



## **Doctoral Program Regulations for the Doctorate in Neuroeconomics**

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# **Doctoral Program Regulations**

**for the Doctorate in Neuroeconomics at the Faculty of Business, Economics and Informatics of the University of Zurich**

Version 1.2 as decided at the meeting of the Faculty Assembly on 13 March 2019

These Doctoral program regulations are based on the Ordinance for Obtaining a Doctoral Degree (PVO<sup>1</sup>) in Neuroeconomics at the Faculty of Business, Economics and Informatics of the University of Zurich of 4 October 2010. All references to paragraphs of the PVO refer to this document.

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

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## 1 Purpose of the Doctoral program regulations

The Doctoral program regulations govern the execution provisions for the Doctoral degree in Neuroeconomics, the modalities of the examinations and the dissertation, and the awarding of ECTS credits.

## 2 The Doctoral program in Neuroeconomics

### 2.1 Overview of structure

	<i>Neuroeconomics</i>
<b><i>Doctoral program</i></b>	
<i>Compulsory modules, Doctoral level</i>	
Compulsory modules	15
Research proposal	15
Core elective areas (Doctoral seminars; advanced Doctoral courses)	9
<b><i>Doctoral program total</i></b>	<b>39</b>
<b><i>Dissertation</i></b>	<b>x</b>
<b><i>Defense</i></b>	
Presentation on the subject of the dissertation	x
Discussion on the subject of the dissertation	x
Discussion on the subject area of a Doctoral seminar	x

The Doctoral program in Neuroeconomics comprises:

- preparation of a dissertation. The dissertation must cover a subject relevant to the area of neuroeconomics.
- successful participation in compulsory courses at the Doctoral level. The compulsory modules at the Doctoral level include a research proposal (cf. Section 2.3).
- successful participation in core elective modules totaling at least 9 credits.

## **2.2 Compulsory modules**

An overview of the compulsory modules can be found in Appendix 10.1.

The Doctoral program cannot be continued unless the compulsory modules are completed successfully. In justified cases, the Doctoral Board may extend the time for completing the compulsory modules, which, as a rule, is a maximum of four semesters.

## **2.3 Research proposal**

In addition to the lectures and seminars, Doctoral students must complete a research proposal.

The research proposal will serve as an internal preregistration of the studies that will comprise the dissertation. This document need not be posted on any public preregistration server. Descriptions of studies already completed should be included in the proposal if their results are to be part of the dissertation. However, research proposals consisting only of completed work do not fulfill this requirement.

Research proposals must be submitted by the end of the fourth semester of study. The four semester deadline can be extended by the Doctoral Board only in special circumstances. For that purpose, a petition must be made in writing and sent to the Program Director before expiry of the submission deadline at the latest.

The supervisor and co-supervisor will read and grade (pass/fail) the research proposal. A passing grade from both the supervisor and the co-supervisor is required. There will be one chance to redo a failed proposal within three months of receiving the failing grade. Failing a second time will result in expulsion from the Doctoral program (cf. Section 4.5).

## **2.4 Core elective modules**

An updated list of all core elective modules is published each semester in the online course catalogue.

A maximum of 3 total credits may be earned as part of teaching obligations. The Doctoral Board credits teaching obligations as transferable skills to the core elective modules of the Doctoral level upon written petition. If completed successfully, they are evaluated as "passed."

# **3 Modules and credits in the Doctoral program**

## **3.1 Overview**

The credit system under § 17 PVO, which adheres to the European Credit Transfer System (ECTS), serves to record and accumulate credits for coursework completed in the Doctoral program at the University of Zurich as well as to transfer credits in the context of national and international mobility for Doctoral students.

### 3.2 Modules and courses

With respect to the *degree of requirement*, a distinction is made 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 specified by the Doctoral Board

### 3.3 Assessments and credits

Assessments have a direct temporal relationship with the corresponding course (in other words, they normally take place during the same semester or at least before the beginning of the courses of the following semester).

Doctoral students can only earn credits for a module if they fulfill the requirements specified in the module description (cf. Section 3.4) and are registered prior to the deadline (cf. Section 4.1). The responsible instructor may require corresponding documentation.

### 3.4 Information on modules offered

For each module offered, the following information is generally published at the end of the prior semester:

- Title of the module
- Format of the module
- Number of credits to be earned
- Information on time and location as required
- Responsible instructor
- 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 credits for the module), including all information on examination dates, etc.
- Information on crediting the course as a compulsory course or core elective module

## 4 Examination regulations

### 4.1 Registration and cancelation

Doctoral students must register in the electronic system for each module for which they want to earn credits (see § 19 PVO). The Doctoral Board decides on exceptions in cases of hardship on written petition.

Doctoral students may only register for a module if they meet the requirements specified for the respective module. In justified individual cases, the Doctoral Board may authorize exceptions.

It is only possible to withdraw from a module without stating reasons until the date specified for the respective module.

Late registrations and cancelations cannot be accepted. In cases of hardship, the Doctoral Board decides on exceptions.

If a candidate is prevented from attending an examination or if an ongoing examination is canceled, the regulations under § 20 PVO apply.

Any Doctoral student having been irrevocably expelled from the Faculty of Business, Economics and Informatics or from another higher education institution in a similar Doctoral program for failing examinations or not observing examination regulations will no longer be admitted to any examination (§ 36 PVO).

#### **4.2 Grading**

The grades listed under § 16 PVO have the following meanings:

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

In addition to the above-mentioned grades or the ratings "passed" or "failed," transcripts of records also include assessments in accordance with the ECTS assessment scale.

#### **4.3 Resources, use of unauthorized aids, obtaining admission by fraud**

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

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

The provisions according to § 22 PVO apply.

Petitions must be submitted in writing and with the corresponding transcripts of records to the Doctoral Board.

When transferring from a different degree program or from a different university to the Neuroeconomics Doctoral program, it is recommended that the student contact the Doctoral Board as soon as possible.

Coursework completed at another higher education institution or in another degree program may be transferred towards the Doctoral degree if the coursework was completed at the Doctoral level.

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

Credits for such coursework are recognized and transferred by the Doctoral Board upon petition of the Doctoral student. 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.

The above regulations also apply to Doctoral students who want to transfer to the Neuroeconomics program from another university, another faculty or another program.

#### **4.5 Failed attempts, repetitions and exclusion from the Doctoral program**

If a Doctoral student fails to pass the compulsory modules or dissertation even at the second attempt, he or she will be irrevocably expelled from further participation in the Doctoral program (§§ 21 Para. 2 and 36 PVO).

## **5 Admission**

### **5.1 General provisions**

Admission is regulated in §§ 6 - 9 PVO.

### **5.2 Application and admission procedure**

Application for admission to the Doctoral program can be made at any time, taking into account the relevant deadlines. Documents must be submitted to the Doctoral Board.

Matriculation must also be requested through Student Services of the University of Zurich. Deadlines and formalities are published in a suitable form.

A processing fee may be levied for each application.

The Doctoral Board may request proof of sufficient language skills in accordance with § 25 PVO or define additional requirements and conditions in accordance with § 8 PVO.

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

### **5.3 Documents**

The University publishes in a suitable form what documents must be included with the application.

If documents are missing, the University may levy an additional processing fee and defer or reject the application.

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

#### **5.4 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 admission decision. It specifies the additional required coursework and the deadlines, and determines the permissible number of failed attempts.

The modules to be completed as part of additional requirements (= earning of additional qualifications) must be successfully completed within six consecutive semesters after admission is granted. The reference date is the admission with additional requirements. In justified cases, the Doctoral Board may extend the deadline for the fulfillment of additional requirements. Documentation must be provided when registering for graduation. The credits earned in this process cannot be credited towards the Doctoral degree.

The modules to be completed as part of the conditions (= earning of additional qualifications) must be successfully completed within six consecutive semesters before admission to the Doctoral program. The reference date is the decision on the conditions. In justified cases, the Doctoral Board may extend the deadline for the fulfillment of conditions. Documentation must be provided when registering for the Doctoral program. The credits earned in this process cannot be credited towards the Doctoral degree.

## **6 Supervisor and co-supervisor**

Members of the Faculty who are authorized to vote may act as supervisors (§ 10 PVO). These include:

- Full and associate professors
- Professors ad personam
- Assistant professors

With the approval of the Doctoral Board, members of other faculties may also act as supervisors.

Professors emeriti of the Faculty of Business, Economics and Informatics may act as supervisors for Doctoral students if the dissertations are defended no later than three years after the professor's retirement. The reference date is the date of retirement.

Persons with appropriate qualifications may be appointed as co-supervisors by the Doctoral Board (§ 11 PVO) if they are:

- full or associate professors at other faculties or other universities
- privatdozents or adjunct professors at the University of Zurich

Co-supervisors are, as a rule, appointed at the same time as the supervisors, but no later than after submission of the dissertation (§ 11 PVO).

Regular meetings on the progress of the Doctoral program are held as part of the supervision role.

## **7 Dissertation**

### **7.1 Format and content**

The subject of the dissertation must be selected from the field of neuroeconomics and meet the conditions under § 26 PVO.

Whether the dissertation is submitted as a monograph or cumulative dissertation is determined in coordination by the candidate and the dissertation supervisor.

#### **7.1.1 Monograph**

A monograph is a text written by the candidate independently.

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.

#### **7.1.2 Cumulative dissertation**

The candidate draws up a background document that summarizes the results and contributions of the individual papers. The papers, which are part of the dissertation, must be attached in an appendix.

With the exception of the background document, papers with co-authors may also be used.

### **7.2 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 used no uncited sources or aids.

If the academic contribution of a dissertation depends on work with co-authors, a declaration signed by the candidate regarding his or her contribution to this work is to be submitted for each work and must be countersigned by the co-author.

The supervisor and co-supervisor may be co-authors of papers used for the dissertation only insofar as can be ensured that at least one person is not a co-author of any of these papers.

## **8 Graduation**

### **8.1 Registration**

The Doctoral student must register in person at the Dean's Office to defend his or her dissertation. The following documents must be submitted:

- a) The completed registration form
- b) Proof of matriculation as a Doctoral student at the University of Zurich

- c) Proof of admission into the Doctoral program in accordance with §§ 6 - 9 PVO
- d) Proof of ECTS credits acquired in the Doctoral program in accordance with § 23 PVO
- e) The dissertation
- f) Proof of additional requirements and conditions completed, if applicable (in accordance with § 8 PVO)
- g) A written declaration that the dissertation was completed independently and has not yet been submitted anywhere else

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

## **8.2 Defense**

Every Doctorate is completed with the dissertation defense.

If the dissertation has been accepted in accordance with the conditions under §§ 26 - 28 PVO, the candidate will be admitted for its defense.

The supervisor and co-supervisor attend the defense (§ 34 PVO), determine the grade for the defense in private, and subsequently inform the candidate of the result. Professors from the Faculty attending the defense may have an advisory role in determining the grade.

The expert reports on the dissertation and 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 defense must therefore be scheduled sufficiently early.

# **9 Publication**

## **9.1 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.

## **9.2 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 § 38 PVO) must be approved by the supervisor and co-supervisor, 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.

### 9.3 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.

### 9.4 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 § 40 PVO) are prepared by the Degrees 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.

## 10 Appendix

### 10.1 Compulsory modules

<i>Compulsory modules</i>	<i>Credits</i>
Cognitive Neuroscience	3
Decision Theory	3
Decision Neuroscience	3
Neuroeconomic Foundations of Decision Making	3
Principles of Neuroeconomics	3
<b>Total</b>	<b>15 credits</b>

### 10.2 Core elective modules

An updated list of all core elective modules is published each semester in the online course catalogue.