

Regulation for obtaining the Doctorate in Public Administration from the Faculty of Law, Criminal Justice and Public Administration at the University of Lausanne

of 14 September 2020

based on the Regulations of the University of Lausanne's Faculty of Law, Criminal Justice and Public Administration and the Regulations of the Swiss Graduate School of Public Administration (IDHEAP).

This English translation of the original French-language version serves information purposes only and has no legal force.

Art. 1. Field of application	These regulations govern the requirements for the admission, education and award of the title of Doctor of Philosophy in Public Administration (hereafter: the Doctorate) from the University of Lausanne.
Chapter I	Award of the Doctorate
Art. 2. Award of the degree	<p>¹The University of Lausanne (hereafter: UNIL) awards the degree of Doctor of Philosophy in Public Administration on the recommendation of the Faculty of Law, Criminal Justice and Public Administration (hereafter: the Faculty).</p> <p>²The Doctorate is considered higher-level post-graduate education.</p>
Art. 3. Content of the Doctorate	<p>¹The award of the Doctorate implies an original, in-depth, coherent and personal written scientific contribution, of a high academic standard, to the field of public administration.</p> <p>²The award of the Doctorate also implies following the Doctoral School's training programme, which aims to develop the candidate's analytical, conceptual and methodological skills in the field of public administration.</p>
Chapter II	Admission
Art. 4. Matriculation at UNIL	<p>¹The candidate shall be matriculated at UNIL for the entire duration of their doctoral studies.</p> <p>²The Admissions Office is responsible for formally determining the candidate's admissibility.</p> <p>³In accordance with the Directive of the Conditions of Matriculation issued by UNIL's Directorate, the candidate must meet the formal matriculation conditions for doctoral studies. Notably, they must hold a master's degree awarded by a Swiss university or university of applied sciences or a title which UNIL's Directorate considers equivalent.</p>
Art. 5. Submission of the thesis proposal	<p>¹The thesis proposal must be sent to IDHEAP's Teaching Commission (hereafter: the TC).</p> <p>²The submission must contain the candidate's thesis proposal and their personal educational plan (the Learning Agreement). The thesis supervisor must approve both of these documents. The Learning Agreement considers the doctoral candidate's specific educational needs</p>

and is subject to change at any time.

³In a meeting of the TC, the Faculty members will discuss the thesis proposal and Learning Agreement in the presence of the proposed thesis supervisor. The TC's representative member for non-professorial teaching staff also participates in the discussion in an advisory capacity.

⁴At the end of the meeting, the TC can:

- a. pronounce a favourable opinion to IDHEAP's Directorate;
- b. ask that the thesis proposal be modified and resubmitted, with the thesis supervisor forwarding the TC's comments to the candidate.

⁵The thesis proposal, the Learning Agreement and the TC's decision are forwarded to IDHEAP's Directorate for approval by the Dean's Office.

⁶If the candidate is hired as a doctoral assistant, they must submit their thesis proposal in a timely fashion such that it can be accepted by the TC and forwarded to IDHEAP's Directorate before the candidate's first twelve-month contract has run out.

⁷If the candidate is not hired as a doctoral assistant, the TC must accept their thesis proposal within twelve months of the date of the candidate's matriculation by the Admissions Office.

⁸Should the TC not have pronounced a favourable opinion of the thesis proposal within twelve months, then the TC will report that the present regulations have not been respected and will inform the doctoral candidate of its decision, which will lead to dematriculation from the University of Lausanne.

Art. 6. Thesis supervision

¹It is the candidate's responsibility to find a thesis supervisor with whom they should discuss, develop and finalise their thesis proposal.

²The thesis supervisor should be either a faculty member—a professor—or a senior research lecturer whose field of study and teaching is related to the thesis proposal.

³Should the proposed thesis supervisor not have a tenured position, then the thesis committee must be completed with a full professor or associate professor from UNIL. This committee member's role is to ensure that the doctoral candidate can finish their thesis even if their thesis supervisor were to leave IDHEAP.

⁴A thesis can be co-supervised according to the conditions set out by UNIL's Directorate Directive 3.11: 'Thesis Co-Supervision'. In cases of co-supervision, principal scientific leadership of the thesis is assured by the thesis supervisor. The thesis co-supervisor can be from UNIL or another university or university of applied sciences in Switzerland or abroad. The tasks of managing and monitoring the doctoral candidate will be shared out by agreement between the supervisor and the co-supervisor at the start of the doctoral candidate's work.

⁵According to the current international accords in place, a system of co-supervision is possible.

⁶Should the person designated to supervise the thesis be unable to fulfil that role to its conclusion, IDHEAP's Directorate will strive to find another supervisor for the thesis, notably by calling on the second member of UNIL's Faculty on the thesis committee.

Art. 7.senior Thesis proposal contents

¹The thesis proposal document should comprise around three pages, of a maximum of 2,000 words, and be accompanied by the 'University of Lausanne's application form for a Doctorate in Public Administration'. This document includes:

- a working title,

- some keywords (fields of study),
- the candidate's full name,
- the proposed thesis supervisor's full name and, if necessary,
- the proposed thesis co-supervisor's full name.

²It should give a broad description of:

- the theme,
- the research objectives,
- the proposed methodology.

³It should also indicate:

- a few major reference works and,
- the composition of a proposed thesis committee.

Art. 8. Language

The thesis proposal and the thesis are to be written in French. Should the proposed thesis supervisor agree, these documents may be written in another official language of Switzerland or in English. Subject to the approval of the TC, these documents may also be written in another language.

Art. 9. Composition of the thesis committee

¹The thesis committee should be composed of at least four members.

²At the thesis proposal stage, the committee's composition may still be partial; however, it must comprise at least the following proposed committee members:

- a. the thesis supervisor,
- b. if necessary, the thesis co-supervisor,
- c. another professor from UNIL who must be part of IDHEAP's staff if the thesis supervisor is not.

³The thesis committee must be completed before the Intermediate examination (pré-colloque) (see Art. 14). The thesis committee must include at least two experts from outside UNIL who hold a Ph.D. in a subject pertinent to the evaluation of the thesis.

Chapter III

Doctoral programme

Art. 10. Doctoral programme

The doctoral candidate must follow courses worth at least 15 ECTS proposed by either IDHEAP's Doctoral School in public administration or another external doctoral training programme deemed equivalent and approved by IDHEAP's TC.

Art. 11. IDHEAP's Doctoral School

¹IDHEAP has a Doctoral School in Public Administration which offers a programme of courses in the field of public administration. Three of these courses must be taken (5 ECTS each). The course programme aims to promote the candidate's acquisition of analytical, conceptual and methodological skills.

²The Doctoral School sets learning objectives and their implementation in its internal regulations. The Doctoral School is administered by its director.

³The director of the Doctoral School is appointed by IDHEAP's Management Team. They must be a member of IDHEAP's TC.

Art. 12. Approved courses

¹IDHEAP's TC is empowered to authorise its doctoral students to attend external education programmes which it judges to be equivalent to

IDHEAP's Doctoral School programme. It may also delegate its competency to the Doctoral School's management team.

²To receive authorisation, doctoral education programmes must propose a coherent range of doctoral-level activities (classes, seminars, conferences, academic contributions, etc.).

³IDHEAP's Directorate periodically re-evaluates its list of authorised external doctoral education programmes.

⁴Regardless of the doctoral education programme chosen, the candidate must follow three of IDHEAP's required doctoral education courses (5 ECTS each).

Chapter IV	Validation process for contributions to academic knowledge
Art. 13. Type of thesis	<p>¹The thesis must consist of a personal, original contribution to academic knowledge, of such quality that they could form the basis for one or more publications.</p> <p>²The thesis generally takes the form of a monograph.</p> <p>³At the suggestion of the thesis supervisor, the monograph can be written in the form of at least three publishable scientific articles and a summary report (an article-compilation thesis). At least one of these articles should be written by the doctoral candidate alone. The summary report presents the articles, the issues, the context surrounding the research, as well as conclusions and perspectives. The summary report must be written by the candidate alone.</p>
Art. 14. Cheating and plagiarism	<p>In cases involving cheating or plagiarism or the attempt of such, the relevant applicable regulations are UNIL's Directorate Teaching Directives 0.3, 03a and, if necessary, 3.15 and 4.2.</p>
Art. 15. Intermediate examination (pré-colloque)	<p>¹Within two years of the date of the thesis proposal's endorsement by the TC (Art. 5), the thesis supervisor will convene the thesis committee members to a Intermediate examination (pré-colloque). In exceptional circumstances, the TC can extend this two-year time limit.</p> <p>²At least two weeks before the Intermediate examination (pré-colloque), the candidate must transmit a written report document to the thesis committee's members.</p> <p>³The Intermediate examination (pré-colloque) report document provides an outline of the whole thesis. The document:</p> <ol style="list-style-type: none">Details the current knowledge and state of the art in the field of research examined by the thesis as well as the theoretical issues involved,specifies the perspectives for future research that are being developed via the thesis (hypotheses, etc.)discusses the choice of methodologies, and,as far as is possible, presents some initial findings.In the case of an article-compilation thesis, the Intermediate examination (pré-colloque) report document should include at least the first article. <p>⁴The Intermediate examination (pré-colloque) report document will be the subject of a public oral presentation (in a research seminar) in the presence of at least two members of the thesis committee.</p> <p>⁵At the end of the Intermediate examination (pré-colloque), the</p>

candidate and the thesis committee members present meet in private. The thesis supervisor chairs the meeting. The candidate answers the thesis committee's questions, and each committee member expresses their opinions.

⁶At the end of the Intermediate examination (pré-colloque), the thesis committee members present deliberate. Absent thesis committee members can send in their evaluations of the Intermediate examination (pré-colloque) report document in advance of the Intermediate examination (pré-colloque) meeting. Based on the sum of the documents presented, the oral presentation and the candidate's answers to their questions, the thesis committee members present will pronounce a decision on whether they deem the candidate capable of producing a doctoral thesis. They will determine whether:

- a. the candidate has demonstrated the necessary capacities to pursue their doctoral research project. Any opinions expressed during the Intermediate examination (pré-colloque) must be explicitly noted in the meeting's minutes;
- b. the candidate must carry out significant modifications. A second presentation must then be organised within six months of the Intermediate examination (pré-colloque) on the basis of a new, modified Intermediate examination (pré-colloque) report;
- c. the candidate has failed to demonstrate the necessary capacities.

⁷Following their deliberations, the thesis supervisor must inform the candidate of the thesis committee's decision within ten days of the Intermediate examination (pré-colloque).

⁸Should the thesis committee estimate that the candidate has failed to demonstrate the necessary capacities, then it must make the decision to end the pursuit of the thesis. This decision, which can be appealed against, must be substantiated and sent to the candidate within ten days of the Intermediate examination (pré-colloque).

**Art. 16.
Institutional
monitoring**

During the validation process, the candidate will be invited to present the state of progress of their research at two seminars intended for this purpose. The thesis supervisor must be present.

**Art. 17.
Thesis examination
(colloque)**

¹Having finished writing their thesis, the candidate must provide a copy of their manuscript to each of the members of the thesis committee as well as to the TC.

²The Thesis examination (colloque) must take place within four months of handing in the thesis manuscript. The thesis supervisor informs the TC of the date chosen for the examination.

³The candidate and the members of the thesis committee must attend The Thesis examination (colloque). Members who are absent due to *force majeure* must pronounce themselves in writing and send their report to the thesis committee chairperson. The Thesis examination (colloque) takes place in private and is chaired by the thesis supervisor. The candidate presents the results of their research and answers the thesis committee's questions.

⁴After deliberation, the thesis committee will determine whether to:

- a. accept the manuscript unconditionally;
- b. accept the manuscript with minor modifications to be carried out under the responsibility of the thesis supervisor;
- c. submit the manuscript to a further evaluation after a second Thesis examination (colloque) because significant modifications to the thesis are necessary.

⁵Should a second thesis examination (colloque) be necessary, after deliberation, the thesis committee will determine whether:

- a. the manuscript now satisfies the conditions of being a significant contribution to scientific knowledge or,
- b. the manuscript fails to satisfy these conditions. The thesis committee will then declare that the conditions for the award of the Doctorate have not been met.

⁶Should the conditions for the award of the Doctorate not have been met, the thesis committee will decide to put an end to the continuation of the thesis. This decision, which may be appealed against, must be sent to the candidate within ten days of The Thesis examination (colloque) and be accompanied by a report written by one of the members of the thesis committee explaining the reasons for its decision.

Art. 18. Defending the thesis

¹At least three weeks after the thesis committee's decision to accept the thesis following The Thesis examination (colloque), the candidate must publicly defend their thesis in front of the thesis committee and answer its questions. The thesis defence (soutenance) aims to present the challenges, results and methods used within the framework of the candidate's doctoral research.

²The date and location of The thesis defence (soutenance) are decided by IDHEAP's Directorate. These details will be announced publicly two weeks in advance.

³A member of the Faculty's Dean's Office or a professor from the Faculty designated by the Dean's Office must chair the session. In principle, The thesis defence (soutenance) should be carried out in the presence of every member of the thesis committee.

⁴At the end of the candidate's presentation, the members of the thesis committee publicly announce their evaluation of the thesis and ask the candidate questions about it. The session's chairperson then opens the floor to the public and may end the discussions when they deem it appropriate.

⁵At the end of The thesis defence (soutenance), the thesis committee retires to deliberate. The thesis committee advises the Dean's Office that it can grant the imprimatur, possibly subject to the candidate carrying out certain requested modifications within a given period. The thesis does not receive a rating.

Art. 18. bis Thesis report

At the end of the public defence of the thesis, the thesis supervisor may ask the thesis committee members to write a thesis report.

Art. 19. Imprimatur

¹A member of the Dean's Office signs the imprimatur.

²The imprimatur officially gives the candidate the right to have their thesis printed. The text must be printed in the form which was approved by the thesis committee.

Art. 20. Printing and cataloguing

The candidate must fulfil UNIL's prescriptions for the printing and filing or cataloguing of doctoral theses as described in UNIL's Directorate Directive 3.10 on 'Printing, cataloguing and publishing doctoral theses'.

Art. 21. Awarding the degree

¹The Faculty's Dean's Office informs UNIL's Directorate that the thesis committee recommends conferring the degree of Doctor of Philosophy in Public Administration from the University of Lausanne, subject to the thesis being catalogued by Lausanne's Cantonal and University Library.

²The Doctoral diploma will be signed by the Rector and the Dean of the Faculty.

³For candidates admitted to the doctoral programme up to 31.12.2013, the Dean's Office of the faculty to which the candidate is affiliated informs the Dean's Office of the Faculty of Law, Criminal Justice and Public Administration (the Faculty) of the thesis committee's recommendation to award the degree of Doctor of Philosophy in Public Administration from the University of Lausanne, and it requests that UNIL's Directorate award the degree. The diploma is signed by the Rector, the Dean of the faculty to which the candidate is affiliated and the Dean of the Faculty of Law, Criminal Justice and Public Administration.

Chapter V	Procedures
Art. 22. University or academic monitoring	Every year, the thesis supervisor fills out an on-line Graduate Campus questionnaire for monitoring the progression of the thesis. Doctoral students are strongly encouraged to participate in this activity.
Art. 23. Conflict resolution	<p>¹In the event of any conflict between them, the candidate or the thesis supervisor can send a request for arbitration to the TC, which then works towards bringing the parties closer together.</p> <p>²Should this attempt at arbitration fail to succeed within 60 days following the request for arbitration, the TC will write to the doctoral candidate informing them that they must find a new thesis supervisor within three months and advise the TC.</p> <p>³Should the candidate be unable to find a new thesis supervisor, or should they fail to provide pertinent information on this subject, then the TC will inform the candidate of its decision to exmatriculate them from the University of Lausanne at the end of the current semester.</p>
Art. 24. Exclusion	<p>¹Candidates on the doctoral programme will be definitively dismissed from that programme if they:</p> <ul style="list-style-type: none">- fail to register their thesis proposal within the allotted time;- fail to fulfil the conditions for success as laid out in Art. 15 (Intermediate examination (pré-colloque)) and Art. 17 (Thesis examination (colloque));- commit an act of cheating or plagiarism as defined in Art. 14. <p>²The decision to dismiss a candidate from a higher-level post-graduate education programme must be pronounced by the Dean's Office of the Faculty of Law, Criminal Justice and Public Administration.</p> <p>³Any candidate dismissed from the programme cannot register another thesis proposal for a new doctorate of philosophy in public administration.</p>
Art. 25. Oppositions and appeals	<p>¹In accordance with Article 31 section 3 of IDHEAP's Regulations, IDHEAP's Appeals Committee hears and rules on appeals against any and all decisions resulting from the application of the present regulations.</p> <p>²Decisions taken by IDHEAP's Appeals Committee can be appealed in accordance with current UNIL regulations (Art. 83 Law on the University of Lausanne).</p>

Chapter VI**Final Provisions**

**Art. 26.
Copyright** The candidate's rights over all forms of publication are protected.

**Art. 27.
UNIL provisions** The provisions of the Law of the University of Lausanne (LUL) and the Regulations on the Law of the University of Lausanne (RLUL) and of the Directive on Matriculation Requirements are applicable.

**Art. 28.
Entry into force and
transitional
arrangements** Doctoral students who were matriculated before the present regulations came into force remain subject to the regulations which were in force at the time of their matriculation.

Prof. Laurent Moreillon
Dean of the Faculty of Law, Criminal Justice and Public Administration

Prof. Nouria Hernandez
Rector of the University of Lausanne