

Università
della
Svizzera
italiana

Faculty
of
Economics

Regulations for the Degree of PhD 2015

The present Regulations enter into force on
September 17, 2015 and replace any Regulations
currently in force.



- Art. 1.**
Scope¹
1. The present Regulations set out the conditions, procedures, and the competent authorities responsible for awarding the doctoral degree of the Faculty of Economics.
- Art. 2.**
Degree title
1. The Faculty awards the following degrees of Doctor of Philosophy:
 - PhD in Economics; or, in Italian: *PhD in Economia con specializzazione in Economia Politica*
 - (SFI) PhD in Finance; or, in Italian: *PhD in Economia con specializzazione in Finanza*
 - PhD in Management; or, in Italian: *PhD in Economia con specializzazione in Management*
 - PhD in Econometrics and Statistics; or, in Italian: *PhD in Economia con specializzazione in Metodi Quantitativi*.²
 2. The degree of PhD attests that its holder is the author of a personal and original research of high academic distinction.
 3. The title is awarded to the candidate who has satisfied all the requirements of the doctoral programme and successfully defended his thesis in an oral examination.
- Art. 3.**
Bodies and their remit
- The bodies responsible for the PhD are:
- The Thesis Director
 - The Graduate Studies Committee
 - The Board of Examiners [Jury].
- Art. 4.**
Graduate Studies Committee
1. The Graduate Studies Committee comprises at least three tenured professors and/or Assistant Professors of the Faculty
 2. The Graduate Studies Committee is appointed by the Faculty Council for a two-year mandate, renewable, allowing for the different subject areas.

¹ The masculine grammatical gender used throughout the present document is to be read as referring equally to its feminine counterpart.

² This new Clause was formally approved by the Faculty on September 20, 2017

3. The Graduate Studies Committee designates its coordinator from among its members.
4. The Graduate Studies Committee reaches its decisions on the basis of a simple majority of the persons entitled. In the event of a draw, the coordinator's vote prevails.
5. The Graduate Studies Committee is invested with the tasks defined in the present Regulations and with any other issue connected with the objectives of the present Regulations or other Regulations of the University, at the request of the Faculty Council.

**Art. 5.
The Thesis
Director**

1. The Thesis Director must be a tenured professor, an assistant professor, adjunct or a titular professor in the Faculty. He shall monitor and direct the research, and guarantee that the work conducted under his supervision fully meets the internationally recognised academic standards.
2. The Graduate Studies Committee may authorise joint supervision of a thesis, namely one assured by two Professors from different Faculties and/or Universities, provided that relations between the two Faculties and/or Universities are regulated by ad-hoc agreements and/or guidelines.

**Art. 6.
The Board
of Examiners**

1. The Board of Examiners (Jury) shall consist of at least 3 professors: the Thesis Director, a professor of the Faculty and one external professor.
2. The Faculty Council selects the members, on the advice of the Thesis Director, with the approval of the Graduate Studies Committee.
3. The Jury designates a chairperson from among its members. The thesis Director is not eligible to chair the Board of Examiners.
4. In case of joint supervision, the Board shall be composed in accordance with the appropriate agreements and/or regulations.

**Art. 7.
Admission
Requirements**

1. The following may be admitted to the status of PhD student: holders of a Master's degree or of a Licentiate degree (under the previous higher degrees system) from a Swiss university, or holders of a Swiss or foreign degree recognised as equivalent by the Graduate Studies Committee.
2. Once admitted to the programme, the candidate is regularly matriculated with PhD status in the Faculty, regardless of whether he is a member of USI staff. His matriculation expires on the last day of the month in which he has delivered the definitive version of his thesis.

**Art. 8.
Admission
procedure
for the PhD
programme**

1. Unless otherwise directed by a competition notice, the candidate for the PhD degree submits to the Committee an application including at least the following documents:
 - CV
 - degree diplomas
 - a personal statement
 - at least one reference letter.

2. Candidates who have successfully passed the first selection stage shall be invited to attend interview in the presence of the professor responsible for the position together with a second professor, preferably a member of the Graduate Studies Committee. The interview may be held by video-conference. Further to the interview, a written decision shall be sent to the candidate.
3. The Thesis director, in agreement with the PhD student, defines an individual course of study and the related specialisation in accordance with art. 2. This is sent to the Graduate Studies Committee for approval, within 2 months of the candidate's admission to PhD status.
4. The individual course of study prescribes doctoral-level courses certified by exams for a total value of at least 30 ECTS. If necessary, the course of study may additionally require some complementary exam papers.
5. The Guidelines for the single PhD programmes (art. 9) may lay down specific admission procedures departing from the existing provisions.

**Art. 9.
Doctoral
programmes**

1. The Faculties may set up doctoral programmes, in designated special fields as defined in art. 2, with course subjects and related examinations run by the Faculty itself or by other academic institutions.
2. The Faculty defines the content of each programme, the way it is run and its mandatory nature, in an ad-hoc set of Guidelines.
3. A coordinator, generally chosen from within the Graduate Studies Committee, assures the conduct of a doctoral programme in a special field.

**Art. 10.
Content of
of the thesis**

1. The thesis is a paper that presents the findings of a research project characterized by originality and considerable academic value. The thesis may also be 'cumulative', that is to say integrate individual
2. separate academic papers; in this case, it shall consist of at least three such papers.

**Art. 11.
Topic
and
duration**

- The topic of the thesis must be connected to one of the subject areas covered by the Faculty.
1. From the day of his admission to the status of PhD student, the candidate is granted 12 semesters to complete and defend his thesis.
 2. In the event of maternity or paternity, or for serious health problems, the doctoral candidate is entitled to extend said duration by a maximum of one year.
 3. Granting an extension is a matter for the Thesis Director; if he advises against an extension, this will be referred to the Graduate Studies Committee.
 - 4.

- Art. 12. Language** The doctoral student writes and discusses his thesis in one of the Swiss national languages or in English, in agreement with the Thesis Director.
- Art. 13. Progress review**
1. The doctoral student shall report, according to the format and schedule defined in the PhD study plan, on progress made in his research work. His thesis director shall respond with a written assessment, copied to the coordinator of the Graduate Studies Committee.
 2. Should the thesis director deem that the candidate's progress in his research or his knowledge is unsatisfactory, the Graduate Studies Committee, after hearing both parties, shall present to the PhD student a list of conditions to be met, and impose a deadline. Alternatively, in serious cases, the Board will initiate the dismissal procedure, described in art. 14.
- Art. 14. Dismissal and replacement of Thesis Director: motives and procedure**
1. A candidate may be dismissed if he fails to satisfy the terms and conditions for participating in the PhD degree programme or obtaining the relative qualification, in particular if:
 - At the end of the first or (at most) the second year the Thesis Director deems that the work carried out by the student falls short of fulfilling the criteria for obtaining the degree.
 - The doctoral programme includes courses assessed by examinations, which the PhD candidate has not passed, leading to the student's exclusion by virtue of the relevant Regulations.
 - Irreconcilable differences were to arise between Thesis Director and the doctoral student, to which no solution was found for the latter to continue his course of study under the guidance of a different supervisor.
 - In other circumstances contemplated in the present Regulations.
 2. The procedure is instigated without delay, and with sufficient advance notice in relation to the termination of contract. This is notified in writing by the Graduate Studies Committee.
 3. The Graduate Studies Committee, having heard the interested parties separately and/or jointly, tries where possible to find a solution which allows the doctoral student to pursue his PhD degree under a different thesis director. In all other cases, the Committee rules on the dismissal with due regard to the contractual period of termination.
- Art. 15. Eligibility of the thesis**
1. When he deems that the thesis may reasonably be accepted and defended, the Thesis Director forwards it to the other members of the Jury and organises a preliminary discussion. The same may be requested by the PhD student, in case of disagreement with the Thesis Director; this request shall be addressed to the Graduate Studies Committee.
 2. The preliminary discussion shall involve only the members of the Board of Examiners (by videoconference if need be).
 3. Instead of the preliminary discussion, the Thesis Director might think it more appropriate to ask each Jury member to draft a written evaluation of the thesis. In this case, too, the PhD student may still

request to the Graduate Studies Committee that he be invited to attend a preliminary discussion.

4. Further to the preliminary discussion or to the written evaluation, the Examiners Board may put forward that the thesis be
 - accepted for discussion;
 - accepted for discussion subject to obligations;
 - rejected.

Should a thesis be accepted for the viva subject to conditions, the Board indicates in writing the necessary adjustments to be made to the thesis, and agrees with the student the time needed for the revision work. Once the revision work has been done, with a brief description of the changes introduced, the text of the thesis is once again forwarded to the members of the Examiners Board.

If on the other hand it is regarded as unacceptable, the PhD student will be granted six months to resubmit the thesis for a new evaluation. If the second draft were again met with a negative evaluation, the candidate would be excluded from the PhD degree.

5. The Graduate Studies Committee acknowledges the above assessments and the discharge of possible obligations, and decides on the eligibility of the thesis for the oral examination stage.

**Art. 16.
Thesis
defended,
discussed,
and assessed**

1. The defence consists in an oral presentation and discussion lasting one hour at least, during which time the candidate expounds the subject of his thesis and is asked questions by the members of the Board of Examiners regarding the subject area studied.
2. The oral presentation and discussion of the thesis are public. The Board of examiners withdraws to deliberate in strict confidence on the evaluation.
3. After the defence, the Board of Examiners accepts, defers, or rejects the thesis.
4. In case of acceptance, the Board of Examiners may still request changes and revisions of the final draft.
5. In case of deferral, the Board sets the terms and conditions for the second discussion.
6. In case of rejection, the PhD student is excluded from PhD degree studies.

**Art. 17.
Award of
PhD Degree**

1. The candidate is awarded his PhD degree only after he has delivered the original of his thesis as required by the Faculty, with due consideration for the changes and revisions requested by the Board of examiners.
2. The diploma shall mention author's name, academic title (art. 2) obtained, the exact title and the date of its public oral examination.
3. The degree diploma is issued by Università della Svizzera Italiana and by the Faculty. It is signed by the President, by the Faculty Dean, and by the Thesis Director.

**Art. 18.
The thesis
protected by
copyrights**

The writer of the thesis is regarded as its author according to the existing law on copyrights and, as such, enjoys all the rights associated with it.

**Art. 19.
Publication**

1. Once accepted by the Board of examiners, the thesis may be published.
2. If the author chooses not to publish his thesis, the Faculty is entitled, as a non-profit operation and to promote the dissemination of the content of the thesis, to proceed to its publication and/or use some parts of it, if during the research phases it provided the author with financial or logistic support.

**Art. 20.
Differences
and litigation**

1. Should conflicts arise between PhD student and his Thesis Director, which cannot be settled in their context, the two parties may refer the matter to the coordinator of the Graduate Studies Committee, who intervenes in its mediating capacity.
2. If the conciliation process fails, the Graduate Studies Committee settles the question, after hearing the parties. The Committee's decision is notified in writing to the parties.
3. The decisions of the Graduate Studies Committee may be appealed against. Grievances must be addressed to the Faculty Council no later than 30 days after notification. A further appeal may be lodged against the Faculty Council, with the Canton's Administrative Court. The Law on Administrative Procedure (24 September 2013) applies.³

**Art. 21.
Substitutions**

The Graduate Studies Committee in its overseeing capacity endeavours to ensure that the student can carry on with his work also if the Thesis Director is for some reason unable to fulfil his obligations.

**Art. 22.
Fees**

Fees are determined in accordance with art. 16 of the Regulations for admission and matriculation at USI.

**Art. 23.
Enforcement**

The present Regulations come into force on 17 September 2015 and replace all other related Regulations currently in force. It is applicable to all students registered for a PhD degree in and after the academic year 2015-2016, except for articles 20 and 21, which come into effect immediately and apply to all matriculated PhD students.

³ This new Clause was formally approved by the Faculty on September 20, 2017.

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