

Guidelines for  
**PhD regulations for the Faculty II of Humanities and Social Sciences at the  
 University of Lucerne, and examination regulations for the Graduate School of  
 Humanities and Social Sciences at the University of Lucerne from 9<sup>th</sup> December  
 2009**

from 14.12.2009,  
 including amendments from 20th December 2010, from 27<sup>th</sup> March 2012, from 24<sup>th</sup> March  
 2014 and from 15<sup>th</sup> September 2014

**Disclaimer:**

*The English Translation of the Guidelines to the PhD regulations is offered merely for informational purposes for non-native German speakers. Full legal validity is assigned exclusively to the Guidelines issued in German.*

*The Faculty Assembly,*

Following § 1, Paragraph 5 of the doctoral regulations from 27th January 2010 Faculty II of Humanities and Social Sciences at the University of Lucerne

*concludes:*

**§ 1**     *General*

According to the doctoral regulations, doctoral students can be:

- a. Holders of a GSL scholarship,
- b. academic employees holding faculty positions and/or working on externally funded projects,
- c. independent doctoral students not holding a position or GSL scholarship.

**§ 2**     *Supervision Agreement*

<sup>1</sup> Admission to the doctoral program requires the closing of a written supervision agreement covering the duration, objectives and framework of the dissertation project and handing it in to the board.

<sup>2</sup> The execution of the supervision agreement is to be reviewed by both sides through yearly consultations, resulting in interim reports. Changes are to be recorded in writing for the attention of the board.

<sup>3</sup> The agreement includes a project plan that defines the objectives and methodology of the research project, as well as a schedule. This includes regular discussion on the progress of the doctorate. At the request of either the supervisor or the doctoral candidate, the objectives and methodology of the project may be omitted from the agreement.

<sup>4</sup> In addition the supervision agreement can include further conditions, relevant to the curricular interests, such as the acquisition of teaching skills, participation in conferences or involvement in teaching.

**§ 3**     *Requirements for holders of a GSL scholarship*

<sup>1</sup> Requirements in the first year of doctoral study:

- a. Presentation of the dissertation concept to a KSF colloquium,
- b. successful attendance of a course teaching academic skills in methodology or theory, by arrangement with the supervisor,
- c. submission of either an initial section or a complete exposé of the dissertation to the supervisor.
- d. submission of a report to the board of the GSL describing the progress of the dissertation with a brief accompanying statement from the supervisor.

<sup>2</sup> Requirements in the second year of doctoral study:

- a. Presentation of the progress of the dissertation to a KSF colloquium,
- b. successful attendance of a course teaching academic skills in methodology or theory, by arrangement with the supervisor,
- c. attendance of and presentation at an international conference (can also take place in the third year of doctoral study),
- d. discussion and submission of a report to the board of the GSL containing details of the progress of the dissertation from the doctoral candidate and the supervisor.

<sup>3</sup> Requirements in the third year of doctoral study:

- a. Presentation of the progress of the dissertation to a KSF colloquium,
- b. application to the Board of the GSL to begin the doctoral examination procedure.

#### § 4 *Requirements for academic employees holding faculty positions or working on externally funded projects*

<sup>1</sup> The total period of doctoral study must not exceed four years.

<sup>2</sup> Requirements for the first two years of doctoral study:

- a. Presentation of the dissertation concept to a KSF colloquium,
- b. successful attendance of two courses teaching academic skills in methodology or theory, by arrangement with the supervisor,
- c. submission of either an initial section or a complete exposé of the dissertation to the supervisor,
- d. yearly discussion and submission of a report to the board of the GSL containing details of the progress of the dissertation from the doctoral candidate and the supervisor.

<sup>3</sup> Requirements for the third and fourth years of doctoral study:

- a. attendance of and presentation at an international conference, which in agreement with the supervisor can take place between the second and fourth year of study,
- b. yearly discussion and submission of a report to the Board of the GSL containing details of the progress of the dissertation from the doctoral candidate and the supervisor.
- c. yearly presentation of the progress of the dissertation to a KSF colloquium,
- d. application to the board of the GSL to begin the doctoral examination procedure – in the fourth year of study at the latest.

#### § 5 *Requirements for independent doctoral candidates not holding a position or GSL scholarship*

<sup>1</sup> There is no limit to the overall duration of doctoral study. However, admission to the GSL is limited to a period of five years. Afterwards the supervisor will assess the dissertation progress and the board of the GSL will make a decision on a further period of admission.

<sup>2</sup> Requirements for the first two years of doctoral study:

- a. Presentation of the dissertation concept to a KSF colloquium,
- b. successful attendance of two courses teaching academic skills in methodology or theory, by arrangement with the supervisor,
- c. submission of either an initial section or a complete exposé of the dissertation to the supervisor,
- d. yearly discussion and submission of a report to the Board of the GSL containing details of the progress of the dissertation from the doctoral candidate and the supervisor.

<sup>3</sup> Requirements for the remaining years of doctoral study:

- a. Yearly discussion and submission of a report to the board of the GSL containing details of the progress of the dissertation from the doctoral candidate and the supervisor,
- b. Yearly presentation of the progress of the dissertation to a KSF colloquium.

#### § 6 *Credit transfer and completion of studies*

<sup>1</sup> The supervisor will make a decision concerning the inclusion of credit from external studies, in accordance with the criteria set by the board of the GSL, and bring this to the attention of the board.

<sup>2</sup> The board of the GSL will decide on the continuation of the doctoral studies in case of non-fulfillment of the requirements, as well as exceptions and deviations. This decision will be made in consultation with the supervisor.

#### § 7 *Dissertation*

<sup>1</sup> The board of the GSL provides a template for the formal layout of the title page, and define additional requirements with regard to the formal layout of the submission version of the dissertation.

<sup>2</sup> The dissertation examiners must submit their review to the examinations committee no later than four months after selection.

<sup>3</sup> The finance departments will issue the candidate with an invoice for the examination fees upon acceptance of the dissertation.

#### § 8 *Discipline-specific regulations for cumulative dissertations*

<sup>1</sup> **Health Sciences and Health Policy**

- a. As well as the primary supervisor (Promoter 1) and the secondary supervisor (Promoter 2) the dissertation can be co-supervised by another qualified academic (Co-Promoter). In addition, two external advisors (Advisor) can be

consulted. These people make up the dissertation committee.

- b. The cumulative dissertation consists of a collection of at least three specialist articles of which the candidate is the principal author, that have been accepted for publication in an English-language journal which has a peer-review process for publication, and a research paper outline authored solely by the doctoral candidate. These articles must form a self-contained dissertation. At least two specialist articles must be accepted for publication in an academic journal by the beginning of the doctoral examination process. The third article must have been submitted for publication. The final granting of the doctoral title follows as soon as the third article is accepted for publication and the publication requirements have been filled.
- c. The article outline must contain:
  - A general introduction that describes the background, objective and methodology of the work,
  - an overview of the findings,
  - a comprehensive discussion of the theses as well as
  - a summary with conclusions and further developments.
- d. At least one of the supervisors cannot be co-author to any of the submitted articles.
- e. In exceptional circumstances the dissertation committee described in point a can relieve the candidate of the requirements of point b. In such a case the candidate must meet one of the other discipline specific regulations for cumulative dissertations (§ 8).

## <sup>2</sup> Economics

- a. The cumulative dissertation consists of a collection of specialist articles, which may be co-authored, and a research paper outline of which the candidate is the sole author.
- b. The research paper outline summarizes the findings and contributions of the individual articles.
- c. If a cumulative dissertation contains co-authored articles, an additional declaration of the candidate's contribution to the work must be submitted for each piece of work. It must be signed by the candidate and counter-signed by the co-authors.
- d. None of the examiners may be co-authors to any of the work submitted.

## <sup>3</sup> Political science

- a. The cumulative dissertation consists of a collection of at least three specialist articles of which the candidate is the principal author, that have been accepted for publication in an English-language journal which has a peer-review process for publication, and a research paper outline authored solely by the doctoral candidate. A cumulative dissertation in political science must carry the scientific weight of a dissertation meant for a monograph.
- b. The research paper outline must place the findings of the individual publications in a wider context, present their theoretical and/or practical relevance in detail, and clarify their position within the subject area.
- c. None of the examiners may be co-authors to any of the work submitted.

## § 9 *Defense/viva*

<sup>1</sup> The time and date of the viva examination is stipulated by the dean in agreement with all parties involved. As a rule, the viva examination takes place no later than three months after the acceptance of the dissertation. All members of the faculty assembly who are entitled to participate are to be invited to the defense four weeks in advance.

<sup>2</sup> The defense consists of a presentation lasting approximately 20 minutes and a discussion lasting approximately 40 minutes..

<sup>3</sup> Remaining members of the faculty assembly are entitled to participate in the defense and ask questions.

<sup>4</sup> Additional persons may participate in the viva examination by request and by agreement with the dean.

## § 10 *Publication of the dissertation*

<sup>1</sup> The board of the GSL formulates the regulations for the printing and formal layout of the title page for the obligatory copies.

<sup>2</sup> If the dissertation is published as a monograph, either in print or electronically, appropriate reference should be made to the fact that the text is drawn from a dissertation of the University of Lucerne. The original dissertation title and year of submission should also be specified.

<sup>3</sup> For cumulative dissertations, all articles in print or electronic form must be published either in an academic journal or in electronic form on the document server of the ZHB Luzern. For the obligatory copies, each individual contribution should be bound and delivered together with the framework document without changing the page count, irrespective of their form of publication. Each obligatory copy should include a title page on which full bibliographic details are given for each section.

<sup>4</sup> On completion of the examination process, at least seven copies of the obligatory copy of the doctoral work should be submitted. From these a copy should be given to each of the examiners, as well as to the board for archiving purposes. Four copies should be delivered to the Zentral- und Hochschulbibliothek (ZHB).