



LUND UNIVERSITY

School of Economics and Management

Faculty Board

Regulations for third cycle studies at the School of Economics and Management

This decision replaces a previous decision on regulations for third cycle studies at the School of Economics and Management dated 17 February 2011, registration number EHL 2011/2.

The present provisions concern research studies at the departments within the School of Economics and Management at Lund University.

Superordinate provisions for third cycle education are to be found in the following documents:

- Chapters 5, 6 and 7 in the Higher Education Ordinance, SFS 1993:100
- Regulations for Doctoral Education at Lund University, 13 June 2013, Reg. no LS 2012/718
- Lund University's Admission Rules for Doctoral Programmes (Third Cycle Education) 15 June 2013, Reg. no LS 2012/719

Pursuant to the Rules of Procedure for Lund University (Reg. No LS 2012/868), the faculty board for the School of Economics and Management has overall responsibility for third cycle studies at the School of Economics and Management.

The provisions are to be applied with reference to the qualitative goals of the University and the School regarding gender equality, diversity, environment, work environment and internationalisation.

1. The third cycle studies teaching committee

The task of the third cycle studies teaching committee is to promote and monitor third cycle studies and prepare matters concerning research studies for the faculty board of the School of Economics and Management. The committee is chaired by a vice dean; its members are the directors of studies for the third cycle subjects at the School of Economics and Management, and the doctoral student representatives.

2. Third cycle studies subjects

The subjects of research studies at the School of Economics and Management are:

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| – economic history | – research policy | – business administration |
| – business law | – informatics | – economics |
| – statistics | | |

Both doctoral and licentiate degrees can be obtained in these subjects.

There shall be a director of studies for each research studies subject. The decision on appointment of the director of studies has been delegated to the dean of the School of Economics and Management. The director of studies is to have a coordinating role for issues related to third cycle education in the relevant subject. The faculty board establishes more specific authority for such directors of studies or equivalents.

3. Aims and objectives of third cycle studies at the School of Economics and Management

The aim of third cycle education at the School of Economics and Management is for the doctoral student to acquire the abilities necessary for independent participation and contribution to international research.

On completion of the doctoral degree programme, the doctoral student shall have acquired the ability to

- critically review and assess research literature
- independently identify and formulate general problems of relevance to the understanding of economic development and societal change
- independently delimit, design and implement a research assignment of relevance to the theories of the subject and the chosen research issue
- present his or her own and others' research in an educational and interesting way

For the overarching goals of third cycle education, see the Qualifications ordinance for research studies degrees (licentiate degree and doctoral degree) in the Higher Education Ordinance Appendix 2. For subject-specific learning outcomes for research studies, consult the relevant general syllabus for each subject.

4. Admission and student finance

Only as many research students may be admitted as can be offered supervision and acceptable study conditions in general. Studies can be conducted on a full time or part time basis of at least 50% of full time.

At the School of Economics and Management, the authority to decide on admission of research students has been delegated to the head of each department, after preparation by a collegial body. The preparatory body is to include representatives of teaching staff qualified for supervision, and doctoral student representatives.

The departments are to announce the application deadline for research studies in good time. If possible, the deadline should be the same from year to year in order to guarantee competition among the applicants. The announcement of study places/doctoral studentships is to be made in such a way as to have appropriate national and international dissemination. The application period must be a minimum of three weeks. Applications for admission with funding other than a doctoral studentship can be made without a previous announcement, but should, as

far as possible, be made in conjunction with the announcement of study places/doctoral studentships.

Applications are to be made on a special form available on the website of the School of Economics and Management.

4.1 Study finance

The number of doctoral students admitted to third-cycle courses and study programmes may not exceed the number whose studies are funded (HEO Chapter 7 Section 34). At the School of Economics and Management, there are two different possible forms of study finance: employment under a doctoral studentship or external funding.

Employment under a doctoral studentship is to be arranged at the department which is admitting the doctoral student to third cycle studies and is to be full time (HEO Chapter 5 Section 3a).

External funding can consist of employment outside the University or a scholarship from an external source. No scholarships for third cycle studies may be set up by the School of Economics and Management. Net external funding is to amount to at least 28 per cent of the price base amount. In addition, the doctoral student is to be provided with equivalent social security in case of illness and parental leave, for example (LU admission rules). At the time of admission, a thorough review of study finance is to be carried out.

In cases where a doctoral student's external funding is discontinued for some reason, the School of Economics and Management has ultimate responsibility for ensuring maintenance during the entire planned period of study (LU admission rules).

4.2 Entry requirements

A person meets the general entry requirements for third-cycle courses and study programmes if he or she has been awarded a second-cycle qualification, has satisfied the requirements for courses comprising at least 240 credits of which at least 60 credits were awarded in the second cycle, or has acquired substantially equivalent knowledge in some other way in Sweden or abroad. (HEO Chapter 7 Section 39).

The specific entry requirements are faculty- and subject-specific. As a general standard for specific entry requirements at the School of Economics and Management, doctoral students must have completed course assignments of at least 90 credits and an independent project worth at least 15 credits in a subject relevant to the research programme, or have acquired substantially equivalent knowledge in some other way in Sweden or abroad. Other standards for specific entry requirements are stated in the general syllabus for each subject.

4.3 Preparation and selection

The selection of successful applicants is to be made with reference to their ability to benefit from research studies. The grounds for assessment for this are breadth, depth, relevance and independence in previous work, as well as the ability to work autonomously and to participate actively in the research environment.

Examples of documentation to support this assessment are:

- Educational qualifications
- Independent papers, or demonstrated independence in the writing of papers
- Other published writing
- Research plan
- Letters of recommendation from established research contacts or references
- Relevant qualifications outside academia
- Interview

The under-represented gender is to be given priority if the applicants are of otherwise equal merit (LU admission rules).

The fact that an applicant is considered able to transfer credits from prior courses and study programmes or for professional or vocational experience may not give the applicant priority over other applicants. (LU admission rules and HEO Chapter 7 Section 41).

The applicant is normally to be assigned a place in the ranking and a justified proposal for admission at least two weeks before the decision on admission is taken. At the School of Economics and Management, the applicant is to be informed of the possibility of submitting an objection to the proposal within two weeks to the head of department (LU admission rules). The head of department is to consider the objection and to respond with a justification.

4.4 Admission

By delegation, the decision on admission is taken by the head of department once a funding plan has been established. In cases where the head of department is also the supervisor, the decision on admission is taken by the deputy head of department or, where applicable, by the dean of the School of Economics and Management. All applicants are to have been notified of the decision within seven days of it being taken. (LU admission rules).

5. Study advice and careers guidance

Study advice and careers guidance for third cycle students at the School of Economics and Management are organised by the departments. As a rule, these matters are handled by the person responsible for research studies at the department and by the supervisors.

6. General syllabi and individual study plans

Pursuant to the Higher Education Ordinance, there is to be a general syllabus for each research studies subject, for studies towards a doctoral degree as well as a licentiate degree.

The general syllabi are approved by the faculty board of the School of Economics and Management. For each research student, an individual study plan is also to be drawn up at the time of admission.

6.1 General syllabus

Separate syllabi are to be set for studies towards a doctoral and a licentiate degree respectively. The general syllabi are to include the following:

- The aim and learning outcomes of the study programme
This section states the aim of the study programme as well as the subject-specific knowledge, skills and abilities which the research student is expected to have acquired on completion of the programme.
- Entry requirements
This section states the general entry requirements, the general standards for specific entry requirements at the School of Economics and Management, and the subject-specific entry requirements.
- Admission and selection
This section specifies the conditions and procedures for admission and selection.
- Structure and content of the study programme
This section states the scope of the courses and thesis work. The thesis for a doctoral degree is to be worth at least 120 credits. The thesis for a licentiate degree is to be worth at least 60 credits.
This section also specifies courses and seminars which are compulsory, their value in credits, any intermediate goals, and specific provisions for supervision.
- Tuition and assessed components
This section states the forms of tuition and examination for the courses.

6.2 Individual study plan

An individual study plan is to be drawn up for each research student (HEO Chapter 6 Section 29).

The faculty board of the School of Economics and Management has decided that the individual study plan is to include:

- name, personal identity number, address
- research studies subject
- date of admission
- intended degree with title
- general annual schedule for the programme, courses completed, thesis work completed, estimated date for the public defence of the thesis, departmental duties
- maintenance plan for the estimated period of study
- details of the supervisor and assistant supervisor as well as the extent of the supervision

The study plan is drawn up by the doctoral student and the supervisor in consultation with the head of department. The plan is approved by the head of department at the time of admission. The faculty board of the School of Economics and Management has ultimate responsibility for research studies and takes the final decision on the individual study plan in case of disagreement.

The head of department is responsible for archiving the individual study plans and, by delegation, for ensuring that they are followed up once a year. All parties concerned can separately request a follow-up if there are particular reasons for doing so.

6.3 Courses and other assessed components

In addition to the thesis work, third cycle studies can consist of courses and other assessed components, such as conference participation. Both courses and other assessed components are to contribute to the achievement of the learning outcomes of the study programme.

Details of approved courses and other assessed components are to be continuously recorded in Ladok (I G 1687/2001, approved 22 May 2001).

6.4 Courses

All courses offered within third cycle education are to have a course syllabus approved, by delegation, by the departmental board for the relevant research studies subject.

The course syllabus is to be approved in Swedish and, unless there are particular reasons to the contrary, translated into English.

The course syllabus is to include the following:

1. course details, i.e. course code, course title in Swedish and English, cycle and value in credits.
2. learning outcomes
3. content
4. forms of instruction
5. language of instruction
6. form of examination and
7. grading scale according to the University's provisions.

Courses within third cycle education are to be evaluated according to provisions in the Regulations on course evaluations and course evaluation reports at Lund University (*Föreskrifter gällande kursvärdering och kursutvärdering vid Lunds universitet* PE 2010/341, adopted 7 April 2011).

7. Supervisors

At least two supervisors are to be appointed for each doctoral student. One of them is to be appointed as the principal supervisor (Higher Education Ordinance Chapter 6 Section 28). All supervisors are to have undergone training for supervision in research studies. At the School of Economics and Management, the minimum requirement for a principal supervisor is to be qualified for readership or to have equivalent research and teaching expertise, unless there are exceptional circumstances.

At the School of Economics and Management, by delegation, the head of the relevant department appoints the supervisor at the start of the doctoral student's research studies.

At the School of Economics and Management, the doctoral student's wishes are to be taken into account as far as possible in the allocation of supervisors. A doctoral student has the right to change supervisors on request.

By delegation, the third cycle studies teaching committee is responsible for formulating procedures for a change of supervisor and for drawing up an action plan to prevent conflicts between supervisors and doctoral students.

The doctoral student has the right to supervision for a period corresponding to four years of full time study.

The departments are to offer supervision resources to an extent that enables the completion of research studies within the allotted study period. At the School of Economics and Management, a doctoral student is entitled to a minimum of 60 hours of supervision per year. The total supervision time is distributed over the period of study according to the nature of the studies, which normally entails a variation in the intensity of supervision from one semester to the next. It is up to the supervisor to actively follow the studies of the individual research student. The initiative for contact does not rest only with the doctoral student. At the latest in conjunction with the annual revision of the individual study plan, the parties involved are to raise any problems in the study programme or concerning finance and take suitable measures together to rectify these problems.

8. Withdrawal of the right to supervision and other resources

If a student neglects his or her duties to a significant extent, particular measures are to be taken. In such cases, the University may withdraw supervision and other resources (HEO Chapter 6 Section 30).

A supervisor who observes negligence of the commitments undertaken in the individual study plan shall, if it is not possible to resolve the issue in any other way, report this in writing to the head of department. The head of department is to conduct a preliminary review in which the doctoral student is given the opportunity to make a statement. Subsequently, the head of department decides whether to pass the matter on the faculty board of the School of Economics and Management. The faculty board for the School of Economics and Management is to review the case to establish whether the department has fulfilled its duties to the doctoral student and thereafter decide whether to suggest the withdrawal of resources to the Vice-Chancellor of the University.

At Lund University, the faculty board is promptly to report to the Vice-Chancellor if it emerges from the follow-up of an individual study plan that the doctoral student in question is neglecting his or her commitments to a significant extent.

The Vice-Chancellor is to obtain the individual study plan together with the follow-up and a statement from the faculty board. The Vice-Chancellor is subsequently to determine whether the circumstances are such that the matter is to be dropped without further action or whether it requires further investigation. If the matter is to be investigated further, a statement regarding the doctoral student's research work in relation to the commitments undertaken in the individual study plan is to be obtained from an expert who is not active at the faculty in question. The doctoral student, his or her supervisor and the head of department are to be

given the opportunity to make a statement on the information provided in the case by someone other than the doctoral student concerned.

The doctoral student can apply to the Vice-Chancellor for the restitution of the right to supervision and other resources (HEO Chapter 6 Section 31).

9. Examination

The doctoral degree at the School of Economics and Management is called a Doctor of Philosophy degree or Doctor of Philosophy in Business and Economics degree. The degree of Doctor of Economics can be obtained in the research studies subjects of Business Administration and Economics (see relevant general syllabi). A Doctor of Laws degree can be obtained in Business Law on certain conditions (see general syllabus for Business Law).

For a doctoral degree, the doctoral student must have passed the courses included in the research studies programme, and have obtained a pass grade on the doctoral thesis.

A doctoral student has the right to request a review of credit transfers for courses completed in the second cycle and from research studies at other faculties or other higher education institutions in Sweden or abroad. This review is conducted by the examiner, who is appointed by the head of the relevant department. If the head of department is also the supervisor, an examiner is appointed by the deputy head of department or, where applicable, by the dean of the School of Economics and Management. Under no circumstances may the examiner be the doctoral student's own supervisor.

The grades awarded in research studies at the School of Economics and Management are Pass or Fail.

By delegation, the head of department is to appoint an examiner for the courses included in the research studies programme.

9.1 The doctoral thesis

The doctoral thesis is to document the doctoral student's expertise in tackling a research issue. The doctoral thesis can take the form of either a single unified research report (monograph) or a compilation of research papers with a summary which pulls all the parts together (compilation thesis).

If there are several authors for a thesis (monograph or compilation thesis), their individual efforts are to be specified in the introduction to the thesis or in its preface.

A doctoral thesis is normally written in Swedish or English. Subject to approval by the dean of the School of Economics and Management, the thesis can be written in another language if there are particular reasons to do so. A thesis which is not written in English is to be provided with a summary in English.

9.2 Reproduction and distribution of the doctoral thesis

The faculty board of the School of Economics and Management decides on the production of the thesis in a paper version, in a mandatory edition which consists

of 80 copies for the School of Economics and Management and the needs of the University Library, and an additional minimum of 20 copies for the department. The departments can decide on further mandatory copies for its own needs.

The thesis is to be available and exhibited at least three weeks before the date of its public defence. Information on this exhibition of the thesis (“spikning” in Swedish) and the mandatory edition is available on the website of the School of Economics and Management.

All copies of theses, including compilation theses, are to be complete.

The University Library is to receive 20 copies of the mandatory edition and an electronic archive copy in the stipulated format is to be provided. The electronic version is to be submitted according to the instructions on the website of the University Library.

The department is responsible for procurement, production and distribution related to doctoral theses.

9.3 Public defence of a thesis

The faculty board for the School of Economics and Management prescribes the following:

- Public defence of theses is to take place during the semester.
- Several such public defences are not to be scheduled simultaneously at the School of Economics and Management.
- The public defence of a thesis is to be announced at least three weeks in advance, of which at least two fall under semester time. The announcement is to be made on the University’s notice board.
- The announcement is to include information on the name of the doctoral student, the research studies subject, the title of the thesis in the original language, the name of the critical reviewer and details of the time and place for the public defence.
- The mandatory edition is to be ready and distributed in conjunction with the announcement.
- When the announcement is made, an abstract in English and a popular science summary in Swedish are to be published electronically, in compliance with instructions from the faculty office of the School of Economics and Management.
- The chair is to provide reasonable scope for the audience to ask questions and express views at the public defence of the thesis.

If there are valid reasons, the dean of the School of Economics and Management can decide to deviate from the rules set out above for a doctoral thesis and its public defence.

9.4 Grading committee

Pursuant to the Regulations on Doctoral Education at Lund University, the grading committee for a doctoral degree is to consist of five or three members. These members are to be qualified for readership, as a minimum requirement. If the committee consists of five members, at most two of them may be affiliated with the department where the public defence of the thesis is taking place. The board of the School of Economics and Management decides that of the other three

members, at most two may be affiliated with the School of Economics and Management at Lund University. At least one of the members must be employed outside Lund University. If the committee consists of a total of three members, at most one of them may be employed at the department where the public defence of the thesis is taking place. Of the remaining two members, at most one of them may be part of the School of Economics and Management in Lund. At least one of the members must be employed outside Lund University.

The critical reviewer and one of the supervisors (usually the principal supervisor) have the right to be present at the meeting of the grading committee and to take part in the deliberations but not in the decisions. In addition, the grading committee can summon another person able to contribute to the decision.

No fee is paid to the grading committee members. The fee for the critical reviewer is regulated separately.

At the latest five weeks before the date of the public defence of the thesis, after a proposal from relevant department, the dean of the School of Economics and Management appoints a critical reviewer, members of the grading committee and the chair of the public defence of the thesis.

9.5 Grading committee meeting report

The board of the School of Economics and Management decides that the grading committee is to provide a report of its meetings with information on

- The date of the public defence of the thesis
- The name of the doctoral student
- The title of the doctoral thesis in the original language and its research studies subject
- The name of the chair and members of the grading committee, the critical reviewer and the supervisor (principal supervisor), and whether the thesis has passed or failed following its public defence.

If the thesis is awarded a pass, no justification for the decision is required. A member has the right to record a dissenting opinion, but not its motivation. If the thesis is given a fail grade, the decision is to be justified.

10. Departmental duties

A doctoral student can take part in departmental work not exceeding 20% of total study time (HEO Chapter 5 Section 2). This work is to be distributed in such a way as to develop the doctoral student's research. The doctoral student is to be compensated with an equivalent extension of the total study time.

Doctoral students who engage in teaching are to undergo at least two weeks' training in teaching and learning in higher education, and all doctoral students are to be given the opportunity to take part in teacher training courses.

11. Licentiate degree

Studies towards a licentiate degree constitute a separate study path. Admission to research studies leading to a licentiate degree is done on the same basis and according to the same criteria as admission to research studies leading to a

doctoral degree (see section 3 above). A licentiate student wishing to continue to a doctoral degree must make a new application.

A licentiate degree at the School of Economics and Management is called a degree of Licentiate of Philosophy or a degree of Licentiate of Philosophy in Business and Economics. The degree of Licentiate of Philosophy in Business and Economics can be obtained in the research studies subjects of Business Administration and Economics (see relevant general syllabus). A degree of Licentiate of Laws can be obtained in Business Law on certain conditions (see general syllabus).

A licentiate degree is to be worth 120 credits, of which the thesis is to account for at least 60 credits. The thesis is to demonstrate the research student's ability to use research methodology and to present problems and results in a precise manner appropriate to the purpose.

For a licentiate degree, the research student thesis is to have passed the courses included in the study programme, and to have obtained a pass grade on the thesis.

- The thesis is normally written in Swedish or English. The thesis can, subject to approval by the dean of the School of Economics and Management, be written in another language if there are particular reasons for doing so.
- The thesis is to be discussed at a public seminar.
- A summary of the thesis is to be posted at the departments of the School of Economics and Management and on the University's notice board at the latest three weeks in advance, of which at least two weeks are to fall under semester time. The announcement is to state the time and place of the public seminar, and information on where the paper can be accessed.
- The thesis is to be reviewed by a critical reviewer and an examiner. The dean of the School of Economics and Management appoints the critical reviewer and the examiner after a proposal from the department. The examiner is to be qualified for readership as a minimum requirement and cannot be the same person as the principal or assistant supervisor.
- A proposal for the critical reviewer and examiner is to be submitted to the faculty office of the School of Economics and Management at least five weeks before the date of the public seminar.
- The author is to submit two copies of the thesis to the University Library.
- Printing grants are not paid for licentiate theses.

12. Transitional provisions

A research student who has been admitted in accordance with older provisions can obtain a degree according to the general syllabus for research studies applicable at the time the student was admitted to research studies, on condition that the syllabus does not violate the current Higher Education Ordinance.

A person who satisfied the basic entry requirements for research studies before 1 July 2007 is also to be considered to satisfy them subsequently, although at most until the end of June 2015 (SFS 2006:1053).