

# **Implementing Provisions concerning the Doctorate Regulations at the University of Liechtenstein**

1 April 2014

**This document has been translated into English. If there is any inconsistency or ambiguity between the German and the English versions, the German version shall prevail.**

The Rectorate hereby enacts the following implementing provisions concerning the procedure for obtaining a doctoral degree at the University of Liechtenstein, taking effect as of 1 April 2014.

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*Unless otherwise expressly provided, any references made in these implementing provisions to individuals, job titles and roles in these guidelines are intended to include both genders.*

## **1. Learning Agreement**

At the beginning of the degree, a written learning agreement must be concluded between the supervisor and the doctoral student. The agreement must contain provisions governing the relationship and defining the rights and responsibilities involved.

## **2. Supervision**

### **2.1. Tasks**

Supervision is understood as support and advice. Appropriate free time slots are required for supervision and the number of doctoral students supervised must be limited to a reasonable amount.

The main task of supervision is to promote independence, creativity and the ability to work self-critically and participate in academic discourse. It is a supervisor's responsibility to facilitate doctoral students to take responsibility for their own academic work and careers.

### **2.2. Supervision shortly before retirement**

If a professor wishes to accept doctoral students for supervision less than three years prior to transitioning to retirement, this must be approved by the Doctoral Commission. It is necessary for the following points to be guaranteed, documented and brought to the attention of the Dean:

- The possible succeeding supervisor;
- The infrastructure necessary until completion of the dissertation.

### **2.3. Supervision upon leaving**

If the supervisor leaves the University of Liechtenstein, no further doctoral student at the University of Liechtenstein may be accepted for supervision by this supervisor as of the date of termination.

In consultation with the Dean, the supervisor must guarantee and document the following points:

- Continued supervision until completion of the dissertation (viva voce examination);
- Securing the infrastructure necessary until completion of the dissertation.

If supervision can no longer be provided, a successor shall be appointed by the Doctoral Commission in consultation with the doctoral student.

### **2.4. Change of supervisor or co-supervisor**

The doctoral student, the supervisor or the co-supervisor must demonstrably inform the Dean without delay if supervision or co-supervision is no longer possible due to

- unforeseeable changes relating to the content of the work
- irreconcilable personal differences or
- other matters producing bias on the part of the supervisor or co-supervisor.

If supervision can no longer be provided, a successor shall be appointed by the Doctoral Commission in consultation with the doctoral student.

## **3. Research Proposal and Seminar**

The research proposal (Art. 8 of the Doctorate Regulations) is a research plan and contains at least the following points:

- A summary of the research project

- Objectives, contents, results: statements about the academic objectives, the content and the possible results expected of the dissertation
- A brief description of prior research in the area of the planned work, with the titles of the most relevant work of other authors
- If applicable, a brief description of the student's own prior research in the area of the planned work, with the titles of previously published work
- Statements regarding the innovative nature of the proposed work in comparison to the current status of the student's own research and development (if applicable), and in relation to the prior research of other researchers.
- Where applicable, a description of preliminary work already carried out.
- Statements regarding procedure / methodology
- Statements regarding the schedule - milestones
- Quality assurance measures

If a **cumulative dissertation** is intended, it is necessary to mention the publication journals and the number of publications planned.

The formal aspects of the research proposal must comply with the "Guidelines for Writing Academic Papers at the University of Liechtenstein". A document template is provided.

In the **seminar**, the described approach will be explained. It shall last 40 to 60 minutes and take place at the University of Liechtenstein. The seminar can take place outside the University of Liechtenstein in exceptional cases only. If the co-supervisors cannot attend, live video links shall be organised. The supervisor may invite other faculty and staff members or other people to attend. Details regarding the procedure are set out in the "Research Proposal / Seminar - Organisation and Procedure" leaflet.

In consultation with the doctoral student, the supervisor shall determine the deadline for submitting the research proposal and the date for conducting the seminar.

## 4. Dissertation and Viva Voce Examination

### 4.1. Setting and changing the dissertation topic

Upon application, a working title shall be proposed. The topic shall be set upon submission of the research proposal. Upon accepting the research proposal, the supervisor shall confirm the topic in the "Dissertation Application Form".

A topic change is a substantive reorientation of the dissertation within the specialisation. The change shall be approved by the supervisor in consultation with the co-supervisor and notified to the Dean.

### 4.2. Types of dissertation

The dissertation may be submitted as a monograph or as a cumulative dissertation.

For a cumulative dissertation, research results shall be documented on the basis of several individual publications. They must meet the following requirements:

- The timing and the topics of the publications must be related; the relation shall be derived from the overarching aim of the research.
- Individual publications must meet the requirements of high-quality academic publications in the discipline.

The cumulative dissertation shall be submitted to the Board of Examiners as a complete work, which must be given an appropriate title. In addition to the individual publications, a text providing a description of the overall contribution of the work must be added.

### 4.3. Formal requirements of the dissertation

The formal aspects of the dissertation must comply with the "Guidelines for Writing Academic Papers at the University of Liechtenstein". A document template is provided.

#### **4.4. Declarations and curriculum vitae**

The following declarations must be submitted with the dissertation by the doctoral student:

- A declaration that the dissertation was written without unauthorised assistance (Declaration of Originality);
- A declaration that the dissertation or parts thereof have never submitted to an examining body.

A brief curriculum vitae shall be attached at the end of the dissertation. Such declarations shall be hand-signed by the doctoral student.

#### **4.5. Completion, submission and publication of the dissertation**

The dissertation must be submitted to the Doctoral Commission as an assessment copy and made available to the public as a library copy.

##### **4.5.1. Assessment copy**

In accordance with the "Guidelines for Writing Academic Papers at the University of Liechtenstein", the assessment copy of the dissertation must be submitted in hard copy and on electronic media. Both versions must be identical. The number of copies to be submitted is equal to the number of members of the Doctoral Commission plus one additional copy.

At the behest of the Doctoral Commission, a copy shall be made available to the professoriate of the University of Liechtenstein at least two weeks before the viva voce examination.

##### **4.5.2. Compulsory library copy**

###### **General provisions**

The candidate must publish the dissertation in a form approved by the Doctoral Commission and deliver the compulsory library copies within one year of passing the viva voce examination. In exceptional cases, the Dean may grant an extension of this period by one year.

The compulsory copies must comply with the requirements set out in the "Guidelines for Writing Academic Papers at the University of Liechtenstein". The supervisor and the co-supervisor have a right to supervise the printing.

###### **Conditional acceptance for publication**

If the dissertation has been conditionally accepted, the supervisor and the co-supervisor must confirm in writing that the conditional requirements have been met. This modified version is the publication version.

###### **Types of publication**

###### **• Publication in the University of Liechtenstein Library**

There are two compulsory to submit copies and an electronic version. The printed compulsory copies and the electronic version must be identical.

###### **• Additional publication in bookshops**

A further publication in bookshops, in an institute's publication series or suchlike may take place only after graduation. The doctoral student is obliged to indicate that the publication constitutes the dissertation as approved by the Graduate School of the University of Liechtenstein using a special reference in the imprint and to submit to the supervisor and co-supervisor any substantive augmentations (including the inclusion of a preface, an epilogue and similar additions), abridgements and any amendments to the work or the title for approval before printing.

#### **4.6. Non-accepted dissertation**

If the dissertation is returned for revision or rejected, the Dean shall inform the doctoral student by means of a written, reasoned notification. If a revision can be undertaken, the notification shall provide information about how to proceed and the deadline for the revision. The time period for the second submission of the dissertation shall not exceed 12 months.

#### **4.7. Dates and duration**

##### **4.7.1. Assessment of the dissertation**

The supervisor and co-supervisor must assess the dissertation and produce their assessment reports within two months following submission. In exceptional cases, the Dean may grant a time extension.

#### **4.7.2. Viva voce examination**

The viva voce examination must take place within one month of receiving the assessment reports. The date shall be set by the Chair of the Doctoral Commission. In exceptional cases, the Doctoral Commission shall decide on a time extension. The viva voce examination shall last 60 to 90 minutes, is public and must take place at the University of Liechtenstein. A simple majority of the members of the Doctoral Commission must be physically present. For the absent members, a live video link must be organised. The proceedings of the viva voce examination will be recorded in writing.

If the student fails the viva voce examination, the Dean shall inform the doctoral student in writing of the date for a resit. The resit of the viva voce examination must be held within three months.

## **5. Entry into Force**

These implementing provisions shall enter into force on 1 April 2014, replacing the implementing provisions of 1 March 2012.