

The following document is an English translation of the original and binding German language version of the document «Promotionsordnung der Wirtschaftswissenschaftlichen Fakultät der Universität Luzern»

Doctoral Regulations

dated 28 September 2016*

The University Council of the University of Lucerne

based on §16, para. 1g of the University Act of 17 January 2001,
at the Senate's request,

decrees:

I. General provisions

§ 1 *Basic principles*

- ¹ These Doctoral Regulations set out the terms for obtaining a Doctorate in Economics and Management at the Faculty of Economics and Management (hereinafter "Faculty") at the University of Lucerne.
- ² They shall remain subject to special rules arising out of agreements with other universities.
- ³ The Faculty of Economics and Management at the University of Lucerne (hereinafter "Faculty") shall award the academic degree of Doctor of Economics and Management (PhD) on the grounds of academic achievement, or on an honorary basis.
- ⁴ The academic achievement shall comprise dissertation, study results, disputation and publication of the dissertation.

II. University bodies and responsibilities

§ 2 *Faculty assembly*

- ¹ The faculty assembly publishes guidance on doctoral studies, doctoral proceedings and publication of dissertations.
- ² The faculty assembly shall decide on matters relating to these regulations by vote of its doctorate-holding members.
- ³ The faculty assembly may delegate tasks to the Director(s) of Studies or the Dean's Office.

§ 3 Supervisors

- ¹ A member of the faculty with entitlement to confer doctorate degrees shall act as supervisor for the duration of the study period.
- ² Supervisors shall provide doctoral students with regular feedback on the quality and progress of research work.
- ³ The doctoral student and supervisor shall draw up an agreement on the procedure, goals and framework conditions pertaining to the course of doctoral study. This agreement shall be governed by the provisions on employment and training in the rules and regulations for scientific assistants at the University of Lucerne². The same provisions shall also apply analogously and as applicable in respect of doctoral candidates not employed by the university.

§ 4 Assessors

- ¹ The main assessment shall be written by the supervisor.
- ² A second assessor shall be appointed by the faculty assembly at the candidate's suggestion no later than the date of application for admission to doctoral proceedings.
- ³ Members of another faculty or university with entitlement to confer doctorate degrees may also be appointed as second assessors. The faculty assembly may deviate from this rule in exceptional and justified cases.

III. Admission and duration

§ 5 Admission

- ¹ Admission to doctoral studies is by application. There is no legal right to admission.
- ² Candidates seeking admission to doctoral studies must hold a master's degree with an overall grade of at least 5, or an equivalent degree.
- ³ The faculty assembly may partially or wholly accept as equivalent other degrees conferred by higher education institutions recognised by the University of Lucerne.
- ⁴ Continuing education master's degree programmes (e.g. MAS, EMBA, MBA etc.) do not give access to undertake doctoral studies.
- ⁵ Admission will be refused to anyone who has been dismissed from an economics and management faculty of another higher education institution in the field of economics and management for failing exams or the dissertation, or for non-compliance with rules and regulations.
- ⁶ The faculty assembly shall decide on admission to doctoral studies, and on non-compliance with the admission requirements in terms of required grade, or different grading systems. Applications for admission must include:
 - a. a promise of supervision
 - b. copies of university degrees
 - c. a curriculum vitae in tabular form
- ⁷ Depending on the applicant's qualifications and previous experience, the faculty assembly may, in consultation with the supervisor, make admission dependent on evidence of additional knowledge and ability. A differentiation will be made between the conditions to be met before admission to doctoral studies (admission subject to conditions) and those to be fulfilled during doctoral studies (admission subject to obligations).

§ 6 Prescribed period of time

- ¹ The prescribed period of time for doctoral studies is six years maximum. This period shall start with the semester of first enrolment and shall end on the date of application for admission to doctoral proceedings.
- ² In justified circumstances and upon written request, the faculty assembly shall decide on the possibility of prolonging the maximum study period.

³ Enrolment is mandatory for the entire duration of doctoral studies.

IV. Doctoral work

§ 7 *Doctoral work*

¹ A minimum of 18 ECTS credits must be completed during doctoral studies. Proof of these credits is required for admission to doctoral proceedings. As a general rule, such credits are acquired by taking part in offerings such as e.g. colloquia, events associated with the core qualifications and external events. Details are set out in the Guidance Instructions.

² Additionally, two faculty research seminars must be completed during doctoral studies, each to include a presentation of the dissertation project.

³ The Guidance Instructions may prescribe obligatory additional study requirements to be met by all doctoral candidates. Other requirements to be met by individual candidates shall be agreed in writing with the supervisor.

V. Dissertation

§ 8 *Dissertation*

¹ The dissertation is an independent piece of research work which meets scientific requirements and advances the state of scientific knowledge. It shall provide proof of the candidate's in-depth expertise and command of scientific methods whilst also making an independent contribution to academic knowledge.

² The dissertation may be a monograph or a collection of published/unpublished scientific works (cumulative dissertation). Cumulative dissertations may contain publications written with co-authors. Please refer to the Guidance Instructions for the rules which apply in this case.

³ A work which the author has already submitted to a university for the purpose of obtaining an academic degree may not be used as a dissertation.

⁴ As a general rule, the dissertation should be written in German or English. The faculty assembly may, in consultation with the dissertation supervisor, authorise the use of another language.

VI. Doctoral proceedings

§ 9 *Opening and admission to doctoral proceedings*

¹ On completion of the dissertation, the candidate shall apply to the faculty assembly for opening of doctoral proceedings.

² The documents to be provided with the application are specified in the Guidance Instructions.

³ If the documents are complete and the prerequisites met, the faculty assembly shall open doctoral proceedings and initiate the evaluation.

⁴ An application for opening of doctoral proceedings may be withdrawn as long as there is no evaluation.

§ 10 *Evaluation of the dissertation*

¹ The dissertation shall be reviewed by the supervisor and each assessor. The reviews shall be graded and must be handed in to the Dean's Office no later than 3 months after opening of doctoral proceedings.

² The dissertation shall be considered accepted if all the reviews award a grade of at least 4.

³ If the dissertation is qualified unsatisfactory in at least one review, the faculty assembly may request an additional review for a final decision on whether the dissertation should be accepted or refused.

- ⁴ After receipt, the dissertation and the reviews shall be made available in the faculty's Dean's Office for inspection by the doctorate-holding members of the faculty assembly for a period of three weeks. These members may submit additional written comments on the dissertation and reviews until up to three days after expiry of the viewing period.
- ⁵ Where an additional review is requested as per section 3, or if written comments are received as per 4, the faculty assembly shall decide whether the dissertation is accepted, and with what grade.
- ⁶ A dissertation which is deemed unsatisfactory in the overall evaluation may be reworked within a deadline to be set by the faculty assembly and resubmitted. If the revised dissertation is again judged unsatisfactory, it shall be considered to be definitively rejected.
- ⁷ If the dissertation is rejected, the candidate shall be informed by the Dean in writing. A work that has been rejected shall remain on file at the Dean's Office together with all reviews.

§ 11 *Disputation*

- ¹ If the dissertation is accepted as per § 10, a date is scheduled with the candidate for the disputation.
- ² The disputation comprises a public lecture by the doctoral candidate and a follow-up discussion on the scientific and methodological problems, and the main results of the dissertation. The candidate is expected to present a concise summary of the results of the dissertation, place them within larger systematic contexts and reflect on them methodically.
- ³ The disputation shall take place in the presence of the supervisor and, as a general rule, all assessors, and is moderated by a faculty member not involved in the doctoral proceedings.
- ⁴ Following the disputation, the supervisor and assessors decide whether the candidate has passed or not, and what grade shall be attributed to the disputation. The doctoral candidate is then informed of the grade awarded to the disputation and the overall grade of the doctorate.
- ⁵ The disputation is accepted if graded with a minimum of 4.
- ⁶ If the candidate does not attend the disputation without an excuse, or if the candidate discontinues the disputation without good reason, it shall be deemed as failed.
- ⁷ If the disputation has been failed, it may be repeated once within six months at the latest. In the event of renewed failure, the candidate will be notified in writing by the Dean.

§ 12 *Grades*

- ¹ The dissertation and the disputation shall be awarded a grade from 6 to 1 in whole or half grades.
- ² The different grades correspond to the following assessments:
 - a. 6 excellent
 - b. 5.5 very good
 - c. 5 good
 - d. 4.5 satisfactory
 - e. 4 adequate
 - f. 3.5 inadequate
 - g. 3 poor
 - h. 2.5 poor to very poor
 - i. 2 very poor
 - j. 1.5 very poor to unusable
 - k. 1 unusable to improper conduct

§ 13 *Minutes*

- ¹ Minutes are to be kept of all decisions taken by the faculty assembly with regard to the doctoral proceedings, the disputation and the results thereof.
- ² Doctoral candidates shall be entitled to inspect their own examination files.

§ 14 *Irregularities*

- ¹ If, before the issue of the doctoral degree certificate, it is ascertained that the candidate has unfairly influenced the examination proceedings, or deliberately provided misleading information³, the faculty assembly shall, at the request of the faculty assembly, decide whether to discontinue the doctoral proceedings. In case of doubt, the proceedings shall be suspended pending clarification. The candidate must be given an opportunity to comment on the charges brought against him or her.
- ² If doctoral proceedings are terminated definitively, the candidate is considered to have failed the doctorate.
- ³ If the dissertation is based wholly or partially on a plagiarism, the candidate is considered to have failed the doctorate.
- ⁴ If the plagiarism according to section³ is ascertained after conferral of a doctorate, the faculty may withdraw the doctorate after it has been granted.

§ 15 *Publication*

- ¹ The dissertation must be published within two years of successfully passing the disputation. Major discrepancies between the published version and the manuscript as submitted must be approved by the Dean in consultation with the supervisor of the work.
- ² On substantiated request, the Dean may extend the dissertation publication deadline by one year on no more than three occasions. If the dissertation has not been published five years after passing the disputation, the doctorate shall be considered as terminated without success and the preliminary certificate issued on passing the doctoral proceedings must be returned to the Dean's Office.
- ³ Dissertations may also be published in electronic form. The University of Lucerne, together with the central and university library, provides a publication platform for this purpose.

§ 16 *Finalisation of the doctorate*

- ¹ After provision of the required number of copies of the dissertation, the candidate shall be awarded the title of Doctor of Economics and Management.
- ² A certificate will be issued to document the doctoral performance. It will be signed by the Dean and the Rector.
- ³ The faculty will issue a doctoral certificate signed by the Dean.

§ 17 *Overall grade*

- ¹ The overall grade is calculated with a 1:3 weighting from the average of the disputation grade (weighting 1) and the average of the review grade (weighting 3). The average grade is calculated in an exact manner, the result is rounded up to two decimal places.
- ² Depending on the average grade achieved, the overall grade to be awarded is as follows:
 - a. 5.75 - 6.00 summa cum laude
 - b. 5.25 - 5.74 insigni cum laude
 - c. 4.75 - 5.24 magna cum laude
 - d. 4.25 - 4.74 cum laude
 - e. 4.00 - 4.24 rite

VII. Honorary doctoral titles

§ 18 *Honorary doctoral degrees*

- ¹ The faculty may award honorary doctorates (Dr. oec. h.c.) to persons who distinguish themselves in the field of economics and management.

- ² At the suggestion of a member of the faculty assembly, the Dean shall apply for the grant of an honorary doctorate; the final decision shall be made by the faculty assembly.

VIII. Final provision

§ 19 *Fees*

- ¹ Examination fees and fees for diplomas and certificates are determined in accordance with the Ordinance on Training and Tuition Fees and the fees at cantonal schools and vocational colleges (Ordinance on Tuition Fees).

§ 20 *Right of appeal*

- ¹ Pursuant to the provisions of the University Act⁵ and the legislation on administrative law⁶, administrative proceedings may be instigated against the appropriate department in order to appeal against decisions in connection with these doctoral regulations.

- ² Proceedings must be instigated in writing. They must contain a specific request and a statement of reasons. The deadline for the submission of proceedings is 30 days.

§ 21 *Entry into force*

These doctoral regulations shall come into force on 1 October 2016. They are to be published.

Lucerne, 28 September 2016

On behalf of the University Council:

The President: Reto Wyss

The Rector: Prof. Dr. Bruno Staffelbach