

The following document is an English translation of the original and binding German language version of the document 'Nr. 542c Promotionsordnung der Kultur- und Sozialwissenschaftlichen Fakultät der Universität Luzern und Prüfungsordnung der Graduate School of Humanities and Social Sciences at the University of Lucerne, vom 27. Januar 2020 (Stand 1. August 2020)'

No. 542c

Doctoral regulations and examination regulations of the Graduate School of Humanities and Social Sciences*

dated 27 January 2010 (version dated 1 August 2020)

The University Council of the University of Lucerne,

based on § 16, paragraph 1g of the University Act dated 17 January 2000¹, at the senate's request,

has concluded:

I General provisions

§ 1 *Basic policy*

- ¹ The Faculty of Humanities and Social Sciences at the University of Lucerne (hereinafter the Faculty) awards the academic title of Doctor of Philosophy (Dr. Phil.) on the basis of doctoral achievements or as an honorary degree.
- ² The doctorate is completed as part of a structured doctoral study programme at the Graduate School of Humanities and Social Sciences at the University of Lucerne (GSL) within the Faculty.
- ³ Upon request, the doctoral certificate will also include the English title of Doctor of Philosophy (Ph.D.).
- ⁴ The doctoral achievements required consist of study achievements, the dissertation, the defence, and publication of the dissertation.
- ⁵ The Faculty Assembly issues guidelines for the doctoral study programme and the doctoral examination procedure.

§ 2 *Board of the doctoral study programme*

- ¹ The Faculty Assembly elects the Board of the doctoral study programme (hereinafter the Board) from the body of full, associate and assistant professors. The Board is elected for a period of two years, and must consist of at least three people. The Board elects a chairperson from among its ranks.

¹ SRL no. [539](#)

* See tables with change notices at the end of the decree.

² The Board receives applications for admission to the doctoral study programme and for the initiation of the doctoral examination procedure. It determines whether the admission conditions have been met and rules on admission in accordance with § 3.

³ By request of the candidate, the Board begins the doctoral examination procedure in accordance with section 7.

II Admission

§ 3 * *Admission requirements for the doctoral study programme*

¹ Candidates are admitted to the doctoral study programme for a subject area within the Faculty if they meet the following criteria: they have attained a minimum overall mark of 5.0 in a university master's degree or an equivalent degree.

² The Board rules on admission to the doctoral study programme and on instances where the required mark has not been met. The documents listed in the 'Application and Admission' section of the university website should be enclosed with the admission application. *

a. * ...

b. * ...

c. * ...

³ Following successful admission, the student is enrolled at the University of Lucerne for the duration of the doctoral studies.

§ 4 *Supervisors*

¹ When admitting the candidate, the Board allocates a supervisor based on the candidate's suggestion from the ranks of qualified members of the Faculty to act as the candidate's first supervisor. The first supervisor is continuously responsible for supervision throughout the period during which the candidate is part of the GSL. *

² In the third year of study at the latest, the Board appoints a second supervisor (based on a suggestion from the candidate). The second supervisor may also be a member of another faculty or university, and must have the right to confer doctoral degrees. *

³ In addition to the first and second supervisors, the dissertation may be co-supervised by an academic with a doctoral degree (co-promoter). *

III Academic achievements, progress of dissertation

§ 5 *Study achievements*

¹ Participation in the GSL study programme is generally planned for the first four semesters.

² Upon admission to the doctoral study programme, the supervisor (in consultation with the candidate) sets out in a supervision agreement the study achievements to be undertaken as part of the programme. *

³ The minimum study achievements to be completed are governed by guidelines. Proof of these achievements is a requirement for beginning the doctoral examination procedure. These achievements generally consist of attending various department offerings such as colloquiums or classes covering key skills, as well as external events. Certification is awarded for all study achievements. *

⁴ In individual cases, the candidate may be exempted from participation in all or part of the study programme. This may particularly be the case for academic staff members in Faculty roles or externally funded projects, or for students living abroad.

§ 6 *Progress of dissertation*

¹ At the end of the first and second years of study, candidates and their supervisors must inform the Board in

writing of the current progress of the dissertation, based on their discussions. The following specific elements are required:

- at the end of the first year: a brief report on the progress of the doctorate and a schedule with a brief statement from the first supervisor,
- at the end of the second year: a brief report on the progress of the doctorate with brief statements from the supervisor(s) and presentation of the interim results of the dissertation project to a Faculty colloquium and, if possible, an international conference.

² The dissertation should be submitted at the end of the fourth year of study. If this deadline cannot be met, interim reports must show that the first supervisor endorses an extension of the dissertation period, and a timetable must be supplied showing when the work will be submitted. *

³ Upon written request, the Board will rule on exemptions and derogations in consultation with supervisors. *

IV Doctoral examination procedure

§ 7 *Beginning of and admission to the doctoral examination procedure*

¹ The doctoral examination procedure is initiated by resolution of the Board at the request of the candidate. The request must be addressed to the chairperson of the Board.

² The following must be enclosed with the application to initiate the doctoral examination procedure:

- three copies of the dissertation,
- three copies of a summary of the dissertation – covering its objective, content and finding. This shall not be identical to any section of the dissertation,
- a declaration by the candidate stating that he or she completed the submitted work independently, that only the mentioned aids were used in writing the dissertation, and that any passages taken from other works (verbatim or in content) have been indicated as such,
- a declaration as to whether the dissertation has previously been submitted to any faculty, either in its present form or another version,
- proof of participation in the faculty's doctoral study programme in accordance with § 5,
- proof of enrolment for the duration of the doctoral study programme.

³ The Board rules on whether to initiate the doctoral examination procedure, by a simple majority. In the event of a tie, the chairperson has the casting vote. If the application to initiate the procedure is rejected, this is immediately communicated in writing to the candidate, giving the reasons for the rejection and information about the right of appeal.

⁴ The request to initiate the doctoral examination procedure may be withdrawn, provided that no expert assessments have been produced.

⁵ A failed doctoral attempt e can only be repeated once. This includes failed attempts at other universities.

V Doctoral achievements

§ 8 *Dissertation*

¹ The dissertation is a piece of independently produced research work that meets academic requirements and furthers the current state of academic knowledge. It must not have been published in full as part of another doctoral examination procedure, nor may substantial parts of it have been previously submitted. Exceptions to this are detailed in § 9.

² It must be attributable to one of the Faculty's subject areas on the basis of its topic and methodology.

³ It must be supervised by a member of the Faculty who has the right to confer doctoral degrees. *

⁴ It should generally be completed in German, English or French. By agreement with the supervisor, the Board

may permit the dissertation to be written in another language.

- ⁵ Following a GSL Board resolution, the Examinations Committee commissions two qualified faculty members with the writing of the first and second assessments. This will generally be the first and second supervisors appointed for the doctoral studies. The second assessor may also be a qualified member of another faculty or university. *
- ⁶ If the first and second assessments differ by more than one mark, a third assessment will be commissioned from a member of another faculty or university who has the right to confer doctoral degrees. The third assessor will be selected by the Examinations Committee based on a recommendation from the GSL Board. In this event, the doctoral candidate will be asked to submit an additional printed and bound copy to the dean's office. *
- ⁷ Once all assessments have been submitted, they are displayed together with the dissertation in the Faculty's Dean's Office for a period of four weeks for inspection by full-time research and teaching staff and associates of the faculty who hold doctorates. These individuals may submit opinions on the dissertation and the associated assessments to the Examinations Committee until three days after the end of the display period.
- ⁸ The Examinations Committee rules on the acceptance and marking of the dissertation, upon request by the first assessor and taking into account the other assessment(s) and any opinions submitted by members of the faculty with the right to confer doctoral degrees. *

§ 9 *

- ¹ Departments that allow cumulative dissertations set out their requirements in specific guidelines.

§ 10 *Defence*

- ¹ The defence consists of a presentation given by the doctoral candidate which is open to the Faculty, followed by a discussion of the academic and methodological issues and main findings of the dissertation. The findings of the dissertation should be presented concisely, set within their larger systematic and historical context, and deliberated upon methodically.
- ² The defence takes place in the presence of the first and second assessors, and is overseen by the dean. The dean may be represented by the vice-dean or the chair of the Examinations Committee. *
- ³ Following the defence, the first assessor, second assessor and dean decide on whether the candidate has passed the defence and what mark will be awarded. The grading of the defence and overall grade for the doctorate is then communicated to the doctoral student.
- ⁴ If the doctoral student fails to appear at the defence without cause or if he or she interrupts the defence without a valid reason, this counts as a fail.
- ⁵ The dean provides the doctoral student with a preliminary certificate stating the marks for the dissertation and defence and the overall mark for the doctorate.
- ⁶ Rejection decisions are accompanied by a statement giving reasons and containing information on the appeal process.

VI **Doctorate**

§ 11 *Grades*

- ¹ Dissertations and defences are awarded marks from 6 to 1 in whole or half marks.
- ² The individual marks are evaluated as follows:
- | Mark | Rating |
|------|-----------|
| 6 | excellent |
| 5.5 | very good |
| 5 | good |

- 4.5 satisfactory
- 4 adequate
- 3 inadequate
- 2 poor
- 1 very poor

§ 12 *Passing / fail / repeat*

- ¹ A minimum mark of 4 must be attained in order to pass the dissertation and defence
- ² A dissertation given an overall rating of 'inadequate' may be revised and resubmitted within a deadline set by the Examinations Committee. If the revised version is also deemed inadequate, the work is failed permanently.
- ³ A failed piece of work remains in the Dean's Office's records along with all reviews. ejected work remains in the files of the Dean's Office, together with all expert assessments.
- ⁴ If the defence is failed, it can be repeated once.

§ 13 *Minutes*

- ¹ Minutes must be drawn up recording all the Board's and Examinations Committee's decisions regarding the doctoral examination procedure, as well as the course and outcome of the defence.
- ² Doctoral students are entitled to view the examination files.

§ 14 *Impropriety*

- ¹ If the dissertation is not independently completed by the doctoral candidate in all its parts, it will ultimately be rejected. If the deception only comes to light after the doctoral examination procedure has been completed, the title awarded may be withdrawn.

§ 15 *Publication*

- ¹ The dissertation must be published within two years of successfully passing the defence. *
- ² By reasonable request, the dean may extend the dissertation publication deadline a maximum of three times by one year each time. If the dissertation is not published within five years of successfully passing the defence, the doctoral studies are deemed to not have been successfully completed and the preliminary certificate stating that the doctoral examination procedure has been passed must be returned to the Dean's Office.
- ³ Dissertations may also be published in electronic form. The file format and data medium should be in accordance with the requirements set out by the Lucerne Central and University Library (ZHB).
- ⁴ Requirements explicitly noted in the expert assessments of the dissertation must be taken into account by the doctoral student when revising the manuscript for printing. The first assessor must confirm to the Examinations Committee that these requirements have been met before the dissertation goes to print. *
- ⁵ Any significant discrepancies between the version intended for printing and the manuscript submitted for assessment must be independently declared by the doctoral student to the Examinations Committee for the attention of the first assessor. The doctoral student may be required to undo such discrepancies. *

§ 16 *Completion of doctorate*

- ¹ Upon delivery of the deposit copies, the candidate is awarded the title of Doctor of Philosophy (Dr. phil.) in accordance with § 1. If a publishing contract has been signed, an application may be submitted to the dean for the doctoral certificate to be issued. *
- ² A reference is issued confirming the candidate's doctoral study work. It shall be signed by the dean.
- ³ Following successful defence of the dissertation, the candidate may use the title of Doctor designatus (Dr.

des.) until graduation.

⁴ The Faculty issues a doctoral certificate bearing the signature of the dean.

§ 17 Overall grade

¹ If two expert assessments were prepared for the dissertation, the overall grade for the doctorate is calculated from the marks for the first and second assessments in a 4x weighting and the mark for the defence in a 2x weighting. If there are three expert assessments, the overall grade is calculated from the marks for the first, second and third assessments in a 4x weighting and the defence in a 3x weighting. *

² The overall grade is awarded as follows with an average mark of

5.75–6.00: summa cum laude

5.25–5.74: insigni cum laude

4.75–5.24: magna cum laude

4.25–4.74: cum laude

4.00–4.24: rite.

VII Honorary doctorate title

§ 18 Honorary doctorate

¹ The Faculty may choose to award the title of honorary doctor (Dr. phil. h.c.) to individuals who have made a particular contribution to the field of humanities and/or social sciences.

² The dean makes an application for such a degree to be awarded based on a recommendation by a member of the Faculty Assembly, and the final decision is made by the Faculty Assembly.

VIII Final provisions

§ 19 Fees

¹ The examination fees and any fees due for degrees and graduation certificates are determined in accordance with the ordinance on tuition fees in cantonal schools and universities (Schulgeldverordnung).²

§ 20 Right to appeal

¹ Administrative appeals can be filed with the relevant department against decisions in connection with these doctoral regulations in accordance with the stipulations of the University Law³ and the laws regarding the Administrative Procedure Act.⁴

² Appeals must be submitted in writing. They must include a specific request and the justification for this request. The appeal period is 30 days.

§ 21 Repeal of previous legislation

¹ The doctoral regulations for the Faculty of Humanities at the University of Lucerne dated 25 June 2003⁵ are repealed.

§ 22 Transitional provision

¹ Candidates who have begun a doctorate before these doctoral regulations enter into force may complete the doctorate in accordance with the previous regulations.

² SRL no. [544](#)

³ SRL no. [539](#)

⁴ SRL no. [40](#)

⁵ G 2003 252 (SRL no. [542c](#))

² The change dated 25 March 2020 applies to studies beginning from 1 August 2020. *

§ 23 *Entry into force*

¹ These doctoral regulations enter into force on 1 February 2010. The regulations shall be published.

Table of changes – by paragraph

Element	Decision date	Entry into force	Change	Reference G
Decree	27 January 2010	1 February 2010	First version	G 2010 113
Decree title	25 March 2020	1 August 2020	amended	G 2020-024
Section 3	25 April 2012	1 August 2012	amended	G 2012 161
Section 3 para. 2	25 March 2020	1 August 2020	amended	G 2020-024
Section 3 para. 2, a.	25 March 2020	1 August 2020	removed	G 2020-024
Section 3 para. 2, b.	25 March 2020	1 August 2020	removed	G 2020-024
Section 3 para. 2, c.	25 March 2020	1 August 2020	removed	G 2020-024
Section 4 para. 1	25 April 2012	1 August 2012	amended	G 2012 161
Section 4 para. 1	25 March 2020	1 August 2020	amended	G 2020-024
Section 4 para. 2	25 March 2020	1 August 2020	amended	G 2020-024
Section 4 para. 3	25 March 2020	1 August 2020	inserted	G 2020-024
Section 5 para. 2	25 April 2012	1 August 2012	amended	G 2012 161
Section 5 para. 3	25 April 2012	1 August 2012	amended	G 2012 161
Section 6 para. 1, b.	25 April 2012	1 August 2012	amended	G 2012 161
Section 6 para. 2	25 March 2020	1 August 2020	amended	G 2020-024
Section 6 para. 3	25 April 2012	1 August 2012	amended	G 2012 161
Section 8 para. 3	25 March 2020	1 August 2020	amended	G 2020-024
Section 8 para. 5	25 March 2020	1 August 2020	amended	G 2020-024
Section 8 para. 6	25 March 2020	1 August 2020	amended	G 2020-024
Section 8 para. 8	25 March 2020	1 August 2020	amended	G 2020-024
Section 9	26 January 2011	1 February 2011	amended	G 2011 108
Section 10 para. 2	25 March 2020	1 August 2020	amended	G 2020-024
Section 15 para. 1	25 March 2020	1 August 2020	amended	G 2020-024
Section 15 para. 4	25 March 2020	1 August 2020	inserted	G 2020-024
Section 15 para. 5	25 March 2020	1 August 2020	inserted	G 2020-024
Section 16 para. 1	25 March 2020	1 August 2020	amended	G 2020-024
Section 17 para. 1	25 March 2020	1 August 2020	amended	G 2020-024
Section 22 para. 2	25 April 2012	1 August 2012	inserted	G 2012 161
Section 22 para. 2	25 March 2020	1 August 2020	amended	G 2020-024

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27 January 2010	1 February 2010	Decree	First version	G 2010 113
26 January 2011	1 February 2011	Section 9	amended	G 2011 108
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25 April 2012	1 August 2012	Section 4 para. 1	amended	G 2012 161
25 April 2012	1 August 2012	Section 5 para. 2	amended	G 2012 161
25 April 2012	1 August 2012	Section 5 para. 3	amended	G 2012 161
25 April 2012	1 August 2012	Section 6 para. 1, b.	amended	G 2012 161
25 April 2012	1 August 2012	Section 6 para. 3	amended	G 2012 161
25 April 2012	1 August 2012	Section 22 para. 2	inserted	G 2012 161
25 March 2020	1 August 2020	Decree title	amended	G 2020-024
25 March 2020	1 August 2020	Section 3 para. 2	amended	G 2020-024
25 March 2020	1 August 2020	Section 3 para. 2, a.	removed	G 2020-024
25 March 2020	1 August 2020	Section 3 para. 2, b.	removed	G 2020-024
25 March 2020	1 August 2020	Section 3 para. 2, c.	removed	G 2020-024
25 March 2020	1 August 2020	Section 4 para. 1	amended	G 2020-024
25 March 2020	1 August 2020	Section 4 para. 2	amended	G 2020-024
25 March 2020	1 August 2020	Section 4 para. 3	inserted	G 2020-024
25 March 2020	1 August 2020	Section 6 para. 2	amended	G 2020-024
25 March 2020	1 August 2020	Section 8 para. 3	amended	G 2020-024
25 March 2020	1 August 2020	Section 8 para. 5	amended	G 2020-024
25 March 2020	1 August 2020	Section 8 para. 6	amended	G 2020-024
25 March 2020	1 August 2020	Section 8 para. 8	amended	G 2020-024
25 March 2020	1 August 2020	Section 10 para. 2	amended	G 2020-024
25 March 2020	1 August 2020	Section 15 para. 1	amended	G 2020-024
25 March 2020	1 August 2020	Section 15 para. 4	inserted	G 2020-024
25 March 2020	1 August 2020	Section 15 para. 5	inserted	G 2020-024
25 March 2020	1 August 2020	Section 16 para. 1	amended	G 2020-024
25 March 2020	1 August 2020	Section 17 para. 1	amended	G 2020-024
25 March 2020	1 August 2020	Section 22 para. 2	amended	G 2020-024