

The following document is an English translation of the original and binding German language version of the document 'Wegleitung zur Promotionsordnung der Fakultät für Kultur- und Sozialwissenschaften der Universität Luzern und Prüfungsordnung der Graduate School of Humanities and Social Sciences at the University of Lucerne vom 27. Januar 2010 (Stand 18. Dezember 2023)'

Guidelines for the doctoral regulations for the Faculty of 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, dated 27 January 2010 (version dated 18 December 2023)

of 14 December 2009,
including amendments dated 20 December 2010, 27 March 2012, 24 March 2014, 15 September 2014,
16 December 2016, 16 December 2019 and 1 August 2020

The Faculty Assembly,

following § 1, paragraph 5 of the doctoral regulations dated 27 January 2010 for the Faculty of Humanities and Social Sciences at the University of Lucerne,

concludes:

§ 1 *General*

According to the doctoral regulations, doctoral students can be:

- a. GSL scholarship holders,
- b. academic staff members in faculty roles and/or research assistants with externally funded projects,
- c. independent doctoral students not holding a position or a GSL scholarship.

§ 2 *Supervision agreement*

¹ Admission to the doctoral program requires the closing of a written supervision agreement covering the procedure, objectives and framework of the doctoral process submitted to the GSL Board.

² Implementation of the supervision agreement is to be reviewed by both through yearly consultations, resulting in interim reports. Changes are recorded in writing for the attention of the Board.

³ The agreement includes a project plan that defines the objectives and methodology of the research project, and a timetable. It defines regular discussions regarding the progress of the doctorate. The supervisor may

choose whether to have the content-related objectives and methodological approach specified in the agreement.

- ⁴ In addition, the supervision agreement may contain other arrangements such as curricular portions, requirements, acquisition of higher education didactic skills, conference attendance, or involvement in teaching.

§ 3 *Requirements for GSL scholarship holders*

¹ Requirements in the first year of doctoral studies:

- a. dissertation concept presented at a KSF colloquium,
- b. successful attendance of a course teaching academic skills in methodology or theory, in consultation with the supervisor,
- c. submission of either an initial section or a complete exposé of the dissertation to the supervisor,
- d. submission of a report to the GSL Board describing the progress of the dissertation with a brief accompanying statement from the supervisor.

² Requirements in the second year of doctoral studies:

- a. dissertation progress presented at a KSF colloquium,
- b. successful attendance of a course teaching academic skills in methodology or theory, in consultation with the supervisor,
- c. attendance and presentation given at an international conference (can also be completed in the third year of doctoral studies),
- d. submission of a report to the GSL Board describing the progress of the dissertation with a brief accompanying statement from the supervisor.

³ Requirements in the third year of doctoral studies:

- a. dissertation progress presented at a KSF colloquium,
- b. request to the GSL Board to begin the doctoral examination procedure.

§ 4 *Requirements for academic staff members in faculty roles and research assistants with externally funded projects*

¹ The total period of doctoral studies is generally four years.

² Requirements in the first two years of doctoral studies:

- a. dissertation concept presented at a KSF colloquium,
- b. successful attendance of two courses teaching academic skills in methodology or theory, in consultation with the supervisor,
- c. submission of either an initial section or a complete exposé of the dissertation to the supervisor,
- d. annual submission of a report to the GSL Board describing the progress of the dissertation with a brief accompanying statement from the supervisor.

³ Requirements in the third and fourth years of doctoral studies:

- a. attendance and presentation given at an international conference, which may be at any point between the second and fourth year in consultation with the supervisor,
- b. annual submission of a report to the GSL Board describing the progress of the dissertation with a brief accompanying statement from the supervisor,
- c. dissertation progress presented at a KSF colloquium every year,
- d. request to the GSL Board to begin the doctoral examination procedure.

§ 5 *Requirements for independent doctoral candidates not holding a position or GSL scholarship*

¹ There is no limit on the total duration of the doctoral studies. However, admission to the GSL is limited to five years. Afterwards the supervisor will assess the dissertation progress and the GSL Board will make a decision on a further period of admission.

² Requirements in the first two years of doctoral studies:

- a. dissertation concept presented at a KSF colloquium,
- b. successful attendance of two courses teaching academic skills in methodology or theory, in consultation with the supervisor,
- c. submission of either an initial section or a complete exposé of the dissertation to the supervisor,
- d. annual submission of a report to the GSL Board describing the progress of the dissertation with a brief accompanying statement from the supervisor.

³ Requirements in subsequent years of doctoral studies:

- a. annual submission of a report to the GSL Board describing the progress of the dissertation with a brief accompanying statement from the supervisor,
- b. dissertation progress presented at a KSF colloquium every year.

§ 6 *Credit transfer and exclusion from studies*

¹ The supervisor will make a decision concerning the inclusion of credit from external studies, in accordance with the criteria set by the GSL Board, and bring this to the attention of the Board.

² The GSL Board will decide on the continuation of the doctoral studies in case of non-fulfilment of the requirements, as well as exceptions and deviations. This decision will be made in consultation with the supervisor.

§ 7 *Dissertation*

¹ The GSL Board provides a template for the formatting of the title page and defines additional requirements with regard to the formal layout of the submission version of the dissertation.

² The reviewers must submit their dissertation reviews to the Examinations Committee within four months of being commissioned.

³ Following acceptance of the dissertation, the candidate will be issued a bill for the examination fees by the Financial Services Department.

§ 8 *Discipline-specific regulations for cumulative dissertations*

¹ **Political Science**

- a. The cumulative dissertation consists of a collection of at least three specialist articles that have already been published or submitted for publication, of which at least one must be written in sole authorship and one in first authorship, as well as a framework paper in sole authorship. A cumulative dissertation in political science must be of equivalent scholarly weight to a dissertation meant for a monograph.
- b. The framework paper should set the findings of the individual publications within a wider context, present their theoretical and/or practical relevance, and clarify their position within the subject area.
- c. The second reviewer must not act as co-author in any of the submitted papers.

² Study of Religions

- a. The cumulative dissertation consists of a collection of at least four papers already published or submitted for publication in peer-reviewed journals or equivalent publication organs, at least one of which must be solely authored, as well as a framework paper in sole authorship. A cumulative dissertation in the discipline Study of Religion must be of equivalent scholarly weight to a dissertation meant for a monograph.
- b. The framework paper should present the overarching question and how the individual contributions correlate with each other, present their theoretical and/or practical relevance, and clarify their position within the subject area.
- c. In the case of a cumulative dissertation that includes co-authored articles, a signed declaration from the candidate about his or her contribution to the article must also be submitted for each article, countersigned by the co-authors.
- d. First or second reviewers may act as co-authors in no more than one of the included articles.

³ Sociology

- a. The cumulative dissertation is the exception and must be agreed to by the first supervisor.
- b. The cumulative dissertation consists of a collection of papers already published or submitted for publication in peer-reviewed journals or equivalent publication organs, as well as a framework paper. In terms of its scientific weight, it must be of equivalent weight to a dissertation meant for a monograph.
- c. The exact number of articles must be determined on a case-by-case basis, as it depends, among other things, on the content of the research work, the methods used, the length of the articles and the journals or publication organs in which they are published. This number must therefore be determined by the first supervisor of the dissertation in consultation with the doctoral candidate.
- d. The aim of the framework paper is to place the findings of the individual publications in a larger context, emphasize their theoretical and/or practical relevance and highlight their place within the discipline.
- e. In the case of a cumulative dissertation that includes co-authored articles, a signed declaration from the candidate about his or her contribution to the article must also be submitted for each article, countersigned by the co-authors.
- f. First or second reviewers must act as co-authors in no more than one of the included articles.

§ 9 *Defence*

- ¹ The time and date of the defence is set by the dean in agreement with all those involved. The defence generally takes place within three months of the dissertation being accepted. Four weeks before the defence, all eligible members of the Faculty Assembly are invited to attend.
- ² The defence consists of a lecture lasting approximately twenty minutes and a discussion lasting approximately forty minutes.
- ³ The other members of the Faculty Assembly are entitled to attend and ask questions at the defence.
- ⁴ Other individuals may attend the defence by request and with the dean's consent.

§ 10 *Publication of the dissertation*

- ¹ The GSL Board formulates the regulations for the printing and formal layout of the title page for the deposit copies.
- ² If a dissertation is published as a monograph, either in print by a publisher or electronically, an appropriate reference should be made to the fact that the text is drawn from a dissertation produced at the University of Lucerne. In addition, the original title of the dissertation and the year of the successful defence must be stated.

- ³ For cumulative dissertations, all specialist articles must be published in print or electronic format, either in academic journals or via the Lucerne Main and University Library (ZHB) document server. For the deposit copies in paper form, 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.
- ⁴ At least six deposit copies of the published dissertation must be submitted to the Examinations Committee. Of these, each assessor receives one copy. Four copies are passed on to the Lucerne Main and University Library (ZHB).