

*The following document is an English translation of the original and binding German language version of the document "Wegleitung zur Promotionsordnung"*

## Guide to Doctoral Regulations

dated 20 February 2017 (version dated 19 February 2024)

*The Faculty Assembly,*

based on section 2 para. 1 of the Doctoral Regulations dated 28 September 2016 for the Faculty of Economics and Management at the University of Lucerne,

*states:*

### **Section 1**      *Academic achievements*

- <sup>1</sup> The minimum academic achievements to be completed during doctoral studies amount to 18 ECTS credits. These academic achievements are of a training nature and are in principle to be completed externally (i.e. not at the University of Lucerne). Internal courses are available at the University of Lucerne's Graduate Academy, and in exceptional cases from internal departments.
- <sup>2</sup> Academic achievements are selected in consultation with the supervisor. The decision regarding what may be credited is taken by the faculty's Director of Studies. For internal courses, the Director of Studies keeps a list of available courses provided at doctoral level.
- <sup>3</sup> Academic achievements must be passed but do not necessarily need to be marked. Any marks achieved will not be taken into account in determining the overall doctoral grade.
- <sup>4</sup> In addition, at least two presentations must be given of the progress of the doctorate. A presentation will take place in consultation with the supervisor. At least one presentation must be given at a University of Lucerne research seminar. Other presentations may also be completed as part of chair events for doctoral students. A course may not be credited as both an 18-ECTS academic achievement and a presentation.

### **Section 2**      *Dissertation*

- <sup>1</sup> Templates are provided showing the layout of the title page for the dissertation version to be submitted.
- <sup>2</sup> Following acceptance of the dissertation, the candidate will be issued a bill for the examination fees by the Financial Services department.

### **Section 3**      *Cumulative dissertation*

A cumulative dissertation consists of a collection of specialist articles, which can also have been co-authored, and an introductory chapter written as the sole author. The introductory chapter summarises the findings and contributions of the individual articles.

**Section 4** *Beginning the doctoral examination process*

The following documents should be enclosed with the application to begin the doctoral examination process:

- a. Sufficient printed copies of the dissertation to cover one for each of the planned examiner assessments plus a copy for display in the dean's office,
- b. A candidate declaration stating that he or she completed the submitted work independently, that only the aids mentioned were used in writing the dissertation, and that any passages taken from other works (verbatim or in content) have been indicated as such,
- c. A declaration stating if the dissertation has been submitted to a faculty in the past or in another version,
- d. Proof of the academic achievements gained,
- e. Proof of registration for the duration of doctoral studies.

**Section 5** *Defence*

- <sup>1</sup> The date of the defence is set in agreement with all those involved and organised by the dean's office administration. The defence takes place within three months of the dissertation being accepted.
- <sup>2</sup> The defence consists of a lecture lasting approximately twenty minutes and a discussion lasting approximately forty minutes.
- <sup>3</sup> The members of the Faculty Assembly should be invited. They are entitled to attend and ask questions at the defence.
- <sup>4</sup> The defence is public.

**Section 6** *Publication of dissertation*

- <sup>1</sup> The dissertation must be published within two years of successfully completing its defence.

- <sup>2</sup> Publication can be in the following formats:

- a. Book
  - Publication by a publisher
  - Publication as a printed booklet in the Main & University Library of Lucerne (ZHB)
  - Publication via the LORY document server at the Main & University Library of Lucerne (ZHB)

In all cases, a note must be inserted in a suitable position before the academic text stating that it is a version of a dissertation produced at the University of Lucerne. The original dissertation title and year of submission must also be indicated. The year of publication must also be stated on the title page. For publication via the ZHB, this is the year in which the work was submitted to the ZHB.

Publication via the ZHB must comply with the relevant provisions for print.

- b. Cumulative dissertation
  - Publication of individual articles in academic journals by a publisher
  - Publication of the whole dissertation as a printed booklet in the Main & University Library of Lucerne (ZHB)
  - Publication of individual articles via the LORY document server at the Main & University Library of Lucerne (ZHB)

Publication via the ZHB must comply with the relevant provisions for print.

- <sup>3</sup> Deposit copies

- a. Regardless of the publication format, at least six copies of the published work must be submitted in printed form to the dean's office. Of these, one copy is given to each of the dissertation examiners and four copies are passed on to the Main & University Library of Lucerne (ZHB).
- b. For the deposit copies of cumulative dissertations, all individual articles (regardless of their method of publication and without any changes to pagination) must be bound with the framework paper and submitted together. Each deposit copy must be prefaced by the prescribed title page, specifically listing the full bibliographical details of all articles.

**Section 7**      *Entry into force*

This amended Guide comes into force on 01 March 2017. It shall be published.

Lucerne, 20 February 2017

On behalf of the Faculty Assembly:

Prof. Dr. Christoph A. Schaltegger  
Dean