the Dean of Studies.

⁴The Supervisor shall notify the Ph.D. Office of upcoming thesis defences.

Art. 62 ¹Until the date of graduation, the thesis and its constituent parts shall be university examination documents.

Intellectual property rights

²Otherwise, the provisions of Swiss intellectual property law shall apply subject to the restrictive provisions of the Award Regulations (PromO).

X. Quality assurance

Art. 63 ¹The Programme Committee shall be responsible for quality assurance and the improvement of quality in the relevant Ph.D. programmes.

Quality assurance

²It shall monitor the academic progress of Ph.D. students, the quality of courses and seminars, the number and quality of supervised theses, the quality of supervision, the duration of Ph.D. studies and the opportunities for graduates on the job market.

³It shall take the measures it deems suitable for quality improvement.

⁴It shall ensure its accessibility to the students in the programmes.

Art. 64 ¹The Delegate for Quality Development shall monitor trends in the quality of the Ph.D. programmes, carry out regular programme evaluations and take suitable measures for improvement.

Quality improvement

²They shall work in coordination with the relevant Programme Committee.

⁵ "Code of Academic Integrity (Academic Integrity)" issued by the Senate Committee on 24 February 2015.

XI. Legal protection

Art. 65 ¹Decisions made by the Programme Committee or the Thesis Committee in the form of a provision shall be disclosed to students through a decree issued by the Dean of Studies. Provisions

²The examination results shall be published once a semester.

³The responsible teaching staff may provide students with access to their examination scripts after the publication of grades.

Art. 66 ¹Personal details of Ph.D. students may be used to create statistical evaluations of both study behaviour and results across various dimensions, and shall be deleted after completion of the research. Use of personal data

²Such deletion shall not include

a) grades and

b) data that were used in an anonymised form, the analysis of which can help to improve the Ph.D. programme.

³Persons who collect, evaluate and manage the data referred to in para. 1, shall be required to maintain confidentiality.

XII. Final provisions

Art. 67 ¹These regulations shall come into effect as of 1 August 2017. Date of application

²They shall apply to students who start a Ph.D. studies programme at the University of St.Gallen from Autumn Semester 2017 onwards.

³These regulations shall apply to all Ph.D. candidates from 1 August 2020.

Art. 68 ¹For students who started their Ph.D. studies before 1 August 2017, the Award Regulations dated 11 December 2006 (version of 7 May 2012) or those of 16 May 1994 shall apply until 31 July 2020. Transitional rules

²Supervisors or Co-supervisors who started supervision before 1 August 2017 may continue to complete their supervision.

Art. 69 ¹The Award Regulations for Doctorates of the University of St.Gallen dated 16 May 1994 and 11 December 2006 (version dated 7 May 2012) shall be repealed as from 1 August 2020. Repeal of currently applicable statutes

On behalf of the Board of Governors of the University of St.Gallen,

The President:

Stefan Kölliker, Cantonal Minister of Education

General Secretary:

lic. iur. Hildegard Kölliker, General Counsel