

No. 542c

Doctoral Regulations of the Faculty II for Humanities and Social Sciences at the University of Lucerne, and Examination Regulations of the Graduate School of Humanities and Social Sciences at the University of Lucerne

27 January 2010*,
including the amendment of 26 January 2011 and 25 April 2012

By request of the Senate, the University Council of the University of Lucerne,

based on Section 16 Paragraph 1g of the University Regulations dated 17 January 2000¹,

concludes the following:

I. General Conditions

§ 1 *Principle*

¹ The Faculty II for Humanities and Social Sciences at the University of Lucerne (hereinafter Faculty) shall award the academic qualification of Doctor of Philosophy (D.Phil.) either on the basis of completion of the doctoral study achievements, or as an honorary qualification.

² The doctorate shall be completed in the Faculty as part of the structured doctoral study programme at the Graduate School of Humanities and Social Sciences at the University of Lucerne (GSL).

³ If requested, the doctoral certificate may also be issued with the English title of Doctor of Philosophy (PhD).

⁴ The doctoral requirements consist of study achievements, a dissertation, a viva examination 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 shall elect the Board of the doctoral study programme (hereinafter Board) from the ranks of regular, associate and assistant professors. The Board shall be elected for a period of two years and shall consist of a minimum of three persons. The Board shall elect a chairperson from among its ranks.

² The Board shall receive applications for admission to the doctoral study programme and for the initiation of the doctoral examination procedure. The Board shall ascertain whether a candidate fulfils the admissions criteria and shall make decisions on admission in accordance with Section 3.

³ By request of the candidate, the Board shall initiate the doctoral examination procedure in accordance with Section 7.

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¹ SRL no. 539

II. Admission

§ 3 *Admissions requirements for the doctoral study programme*

¹ Candidates meeting the following criteria may be admitted to a doctoral study programme in one subject in the Faculty: they have attained a minimum overall mark of 5.0 in a university master's degree or equivalent.

² Any decisions on admission to the doctoral study programme and regarding any deviations from the required mark shall be made by the Board. The candidate must enclose the following with their application:

- a. A supervision agreement with schedule
- b. Copies of any university degrees attained
- c. A CV in table format

³ Upon successful admission, the student must be enrolled at the University of Lucerne for the duration of the doctoral study programme.

§ 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 take on initial supervision of the candidate. The first supervisor is responsible for continued supervision of the candidate while he or she is enrolled at the GSL.

² In the third year of study at the latest, the Board shall allocate a second supervisor, based on the candidate's suggestion. The second supervisor can also be a qualified member of another Faculty or University.

III. Course credit, dissertation progress

§ 5 *Course credit*

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

² Upon admission to the doctoral study programme, the supervisor sets out in a supervision agreement the course credits to be attained as part of the doctoral study programme, as coordinated with the candidate.

³ The minimum course credits to be attained are governed by guidelines. Proof of these credits is a prerequisite for initiating the doctoral examination procedure. These credits are generally obtained from participation in a variety of departmental events, e.g. colloquia or lectures in the student's key qualification area, along with external events. A certificate shall be issued for all course credits.

⁴ In individual cases, the candidate may be exempted from participation in the study programme or parts thereof. This is particularly the case for academic employees in Faculty positions or working on externally-funded projects, or for students who are abroad.

§ 6 *Dissertation progress*

¹ At the end of the first and second year of study, candidates and supervisors shall inform the Board in writing about the progress of the doctorate, based on discussions that they have had. Specific information required is as follows:

- At the end of the first year: a discussion and brief joint report from the candidate and supervisor on the progress of the doctorate.
- At the end of the second year: a discussion and brief joint report from the candidate and supervisor on the progress of the doctorate, and presentation of the interim results of the dissertation project to a Faculty colloquium and, if possible, an international conference.

² The dissertation must be submitted at the end of the third year of study, or after the fourth year of employment for academic staff members at the University of Lucerne.

If requested in writing, the Board shall make a decision on any exceptions and deviations, and in agreement with the supervisors.

IV. Doctoral examination procedure

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

¹ The doctoral examination procedure is initiated by a resolution of the Board at the request of the candidate. The application is to be submitted in writing to the chairperson of the Board.

² The following documents must accompany application to initiate the doctoral examination procedure:

- a. Three copies of the dissertation
- b. A summary of the dissertation in triplicate outlining the objective, content and findings of the dissertation. This shall not be identical to any section of the dissertation
- c. A declaration by the candidate that the dissertation is entirely his/her own work, that only the specified resources were used in writing the dissertation and that any direct quotes or content drawn from another source is referenced accordingly.
- d. A declaration as to whether the dissertation has previously been submitted to any faculty, either in its present form or another version
- e. Proof of participation in the doctoral study programme at the Faculty in accordance with Section 5
- f. Proof of enrolment for the duration of the doctoral study programme.

³ The Board makes its decision as to whether to initiate the doctoral examination procedure based on a simple majority. If the votes are tied, the chairperson has the casting vote. If the initiation of the doctoral examination procedure is declined, the candidate will be notified immediately by means of a written statement citing the reasons for rejection and providing information about the appeal process.

⁴ The application to initiate the doctoral examination procedure can be withdrawn, provided that no examiner's report has been written.

⁵ A failed doctorate can only be repeated once. Failed attempts at other universities are counted.

V. Doctoral achievements

§ 8 *Dissertation*

¹ The dissertation is an independently written research document that fulfils academic standards and furthers the status of academic findings. It must never have been published or submitted as part of another doctoral examination procedure, either in full or in part. See Section 9 for the exception to this regulation.

² The themes and methodology of the dissertation must be attributable to one of the established subjects taught in the Faculty.

³ It must have been supervised by a qualified member of the Faculty.

⁴ As a rule, it is to be written in German, English or French. By agreement with the supervisor, the Board may permit the dissertation to be written in another language.

⁵ After making its decision, the Examinations Committee shall ask two qualified members of the Faculty to provide a first and second assessment. As a rule, the first and second dissertation assessors are selected during the course of the doctoral study programme. The second dissertation 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 is carried out by a qualified member of another faculty or university.

⁷ Once all readers' assessments are available, they are submitted to the Faculty deanery along with the dissertation for an inspection period of four weeks. During this period, they are reviewed by the members and fellows of the Faculty who are involved in full-time research and teaching. Up to three days after the submission deadline has expired, these members and fellows can submit to the Examinations Committee any additional statements on the dissertation and the reviews.

⁸ On request from the first dissertation assessor, and taking into account their assessment or additional assessments, along with any and all statements from qualified Faculty members, the Examinations Committee shall make a decision on whether to accept and mark the dissertation.

§ 9 *Cumulative dissertation*

The departments which allow cumulative dissertations set out their requirements in specific guidelines.

§ 10 *Viva examination*

¹ The viva examination shall consist of a presentation by the doctoral student, which is open to the Faculty and a subsequent discussion about the academic and methodological issues and the main findings of the dissertation. During the viva examination, the findings of the dissertation shall be presented concisely, set within a wider systematic and historical context and deliberated upon methodically.

² The viva examination takes place in the presence of the first and second dissertation assessors and is led by the dean. The dean may opt to be represented by the vice-dean.

³ Following the viva examination, the first and second dissertation assessors and the dean shall make a decision as to whether the viva examination has been passed, and the mark to be awarded. The doctoral student is then informed of the assessment of the viva examination and the overall result of the doctorate.

⁴ If the doctoral student fails to appear at the viva examination without an excuse or stops the viva examination is stopped without a valid reason, this counts as a fail.

⁵ The dean shall issue the doctoral student with preliminary certification of the mark for the dissertation and viva examination and the overall result of the doctorate.

⁶ Rejection decisions are accompanied by a statement giving reasons and containing information on the appeal process.

VI. Doctorate

§ 11 *Assessments*

¹ The dissertation and the viva examination are awarded a mark between 6 and 1, either in full marks or half marks.

² The following assessments correspond to the individual marks:

6	Excellent
5.5	Very good
5	Good
4.5	Satisfactory
4	Adequate
3	Inadequate
2	Poor
1	Very poor

§ 12 *Pass / fail / repeat*

¹ A minimum mark of 4 must be attained in order to pass the dissertation and viva examination.

² A dissertation that is judged to be unsatisfactory in the overall assessment can be revised and re-submitted within a time limit stipulated by the Examinations Committee. If the revised version is once again assessed as being unsatisfactory, the work is failed permanently.

³ A failed piece of work remains in the deanery records along with all reviews.

⁴ If the viva examination is failed, it can be repeated once.

§ 13 *Records*

¹ A record shall be kept of all resolutions made by the Board and the Examinations Committee that affect the doctoral examination procedure and of the procedure and results of the viva examination.

² Doctoral students are entitled to view the examination files.

§ 14 *Impropriety*

If the dissertation is not written in its entirety by the doctoral candidate, it is failed permanently. If the deception is only discovered after the doctoral examination procedure has been completed, the title conferred can be withdrawn.

§ 15 *Publication*

¹ The dissertation shall be published within two years of successfully passing the viva examination. Important deviations between the published version and the submitted manuscript must be approved by the dean in agreement with the dissertation assessors.

² By reasonable request, the dean may extend the publication deadline of the dissertation for a year a maximum of three times. If the dissertation has still not been published five years after the viva examination has been passed, the doctorate is considered to be unsuccessfully completed and the preliminary certificate confirming that the doctoral examination procedure was passed must be returned to the deanery.

³ Dissertations can also be published in electronic format. The file format and data media are determined in accordance with the stipulations of the Central and University Library of Lucerne.

§ 16 *Graduation*

¹ Upon delivery of the statutory copies, the title of Doctor of Philosophy (PhD) is conferred in accordance with Section 1.

² A reference is issued confirming the candidate's doctoral study work. It shall be signed by the dean.

³ After successful completion of the viva examination, the candidate is entitled to hold the title of doctor designate (Dr. des.) until graduation.

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

§ 17 *Overall result*

¹ If the dissertation is assessed by two people, the overall mark for the doctorate is calculated from the triple-weighted marks from the first and second assessment and the quadruple-weighted mark for the viva examination. If there are three assessments, the overall result is calculated by the double-weighted mark from the first, second and third assessment and the quadruple-weighted mark for the viva examination.

² The following overall marks are awarded based on the average mark received:

- 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 can confer an honorary doctorate (Dr. phil. h.c.) on persons who have distinguished themselves through their achievements in the areas of Humanities and Social Sciences.

² The conferment of the honorary doctorate is requested by the dean at the suggestion of a member of the Faculty Assembly and is decided by the Faculty Assembly.

VIII. Final Provisions

§ 19 *Fees*

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 Act⁴.

² All appeals must be filed in writing. They shall contain one definite appeal and the reasons for it. The appeal period is 30 days.

§ 21 *Repeal of previous regulations*

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

§ 22 *Transitional provision*

¹ Anyone who started a doctorate before these doctoral regulations came into force may complete their course in accordance with the previous regulations.

² The amendment dated 25 April 2012 applies to courses of study beginning on 1 August 2012 onwards.

§ 23 *Enactment*

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

Lucerne, 27 January 2010

On behalf of the University Council

President: Dr Anton Schwingruber
Rector: Prof. Rudolf Stichweh

² SRL No. 544

³ SRL No. 539

⁴ SRL No. 40

⁵ G 2003 252 (SRL No. 542c)