



UNIVERSITÀ

LUM

GIUSEPPE
DEGENNARO

PhD in
*Economics and Management of
Sustainability and Innovation
Regulation Statement*

PHD PROGRAM IN

**ECONOMICS AND MANAGEMENT OF
SUSTAINABILITY AND
INNOVATION**

REGULATION STATEMENT

These General rules integrate what is already defined in 'LUM University Regulation Statement for PhD Programs', as well as in the Call for applications published by LUM University in each single cycle of the PhD in Economics and Management of Sustainability and Innovation



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1. INTRODUCTION

The LUM PhD in *Economics and Management of Sustainability and Innovation* is a 3-year international program designed for highly qualified and motivated students who wish to acquire the research and analytical skills in business and managerial disciplines related to the management of Sustainability and Innovation. The program provides students with solid methodological bases and the ability to design and implement research projects in business disciplines, with a peculiar focus on corporate sustainability, innovation management, innovative business models, and sustainable development.

The program is structured as a mix of full-time courses, field projects, and research stages at leading international universities, interactions with teachers and scholars, and a tutored dissertation project. It is designed for students seeking jobs in academia as well as those who wish to acquire the skills of professional academic research to work outside the academia in different industries as entrepreneurs, managers as well as professional consultants.

The faculty is composed of research-oriented scholars with international scientific standing, mainly from LUM University, but also from other Italian and foreign universities.

LUM University encourages applications from international students. It values international students' presence in the program as an important contribution to its diversity and intellectual richness. While the program is designed to specialize students in the field of business administration and management, it provides them with the interdisciplinary knowledge that is welcome in the administrative and managerial sciences.

Throughout the program, students will find an atmosphere congenial to scientific research and participation in the international scientific debate. The PhD thesis is expected to show an autonomous ability to identify problems and to design and conduct original research. It is expected that students will produce articles publishable in international journals.

The LUM PhD program in Economics and Management of Sustainability and Innovation is on a progressive path to becoming a leading program worldwide in business and managerial disciplines related to the management of corporate sustainable strategies.

2. REQUIREMENTS SUMMARY

This is the list of requirements to obtain the PhD in Economics and Management of Sustainability and Innovation at LUM University. Throughout the 3-year program, all students must:



YEAR 1

- Attend the courses throughout the first and second semesters;
- Pass each exam of the first and second semesters:
 - The minimum level is C.
 - Students who rank an exam with the level of D must repeat the exam.
 - A second D in the same course does not allow the student to complete the PhD.
- Pass the General Exam, typically taken by the end of the second semester.
 - Minimum level is PhD pass.
 - The General Exam can be taken at most once. Students who do not pass it are not allowed to complete the PhD.

YEAR 2

- Attend the courses throughout the third semester;
- Pass each exam of the third semester:
 - The minimum level is C.
 - Students who rank an exam with the level of D must repeat the exam.
 - A second D in the same course does not allow the student to complete the PhD.
- Define their research setting, identifying the research proposal idea;
- Nominate the PhD Committee (see § 3):
 - The deadline is the end of the third semester (typically April).
- Give at least one presentation on their research at leading international conferences under the supervision of their main advisor.
 - If at least an acceptance at a leading international conference is not reached by the end of the fourth semester, students are not allowed to complete the PhD.
- Prepare, submit, and defend their Research Proposal (see § 3) throughout the fourth semester (typically, no later than August) in front of the PhD Committee.
- Spend a semester abroad (at least 3 months) in leading Universities or Research Institutions (not mandatory but strongly suggested).

**YEAR 3**

- Spend a semester abroad (at least 3 months) at leading Universities or Research Institutions (not mandatory but strongly suggested).
- Have at least one paper accepted for publication (or at least revised and resubmitted) in leading international journals under the supervision of their main advisor.
 - If at least one paper accepted for publication, or a Revise & Resubmit (R&R), from leading international journals is not reached by the end of the sixth semester, students are not admitted to the final defense of their PhD thesis.
 - Paper(s) accepted for publication cannot be part of the PhD Thesis, since the PhD Thesis has to be an original and unpublished work.
- Prepare the PhD Thesis and ask for admission to the final exam, under the supervision of the main advisor.
- Defend the PhD Thesis in front of the PhD Committee throughout the sixth semester (typically, no later than August). Candidates must ask for admission to the final exam by September 30th of the third year. The final thesis has to be submitted to the Teaching Staff Council (TSC) by October 30th of the third year, having the positive expression of the PhD Committee. Having the evaluation by the PhD Committee, a commission made of at least two members (nominated by the TSC will then deliberate on the thesis, having 30 days upon the submission of the theses to deliberate if: a) the candidate is admitted to the final exam; or b) the thesis requires some revisions, allowing the candidate an extension of a maximum of six months.

In any case, the final assessment of each candidate's admission to the third year and the discussion of the final thesis is in charge of the Teaching Staff Council.

Enrolled students must attend the PhD courses held at the partner universities (if any), following the procedures established by the Teaching Staff Council and must carry out their research studies and activities regularly within the structures intended for that specific aim, following the procedures established by the Teaching Staff Council.

The admission to the PhD course implies an exclusive and full-time engagement of 1,500 hours per year that must be checked by the compilation of a "Register of the Activities". Students attesting less than 1,500 hours of activities per year are not allowed to complete the PhD program. Registers of the Activities are periodically checked by the Coordinator of the PhD.

Within the PhD activities, PhD students are allowed to serve as teaching assistants for tutoring activities and integrative teaching, as stated in the General Regulation Statement for PhD Programs at LUM University (art. 10). PhD students have to ask for permission to the Teaching Staff Council based on Annex 1.



3. RESEARCH PROPOSAL GUIDELINES

This paragraph summarizes the process through which research proposals will be submitted and evaluated.

3.1. THE PROPOSAL

The aim of the process is enabling the students to elaborate a credible research proposal. Delivering a PhD dissertation capable of producing potentially publishable papers entails planning of both scientific and practical issues. The proposal represents a first 'reality check' for both students and advisors. Is the candidate likely to deliver an original contribution to knowledge in his/her selected field within the given time and resource constraints? This is the fundamental question the evaluation committee will have to answer.

The committee is not meant to evaluate the scientific content or the interest of the research questions. That is something which is left to students and advisors to decide. The committee evaluates the clarity of the proposal, first and foremost. Secondly, it looks at the feasibility and it is meant to raise constructive comments on this. But ultimately, the choice of what to do and how to do it rests with candidates and advisors. These latter are encouraged to participate to their students' presentations (thought they are not meant to lead the discussion).

Please note: the proposal is meant as a 'map' useful to organize the following two/three semesters of work. What one intends to do, though, may of course change as the data gathering and data analysis processes proceed. Changes may happen to intended research questions, methods, etc. These changes are a normal matter in the intellectual evolution of a person and are part of the normal discussion between student and advisor(s). The research proposal is not meant to constrain such an evolution. It is simply meant to provide students, and advisors, with a common focusing device.

3.2. THE EVALUATION CRITERIA

The PhD Committee is called to evaluate the research proposal on the basis of the following criteria.

- **Clarity:** are the objectives of the proposed dissertation clearly explained? Are the research questions consistent with the method? Is the proposed timeline consistent with the objectives? Does the dissertation address both theoretical and empirical issues? Are they consistent? Is the expected theoretical contribution clearly outlined? Are the research methods suitably described? The reason why members of the PhD Committee are not necessarily experts in the field chosen by the student is to understand whether the student is capable of explaining what he/she intends to do concisely: can the student talk to non-specialist? That is a required skill if one wishes to target generalist journals (as all students should).



- **Feasibility:** are time and resource constraints reliably considered? The candidate ought to demonstrate awareness of the time and effort it takes to do research. The candidate thus is expected to prepare a thorough analysis of the activities he/she intends to undertake to achieve his/her dissertation goals. An accurate Gantt chart is expected. The proposal ought also to include an analysis of the problems that might occur and how the candidate intends to solve them (e.g., what happens if the survey does not work?). The timetable must also consider the candidate's job market strategy: is the candidate aware of the 'time and methods' of the job market? Relatedly, for which journals does the candidate intend to write? Why?

Please note: there is no predefined format for the proposal. That is something for all students to decide with their advisors. Some people like the three-paper format already at this stage. Others prefer discussing an overarching 'idea' which subsequently will be 'cut' into papers. Either way can be fine. Either way can be badly done.

3.3. THE EVALUATION PROCESS

3.3.1. PHD COMMITTEE COMPOSITION

Throughout the third semester (typically, no later than April), each student will communicate to the PhD Program Administrative Office the name of the members of his/her dissertation committee and a preliminary title of the Research Proposal mainly identifying the research field of interest (see Annex 2).

Identifying the PhD Committee is students' responsibility. If anyone does find it difficult to identify the advisor (see below for more detail), it is suggested to contact the Coordinator of the PhD to get advice.

The Committee is composed of **three faculty members**:

- The President, the Member, and the Advisor;
- The Committee may be extended to include a fourth member, provided that (s)he is a recognized expert in the discipline within which students intend to conduct their thesis research. Students who intend to include such a member should ask permission from the Coordinator.

When forming the PhD Committee, students should remember that:

- They must name the advisor, i.e. the Committee member most involved in monitoring the student's research. Advisor can be selected among Full professors, Associate professors and/or Assistant professors at one of the partner Universities; an advisor or member who is Full professor, Associate professor or Assistant professor at an Italian or foreign University that is not partner of the program can be included under the approval of the Coordinator of the program.



- The Member has to be identified among Full professors, Associate professors and/or Assistant professors at one of the partner Universities; a Member who is Full professor, Associate professor or Assistant professor at an Italian or foreign University that is not partner of the program can be included under the approval of the Coordinator of the program.
- They are strongly encouraged to include one foreign member in the PhD Committee.
- They must name the President of the PhD Committee, who must be a Full or Associate professor at one of the partner Universities. A President who is a Full or Associate professor at an Italian or foreign University that is not a partner of the program can be included under the approval of the Coordinator of the program.

3.3.2. STUDENTS' RESPONSIBILITIES FOR THE FINAL THESIS

Students must take care of the deadlines defined in this statement, which are summarized as follows:

1. Throughout the third semester (typically, no later than April), students must identify the members of the PhD Committee.
2. Throughout the fourth semester (typically, no later than August), students must defend their Research Proposal in order to be allowed in preparing the Final Thesis. Students who pass the defense of the Research Proposal obtain the status of PhD Candidate.
3. Throughout the fourth and fifth semesters, students are strongly encouraged to manage their semester abroad, visiting leading research institutions. This period as a visiting scholar should allow students to prepare their Final Thesis, extend their research competencies, and enlarge their network of relationships. A research seminar is expected at the end of the visiting period, as a result of the research activity carried out by the student.
4. Throughout the sixth semester (typically, no later than August), students must defend their Final Thesis in front of the PhD Committee in order to be admitted to the final exam in front of the Thesis Committee nominated by the Rector.

It is students' responsibility to manage the organization of:

1. **the Research Proposal defense and Final Thesis defense. Together with the advisor, they are supposed to collect availabilities of the PhD Committee members and identify a date for defending their Research Proposal (by the end of the third semester) and Final Thesis defense (by the October of the sixth semester) in front of the PhD Committee. Exact dates must be communicated to the PhD Program Administrative Office at least two weeks in advance before defense.**
2. **Their period abroad as visiting scholar. Students should get advises by their PhD Committee in order to identify the destination, hosting institution, and**



foreign hosting advisor, fitting best with their research interests and Final Thesis development. To formalize the visiting period abroad, students have to fill in and submit to the Administrative Office of the PhD a detailed form (Annex 3)

3.3.3. EVALUATION OUTPUT

The PhD Committee must evaluate each single step in the evaluation process. Both Research Proposal and Final Thesis are subject to the evaluation by the PhD Committee. The PhD Committee can define that:

- The Research Proposal/Final Thesis is accepted without any suggested change. The student can proceed as planned.
- The Research Proposal/Final Thesis is good and is accepted but with some revisions that must be submitted to the PhD Committee in due time. NOTE: What 'due time' means will be decided by the PhD Committee on the basis of the extent and magnitude of the requested revisions and communicated to the student/candidate. NOTE ALSO that in the case of the Final Thesis October 31st of the third year is the final deadline for the candidate to have a positive evaluation from the PhD Committee, having the candidate to submit the Final Thesis to the Teaching Staff Council by the above-mentioned deadline (i.e., October 31st). Otherwise, candidates are not allowed to complete the program.
- The Research Proposal/Final Thesis is not accepted, and the student/candidate must resubmit a new Research Proposal/Final Thesis in due time and attend a new Research Proposal/Final Thesis defense. NOTE that October 30th, third year is the final deadline allowed in the case of the Final Thesis. Research Proposal and Final Thesis defense can be repeated at most once.

The PhD Committee must submit to the Coordinator of the Program and PhD Program Administrative Office a detailed summary of the evaluation for both the Research Proposal and Final Thesis Defense (see Annex 4 for a detailed form) attesting the final decision.

4. PHD RESEARCH FUNDS

Starting from the second year, each PhD student is assured, in addition to the scholarship and within the financial resources existing in the budget, a budget for research activities of no less than 10 per cent of the scholarship amount. The same budget is assured also to PhD students who do not hold a scholarship.

Typically, PhD students can access their research funds for:



1. participation in conferences, seminars, and workshops (e.g., conference registration fee, membership fee, transport, food, lodging) for the presentation of articles and / or working papers included in the conference program;
2. correction and revision (proof-editing) of texts in a foreign language for subsequent submission to conferences and / or journals;
3. individual and non-subscription software licenses for scientific research;
4. participation in conferences, seminars and workshops (e.g., conference registration fee, membership fee, transport, food, accommodation) of relevance for the scientific sector of the PhD student, to the maximum extent of one participation per year, even in the absence of scientific works to be presented;
5. participation in educational activities provided by external entities (e.g., summer school, training programs, etc.) for a limited period (e.g., once a year).

Access to research funds requires the prior authorization of the Coordinator of the program by filling in Annex 5.

5. ADDITIONAL RULES

As an integration of the above presented rules, additional indications are:

1. Forms and documentation required to attest the progresses and state of the art (e.g., Research Proposal assessment, Final Thesis evaluation, etc.) can be filled, signed, and submitted electronically (typically using .pdf file).
2. Having proven the impossibility by the PhD Committee members to meet in the same place, both Research Proposal and Final Thesis defenses can be held using online conference systems (e.g., g-meet) through web instruments.
3. If specific and motivated conditions do exist, state employees admitted to the PhD program can submit to the Coordinator of the Program a formal request to be partially or totally exonerated from the program activities (i.e., class activities, exams, etc.). It is responsibility of the Teaching Staff Council to accept/decline such requests.



ANNEX 1. TEACHING ASSISTANT REQUEST

Teaching Assistant Application Form

Registration Number _____

PhD Administrative Office

LUM University

Casamassima (BA) – Italy

I, undersigned _____

enrolled in the _____ cycle of the PhD Program in Economics and Management of Sustainability and Innovation

ASK

For the authorization to serve for the following activities throughout the academic year _____ with regard to the following courses:

1. COURSE, UNDERGRADUATE/GRADUATE PROGRAM, ACTIVITY (teaching assistant);
2. COURSE, UNDERGRADUATE/GRADUATE PROGRAM, ACTIVITY (Integrative Teaching for NO. OF HOURS);
3. ...

Date _____

Student's signature

Signature of Program Coordinator



ANNEX 2. PHD COMMITTEE COMPOSITION

PhD Committee composition

I NAME and LAST NAME _____, born on _____, in _____, regularly attending the second year of the PhD program in Economics and Management of Sustainability and Innovation at LUM University, _____ cycle, having identified the members of the PhD Committee and having obtained the agreement of each single member to be involved in the PhD Committee,

DECLARE

the PhD Committee is composed as follows:

Role	Name, Last name	Position	Affiliation	Signature
President		Full professor or Associate Professor		
Member		Full professor, Associate Professor, Assistant Professor		
Advisor		Full professor, Associate Professor, Assistant Professor		

A preliminary title of the Research Proposal is:

Moreover, I have attended the following conferences, having presented the following paper _____TITLE_____, as attested in the conference program/proceeding/email of acceptance attached to this form.

Date,

Signature



ANNEX 3. VISITING SCHOLAR PERIOD APPLICATION FORM

Visiting Scholar Period Application Form

Registration Number _____

PhD Administrative Office

LUM University

Casamassima (BA) – Italy

I, undersigned _____

enrolled in the _____ cycle of the PhD Program in Economics and Management of
Sustainability and Innovation

ASK

For the authorization to stay abroad for _____ months

From (dd/mm/yyyy) _____ to (dd/mm/yyyy)

To carry out the following: _____

Host Institution: _____

Date _____

Student's signature

Signature of Program Coordinator



ANNEX 4. RESEARCH PROPOSAL / FINAL THESIS DEFENSE EVALUATION

Research Proposal / Final Thesis defense evaluation

Today _____, Mr./Mrs. _____, PhD student/PhD candidate regularly attending the PhD Program in Economics and Management of Sustainability and Innovation at LUM University, _____ cycle, has defended his/her Research proposal/Final Thesis, title _____

in front of the PhD Committee composed as follows:

Table with 4 columns: Role, Name, Last name, Position, Affiliation. Rows include President, Member, and Advisor with their respective positions.

Having assessed the presentation and discussion held by the candidate, the PhD Committee expresses the following considerations:

- Three bullet points with checkboxes regarding the acceptance of the research proposal/thesis, including conditions for revision and resubmission.

1 October 31st, third year, is the final deadline allowed in the case of the Final Thesis. 2 October 31st, third year, is the final deadline allowed in the case of the Final Thesis.



A short description of the motivations related to the above decision is provided as follows:

The PhD Committee also recognizes that the student/candidate has declared, under his/her responsibility, that the following manuscript(s) fit(s) with the requirements set out at the art. 2 of the Regulation Statement of the PhD Program in Economics and Management of Sustainability and Innovation for the admission to the third year of the program/admission to the defense of the final thesis:

1. _____
2. _____
3. _____

Date,

President

Member

Advisor



ANNEX 5. ACCESS TO THE PHD RESEARCH FUNDS

Access to the PhD research funds

To the Coordinator of the PhD Program

LUM University

Today _____, I undersigned Mr/Ms _____, regularly enrolled at the second/third year (cycle _____) of the PhD program in Economics and Management of Sustainability and Innovation, being conscious of the total amount still available for the year _____,

ASK

For the access to my personal research fund, due to the following reasons:

- 1.
- 2.
- 3.

Purchase request:

Refund request:

Budget:

	Expenses	Euro	Payment due to
1.			e.g., Bank account, IBAN, etc.
2.			
3.			
.....			
	Total		

Date, _____

Signed _____

For acceptance, the Program Coordinator _____