

Guidelines for the Doctoral Regulations of the Faculty II for 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, 9 December 2009

14 December 2009,
including the amendment as of 20 December 2010

Based on § 1, Paragraph 5 of the Doctoral Regulations of the Faculty II for Humanities and Social Sciences at the University of Lucerne dated 27 January 2010, the *Faculty Assembly concludes the following*:

§ 1 *General provisions*

According to the doctoral regulations, doctoral students can be:

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

§ 2 *Requirements for GSL scholars*

¹ In the first year of doctoral study:

- a. Presentation of the dissertation concept to a Faculty colloquium
- b. Successful attendance of a course teaching academic skills in methodological or theoretical aspects by arrangement with the student's supervisor.
- c. Submission of either an initial section or a complete exposé of the dissertation to the student's supervisor.
- d. Submission of a report to the Board of the GSL containing details of the progress of the dissertation with a brief accompanying statement from the supervisor.

² In the second year of doctoral study:

- a. Presentation of the progress of the dissertation to a Faculty colloquium.
- b. Successful attendance of a course teaching academic skills in methodological or theoretical aspects by arrangement with the student's supervisor.
- c. Attendance of and presentation at an international conference (can also take place in the third year of doctoral study),
- d. Submission of a report to the Board of the GSL containing details of the progress of the dissertation with a brief accompanying statement from the supervisor.

³ In the third year of doctoral study:

- a. Presentation of the progress of the dissertation to a Faculty colloquium at the Faculty of Humanities and Social Sciences.
- b. Application to the Board of the GSL to initiate the doctoral examination procedure.

⁴ In the event of non-fulfilment of these requirements, the doctoral study cannot be continued. The Board of the GSL shall make a decision on any exceptions and deviations.

§ 3 *Deviating regulations for academic employees holding Faculty positions or working on externally funded projects*

Deviations from the requirements listed in § 2 are defined as follows:

- a. The entire duration of doctoral study is a maximum of four years.
- b. By reasonable request to the Board, it is possible to gain exemption from one of the two courses in the first or second year of doctoral study.
- c. Attendance of and presentation at an international conference can take place on a flexible basis between the second and fourth year of study.
- d. In addition, a report on the progress of the dissertation with a brief accompanying statement from the supervisor must be submitted to the Board of the GSL in the third year of study.
- e. In addition, the student shall give a presentation on the progress of the dissertation in a colloquium at the Faculty of Humanities and Social Sciences in the fourth year of study.

- f. The application to the Board of the GSL to initiate the doctoral examination procedure shall be submitted in the fourth year of study at the latest.

§ 4 *Deviating regulations for independent doctoral candidates not holding a position or GSL scholarship*

Deviations from the requirements listed in Section 3 are defined as follows:

- a. The overall duration of the doctoral study is not limited. However, admission to the GSL is limited to a period of five years. After this period has elapsed, the Board of the GSL will assess the progress of the dissertation and reach a decision on the duration of a further period of admission.
- b. The candidate shall be obliged to provide the Board of the GSL with an annual report on the progress of the dissertation with a brief accompanying statement from his/her supervisor.

§5 *Dissertation*

¹ The Board of the GSL will create a template for the formal layout of the title page of the version of the dissertation for submission, and define additional requirements with regard to the formal layout.

² The dissertation assessors must submit their review to the Examinations Committee no later than four months after selection.

³ Upon acceptance of the dissertation, Financial Services will issue the candidate with an invoice for the examination fees.

§6 *Special regulations for cumulative dissertation on*

¹ **Health Sciences and Health Policy**

- 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 specialist journal based on a peer review procedure, and a research paper outline authored solely by the candidate. These articles must form a self-contained dissertation.
- b. The research paper outline must contain:
 - A general introduction providing the background, objectives and methodology of the doctoral work
 - An overview of the findings
 - A comprehensive discussion of the theses
 - A summary with conclusions and further developments
- c. Dissertation assessors may not co-author any of the work submitted.

² **Economics**

- a. The cumulative dissertation consists of a collection of specialist articles, which may also be co-authored, and a research paper outline of which the candidate is sole author.
- b. The research paper outline summarises the findings and contributions of the individual articles.
- c. Where 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. Dissertation assessors may not co-author any of the work submitted.

³ **Political science**

- a. The cumulative dissertation consists of a collection of at least three specialist articles which have already been published submitted for publication, of which the candidate must be the sole author at least two, and a research paper outline of which the candidate is also sole author. In terms of its academic weight, a cumulative dissertation in the subject of Political Science must be equivalent to a book produced for a dissertation.
- 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. Dissertation assessors may not co-author any of the work submitted.

§7 *Viva examination*

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

² The viva examination consists of a presentation lasting approximately 20 minutes and a discussion lasting approximately 40 minutes.

³ The remaining members of the Faculty Assembly are entitled to participate in the viva examination and ask questions.

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

§8 *Publication of the dissertation*

¹ The Board of the GSL shall formulate regulatory framework regulations for the printing and formal layout of the title page of the version of the dissertation to be published.

² Eight mandatory copies of the published work must be submitted to the Examinations Committee. Of these, one copy is forwarded to each of the dissertation assessors and one additional copy is archived by the Board. The remaining copies are forwarded to the Central and University Library of Lucerne (ZHB).