



Faculty board

Guidelines for third-cycle studies at the School of Economics and Management

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1 Introduction

This decision replaces the following previous decisions:

- *Regulations for third-cycle studies at the School of Economics and Management* (STYR 2024/1642)
- *Procedure for the change of supervisor at the School of Economics and Management* (STYR 2016/860)
- *Action plan for the prevention and management of conflicts between doctoral students and supervisors at the School of Economics and Management* (STYR 2016/861)
- *Implementation of public defence of doctoral theses in unforeseen events affecting the participation of the opponent and the committee members* (STYR 2024/1641)

The regulations apply to third-cycle education at the departments within the School of Economics and Management (LUSEM).

According to the *Rules of Procedure for Lund University* (STYR 2024/2086), the faculty board of LUSEM has overall responsibility for third-cycle education at LUSEM.

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

1.1 General provisions for third-cycle education

- Chapters 5–7 in the [Higher Education Ordinance](#) (HEO), SFS 1993:100
- [University-wide Regulatory Framework for Doctoral Education at Lund University](#) (STYR 2023/625)
- [Admission Rules for Doctoral Education at Lund University](#) (STYR 2024/288)

2 The Research Education Council

The task of the Research Education Council is to promote and monitor third-cycle programmes and prepare matters concerning third-cycle education for the faculty board of LUSEM. The council is chaired by a vice dean, and its members are the directors of studies for the third-cycle programmes at LUSEM, as well as doctoral student representatives.

3 Third-cycle studies subjects

The subjects within third-cycle education at LUSEM are:

- | | | |
|---------------------------|--|--------------------|
| – Business Administration | – Business Law | – Economic History |
| – Economics | – Informatics | – Research Policy |
| – Statistics | – Applied Analysis of Economics and Management | |

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

There shall be a director of studies for each department. The director of studies is appointed by delegation by the dean of LUSEM and shall have a coordinating role for issues related to third-cycle education in the subject.

4 Aims and objectives of third-cycle studies at LUSEM

For general objectives for third-cycle education, see the degree regulations for third-cycle degrees (licentiate degree and doctoral degree) in HEO Appendix 2. For subject-specific learning outcomes for third-cycle education, see the general study plans in each subject.

The aim of the doctoral programmes at LUSEM is for the doctoral student to acquire the skills needed to independently participate in and contribute 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

5 Admission and student finance

5.1 Announcement

The departments are to announce the date of application for doctoral programmes well in advance. If possible, the date should be fixed from year to year to ensure competition among applicants. The announcement of a place on a programme shall be made so that the announcement has appropriate national and international distribution. The application period shall be at least three weeks. Applications must be made on a special form available on the LUSEM website. Applications for admission with funding other than employment can be submitted without prior announcement but should as far as possible be made at the same time as regular announcements.

See also [*Admission Rules for Doctoral Education at Lund University*](#)

5.2 Student finance

At LUSEM there are two possibilities for student funding: employment as a doctoral student and other funding. Other funding may consist of employment outside the university or a scholarship from an external source.

Employment as a doctoral student must take place at the department that admits the doctoral student to the doctoral programme.

See also [*Admission Rules for Doctoral Education at Lund University*](#)

5.3 Entry requirements

General entry requirements for third-cycle studies are regulated in HEO 7:39.

The specific entry requirements are faculty- and subject-specific. As a general standard for specific entry requirements at LUSEM, doctoral students must have completed at least 90 credits and an independent project corresponding to at least 15 credits in a subject relevant to the doctoral programme applied for. Other specific entry requirements are stated in the general syllabus for each subject.

5.4 Preparation and selection

The preparation and selection of admission decisions shall be made by a group decided by the departmental board, other departmental body or head of department. The group shall include at least two teachers with qualifications of associate professor (docent). At least one of the associate professors in the group shall not be an intended supervisor. The composition of the group shall guarantee an impartial assessment. Students have the right to be represented in the group.

Applicants shall be selected based on their ability to benefit from the doctoral programme. The assessment criteria for this are breadth, depth, relevance, and

independence in previous work, as well as the ability to participate actively in the research environment. Examples of documentation for this assessment are:

- Academic record
- Independent papers, or demonstrated independence in paper writing
- Other published writings
- Research plan
- Letter of recommendation from established research contact or references
- Relevant qualifications outside academia
- Interview with the applicant

At LUSEM, applicants shall be informed of the possibility to submit an objection to the proposal to the head of department within two weeks. The head of department shall consider the objection and provide a reasoned response.

See also [*Admission Rules for Doctoral Education at Lund University*](#)

5.5 Admission

At LUSEM, the head of department at each department makes decisions on the admission of doctoral students, after a plan for funding has been established. In cases where the head of department is also the supervisor, the decision is made by the deputy head of department or, where appropriate, by the dean of LUSEM. In the case of admissions with other forms of study funding than doctoral student employment, such as admissions of applicants with scholarships, or applicants with employment outside Lund University, the decision is made by the dean of LUSEM.

See also [*Admission Rules for Doctoral Education at Lund University*](#)

6 Study and career guidance

Study and career guidance for doctoral students at LUSEM is organised by the departments. Guidance is handled by the respective director of studies for doctoral programmes and by the supervisors.

7 General syllabi and individual study plans

In accordance with the HEO, there must be a general syllabus for each third-cycle subject for both doctoral and licentiate degrees. The general syllabi are established by the faculty board of LUSEM. In addition, each doctoral student must have an individual study plan that is drawn up in connection with admission.

See also [*University-wide Regulatory Framework for Doctoral Education at Lund University*](#)

8 Training in teaching and learning in higher education

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.

See also [University-wide Regulatory Framework for Doctoral Education at Lund University](#)

9 Departmental duties

A doctoral student can take part in departmental work not exceeding 20 % of their total study time (HEO 5:2). 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.

See also [University-wide Regulatory Framework for Doctoral Education at Lund University](#)

10 Supervision and other resources

10.1 Supervision

Doctoral students' right to supervision is regulated in HEO 6:28. At LUSEM, by delegation, the head of the relevant department appoints the supervisor at the start of the doctoral student's third-cycle studies. The doctoral student's wishes shall be considered as far as possible. All supervisors are to have undergone training for supervision in third-cycle education.

At LUSEM, a doctoral student is entitled to receive at least 60 clock hours of supervision per year for full-time studies. The total supervision is distributed within the study period considering the nature of the studies, which normally means that the supervision efforts vary from semester to semester.

See further instructions on the supervisor's tasks in [University-wide Regulatory Framework for Doctoral Education at Lund University](#)

10.2 Change of supervisor

Change of supervisor is regulated in HEO 6:28. No justification from the doctoral student is needed. In addition to the request on the doctoral student's initiative, a change of supervisor may also be required for other reasons, such as the doctoral student and supervisor entering a romantic relationship; a change in the supervisor's employment conditions; long-term illness or leave of absence for the supervisor.

10.2.1 Procedure when the doctoral student requests a change of supervisor

A request for a change of supervisor is to be handled promptly by the department and must result in a decision within a reasonable time. The doctoral student has a basic right to change supervisors, so such a request is to be granted. There can, however, be circumstances which justify a refusal of the request. A detailed written justification must accompany any decision to refuse a request for a change of supervisor.

Brief description of the process for a change of supervisors at the doctoral student's request:

1. The doctoral student contacts the head of department or director of research studies for a meeting.
2. A written request is sent to the head of department. No justification is required. This request is to be registered by the department (series: STUD; KS code: 3.5.4). In connection with the request, the doctoral student can state his or her wishes concerning the new supervisor. It is the responsibility of the head of department to communicate the requested change to the supervisor concerned.
3. The head of department informs the supervisor concerned.
4. The head of department appoints a new supervisor.
5. The director of research studies documents the change of supervisor in LADOK.
6. The individual study plan is updated by the doctoral student together with the new supervisor and the director of research studies and established by the head of department.
7. A follow-up appraisal is held between the director of studies and the doctoral student 3–6 months after the change of supervisor.

10.2.2 Procedure when the change of supervisor is brought about by a change in circumstances

Each department is responsible for planning and following up the supervisory situation in ongoing doctoral thesis projects.

Brief description of the process of changing supervisors on the grounds of changed circumstances:

1. The supervisor informs the head of department or director of research studies. A written justification is to be included.
2. The head of department summons a meeting with the doctoral student concerned, all the supervisors involved and the director of research studies.
3. The head of department appoints as new supervisor as necessary.
4. The director of research studies documents the change of supervisor in LADOK.
5. The individual study plan is updated by the doctoral student together with the new supervisor and the director of research studies and established by the head of department.
6. A follow-up appraisal between the director of studies and the doctoral student is held 3–6 months after the change of supervisor.

10.3 Action plan for the prevention and management of conflicts between doctoral students and supervisors

It is of the utmost importance that the faculty works to ensure that doctoral students feel a basic sense of security in their work environment. Nevertheless, conflicts can arise between supervisors and doctoral students, even in a basically well-functioning collaboration. The doctoral student is often strongly dependent on the supervisors, not only from a research perspective but often also for funding. In addition, a supervisor can have influential positions at the department level, indirectly making it difficult for the doctoral student to actively address an unsatisfactory and problematic relationship.

If a doctoral student ends up in a conflict situation, he or she should first turn to the department's director of research studies or the head of department. As a second step, the doctoral student should turn to the vice dean responsible for research studies, and as a third step to the dean of LUSEM. The doctoral student always has the right to turn to the faculty.

Action plan to prevent conflicts between supervisors and doctoral students and to manage them when they do arise:

Step 1. Regular appraisals between the doctoral student and the supervisor

In connection with all formal follow-ups of the individual study plan, the supervisor and the doctoral student are to meet and discuss any changes. Following the discussion between the supervisor and the doctoral student, the study plan is to be passed on to the director of research studies who prepares it for a decision by the head of department.

Step 2. Regular staff appraisals between the doctoral student and the director of studies

At LUSEM, the director of research studies (or the head of department) is to conduct an individual staff appraisal with the doctoral student once per year. This appraisal is to address the doctoral student's entire work situation, not least issues concerning relationships and collaboration, and any problems are to be documented.

Step 3. Change of supervisor

Where necessary, there can be a change of supervisor according to 10.2 above.

10.4 Other resources

At LUSEM, the departments are responsible for ensuring a good study-social environment for all doctoral students. 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.

For instructions on withdrawing entitlement to supervision and other resources, see [University-wide Regulatory Framework for Doctoral Education at Lund University](#)

11 Assessment

The doctoral degree at LUSEM is called a Doctor of Philosophy degree, a Doctor of Philosophy in Business and Economics degree, or a Doctor of Laws 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 an 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 LUSEM. The examiner cannot be the doctoral student's own supervisor.

The grades awarded within third-cycle education at LUSEM 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.

11.1 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 LUSEM, the thesis can be written in another language if there are reasons to do so. A thesis which is not written in English is to be provided with a summary in English.

11.2 Reproduction and distribution of the doctoral thesis

The faculty board of LUSEM has decided that the theses are to be produced in a paper version, in a mandatory edition which consists of 20 copies for LUSEM 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 announced at least three weeks before the date of its public defence. Information on this announcement of the thesis (“spikning” in Swedish) and the mandatory edition is available on the website of LUSEM.

All copies of theses, including compilation theses, must be complete.

The University Library is to receive three 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.

11.3 Public defence of a doctoral thesis

The faculty board of LUSEM prescribes the following:

- Public defences of doctoral theses are to take place during the semester.
- Several such public defences are not to be scheduled simultaneously at LUSEM.
- The public defence of a thesis is to be announced at least three weeks in advance, of which at least two falls 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 dean’s office at LUSEM.
- 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 reasons to do so, the dean of LUSEM may, at the request of the department, decide on a hybrid defence.

If there are valid reasons, the dean of LUSEM can decide to deviate from the rules set out above regarding doctoral theses and public defence.

11.4 Examining committee

At LUSEM, the examining committee is composed of three members. These members are to have at least the qualifications of associate professors (docent).

The following applies to the composition of the committee:

- 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 there are special reasons, the dean of LUSEM may decide on an exception from the standard composition of the examining committee.

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

The examining committee members do not receive remuneration. Remuneration for the critical reviewer is regulated separately.

No later than five weeks before the date of the defence, the dean of LUSEM, on the proposal of the department concerned, appoints the critical reviewer, the members of the examining committee, and the chairman of the defence.

11.5 Examining committee minutes

The examining 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 examining committee, the critical reviewer and the 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.

11.6 Conflict of interest

In the appointment of a critical reviewer and members of the examining committee, the provisions regarding disqualification (conflict of interest) as defined in the Swedish Administrative Procedure Act (2017:900, sections 16–18) must be considered. The examining 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 examining 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 examining 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 an examining committee member/critical reviewer will not act impartially.

11.7 Implementation of public defences of doctoral theses in unforeseen events affecting the participation of the opponent and the committee members

Unforeseen events can, at short notice, affect the ability of the opponent and the members of the examining committee (“members” in the following) to attend a public defence. The faculty therefore wants to clarify which rules apply to defences and what measures can be taken to ensure that a defence can be implemented even when the opponent and/or members are forced to cancel their participation at short notice:

- A public defence must be open, which means that it must be arranged in a room where the public can attend.
- The respondent and the chair of the defence must both be present in the room. Furthermore, at least one of the supervisors and at least two members of the examining committee must be present in the room, unless there are special reasons. Remaining members, supervisors, and the opponent can participate digitally if unforeseen events make it impossible for them to attend the defence.
- Opponents and members who are prevented from participating at the defence can also be replaced by the dean of LUSEM appointing another opponent/member. The regulations regarding the qualifications and the composition of the board, as well as rules for conflict of interest, apply as usual.

If the opponent and/or members are to participate via link, the following applies:

- Everyone present in the auditorium should be able to see and hear all those who are present via link.

- Everyone who is connected via link must be able to see and hear the respondent and the presentations given at the defence as well as everyone who makes comments and must be able to participate in the entire dissertation.
- For everyone who is connected via link, there must be a possibility of direct telephone contact between the chair of the defence and the person in question.

If the technology fails so that the above criteria cannot be met, the defence must be repeated/postponed.

As far as possible, decisions on digital elements of the thesis defence should be made in consultation with the doctoral student.

See also [University-wide Regulatory Framework for Doctoral Education at Lund University](#)

12 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 LUSEM is called a degree of Licentiate of Philosophy, a degree of Licentiate of Philosophy in Business and Economics, or a degree of Licentiate of Laws. 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 LUSEM, be written in another language if there are 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 LUSEM 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 LUSEM 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 (docent) and cannot be the principal or assistant supervisor of the doctoral student.
- A proposal for the critical reviewer and examiner is to be submitted to the dean's office at LUSEM at least five weeks before the date of the public seminar.
- The author is to submit a copy of the thesis to the University Library.
- Printing grants are not paid for licentiate theses.

13 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.