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Reg. no STYR 2018/1589

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 24 April 2018, reg. no STYR 2018/700.

The present provisions concern third-cycle 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*, 15 March 2018, reg. no STYR 2018/562
- *Admission Rules for Doctoral Education at Lund University*, 16 June 2017, reg. no STYR 2017/409

Pursuant to the *Rules of Procedure for Lund University* (reg. no LS 2017/1639), 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 of Economics and Management regarding gender equality, diversity, sustainability, 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 programmes and prepare matters concerning third-cycle education for the faculty board of the School of Economics and Management. The committee is chaired by a vice dean, and its members are the directors of studies for the third-cycle subjects at the School of Economics and Management, as well as doctoral student representatives.

2. Third-cycle studies subjects

The subjects within third-cycle education 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.

For every department, there shall be a director of studies. 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 in, and contribution to, international research.

On completion of the third-cycle 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 overall goals of third-cycle education, see the Qualifications Ordinance for third-cycle degrees (licentiate degrees and doctoral degrees) in the Higher Education Ordinance, Annex 2. For subject-specific learning outcomes for third-cycle education, consult the relevant general syllabus for each subject.

4. Admission and student finance

Only as many third-cycle 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 third-cycle 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 third-cycle programmes in good time. If possible, the deadline should be the same every 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 Student 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 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. Scholarships for third-cycle studies may not 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 student finance is to be carried out, followed by a decision by the head of department.

The doctoral student is to receive written information on what a doctoral studentship entails with regard to insurance, leave of absence, illness, etc. This information is to be provided to the prospective doctoral student before a decision on admission is taken. The information shall also cover the type of insurance the doctoral student is individually responsible for acquiring. The doctoral student must confirm in writing that the information has been received.

In cases where a doctoral student's external funding is discontinued for some reason, the School of Economics and Management is ultimately responsible for securing funding for 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 at least 90 credits and an independent project worth at least 15 credits in a subject relevant to the third-cycle programme. Other 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 the third-cycle programme. 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:

- Study 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 recruitment and selection of students for third-cycle education shall promote an even gender distribution and diversity, in accordance with Lund University's Policy for Gender Equality, Equal Opportunities and Diversity.

The fact that an applicant is considered eligible to transfer credits from prior courses and study programmes or professional 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 must be notified of the decision within seven days of it being taken (LU Admission Rules).

5. Study and careers guidance

Study and careers guidance for third-cycle students at the School of Economics and Management is organised by the departments. As a rule, these matters are handled by the person responsible for the department's third-cycle education 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 third-cycle 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 third-cycle student, an individual study plan is also to be drawn up at the time of admission.

6.1 General syllabi

General syllabi are to be drawn up 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 third-cycle 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 amount to at least 120 credits. The thesis for a licentiate degree is to amount to at least 60 credits.
This section also specifies any compulsory courses and seminars, their value in credits, any intermediate goals, and specific provisions for supervision.
- Teaching and assessed components
This section states the forms of teaching and assessment of the courses.

6.2 Individual study plans

An individual study plan is to be drawn up for each third-cycle 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
- third-cycle 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
- funding 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 to be drawn up by the doctoral student and the supervisor in consultation with the head of department. The plan is to be approved by the head of department at the time of admission. The faculty board of the School of Economics and Management is ultimately responsible for third-cycle education 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 third-cycle 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 scope stated in credits.
2. learning outcomes
3. content

4. forms of teaching
5. language of instruction
6. forms of assessment and
7. grading scale according to the University's provisions.

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

7. Supervision and other resources

7.1 Supervision

At least two supervisors are to be appointed for each doctoral student. One of them is to be appointed principal supervisor (Higher Education Ordinance Chapter 6 Section 28). All supervisors are to have undergone training for supervision in third-cycle education. At the School of Economics and Management, the principal supervisor is to have at least the qualifications of an associate professor, or the 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 third-cycle 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. Instructions regarding a change of supervisors are provided in the *Procedure for the change of supervisor at the School of Economics and Management*, reg. no STYR 2016/860.

See also the *Action plan for the prevention and management of conflicts between doctoral students and supervisors at the School of Economics and Management*, STYR 2016/861.

The departments are to offer supervision to an extent that enables the completion of third-cycle studies within the allotted study period. At the School of Economics and Management, a full-time doctoral student is entitled to a minimum of 60 hours of supervision per year, for a period of no more than four years in total. 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. The supervisor is actively to monitor the progress of the individual doctoral 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 and document any problems in the study programme or concerning finance, and take suitable measures together to rectify these problems.

7.2 Other resources

Pursuant to the Higher Education Ordinance, doctoral students are to be offered acceptable conditions for study (HEO Chapter 7 Section 34) and the faculty board is responsible for specifying the conditions necessary for achieving such acceptable conditions.

At the School of Economics and Management, the departments are responsible for ensuring a good study-social environment for all doctoral students. In accordance with the regulations for doctoral education at Lund University, this means supplying the doctoral student with:

- information about, and an introduction to, the programme and the department's research and research groups, seminars and other such activities, and opportunities for students to organise themselves into unions
- regular opportunities to have his or her research project discussed at seminars or the equivalent
- a desk, access to a computer, telephone, university email address and the other resources required for the doctoral student to complete his or her third-cycle studies

These resources are to be guaranteed for a period equivalent to four years in the case of full-time studies.

8. Withdrawal of the right to supervision and other resources

If a doctoral student substantially neglects his or her undertakings, special measures are to be taken. The University may then decide to withdraw supervision and other resources. Resources may not be withdrawn for any period in which the third-cycle student has been appointed to a doctoral studentship (HEO Chapter 6 Section 30). The procedure for processing of such matters is described in *Processing decisions regarding withdrawal and recovery of the right to supervision and other resources for a doctoral student* (reg. no V 2017/458).

At Lund University, the faculty must immediately 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 undertakings to a significant extent.

At the School of Economics and Management, the head of department is to report to the faculty board if a doctoral student is significantly neglecting his or her undertakings according to the individual study plan. The report shall include:

- the doctoral student's name, personal identity number and contact details
- the supervisors' names as well as contact details for any external supervisor
- details regarding the form of financing and, when relevant, the period of employment
- current Ladok transcript
- all approved individual study plans and all follow-ups of them

- an account of the department's views on the individual study plan and follow-ups, as well as an overall assessment of whether the doctoral student neglected his or her undertakings to a significant extent
- an account of how the department has fulfilled its undertakings according to the individual study plan

In connection with submitting a request for withdrawal of supervision and other resources to the Lund University vice-chancellor, the doctoral student shall be given the opportunity to make a statement, which is to be enclosed in the supporting document to the request.

The doctoral student may, on application to the vice-chancellor, recover his or her entitlement to supervision and other resources (HEO Chapter 6 Section 31). The procedure for processing of such matters is described in *Processing decisions regarding withdrawal and recovery of the right to supervision and other resources for a doctoral student* (reg. no V 2017/458).

9. Assessment

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 third-cycle 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 third-cycle programme, and have obtained a grade of Pass 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 third-cycle 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 within third-cycle education 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 third-cycle studies programme.

9.1 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 has decided that the theses are to be produced in a paper version, in a mandatory edition which consists of 20 copies for the School of Economics and Management and the University Library. In addition, the departments may decide on further mandatory copies for their 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, must be complete.

The University Library is to receive four copies of the mandatory edition and one electronic archive copy in the stipulated format. 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 third-cycle 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 accordance with the 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 regarding doctoral theses and public defence.

See also *Lunds universitets föreskrifter om digitala inslag vid disputationer i utbildning på forskarnivå* ("Lund University's regulations on digital elements in public defences in postgraduate education"), reg.no. STYR 2021/2725.

9.4 Grading committee

Pursuant to the *Regulations on Doctoral Education at Lund University* (STYR 2018/562) the grading committee is to be composed of three or five members. These members are to have at least the qualifications of an associate professor. In addition, a reserve is to be appointed, in the event that any member is prevented from attending the defence. At the School of Economics and Management, the grading committee is normally composed of three members and one reserve.

If the committee consists of three members and one reserve:

- at least one of them shall be employed outside Lund University
- at least one of them shall be employed within Lund University
- at most one of them may be employed at the department where the public defence is taking place.

If the committee consists of five members and one reserve:

- at least one of them shall be employed outside Lund University
- at least one of them shall be employed within Lund University
- at most two of them may be employed at the department where the public defence is taking place.

If there are special reasons, the dean may decide on an exception from the standard composition of the grading committee.

The critical reviewer and one of the supervisors (usually the principal supervisor) have the right to attend the meeting/s 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.

The grading committee members do not receive remuneration. Remuneration 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.

See also *Implementation of public defence of doctoral theses in unforeseen events affecting the participation of the opponent and the committee members*, reg.no. STYR 2022/702.

9.5 Grading committee minutes

The board of the School of Economics and Management has decided that the grading committee is to take minutes 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 the third-cycle 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, the decision must be justified.

9.6 Conflict of interest

In the appointment of a critical reviewer and members of the grading committee, the provisions regarding disqualification (conflict of interest) as defined in the Swedish Administrative Procedure Act (2017:900, sections 16–18) must be taken into account (*Regulations for doctoral education at Lund University*, STYR 2018/562). The grading committee members and critical reviewer must be completely independent from the doctoral student, supervisors and any research project within which the thesis was written. This means that there can be no conflict of interest between any of the supervisors/doctoral student and the grading committee members/critical reviewer. A conflict of interest exists:

- in case of relatives or other close relationships
- if any of the persons involved, or their loved ones, may be expected to benefit or be disadvantaged from the outcome of the public defence of a thesis
- if the circumstances are such that confidence is jeopardised regarding the impartiality of the critical reviewer or grading committee members in their assessment of the thesis

Examples of situations involving a conflict of interest:

- Co-authored publications during the last five years (close cooperation in a professional sense)
- Supervisor relationship (without a time limit)
- Expert assignments during the last five years

- Financial conditions or other dependencies (e.g. project funding, joint applications or research projects)
- Close friendship or enmity, or other situations involving a risk that a grading committee member/critical reviewer will not act impartially.

10. Departmental duties

A doctoral student can take part in departmental work not exceeding 20% of their 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 period.

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

11. Licentiate degree

Education towards a licentiate degree constitutes a separate educational path. Admission to third-cycle studies for a licentiate degree is according to the same grounds and criteria as for third-cycle studies for a doctoral degree (see section 4 above). Those wishing to continue their education to obtain a doctoral degree must submit 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 third-cycle 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 amount to 120 credits, of which the thesis is to account for at least 60 credits. The thesis is to demonstrate the third-cycle 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 third-cycle student is to have passed the courses included in the study programme, and to have obtained a grade of Pass 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 thesis 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 have at least the qualifications of an associate professor 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 third-cycle student who has been admitted in accordance with older provisions can obtain a degree according to the general syllabus for the third-cycle programme applicable at the time of admission, on condition that the syllabus does not violate the current Higher Education Ordinance.