

## **Guide to the PhD regulations**

from September 28, 2020

*The departmental assembly,*

based on § 2, paragraph 1 of the doctoral regulations of 6 July 2020 of the Department of Health Sciences and Medicine of the University of Lucerne,

*formulates:*

### **§ 1**     *Application procedure and supervision agreement*

<sup>1</sup> Admission to doctoral studies is granted after application to the study center of the Department of Health Sciences and Medicine. Information on the documents to be submitted and application deadlines are published on the department's website.

<sup>2</sup> For admission to the doctoral studies program, a written supervision agreement on the procedure, the goals (including project plan) and the general conditions of the doctoral project is concluded between the candidate and the supervisor. A template of the supervision agreement is available on the department's website. The signed supervision agreement must be enclosed with the application documents.

<sup>3</sup> The implementation of the supervision agreement is regularly reviewed (see also § 3). Changes are recorded in writing and communicated to the study center.

### **§ 2**     *Thesis Committee*

<sup>1</sup> The supervisor of the dissertation can set up a dissertation committee in consultation with the candidate. The supervisor is responsible for the thesis committee and defines the roles of the members.

<sup>2</sup> In addition to the supervisor, the second reviewer is usually a member of the thesis committee. Further experts can be nominated as members of the thesis committee upon application to the study and examination committee of the Department of Health Sciences and Medicine.

### **§ 3**     *Evaluation of the progress of the dissertation*

<sup>1</sup> The supervisor or the thesis committee meets with the candidate at least once a year to evaluate the progress of the thesis. In particular, the development of the research work and the candidate's academic achievements are assessed against the goals set for the current year and the goals to be achieved for the next year are recorded.

<sup>2</sup> The results of the evaluation are documented in an evaluation report and communicated to the study center together with any changes in the supervision agreement.

<sup>3</sup> The study and examination committee examines the annual evaluation report and decides on the continuation of the doctoral studies based on the candidate's performance record and the recommendation of the supervisor.

#### **§ 4** *Study achievements*

<sup>1</sup> The minimum academic achievements to be achieved during the doctoral studies comprise 18 ECTS credits (according to § 7, paragraph 1 of the doctoral regulations). As a rule, these credits consist of the participation in elective compulsory modules (at least 6 ECTS) and in elective modules, which are announced at the beginning of each semester (see leaflet 1)

<sup>2</sup> Study achievements of doctoral students within the framework of modules of the master's program in Health Sciences can be credited as study achievements, provided that they correspond to the requirements for study achievements in a doctoral program.

<sup>3</sup> The selection of the study achievements is made in consultation with the supervisor. Crediting takes place at the study center of the department.

<sup>4</sup> In addition, at least two presentations of the doctoral project within the first two years of the doctoral program are mandatory. These can take place in different formats.

#### **§ 5** *PhD thesis*

<sup>1</sup> A sample will be provided for the formal design of the version of the dissertation to be submitted (see leaflet 2).

<sup>2</sup> After acceptance of the dissertation, the candidate will receive an invoice for the examination fees from the Finance and Accounting Department of the University of Lucerne.

#### **§ 6** *Cumulative theses*

<sup>1</sup> The cumulative dissertation consists of a collection of at least three scientific publications according to § 8, paragraph 2 of the doctoral regulations, and an introductory chapter.

<sup>2</sup> The supervisor can set binding guidelines for the publication and the type of articles. As a rule, when submitting the dissertation, two of the scientific articles must be accepted in internationally renowned and peer-reviewed journals and one article must be in the review process. The details are set out in the supervisor agreement.

<sup>3</sup> For co-authored articles, a main research contribution must be presented and the respective contributions of the co-authors must be confirmed in writing.

<sup>4</sup> The introductory chapter places the dissertation in a broader context, outlines the objectives and methodological approaches, summarizes the most important results and discusses them critically. The introductory chapter must be written by the candidate exclusively.

<sup>5</sup> At least one reviewer of the dissertation may not act as co-author in any of the submitted articles.

#### **§ 7** *Opening of the PhD process*

The application to open the doctoral procedure must include the following documents

- a. at least four printed copies of the dissertation,
- b. a declaration by the candidate that he or she has independently written the submitted dissertation, that he or she has only used the specified aids when writing the dissertation and that he or she has marked passages that have been adopted either literally or in content as such,
- c. a statement as to whether the dissertation has already been submitted to a university in the current or another version,
- d. proof of academic achievements of at least 18 ECTS credits,

e. proof of matriculation for the duration of the doctoral studies.

## **§ 8**     *Defense*

<sup>1</sup> The timing of the defense will be determined in consultation with all parties and organized by the study center.

<sup>2</sup> The defense lasts a total of 60 minutes and consists of a 20-minute presentation followed by a 40-minute discussion.

<sup>3</sup> All members of the department are invited to the defense and are entitled to ask questions.

<sup>4</sup> The defense is public and will be announced on the website.

## **§ 9**     *Publication of the thesis*

<sup>1</sup> The Departmental Assembly formulates the guidelines for the formal design of the deposit copies (see leaflet 2).

<sup>2</sup> In the case of the publication of a monograph, via a publishing house or electronically, a notice shall be inserted in a suitable place before the academic text stating that it is the reprint of a dissertation of the University of Lucerne. In addition, the original title of the dissertation and the year of submission must be indicated.

<sup>3</sup> If the thesis is a cumulative dissertation, all articles must be published in printed or electronic form either in specialist journals or via the document server of the University of Lucerne. In the case of hard copies, all individual contributions must be bound and delivered together with the bound paper, regardless of their method of publication and without changing the pagination. Each deposit copy must be preceded by the prescribed title page, on which the complete bibliographical details of all contributions must be listed.

<sup>4</sup> At least six deposit copies of the published work must be submitted to the department. Of these, one copy each must be forwarded to the reviewers of the dissertation. Four copies must be forwarded to the Central and University Library (ZHB).

## **§ 10**    *Transitional provision*

Anyone who, by the autumn semester 2018 at the latest, has commenced doctoral studies under the conditions of the Doctoral Regulations of the Faculty of Cultural and Social Sciences (SRL 542c) of 27 January 2010 (including all amendments and the associated directives) and has completed the course of study defined therein in full, automatically fulfils the provisions on doctoral achievements according to § 1 of the Doctoral Regulations of the Department of Health Sciences and Medicine (SRL No. 546f).

## **§ 11**    *Entry into force*

This guideline comes into force on September 29, 2020. It will be published.

Lucerne, the 28th of September 2020

On behalf of the departmental assembly:

Prof. Gerold Stucki, MD  
Principal