



UNIVERSITÀ

**LUM**

GIUSEPPE  
DEGENNARO

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

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PHD PROGRAM IN

**ECONOMICS AND MANAGEMENT OF  
SUSTAINABILITY AND INNOVATION**

REGULATION STATEMENT

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*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

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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, focusing on corporate sustainability, innovation management, innovative business models, and sustainable development.

The program combines full-time courses, field projects, research stages at leading international universities and organizations, 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 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. REQUIREMENT SUMMARY

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This is the list of requirements to obtain a PhD in Economics and Management of Sustainability and Innovation at LUM University. The program is structured as a mix of teaching and research activities, and at least 200 hours of courses are required throughout the first and second semesters. Moreover, at least 1,500 hours per year of activities (including classes) are required throughout the Program.

In more detail, throughout the 3-year program, all students must:

**YEAR 1**

- Attend the courses throughout the first and second semesters;
- Identify the Advisor, who is the person most involved in monitoring the student's research (see § 3);
- Pass each exam of the first and second semesters:
  - Minimum grade is C.
  - Students who are assessed with a grade of D must repeat the exam.
  - Students graded with a third D in any course during the first year (i.e., across the first and second semester) will not be allowed to complete the PhD program.
- Pass the General Exam, typically taken by the end of the first year.
  - Minimum grade is C.
  - The General Exam can be taken at most once. Students who are assessed with a grade of D will not be allowed to complete the PhD program.

**YEAR 2**

- 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 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 September) in front of an Examining Commission.
- Spend a semester abroad (at least 6 months) in leading Universities or Research Institutions (typically throughout the second and third year of the program).

**YEAR 3**

- 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.



- Prepare the PhD Thesis and ask for admission to the final exam, under the supervision of the Advisor.
  - Students must be aware that only one paper accepted for publication on leading international journals throughout the PhD program can be part of the PhD Thesis. It is students' responsibility to inform the Administrative Office of the acceptance for publication of the paper, also providing a self-declaration with a detailed indication of the authors' contribution to the manuscript.
- Defend the PhD Thesis in front of an Examining Commission throughout the sixth semester (typically, no later than September).
- The final thesis has to be submitted to the PhD Academic Board by October 31<sup>st</sup> of the third year.
- A commission made of at least two members identified 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.

Under the above requirements, the final assessment of each student/candidate's admission to each of the following years of the program and the admission to the discussion of the final thesis is in charge of the PhD Academic Board.

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

The admission to the PhD course implies an exclusive and full-time engagement of 1,500 hours per year (accounting for about 60 credits 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. In the following table, a list of activities is provided that students can refer to:

Category	Activity
A	Attendance at PhD courses/seminars at LUM
	Attendance at PhD courses/seminars at Partner Universities
	Attendance at courses/seminars at other Universities/Institutions: A detailed certification of attendance has to be provided
B	Exam preparation
	Exam participation (i.e., general exam, research proposal/thesis defense)
C	Attendance at national/international conferences at LUM University
	Attendance at national/international conferences at Partner Universities
	Attendance at national/international conferences: A detailed certification of attendance has to be provided
D	Preparation of the Research Proposal



	<p>Preparation of the Final Thesis</p> <p>Preparation of working papers for submission to national/international conferences</p> <p>Preparation of working papers for submission to national/international journals</p> <p>Research activity under the supervision of the Advisor (e.g., research projects)</p>
<b>E</b>	<p>Presentation of working papers at national/international seminars/conferences at LUM</p>
	<p>Presentation of working papers at national/international seminars/conferences at Partner Universities</p>
	<p>Presentation of working papers at national/international seminars/conferences at other Universities/Institutions: A detailed certification of attendance has to be provided</p>
<b>F</b>	<p>Visiting scholar period at Partner Universities</p>
	<p>Visiting scholar period at other Universities/Institutions: A detailed certification of visiting scholarship has to be provided</p>
	<p>Staging period at Partner Companies/Organizations</p>
<b>G</b>	<p>Teaching assistant activity for undergraduate/graduate/master students under the supervision of a Faculty member at LUM</p>
	<p>Teaching assistant activity for undergraduate/graduate/master students under the supervision of a Faculty member at Partner Universities</p>
	<p>Teaching assistant activity for undergraduate/graduate/master students under the supervision of a Faculty member at other Universities/Institutions: a detailed certification of tutoring appointment has to be provided</p>
<b>H</b>	<p>Preparation of interactive teaching load for undergraduate/graduate/master courses at LUM</p>
	<p>Preparation of interactive teaching load for undergraduate/graduate/master courses at Partner Universities</p>
	<p>Preparation of interactive teaching load for undergraduate/graduate/master courses at other Universities/Institutions: a detailed certification of teaching appointment has to be provided</p>
	<p>Interactive teaching load for undergraduate/graduate/master courses at LUM</p>
	<p>Interactive teaching load for undergraduate/graduate/master courses at Partner Universities</p>
	<p>Interactive teaching load for undergraduate/graduate/master courses at other Universities/Institutions: a detailed certification of teaching appointment has to be provided</p>

The Register of Activities is periodically checked by the Coordinator of the PhD. The list of activities provided in the above table is an indication of activities that the students can take throughout the three years of the program. Therefore, it is students' responsibility to report only those activities they have dealt with (i.e., it is not mandatory to deal with each single activity during the program), although it is expected that students cover a wide range of activities during the three-year period of the program.



Within the PhD activities, PhD students are allowed to serve as teaching assistants for tutoring activities and interactive teaching, as stated in the General Regulation Statement for PhD Programs at LUM University (art. 10). To be appointed for any tutoring and/or interactive teaching activity, PhD students must obtain the permission of the PhD Academic Board (based on Annex 1).

### 3. RESEARCH PROPOSAL GUIDELINES

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This paragraph summarizes the process for submitting and evaluating the research proposal.

#### 3.1. THE PROPOSAL

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The process aims to enable 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 (though 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 the 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

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The PhD Committee is called to evaluate the research proposal based on 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 is thus 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

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#### 3.3.1. FIRST-YEAR GENERAL EXAM

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By the end of the program's first year, students must identify the Advisor, who is in charge of monitoring the PhD student's activities throughout the program (see below § 3.3.2 for more details).

At the end of the first year of teaching activities (typically, no later than September), students have to take the first-year General Exam. The General Exam is an oral exam where students are requested to present a research paper, which is generally the result of one or more research topics and methodologies afforded throughout the program's first year, together with a detailed report of the activities taken throughout the first two semesters.

The General Exam is pass or fail and can be taken only once. In case of failure (i.e., a grade of D), the student is not allowed to proceed with the program. The student's assessment during the General Exam is delegated to a Commission nominated by the PhD Academic Board, typically made up of the Advisors of the enrolled students.

#### 3.3.2. PHD COMMITTEE COMPOSITION

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Throughout the third semester (typically, no later than April), each student will communicate to the PhD Program Administrative Office the names 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).



The PhD Committee is responsible for addressing the research activity of the student as well as to advise the student on the whole set of activities the student can be involved in throughout the three years of the program. The PhD Committee is also responsible for monitoring the ongoing processes the student must deal with on the bases of the general rules of the program as well as the indications provided in this Regulation Statement.

Identifying the PhD Committee is the students' responsibility. If anyone does find it difficult to identify the advisor (see below for more details), 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 research thesis. 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.

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### 3.3.3. STUDENTS' RESPONSIBILITIES THROUGHOUT THE PROGRAM

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

1. By the end of the first year of the program, students must identify the Advisor.



2. Throughout the third semester (typically, no later than April), students must identify the members of the PhD Committee.
3. Throughout the fourth semester (typically, no later than September), students must defend their Research Proposal to be allowed to prepare the Final Thesis. Students who pass the defense of the Research Proposal obtain the status of PhD Candidate.
4. 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.
  - **It is the students' responsibility to manage the organization of 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).**
5. Throughout the sixth semester (typically, no later than September), students must defend their Final Thesis to be admitted to the final exam in front of the Thesis Committee nominated by the Rector.

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#### 3.3.4. RESEARCH PROPOSAL AND FINAL THESIS DEFENSE

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The Research Proposal defense and Final Thesis defense are taken during the PhD defense days, which are scheduled by the PhD Academic Board (typically in September). During the PhD defense days, PhD students must defend their Research Proposal/Final Thesis in front of an Examining Commission identified by the PhD Academic Board.

Members of the Examining Commission can be selected among the members of the PhD Academic Board, the Faculty members of the PhD program, and/or the members of the students' PhD Committee. The Research Proposal/Final Thesis defense is an oral exam.

The Examining Commission must evaluate the Research Proposal/Final Thesis, defining 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 the student/candidate must submit to his/her PhD Committee in due time. NOTE: What 'due time' means will depend on 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 31<sup>st</sup> of the third year is the final deadline for



submitting the revised thesis, having the candidate the requirement of submitting the Final Thesis to the PhD Academic Board by the above-mentioned deadline (i.e., October 31<sup>st</sup>). Otherwise, candidates are not allowed to complete the program.

- The Research Proposal/Final Thesis is not accepted, and the candidate is not allowed to complete the program.

The Examining Commission must also evaluate the activities taken by the student/candidate throughout the second/third year of the program, which are part of the defense taken by the student/candidate.

The Examining Commission must submit to the Coordinator of the Program and PhD Program Administrative Office a detailed summary of the evaluation for the Research Proposal/Final Thesis Defense of each student/candidate (see Annex 4 for a detailed form), reporting the final decision, which will be shared with the PhD Academic Board.

#### 4. PHD RESEARCH FUNDS

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Throughout the PhD program (i.e., for the 36 months of the scholarship), in addition to the scholarship and within the financial resources allowed in the financial plan of the program, PhD students have access to an individual budget for research activities of no less than 10 percent of the annual scholarship amount. The same budget is also assured 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

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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 during the PhD defense days, 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 PhD Academic Board to accept/decline such requests.



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## ANNEX 1. TEACHING ASSISTANT/INTERACTIVE TEACHING REQUEST

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### **Teaching Assistant/Interactive Teaching 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  
\_\_\_\_\_ for the following courses:

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

Date \_\_\_\_\_

---

\_\_\_\_\_  
Student's signature



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**ANNEX 2. PhD COMMITTEE COMPOSITION**

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**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 conference(s), having presented the following paper(s) \_\_\_\_ TITLE \_\_\_\_ , as attested in the conference program/proceeding/email of acceptance attached to this form.

Date,

Signature

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### ANNEX 3. VISITING SCHOLAR PERIOD APPLICATION FORM

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#### 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



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**ANNEX 4. RESEARCH PROPOSAL / FINAL THESIS DEFENSE EVALUATION**

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**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 \_\_\_\_\_

under the supervision of the PhD Committee composed as follows:

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

Having assessed the presentation and discussion held by the candidate, the Examining Commission expresses the following considerations:

- € The Research Proposal/Final Thesis is accepted without any suggested change. The student/candidate 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 by<sup>1</sup> \_\_\_\_\_.
- € The Research Proposal/Final Thesis is not accepted and the student/candidate is not allowed to complete the program.

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

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<sup>1</sup> October 31st, third year, is the final deadline allowed in the case of the Final Thesis.

The Examining Commission 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,

## The Examining Commission

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. ....



## ANNEX 5. ACCESS TO THE PhD RESEARCH FUNDS

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### Access to the PhD research funds

To the Coordinator of the PhD Program

LUM University

Today \_\_\_\_\_, I undersigned Mr/Ms \_\_\_\_\_, regularly enrolled in 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 (a detailed specification of each single cost is mandatory):

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

Date, \_\_\_\_\_

Signed \_\_\_\_\_

For acceptance, the Program Coordinator \_\_\_\_\_