

# Regulations for the Doctoral degree

## *English translation*

Faculty of Geosciences and Environment  
University of Lausanne

PhD in Geography  
PhD in Earth Sciences  
PhD in Environmental Sciences / Studies  
PhD in Tourism Studies

**This is an unofficial English translation for your convenience. However, please note that only the original French version is legally binding.**

*[elements in italics are explanatory text not found in original version]*

Entry into force 1 August 2020

### **Article 1**

#### Preamble

1 This regulation defines the general structure of the training leading to the degree of Doctor in the Faculty of Geosciences and Environment (hereinafter the FGSE or the Faculty) and specifies the requirements to be fulfilled in order to obtain this degree.

2 The degree of doctor in the FGSE shall be awarded by the University of Lausanne, on the proposal of the FGSE, to students who have successfully presented and defended, under the conditions of these regulations, an original and personal work (hereinafter the "thesis") proving their aptitude for scientific research.

3 The provisions of the present regulations are applicable to all candidates for the following degrees awarded by the FGSE:

- PhD in Geography
- PhD in Earth Sciences
- PhD in Environmental Sciences / Studies
- PhD in Tourism Studies

### **Article 2**

#### Framework of application

1 The Law on the University of Lausanne (LUL), its Implementing Regulations (RLUL), the Regulations of the FGSE (RFGSE) and the Directives of the Management are applicable.

2 The Dean has overall responsibility for the application of these Regulations. The Dean delegates the implementation of these regulations to the Vice-Dean for Research.

3 The Dean's Office may define procedures, make decisions and issue directives for situations not expressly provided for in these Regulations.

### **Article 3**

#### Admission

To be admitted as a Doctoral student in the FGSE, the applicant must meet the following two requirements:

- a. Academic title. The applicant must hold:
  - i. a master's degree from the Faculty of Geosciences and Environment of the University of Lausanne,
  - ii. or a university degree deemed equivalent by UNIL to a Swiss university master's degree. In such cases, the Dean's Office may, if necessary, after consultation with the prospective thesis director, require a programme of prerequisites and establish conditions for its successful completion.
- b. Thesis director. The applicant must have identified a Thesis Director, who must formally certify his or her support for the thesis project.

### **Article 4**

#### Registration at UNIL and other administrative procedures

1 Registration (*immatriculation*) is required in order to have the status of Doctoral student. This is obligatory for the entire duration of the thesis. The candidate who begins his/her thesis work at the FGSE must immediately start the registration procedures at the Registration and Enrolment Service (SII) and must remain registered as a Doctoral student until the final version of the thesis is registered at the Cantonal and University Library (BCU).

2 The candidate shall follow the administrative procedures specified by the Dean's Office (information given by the FGSE Doctoral Students' Secretariat, "Vademecum" on the website).

### **Article 5**

#### Thesis Director

1 All thesis work is supervised by a Thesis Director and, where applicable, by a Thesis Co-Director as defined in Article 10 below.

2 The Thesis Director supervises the scientific research carried out by the Doctoral student; he or she promotes the student's progress and the acquisition of scientific and cross-disciplinary skills, and ensures his or her professionalization; in addition, he or she is responsible for the smooth administrative running of the thesis. These responsibilities and duties are assumed in accordance with the procedures, steps, and directives of the UNIL, the FGSE, and the UNIL Doctoral Charter.

3 The Thesis Director is responsible for setting up a Thesis Supervision Committee during the first year, ensuring that it meets regularly and transmitting the resulting reports, according to the modalities described in article 12.

### **Article 6**

#### Persons entitled to supervise a thesis

1 The following people may take on the role of Thesis Director:

- professors (full, associate, assistant, titular, ad personam) of the FGSE
- senior lecturers (MER1) of the FGSE

2 People with the title "privat-docent" and who have a stable post within in the FGSE (teaching or administrative-technical personnel), may be Thesis Directors. Other people with the title

“privat-docent” attributed by the FGSE but whose main institutional affiliation is not the FGSE may co-direct theses as Co-Directors, with a Director who is a member of the FGSE as defined in Article 6.1 above.

### **Article 7**

Retirement or departure of the Thesis Director

1 Persons entitled to supervise a thesis (Art. 6.1 and 6.2 of these Regulations) may agree to supervise the work of new doctoral candidates during the three years preceding their retirement, subject to the written consent of the Dean.

2 Emeritus professors (“Professeurs honoraires”) of the FGSE are authorised to continue the supervision of the theses until their completion. In such a case, a Faculty Referent must be appointed and approved by the Faculty Council as soon as the Thesis Director becomes an emeritus professor (i.e., upon retirement).

3 In the event of the Thesis Director's departure or inability to work (including retirement without emeritus status), the Vice-Dean for Research ensures that good conditions of scientific and administrative supervision are in place (e.g. via change of Thesis Director, or establishment of co-direction and/or Faculty Referee).

### **Article 8**

Renunciation of thesis supervision

The Thesis Director who is considering renouncing the supervision of a Doctoral student in the event of insufficient progress or conflict, when the regulatory and usual channels have been exhausted (Thesis Supervision Committee, possibly mediation depending on the situation), must send a detailed report to the Vice-Dean for Research (with copies of all the reports of the Thesis Supervision Committees), signed by the Director of the Institute and the members of the Thesis Supervision Committee. The Vice-Dean then decides on the measures to be taken, safeguarding the interests of the Doctoral student, of the Thesis Director, and of the Faculty as a whole.

### **Article 9**

Faculty Referent

1 When required by Article 7 above, a Faculty Referent shall be proposed in writing to the Vice-Dean for approval by the Faculty Council; the request shall include the signatures of the Director, the Doctoral student, and the proposed Referent. The Referent shall be chosen from among the ordinary or associate professors or MER1 of the FGSE.

2 Once appointed, the Faculty Referent guarantees that the thesis is completed in accordance with these Regulations. In particular, he or she participates in the meetings of the Thesis Supervision Committee, supports the new Thesis Directors and, more generally, maintains the link between the stakeholders of the thesis and the relevant FGSE bodies.

### **Article 10**

Co-direction of thesis

1 One (and only one) Co-director can be appointed and officially involved in the scientific supervision of the PhD student, which he or she shares with the Thesis Director according to modalities established at the time the Co-direction is initiated and in conformity with the UNIL Directive 3.11.

2 A Thesis Co-director can be appointed, in principle during the first 12 months of the thesis, upon a justified written request jointly made by the Thesis Director, the prospective Thesis Co-director, the Doctoral student and the Faculty Referent (if applicable), stipulating the division of tasks, and accompanied by the curriculum vitae of the prospective Thesis Co-director. The application is submitted to the Vice-Dean and then to the Faculty Council for approval.

### **Article 11**

Doctoral student

1 The Doctoral student is a researcher-in-training who carries out the research related to his/her thesis and the writing of the thesis under the supervision of a Thesis Director and, if applicable, a Co-Director.

2 He/she assumes his/her own responsibilities and duties in accordance with the procedures, approaches and directives of the FGSE, UNIL, the UNIL Doctoral Charter and, if applicable, internal laboratory rules (access, protocols, security). The Doctoral student complies in particular with the rules and guidelines in force on fieldwork, on research trips abroad, and on health and safety (*this line refers to the FGSE Directives on these matters*).

3 The candidate undertakes in writing, from the beginning of his/her thesis, to respect the rules of integrity and ethics of scientific research and specifically the rules concerning the borrowing, citation and exploitation of various sources, as well as those of research involving human subjects.

### **Article 12**

Change of Thesis Director or discipline

1 The Vice-Dean may, exceptionally, authorise a Doctoral student to initiate a procedure to change his/her Thesis Director.

A Doctoral student who wishes to change his/her thesis director shall address his/her request in principle, in writing and duly substantiated, to the Vice-Dean. The request shall include a copy of all the reports of the Thesis Supervision Committee.

As soon as the Dean's Office confirms the possibility of a change of supervisor, the Doctoral student has a period of 3 months to identify a new Thesis Director and to communicate his/her actual request to the Vice-Dean in a letter co-signed by the potential Thesis Director. The Dean's Office then decides on the requested change.

2 The Doctoral student who wishes to change discipline (*i.e. switch between the four PhD titles granted by the FGSE*) follows the procedure established by the Dean's Office and communicated by the Doctoral Secretariat via the "Vademecum".

### **Article 13**

Thesis cotutelle [*Dual degree with foreign university*]

1 The establishment of a Thesis Direction organised in "co-tutelle" with a foreign university, when justified, is governed by the recommendations and procedures of the UNIL University Administration (International Relations Service). The co-tutelle can only be concluded with one foreign institution authorised to award doctorates and the signature of the co-tutelle agreement between the two institutions must take place no later than two years after the registration of the doctoral student.

2 The Doctoral student seeking a co-tutelle arrangement is responsible for the preparation of the co-tutelle agreement in consultation with the Thesis Director, the prospective Director in the other institution, and the Faculties and other relevant bodies of each institution (in UNIL: the International Relations Service). The final version is validated by the International Relations Service before approval by the Dean, via the Doctoral Students' Secretariat.

## **Article 14**

### Thesis Supervision Committee

1 A Thesis Supervision Committee periodically assists the Doctoral student. The Doctoral student presents to this Committee the progress of his or her research and/or writing as well as his or her plans for the next steps of the doctoral research.

2 The Thesis Supervision Committee is set up on the joint proposal of the Thesis Director and the Doctoral student (and the Co-director and the Faculty Referent if they exist). It comprises at least three persons, including the thesis director and an internal expert from the University of Lausanne. The members can be changed, following the same procedures as above, as the research evolves.

3 The Thesis Supervision Committee meets during the first year and then on an annual basis. The Committee may also meet at other times if necessary.

4 The objective of the Thesis Supervision Committee meetings, particularly the first one during the first year, is to ensure that for all parties the conditions are met for the thesis to continue in good conditions.

5 Before each meeting of his or her Thesis Supervision Committee, the Doctoral student shall prepare a summary document outlining the work accomplished and the objectives for the following periods.

6 After each meeting of Thesis Supervision Committee, the Doctoral student summarizes the Committee's various recommendations; the Thesis Director summarizes the Committee's views on the Doctoral student's scientific and professional progress. This report is signed by the Doctoral student and the other members of the Committee.

7 The Thesis Director shall ensure that all these documents are submitted to the Dean's Office via the Doctoral Students' Secretariat after each Monitoring Committee meeting.

## **Article 15**

During the doctoral studies (*specifically, difficulty in the supervisory relationship*)

In case of difficulty or conflict, direct communication between the parties of the thesis (Thesis Director and Doctoral student, and, if relevant, Co-director and/or Faculty Referee) will be favoured. If the difficulty persists, the parties may have recourse to the Thesis Supervision Committee or to various forms of mediation; at the request of one or both of the parties involved, the Vice-Dean and the Dean are also empowered to take appropriate measures to ensure that the thesis work can continue and be completed successfully.

## **Article 16**

### The thesis

1 At the end of his/her work, the Doctoral student produces a written document, which may include other media and products, which reports on the research carried out during the thesis work. The entirety of this document constitutes the thesis. This document must comply with current practices or acceptable innovations in the field(s) of research concerned.

2 Unless an exception is approved by the Faculty Council, the thesis must be written in French, German, Italian and/or English. The language(s) must be chosen in agreement with the Thesis Director. The thesis must include an abstract written in French and an abstract written in English.

3 The Doctoral student produces copies of the thesis following strictly the instructions published by the FGSE Doctoral Students' Secretariat and must comply with the requirements of UNIL Directive 3.10.

4 Theses may be presented in the form of a monograph or in the form of a thesis by scientific publications (*i.e. journal articles, or chapters in edited books, for instance*).

5 The thesis must include the following elements (in a style appropriate to the thesis form chosen and the field of research):

- a. a substantial general introduction presenting the subject of the work and its international and historical scientific context, and the chapter plan and/or links between publications,
- b. methodology, results, and their interpretation,
- c. substantial general conclusions highlighting the insights and opportunities for future work resulting from the thesis research.

6 In the case of a thesis by scientific publications incorporating multi-authored publications, the Doctoral student shall specify his/her contribution to each publication. A thesis by scientific publications may include additional chapters.

## **Article 17**

### Thesis Examination

1 The thesis examination consists of two parts: the private colloquium ("colloque privé") and the public defence ("soutenance publique").

2 During each of these two distinct examinations, the Doctoral student defends his/her thesis before a Thesis Jury.

3 The purpose of the private colloquium is to evaluate the thesis and the scientific skills of the Doctoral student. This first examination must be passed successfully in order to undertake the second examination.

4 The aim of the public defence is to evaluate the Doctoral student's ability to communicate his/her contribution to the scientific debate, placing it in a more general context. This second examination must be passed successfully in order to pass the overall thesis examination.

## **Article 18**

### Constitution of the Jury

1 The Vice-Dean validates the Thesis Jury, on the basis of a proposal from the Thesis Director who will have consulted beforehand with the Doctoral Student (and the Thesis Co-Director and Referent if applicable).

2 The Thesis Jury is composed of a President, the Thesis Director, the Co-director and the Faculty Referent if applicable, and at least two experts, including in principle a member of the University of Lausanne (who may be the Faculty Referent if applicable), as well as an expert external to the University of Lausanne. At a minimum, the external expert (or one of the external experts if there are several) must not have been involved in the thesis project (*i.e.* must not have a conflict of interest in the sense evoked by the Charter for members of FGSE commissions on conflicts of interest).

3 The Thesis Jury may be composed of a maximum of six people (including all members). In well-justified cases (*e.g.* co-tutelle), the Thesis Jury may exceptionally be increased to eight members.

4 In principle, the President of the Thesis Jury is the Vice-Dean of Research, who may be substituted in this function by another professor from the FGSE.

5 The President's role is to ensure that each examination is run smoothly and fairly.

## **Article 19**

Procedure before the private colloquium

1 The Thesis Director must propose in writing to the Vice-Dean the composition of the Thesis Jury (except for the Presidency). This request follows the procedures established by the Dean's Office and published by the Doctoral Students' Secretariat.

2 The Doctoral student must submit the following documents to the FGSE Doctoral Students' Secretariat:

- a. The Doctoral student's written acceptance of the composition of the Thesis Jury.
- b. A physical copy of the thesis, in accordance with Article 16.
- c. A complete curriculum vitae (including a list of the Doctoral student's publications and presentations).
- d. A one-page summary of the thesis in French and a one-page summary in English.
- e. A one-page summary in French intended for a wider audience.
- f. An electronic copy of the thesis.

3 The thesis examination can take place at the earliest during the 3rd semester following registration as a doctoral student.

4 The private colloquium shall be scheduled at least six weeks after the submission of the documents in line 2 above.

5 The Doctoral student sends a copy (electronic and/or paper) of his or her thesis to each member of the Thesis Jury (except the President) at the latest at the time of his or her submission to the Doctoral Students' Secretariat.

## **Article 20**

Reports of the members of the Thesis Jury

1 With the exception of the President, the members of the Thesis Jury shall write a report in which they evaluate the work presented and send it to the Vice-Dean for Research at least seven days before the colloquium is held.

2 In addition to comments on form and content, each author of a report must:

- a. Decide on whether the manuscript is acceptable (*whether it can pass*).
- b. Communicate his or her assessment as to whether the manuscript merits consideration for possible prize(s)

3 The content of these reports has no bearing on whether the private thesis colloquium is held or not (*i.e., negative reports do not stop the colloquium from taking place*).

4 The reports are intended for the work of the Thesis Jury and remain confidential. With the specific agreement of the members of the Thesis Jury concerned, the reports may be shared with the Doctoral student and other members of the Thesis Jury after the colloquium (in no case before), in particular in case of requests for modifications to be made to the manuscript.

## **Article 21**

### Private Colloquium

1 The President of the Thesis Jury, assisted by the Doctoral Students' Secretariat, organizes the colloquium.

2 The private colloquium may take place at any time, except on a public holiday, during the Christmas holidays, or during the period from 15 July to 15 August.

3 The colloquium shall be chaired by the President of the Thesis Jury. It is held privately in the presence (if necessary via videoconference) of only the members of the Thesis Jury and the Doctoral student.

4 In case of force majeure, the complete absence of a member of the Thesis Jury (with the exception of the Director) does not in principle lead to the postponement of the private colloquium. As far as possible, this member shall communicate his or her comments on the manuscript and questions to the President of the Thesis Jury and informs him or her of any requests for corrections before the colloquium is held.

5 During the colloquium, the Doctoral student presents his/her work and then answers questions from the Thesis Jury members.

6 In principle, the colloquium shall not exceed 3 hours.

7 At the end of the colloquium, the Thesis Jury deliberates and decides whether the thesis is successful. The Jury may declare that:

- The thesis passes without modification or with minor modifications of form.
- The thesis passes subject to written additions or modifications. It must be possible for the Doctoral student to do this work within a maximum of three months from the date of the colloquium.
- The thesis does not pass.

8 The Thesis Jury's decision, a summary of the modifications or additions required, and the name of the person(s) designated by the Jury to check and validate the modifications, are the subject of minutes which are kept by the President and which must be signed by the members of the Jury.

9 The President of the Thesis Jury takes note of the confidential assessments of the Jury (*of the quality of the thesis and the examination*) for the sole purpose of nomination for a possible prize.

10 At the end of the private colloquium, the decision of the Thesis Jury, as well as the list of any modifications or additions to be made, is directly communicated to the Doctoral student.

11 If the thesis is deemed passed at the end of the private colloquium, the Doctoral student is authorised to undertake the public defence.

12 If the thesis is deemed not to pass, the Doctoral student may present a new version of his/her work. In this case, the Thesis Jury must, through its President, inform the Doctoral student in writing of the decision and its reasons, the conditions for subsequent passing of the thesis, and mention the means of appeal. A copy of this document is sent to the Dean's Office. A new private colloquium is then organized according to the usual procedures.

13 A second failure to pass leads to a definitive failure.

## **Article 22**

### The public defence

1 If, as a result of the private colloquium, the Thesis Jury required editorial additions or modifications to the manuscript to be made, the Doctoral student must send the modified version of the thesis to the Doctoral Students' Secretariat one week before the public defence, accompanied by the approval of the person designated by the Jury to check the modifications.

2 The public defence shall take place no earlier than three weeks and, as a general rule, no later than four months after the private colloquium. This defence may not take place on a public holiday, nor during the Christmas holidays, nor during the period from 15 July to 15 August.

3 The public defence shall be open to the public and announced through the usual communication channels of the FGSE.

4 The public defence is presided over by the President of the Thesis Jury.

5 In order for the defence to be valid, the Thesis Director, the President of the Thesis Jury, and at least one expert (or the Faculty Referent) must be present (if necessary via videoconference). In case of force majeure, one of these members (with the exception of the Thesis Director) may be replaced by another member of the FGSE, if possible with the prior agreement of the Vice-Dean of Research.

6 The public defence begins with a presentation by the Doctoral student of his or her research and thesis, lasting between 40 and 45 minutes. The President of the Thesis Jury then invites the members of the Jury to share their comments and questions. Once the Doctoral student has answered the questions to the satisfaction of the members of the Jury, the President invites the Assembly to comment or ask questions.

7 The public defence is conducted in French or English. At the request of the Doctoral student, the President of the Thesis Jury may authorize the Doctoral student to undertake the public defence in another language.

8 At the end of the public defence, the Thesis Jury shall deliberate and decide whether the defence is successful. The Jury may declare that

- The test is passed; in this case the imprimatur (*a signed document attesting the successful completion of the examination and which is part of the final thesis copy*) is delivered to the Doctoral student.
- The test is passed, but some minor modifications must be made to the thesis manuscript; the imprimatur is then retained until the document is finalized within one month after the defence.
- The test is not passed.

9 The Thesis Jury's decision is recorded in minutes kept by the President and signed by the members of the Jury who are present; the Jury's assessments (for a possible prize) are recorded in a document separate from the minutes.

10 In case of failure, the decision is sent in writing to the Doctoral student by the President of the Thesis Jury, specifying the reasons for the Jury's decision and mentioning the means of appeal. A copy of this document is sent to the Vice-Dean.

Failure in the public defence does not call into question the success of the private colloquium. The Doctoral student has the right to request a new public defence. The latter is then organized according to the usual procedures.

11 A second failure at the public defence constitutes a definitive failure for the whole thesis examination.

### **Article 23**

Entitlement to the degree

1 After obtaining the imprimatur, but no later than six months after the public defence, the Doctoral student must register his/her thesis at the library (BCU) and deposit copies of the final version of the thesis in compliance with the instructions as set by the University (Directive 3.10).

2 In addition to the copies due to the BCU, to the Director and Co-Director of the thesis, as well as to the Doctoral Students' Secretariat, the Doctoral student shall refer to the "Vademecum" which specifies the other deposits requested (Institute; Library of Earth Sciences - BST) and their format (paper or electronic).

3 The student may carry the title of Doctor (PhD) in the chosen discipline as soon as this title has been conferred by the administration of the university (Direction de l'UNIL).

### **Article 24**

Right of appeal

1 In the event of a dispute relating to either examination (private colloquium or public defence) or to the thesis examination as a whole, an appeal, duly substantiated, must be lodged in the first instance with the Dean.

2 The right of appeal must be exercised within 30 days of the private thesis colloquium or public defence.

3 If the decision of the first instance is contested, an appeal to the second instance may be lodged in accordance with the rules in force at the University of Lausanne (Art. 83 LUL).

4 In addition, article 83 of the RFGSE is applicable.

### **Article 25**

Entry into force and transitional measures

1 This Regulation shall enter into force on 1 August 2020. It cancels and replaces from that date the previous Regulation dated 16 February 2015.

2 Doctoral students who have already initiated the procedure described in Article 19.2 of the new Regulations (Article 15 of the 2015 Regulations) to initiate a private colloquium examination at the time of entry into force of these Regulations, shall remain subject until the end of their thesis to Articles 15 to 22 of the former Regulations dated 14 February 2015, with the exception of Article 22 paragraph 3 of the 2015 Regulations, whose 10-day period for appeal is replaced by the 30-day period of these Regulations.

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approved by:

FGSE Faculty Council, November 7, 2019 (signed by the Dean: F. Herman)

UNIL Rectorate, April 7, 2020 (signed by the Rector: N. Hernandez)