Internal Regulations

PhD in Management Sciences

2015-2016 ACADEMIC YEAR
# TABLE OF CONTENTS

## Contents

1. ADMISSION TO THE PHD IN MANAGEMENT SCIENCES ......................................................... 4  
   1.1 ADMISSION REQUIREMENTS ......................................................................................... 4  
2. CURRICULUM ..................................................................................................................... 5  
   2.1 STRUCTURE .................................................................................................................. 5  
3. REQUIREMENTS FOR CONTINUING IN THE PHD IN MANAGEMENT SCIENCES .......... 8  
4. REQUIREMENTS FOR DEPOSIT AND DEFENSE OF THE PHD THESIS ............................ 9  
5. WITHDRAWAL AND LEAVES OF ABSENCE ..................................................................... 9  
   5.1 VOLUNTARY WITHDRAWAL ....................................................................................... 9  
   5.2 LEAVE OF ABSENCE ................................................................................................. 10  
6. DEGREE AWARDED .......................................................................................................... 11  
7. CALENDAR AND ATTENDANCE ....................................................................................... 11  
8. DISCIPLINE ....................................................................................................................... 12  
9. BOARD OF ACADEMIC AFFAIRS ..................................................................................... 13  
   9.1 FUNCTIONS .................................................................................................................. 13  
   9.2 COMPOSITION ............................................................................................................ 14  
10. THESIS SUPERVISION ..................................................................................................... 14  
11. PHD ACADEMIC COMMISSION ....................................................................................... 15  
12. MEETINGS WITH CANDIDATE REPRESENTATIVES ....................................................... 15  
13. NOTIFICATIONS AND ANNOUNCEMENTS ................................................................... 16  
14. PROPOSALS AND SUGGESTIONS .................................................................................. 16  
15. INTERPRETATION AND APPEALS .................................................................................. 16
TITLE

Catalan:

Doctorat en Ciències de la Gestió

(Compulsory. This is the official title and will be published in the Official Journal of the Government of Catalonia (DOGC).)

Spanish:

Doctorado en Ciencias de la Gestión

(Required for publication in the Official State Bulletin (BOE). This title should coincide with the title on the file to be sent to the Ministry of Education and Science (MEC). It is recommended that a literal translation from the official title in Catalan be used in order to avoid confusion.)

English:

PhD in Management Sciences

(Optional. It is recommended that a literal translation from the official title in Catalan be used in order to avoid confusion. This translation is suitable for publications by this Department.)

French:

Doctorat Sciences de la Gestion

(Optional. It is recommended that a literal translation from the official title in Catalan be used in order to avoid confusion. This translation is suitable for publications by this Department.)
1 ADMISSION TO THE PhD IN MANAGEMENT SCIENCES

The organised training and research activities leading to the title of Doctor is called a Doctoral Programme or PhD Programme. The PhD in Management Sciences offered by ESADE is a full time programme addressed to university graduates with an interest in focusing their career on research in Management-related subjects, either in academia or in some specific situations opting to work in a business context. Given that research activities are increasingly carried out in contact with or integrated into international researcher and institution networks, candidates’ development potential in these competences, as well as their communication skills in English, will also be taken into consideration.

1.1 Admission Requirements

The requirements for entry to the Doctorate program are set out in Royal Decree 99/2011 (January 28) which regulates official doctorate courses.

A minimum of 300 ECTS credits, a minimum of 60 of which must be from a Master’s program, are necessary for admission to the doctorate program.

In addition, applicants must be in possession of a university degree with a minimum of 180 ECTS credits in one of the following areas:

- Business
- Economics, Engineering, Psychology, Sociology, or other discipline (candidates who do not possess a Business degree are required to have at least 18 credits in subjects related to business management).

Additionally, for access to ESADE’s Doctorate in Management Sciences Program, the following admission requirements have been established:

1. Applicants must have GMAT/GRE.

2. Applicants must have taken a minimum of 25 ECTS credits in areas of methodology and theory related to business management.

3. Applicants must have completed a Final Masters Project/Dissertation (15 ECTS minimum) of one of the three following types:
   - Theoretical research contributing to an advance in the state of knowledge in a specific field.
   - Applied research involving the use of knowledge and existing research methods in a new application or to resolve a real world problem.
   - Literature review, an in-depth analysis of literature within a specific line of research that identifies gaps in current knowledge.

4. Applicants must have passed ESADE’s “qualifying exam”, an examination that covers Epistemology, Research tools (qualitative and quantitative), Theories of business organization, Organizational Theory and Organizational Behavior. Candidates will be able to present for this examination each December.
Admission Criteria

- GMAT/GRE grade: 20%
- Academic Transcript (bachelors and masters): 20%
- Convergence of candidate’s research interests with ESADE’s research lines (the annex provides a list of the research units and their main research lines): 20%
- ESADE “qualifying exam”: 40%

2 CURRICULUM

2.1 Structure

The organization of the training provided to doctoral candidates, either research area topics or methodological training is based on seminars, courses, workshops, etc. This research training is not structured in ECTS and includes both cross-training and field-specific research area seminars.

The following schematic shows the three-year studies that correspond to the PhD programme:

<table>
<thead>
<tr>
<th>1st year PhD</th>
<th>2nd year PhD</th>
<th>3rd year PhD</th>
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<tbody>
<tr>
<td>Preparing PhD Thesis</td>
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<td></td>
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<tr>
<td></td>
<td>Transversal Seminar: Research Competences Development Seminars</td>
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</tr>
<tr>
<td></td>
<td>Internal Seminar: Advanced Research Seminars</td>
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</tbody>
</table>

**First year PhD** - is comprised of two blocks of seminars, especially suitable for training future researchers. The first block includes Advanced Research Seminars (Research group or Departmental seminar), which focus on subjects related to the research area and involve the participation of the PhD candidate in the research group activities. The second block is made up of transversal seminars and is devoted to develop research competences skills. In addition, candidates are encouraged to follow some optional courses in the Master of Research in Management Sciences programme or in other PhD programmes or research institutions focused on related research areas.

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1 Detailed list of Advanced Research Seminars in ANNEX I.
• Advanced Research Seminars\(^2\)
  - AI Techniques for Decision Making in Management (GREC)
  - Business Network Dynamics (BuNeD)
  - Economics and Finance (GREF)
  - Future of Work Chair (IEL)
  - Institute for Innovation and Knowledge (IIK)
  - Public Management and Governance (IGDP)
  - Research Activities in Marketing (GREMAR)
  - Social Issues in Management (IIS)
  - Leadership Development Research Issues (GLEAD)
  - Strategy and Entrepreneurship (EEI)

• Research Competences Development Seminars
  - PhD seminar on Theory Building
  - PhD seminar On Open Innovation and Open Business Models
  - PhD seminar on Data Analysis with R
  - ESADE Open Research Seminars \(^3\)

• Preparing PhD Thesis
  - Optional courses or seminar attendance
  - Conference or Journal paper
  - Research Proposal (Guidelines in ANNEX II)

**Second Year PhD** - is comprised of two blocks of seminars, especially suitable for training future researchers. The first block includes Advanced Research Seminars (Research group or Departmental seminar), which focus on subjects related to the research area and involve the participation of the PhD candidate in the research group activities. The second block is made up of transversal seminars and is devoted to develop research competences skills. In addition, candidates are encouraged to follow some optional courses in the Master of Research in Management Sciences programme or in other PhD programmes or research institutions focused on related research areas.

• Advanced Research Seminars
  - AI Techniques for Decision Making in Management (GREC)
  - Business Network Dynamics (BuNeD)
  - Economics and Finance (GREF)

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\(^2\) Candidates must enroll for at least one Advanced Research Seminar.

\(^3\) Candidates are required to attend a minimum of 7 sessions of the ESADE Open Research Seminar during an academic year.
- Future of Work Chair (IEL)
- Institute for Innovation and Knowledge (IIK)
- Public Management and Governance (IGDP)
- Research Activities in Marketing (GREMAR)
- Social Issues in Management (IIS)
- Leadership Development Research Issues (GLEAD)
- Strategy and Entrepreneurship (EEI)

- Research Competences Development Seminars
  - PhD seminar on Theory Building
  - PhD seminar on Open Innovation and Open Business Models
  - PhD seminar on Data Analysis with R
  - ESADE Open Research Seminars

- Preparing PhD Thesis
  - Optional courses or seminar attendance
  - Conference or Journal paper
  - DAD (Guidelines in ANNEX III)

Third year PhD - is comprised of two blocks of seminars, especially suitable for training future researchers. The first block includes Advanced Research Seminars (Research group or Departmental seminar), which focus on subjects related to the research area and involve the participation of the PhD candidate in the research group activities. The second block is made up of transversal seminars and is devoted to develop research competences skills. In addition, candidates are encouraged to follow some optional courses in the Master of Research in Management Sciences programme or in other PhD programmes or research institutions focused on related research areas.

Advanced Research Seminars
- Research Competences Development Seminars
  - ESADE Open Research Seminars
  - Teaching Competences Practices. One of the programme’s interests is to offer candidates the chance to deliver some classes within ESADE during the PhD, in order to provide them experience for their future Job Market. It is recommended also for candidates in the 1st and 2nd year, as long as it does not disturb candidate’s research work. The maximum amount of hours devoted to teaching activities during one academic year will be 40. The candidates will be paid for the first 20 hours.
Preparing PhD Thesis

- Journal paper
- Thesis writing and defence
- DAD (Guidelines in ANNEX III)

3 REQUIREMENTS FOR CONTINUING IN THE PhD IN MANAGEMENT SCIENCES

Every year, the Doctoral Academic Commission designates a monitoring committee for each doctoral candidate (or more candidates) whose research is in the same line. This monitoring committee will be comprised of three PhD holders in addition to international experts. The monitoring committee is responsible for evaluating the work done by each doctoral candidate based on the following documents:

- Thesis proposal (for 1st year PhD candidates)
- Document on doctoral activities (DAD) and addenda – see annex III

The tribunal evaluating the doctoral thesis must have the DAD document in which all their academic activities are detailed. This document does not lead to a quantitative score but it is an assessment tool that complements the qualitative assessment of the thesis (article 14.3 of Royal Decree 99/2011).

At the end of the 1st year, candidates must send to the PhD programme office a “PhD Research proposal” (See Annex II) - that has to be approved and signed by the PhD supervisor. Previously to its submission, the research proposal has to be presented in one of the advanced research seminars (See annex I). The research proposal is assessed by a monitoring committee formed by two professor or researchers on the corresponding area. The research proposal will be defended at the end of the academic year (see Annex II).

At the end of the 1st, 2nd and 3rd academic year candidates must send to the PhD programme office the DAD & addenda (See annex III), that has to be approved and signed by the PhD supervisor. Previously to its submission, the results obtained and the work plan considered has to be presented in one of the advanced research seminars. This document is assessed by a monitoring committee formed by two professors or researchers on the corresponding area.

For each candidate a personal file of activities will be available at the registrar’s office, which will regularly be reviewed by the tutor and thesis supervisor and evaluated annually by the Academic doctoral committee. All training activities conducted by the candidate, including courses, seminars, conferences attended or articles published, will be reflected in this file (DAD –Doctor and Activities Document).

The Academic Doctoral Committee will annually assess the Research Plan and the personal file of activities along with the reports which, to such effect, should be issued by the tutor and the supervisor. A positive assessment is a prerequisite for continuing on the programme. In the event of a negative assessment, which should be duly substantiated, the doctoral candidate should be reassessed within six months, for which purpose a new Research Plan should be drafted. In the event of a subsequent negative reassessment, the candidate will not be permitted to continue on the programme.
The Direction of the PhD reserves the right to grant Voluntary Withdrawal or Leave of Absence from the PhD in Management in cases of force majeure (e.g., serious illness of the participant or close family member, the death of a close family member).

4 REQUIREMENTS FOR DEPOSIT AND DEFENSE OF THE PhD THESIS

Participants who have successfully fulfilled all requirements for years 1, 2 and 3, and who are also authors or co-authors of a paper published or accepted for publication in a journal indexed in the current edition of the Journal Citation Reports of the Institute for Scientific Information (ISI) at the acceptance date, may submit their doctoral thesis by mutual agreement between all parties: doctoral candidate, thesis supervisor/s and the ESADE Academic Committee for Doctoral Programmes.

The documents that must be submitted to the ESADE doctoral commission are:
1. PDF copy of the thesis (it can be either a monograph or a compendium of publications (See annex V and VI).
4. The authorization of the supervisor (and co-supervisor if it is the case).
5. The tribunal composition (3 members and 2 substitutes).
6. The positive evaluation of the three members of the tribunal.
7. PhD Candidates who want to apply for the diploma of International doctor, please see annex IV.

Then, according to the criteria established in the Real Decreto 99/2011, of 28 January published in the Boletín Oficial del Estado (BOE) num. 35, of February 10th 2011 (Sec.1 p.13909) the Doctoral Thesis will be submitted to the University Ramon Llull, where their Doctoral Committee will have to give its approval for the defence.

5 WITHDRAWAL AND LEAVES OF ABSENCE

5.1 Voluntary Withdrawal

Participants wishing to withdraw from the PhD in Management Sciences for personal reasons must notify the Direction of the PhD programme in Management in writing, who will then inform the Registrar’s Office and the Candidate Administration Department to such effect. Participants must request Voluntary Withdrawal from the programme, specifying the reasons for reaching such a decision. Participants must also furnish all the documents which support the decision set out in the written notification. Obviously such information will be treated in
the strictest confidence. In the absence of the aforementioned notification, the participant will be considered to be fully enrolled on the course.

Participant applications for re-admission to the programme will be considered by the Admissions Committee, which will take previous performance into consideration. The acceptance to the programme will be maintained for the next academic year, but ESADE will not reimburse the reservation fee in cases of voluntary withdrawal from the programme.

The Director of the PhD in Management Sciences will consider the possibility of partial reimbursement of enrolment fees in the following cases:

a) Serious illness of the participant
b) Serious family problems
c) Force majeure

If the Director of the PhD in Management Sciences (with the approval of the Dean’s Office and the Candidate Administration Department) authorises partial reimbursement of enrolment fees, it will be on the following terms:

a) Enrolment fees will be reimbursed if the participant has not yet begun classes.
b) If withdrawal from the programme occurs during the academic year, the sum reimbursed will cover teaching hours in terms not yet begun (calculated on a pro rata basis), calculated from the date of the letter requesting withdrawal.

5.2 Leave of Absence

Applications for Leave of Absence must be made in writing and addressed to the Director of the PhD in Management Sciences. A granted Leave of Absence period will not exceed two academic years. Participants will not be entitled to any reimbursement of fees. Reasons should be given in applications for leave of absence. No more than one leave of absence period may be granted throughout the PhD in Management Sciences.

In the case of participants failing to re-join the programme after a leave of absence, this will be treated as a Voluntary Withdrawal from the Programme. ESADE will not reimburse the reservation fee in cases of leave of absence.

Re-incorporation into the PhD in Management Sciences and enrolment after a period of leave of absence will take effect on the date requested in the letter submitted to the Direction of the PhD in Management Sciences. All grades obtained prior to leave of absence will be retained for application upon a participant’s re-incorporation into the programme.

Where a participant has paid enrolment fees prior to taking leave of absence, he/she will pay the difference between the previous and current enrolment fees.

After re-incorporation into the PhD in Management Sciences, the participant concerned will from now on belong to the class year joined for both academic and fee billing purposes.
6 DEGREE AWARDED

After successfully passing all requirements per year, participants will be allowed to defend their Doctoral Thesis. Once the Doctoral Thesis has been approved by the Doctoral Committee on an open Session, the candidate will be awarded the official degree of PhD, conferred by Universitat Ramon Llull (URL). If the doctoral candidate wishes to request the diploma of International Doctor, please see specific regulations for the “International Doctor” (Annex IV).

7 CALENDAR AND ATTENDANCE

The academic year runs from September to July for each academic year. There will be no seminars and tutorial sessions from Christmas to Twelfth Day (January 6th), during Easter Week and during August. A detailed timetable for the Academic year will be published on the Intranet at the beginning of each academic year.

All information related to the programme, changes in schedule or rooms, important announcements from the direction of the programme, will be published in the intranet. Please remember that the intranet facilitates communication and provides a secure, reliable access to private information.

Seminars attendance is compulsory once enrolled. The School will leave control of attendance to the relevant faculty member(s). Participants may only attend seminars in which they are enrolled. Seminars lost through no fault of the teaching staff cannot be made up.

The School requires both faculty and participants to be punctual in attending seminars or courses.

The use of computers for non academic purposes is prohibited during lecture hours. It is up to faculty to enforce this norm. Consulting emails and other computer related activities should be done outside seminars or courses hours.

PhD candidates working space is in Sant Cugat campus. ESADE employees will have the work calendar at the beginning of the academic year. Human Resources Department must be informed when travelling abroad.
8 DISCIPLINE

ESADE Honour Code

I will not lie, cheat or steal to gain an academic advantage, or tolerate those who do. I will respect all ESADE candidates, faculty and staff through my words and deeds.

Violations: Violations of the ESADE Honour Code include the following:

Lying: Lying includes knowingly communicating an untruth in order to gain an unfair academic or employment advantage.

Cheating: Cheating includes, but is not limited to, using unauthorised materials to complete an assignment; copying the work of another person; unauthorised providing of materials or information (e.g., proprietary course information) to another person; plagiarism; unauthorised providing of materials or information to another person during an exam. All communications, written, oral or otherwise, among participants during examinations, are forbidden, as is the use of notes, books, computers, calculators or other written material except when approved by the instructor.

Stealing: Stealing includes, but is not limited to, taking the property of another member of the ESADE community without permission, defacing or vandalising the property of ESADE, or the misuse of ESADE resources.

Respect for others: Respect for others includes treating all ESADE participants, staff and faculty with politeness and cordiality, refraining from using abusive language or physical violence.

Witnessing a violation of the Honour Code, a participant has a moral obligation to inform the participant whose conduct is believed to be in violation of the Code that the Code has been broken. Each member of the ESADE community, as a person of integrity, has a personal obligation to adhere to this requirement. The participant also has the duty to inform the Direction of the PhD in Management Sciences and/or a member of the faculty. Violations of this agreement will be monitored by the Direction of the PhD in Management Sciences.

Participants who VIOLATE the Honour Code or undermine School discipline or who fail to show proper respect to School staff will be penalised. The severity of the penalty will be determined by the gravity of the infraction.

All penalties will be shown on the participant’s academic record.
In serious cases, the penalty will be decided by the Director of the PhD in Management Sciences. In particularly grave cases, the participant may be expelled from the School.

The following are examples of grave breaches of discipline. The following list is not intended to be exhaustive:

a) Rudeness whether in word or deed to faculty or other members of the School or to another participant.
b) Plagiarism: Presenting work done by others as one’s own. This applies equally to individual and group papers.
c) Failure to maintain confidentiality concerning assignments or work carried out in cooperation with a company.
d) Supplying false information concerning one’s employment and/or personal circumstances.

9 BOARD OF ACADEMIC AFFAIRS

The PhD in Management Sciences’ Board of Academic Affairs will comply with Article 35 of the ESADE Statute, which states:

*Each programme will have its own Board of Academic Affairs, presided over by its Programme Director. Each Programme Board of Academic Affairs has its own Organisation Manual and Regulations covering its functions, composition and procedures.*

The Board of Academic Affairs is a body which advises the Director of the PhD and MRes in Management Sciences and which plans and monitors academic matters.

There is a unique Board of Academic Affairs for the ESADE MRes & PhD in Management Sciences programmes.

9.1 Functions

- To advise the Direction of the PhD in Management Sciences on all issues concerning the PhD in Management Sciences on which it is consulted.
- To advise the Direction of the MRes in Management Sciences on the selection criteria and terms of admission concerning candidates.
- To draw up reports and submit proposals concerning the running of the PhD in Management Sciences and improvements to be done.
- To analyse and make decisions regarding the PhD in Management Sciences Regulations to be applied in the following academic year.
- To present and analyse market studies, new trends and changes in the competitive environment which might affect the objectives of the PhD in Management Sciences.
• To analyze and propose changes to the PhD in Management Sciences Curriculum with regard to structure, content, methodology and length.
• To inform the Dean and the Director General of the programme fees for the following academic year proposed by the Direction of the PhD in Management Sciences for their approval.

9.2 Composition

Permanent members:
The Director of the MRes Program
The Director of the PhD in Management Sciences program
The Vice-Dean of Research

Appointed members:
• Three PhD/MRes in Management Sciences faculty members, designated by the Dean.

Elected members:
• One PhD candidate, elected by the candidate representatives.
• One MRes student, elected by the students’ representatives.
• Two faculty members from the programme, elected by the ESADE faculty.

10 THESIS SUPERVISION

All thesis supervisors for the PhD Programme in Management Science at ESADE are accredited researchers whose areas of research and active projects are within the priority research areas of ESADE.

In the event of the supervisor being an external member of faculty, the Personal Faculty Advisor will be required to co-ordinate the relationship between the candidate and the thesis supervisor. The thesis may be co-supervised by another supervisor, or, in exceptional cases, by other PhD holders, who may take on the role of Personal Faculty Advisor.

Theses supervisors should hold a doctorate and have research experience in addition to experience in supervising theses irrespective of the college, school or institution in which they work. The supervisor should have co-supervised at least one thesis and have six years’ research experience (or equivalent). Doctoral theses will be co-supervised by other PhD holders, up to a maximum of three co-supervisors. A co-supervisor should be a PhD holder who has initiated a research career.

Under no circumstances may a member of faculty simultaneously direct more than five doctoral theses (for these purposes co-supervised theses will be counted as half).

From the 2013-2014 academic year onwards, PhD candidates and their thesis supervisor will be required to sign the ‘documental supervision commitment’ which defines and regulates the supervision of the thesis in question. This document defines the framework, follow-up
and co-operation parameters established between the doctoral candidate and the supervisor and explicitly state the rights and obligations of both the supervisor and the doctoral candidate.

The ‘documental supervision commitment’ has been defined based on the good practice guide which was quantified in working sessions, conducted during the 2011-2012 academic year, in which both doctoral thesis supervisors and doctoral candidates took part (this document is currently pending approval by the programme’s Academic Board). This document is included in Annex VIII of the regulations governing PhD programmes.

11 PHD ACADEMIC COMMISSION

The PhD Academic Commission meets once a month and makes decisions regarding admissions and guarantees the quality of the academic outputs (Master and PhD Theses and other publications).

Functions:

- To make decisions regarding admissions of MRes and PhD candidates and PhD visiting fellows.
- To make decisions on the acceptance of a PhD thesis and the PhD Committee proposed by the Thesis supervisor to be presented to the Ramon Llull University Doctoral Commission.
- To select for each academic year the PhD extraordinary award of the PhD programme in Management Sciences.
- To make decisions regarding awarding of grants and fellowships.
- To select programme representatives for international events and conferences.

The composition of the MRes and PhD Commission is as follows:

*Permanent members:*

- The Director of the MRes Program
- The Director of the PhD in Management Sciences program
- The Vice-Dean of Research.

*Appointed members:*

- Three PhD/MRes in Management Sciences faculty members, designated by the Dean.

12 MEETINGS WITH PhD CANDIDATE REPRESENTATIVES

The Direction of the PhD in Management Sciences will hold various meetings throughout the course with PhD candidate representatives. Representatives must be elected by their colleagues in a democratic election by the end of November.
The main purpose of these meetings will be to analyse the progress of current academic year and to comment upon opportunities to make improvements to the PhD.

13 NOTIFICATIONS AND ANNOUNCEMENTS

All of the information concerning courses (e.g., timetable changes, faculty absences, test, thesis defence, etc.) is published on the Intranet. Any change to these Programme Regulations will take effect when publicly announced and will be added to subsequent versions of this text.

If *force majeure* prevents one or more participants from being made aware of such changes (providing that these directly affect them), they may appeal to the Direction of the PhD in Management Sciences.

The School will not answer or pass on messages or telephone calls to participants except in emergencies. Participants will be notified of urgent messages via email.

14 PROPOSALS AND SUGGESTIONS

These regulations will be valid for the academic year 2015-2016. Any suggestions concerning these regulations should be made via the participant representatives to the PhD in Management Sciences to the Direction of the PhD in Management Sciences. These suggestions will be studied and incorporated in the following academic year if deemed appropriate.

15 INTERPRETATION AND APPEALS

The Vice-Dean of Research will be responsible for interpreting these regulations. Appeals regarding this interpretation will be addressed to the Vice-Dean of Research in the first instance and to the Dean in the second instance.
ANNEX I

ADVANCED RESEARCH SEMINARS

- AI Techniques for Decision Making in Management (GREC)
  Coord. Núria Agell

- Business Network Dynamics (BuNeD)
  Coord. Cristina Giménez

- Economics and Finance (GREF)
  Coord. Luca de Viva

- Future of Work Chair (FWC)
  Coord. Simon Dolan

- Institute for Innovation and Knowledge (IIK)
  Coord. Jonathan Wareham

- Public Management and Governance (IGDP)
  Coord. Tamyko Ysa

- Research Activities in Marketing (GREMAR)
  Coord. Oriol Iglesias

- Social Issues in Management (IIS)
  Coord. Daniel Arenas

- Leadership Development Research Centre (GLEAD)
  Coord. Joan Manuel Batista

- Strategy and Entrepreneurship ((EEI))
  Coord. Jaime Villanueva and Dimo Ringov
ANNEX II

RESEARCH PROPOSAL GUIDELINES – RESEARCH PERIOD 1

Structure and Format

PhD candidates are required to write a Research Proposal during the first academic year of the PhD Research Period. This document should include the following items:

1. Name of PhD candidate and thesis director and department/research group details
2. Title of the doctoral thesis
3. State of the art
4. Objectives of the Research Proposal
5. Methodologies to be used
6. Expected contributions
7. Bibliography
8. Work plan and an estimated completion schedule for the thesis, publications and participation in research projects

In the event of the thesis director or co-director being an external professor, the Proposal should also include the professor’s CV or a detailed description of his/her academic background.

The Proposal should not exceed 5,000 words in length (excluding external professor data). It should be written in English on plain white A4 paper (i.e. 21.0 centimeters (8.27 inches) by 29.69 centimeters (11.69 inches)) and the margins should be set to Word’s default margin settings: top and bottom 2.54 centimeters (1.00 inch), right and left 3.17 centimeters (1.25 inches). The letter font should be Arial or Times New Roman, 12-point. Please make sure that pages are numbered.

Submission and Assessment

PhD candidates will be presenting their Research Proposal to their research group/department before June 2016. Once approved by the supervisor/tutor, a hard copy of the Research Proposal should be submitted to the PhD program Registrar’s Office before 27th June 2016 (format: black and white, double-sided). At the same time, the candidate should inform of the date of the thesis presentation and the names of both evaluators. An electronic copy (PDF format) should also be submitted via email, CD, etc...

The Registrar’s Office will send the evaluators a copy of the Research Proposal along with the assessment form which they will fill in, sign and return before July 2nd 2016.

The Research Proposal will be defended orally on July 11–12, 2016. The presentation by the candidate will be approximately 30 minutes and the total defense will not exceed 1 hour.

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PhD candidates can present his/her Research Proposal during the second academic year of the PhD Research Period, as long as his/her thesis director agrees. In order to formalize this situation, the candidate should submit a formal request in writing signed by himself/herself and his/her director.
The candidate will be evaluated on both the overall quality of his/her Research Proposal and the oral presentation. The following criteria should be taken into consideration:

1. Scientific interest and originality of the research topic
2. Conceptual map
3. State-of-the-art analysis and bibliography
4. Clarity of objectives and soundness of approach
5. Feasibility and work plan
6. Candidate’s maturity
7. Participation in research projects
8. Conference papers and journals

The professor coordinating research group or department seminars will be responsible for distributing the Proposal among attendants.

The candidate will be given 30 minutes in which to make the oral defense of his/her Research Proposal. During this time, the candidate will not be interrupted. Following the presentation, the attendants will be invited to ask the candidate questions about the Research Proposal. The total time for presentation and discussion will not exceed one hour.
ANNEX III

Document on Doctoral Activities (DAD) & Addendas

Addenda 1 – to be filled by the PhD candidate
Addenda 2 – to be filled by the PhD supervisor
Documento de actividades del doctorando

Apellidos y nombre del doctorando/PhD candidate Surname/s, Name/s:
Director/es de la tesis/Thesis Director/s:
Tutor de la tesis/Tutor:
Programa de Doctorado/PhD Program in: Management Sciences
Centro donde se está desarrollando la tesis doctoral/Center where is developing the doctoral Thesis: ESADE Business School
Fecha de matriculación en el programa/Enrollment date in the program:
Fecha de inscripción del proyecto de tesis (plan de investigación)/Registration date of the Thesis project (research plan):
Título de acceso al programa de doctorado y fecha y universidad en que se obtuvo>Title access to the Doctoral Program and University and date when was obtained:

<table>
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<tr>
<th>Fechas Dates</th>
<th>Tipo de beca, ayuda o bolsa Type of grant, scholarship or travel support</th>
<th>Institución financiadora Funding Institution</th>
<th>Cuantía Amount</th>
<th>Evidencias Evidence</th>
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Participación en proyectos competitivos / Participation in competitive projects

<table>
<thead>
<tr>
<th>Fechas Dates</th>
<th>Tipo de proyecto Type of Project</th>
<th>Institución financiadora Funding Institution</th>
<th>Cuantía Amount</th>
<th>Evidencias Evidence</th>
<th>Observaciones Observations</th>
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## ACTIVIDADES / ACTIVITIES

### Asistencia a actividades de formación transversal / Attendance cross-training activities

<table>
<thead>
<tr>
<th>Fechas</th>
<th>Tipo y nombre de la actividad</th>
<th>Lugar de celebración</th>
<th>N° horas lectivas</th>
<th>Evidencias</th>
<th>Observaciones</th>
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### Asistencia a cursos, jornadas científicas o seminarios avanzados / Attendance at courses, scientific conferences or Advanced seminars

<table>
<thead>
<tr>
<th>Fechas</th>
<th>Nombre del curso, jornadas o seminario</th>
<th>Lugar de celebración</th>
<th>N° horas lectivas</th>
<th>Evidencias</th>
<th>Observaciones</th>
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</table>
### Contribuciones en congresos o jornadas / Contributions at conferences or seminars

<table>
<thead>
<tr>
<th>Fechas Dates</th>
<th>Tipo de contribución Type of contribution</th>
<th>Título de la contribución Title of the contribution</th>
<th>Nombre del congreso o jornada Name of the congress or workshop</th>
<th>Lugar de celebración Venue</th>
<th>Publicado? Published? Sí/No Yes/No</th>
<th>Evidencias Evidence</th>
<th>Observaciones Observations</th>
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### Organización de actividades de I+D (congresos, jornadas, seminarios) / Organization of R&D activities (congresses, workshops and seminars)

<table>
<thead>
<tr>
<th>Fechas Dates</th>
<th>Nombre del congreso, jornadas o seminario Name of the congress, workshop or seminar</th>
<th>Lugar de celebración Venue</th>
<th>N° horas lectivas Num. of teaching hours</th>
<th>Evidencias Evidence</th>
<th>Observaciones Observations</th>
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### Otras presentaciones orales / Other oral presentations

<table>
<thead>
<tr>
<th>Fechas Dates</th>
<th>Tipo de presentación Type of presentation</th>
<th>Lugar de celebración Venue</th>
<th>Evidencias Evidence</th>
<th>Observaciones Observations</th>
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<tr>
<td>Fecha</td>
<td>Título</td>
<td>Revista</td>
<td>Otros autores</td>
<td>Evidencias</td>
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<th>Asignatura/Materia</th>
<th>Titulación</th>
<th>Tipo de colaboración</th>
<th>Nº de horas lectivas</th>
<th>Evidencias</th>
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<tr>
<td></td>
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<td>Program</td>
<td>Type of collaboration</td>
<td>Num. of teaching hours</td>
<td>Evidence</td>
<td>Observations</td>
</tr>
</tbody>
</table>
### Estancias en otras universidades, instituciones o empresas (relacionadas con el programa de doctorado)

**Stays in other Universities, companies or institutions (related to the doctoral program)**

<table>
<thead>
<tr>
<th>Fechas</th>
<th>Objetivo de la estancia</th>
<th>Lugar</th>
<th>Tutor en el destino</th>
<th>Evidencias</th>
<th>Observaciones</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dates</td>
<td>Purpose of the visit</td>
<td>Place</td>
<td>Tutor at local place</td>
<td>Evidence</td>
<td>Observations</td>
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### Otros / Other

<table>
<thead>
<tr>
<th>Fechas</th>
<th>Tipo de actividad</th>
<th>Evidencias</th>
<th>Observaciones</th>
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<tbody>
<tr>
<td>Dates</td>
<td>Type of activity</td>
<td>Evidence</td>
<td>Observations</td>
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**En/In**

(Lugar, fecha y firma)

(Place, date & Signature)

**Director/a de la Tesis**

Thesis Director

**Tutor/a de la Tesis/Tutor of the Thesis**

Seño del centro/Sigell del centre
Addenda DAD

PhD candidate Name: 
Supervisor: 
Research unit/Department: 
Year in which program started:

<table>
<thead>
<tr>
<th>Progress of the research work and Work plan for academic year 2015-2016 (if possible, give an estimate date for your thesis defense) — max. 300 words</th>
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<tbody>
<tr>
<td>With special consideration on:</td>
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<tr>
<td>• Conference and publication planning</td>
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<tr>
<td>• Agenda/Schedule meetings with supervisor/research fellows/research group</td>
</tr>
<tr>
<td>• Other research activities (data collection/data analysis/visiting periods/others)</td>
</tr>
</tbody>
</table>

Please describe the progress of your research work during this academic year.

Please describe your tentative work plan for the next academic year.

Signature of PhD candidate

Date:
**Addenda DAD**

**PhD candidate Name:**  
**Supervisor:**  
**Research unit/Department:**  
**Year in which program started:**

<table>
<thead>
<tr>
<th>Global Assessment (tutor or supervisor) – max. 300 words</th>
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<tbody>
<tr>
<td>Please assess the candidate’s research work progress (this applies to the current academic year).</td>
</tr>
<tr>
<td>Please assess the feasibility of the candidate’s work plan for the next academic year.</td>
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</tbody>
</table>

**Signature of Director/Tutor**

**Date:**
ANNEX IV

REGULATIONS ON THE INCLUSION OF INTERNATIONAL IN THE PHD QUALIFICATION ISSUED BY RAMON LLULL UNIVERSITY

(Based verbatim on Article 15 of Royal Decree 99/2011 of 28 January)
(Approved by the Governing Body of URL 22 December 2011)
This English version is based on the original Catalan version

The International Doctorate awarded by Ramon Llull University complements the official approved doctorate qualification awarded by Ramon Llull University. In accordance with Royal Decree 99/2011 of 28 January, Article 15, the words ‘International Doctor’ may be included on the back of the doctoral qualification provided that the following circumstances have been satisfied:

a) That, during the training period required to obtain a doctoral degree, the candidate has completed a minimum of three months abroad at an institution of higher education or research centre of prestige, studying or conducting research. This period and its corresponding activities should be endorsed by the supervisor and approved by the academic committee, and must be included in the candidate’s documented activities.

b) That, part of the doctoral thesis, at least the summary and conclusions, should be drawn up and presented in a language habitually used to communicate scientific knowledge in the field in question, and different to any of the official languages in Spain. This rule is not applicable when the periods spent abroad; reports and experts concerned are from a Spanish-speaking country.

c) That, at least two experts, PhD holders belonging to a non-Spanish higher education institution or research institute, should have issued a report on the thesis.

d) That, at least one expert from a non-Spanish institution of higher education or research centre, holding a doctorate, and not being the same person responsible for the period spent abroad referred to in paragraph a), should have sat on the examining board of the thesis.

The defence of the thesis should be done at the same Spanish university in which the candidate is enrolled, or, in the case of joint doctoral programmes, at any of the participating universities or under the terms contained in the collaboration agreements. At the time of submitting the thesis, candidates are required to present:

A certificate on the completion of their research, issued by the institution that has hosted the candidate for the minimum period as per stipulated in point a).
Positive reports from faculty members who are referred to in point c).

Once the thesis has been defended:

A request should be made to the URL Doctoral Committee for the issuance of the International Doctoral degree certificate.

Issuance of the degree certificate shall be effective upon the approval and defence of the thesis, in addition to the completion of points b) and d).
ANNEX V

Types of thesis

The purpose of this document is to summarise for PhD candidates and their supervisors the basic characteristics of the types of PhD thesis (dissertation) that currently are allowed in the ESADE PhD programme. In 2006, an alternative model for the presentation of PhD theses, called the compendium of publications thesis, was adopted by Ramon Llull University (URL). Hence, the URL now recognises two PhD thesis formats: monograph thesis and compendium of publications thesis. Nevertheless, it is important for candidates and supervisors to be aware that there is some flexibility with respect to format, particularly in monograph theses. This is illustrated herein by including one variation on the traditional monograph thesis, known as the monograph based on articles.

1. Monograph
   a. *Traditional monograph.* Monograph style is the thesis style in which the work is laid out as a series of chapters, typically with the following structure: introduction, literature review, methodology, results, conclusions and discussion.

   b. *Monograph based on manuscripts (articles).* PhD Candidates may present a monograph whose central chapters are derived from articles that have not yet been published. The journal or conference where each respective chapter is to be published must be indicated. The thesis should have an introduction and general conclusions that justify the coherence and unity of the work done. All references are jointly included in the “References” section.

2. Compendium of publications. All articles included in the compendium must have been published or accepted prior to the presentation of the thesis. The thesis should have an introduction and general conclusions that justify the coherence and unity of the work done. In this case, articles can be included in the same format used in the publication. References used in the “General Introduction” and “General Discussion” are jointly included in a final “References” section.

General guide to all types of format

Regardless which format is used to present the thesis, the following general guidelines apply. All theses must:

- Be written in English, except in cases where the Doctoral Commission has granted permission for another language to be used.
- Contain an individual and original contribution to knowledge or an individual and original application of existing knowledge.
- Demonstrate familiarity with the relevant literature and contain a critical review of it.
- Demonstrate a thorough understanding of the theoretical content of the work undertaken.
**IMPORTANT:**

In all cases, candidates should have had a paper accepted by a journal included in the ISI Journal Citation Reports database. It is not essential for this article to form part of the thesis, nor is the candidate required to appear as the first author of the article.
ANNEX VI

REGULATIONS ON DRAFTING DOCTORAL THeses IN THE FORM OF A COMPENDIUM OF PUBLICATIONS

(Adapted to the Royal Decree RD 1393/2007, 29th October)
(Approved by the Doctoral Committee on 18th September 2008)

a) A doctoral thesis in the form of a compendium of publications will be made up of a minimum of 3 articles on a single line of research.

b) Articles will only be accepted from publications that have a “peer review” evaluation system and/or which are indexed in international scientific databases. (At least, one of the articles should be indexed in the ISI Journal Citation Reports).

c) Published articles, or articles which have been accepted for publication, will only be accepted for those articles written subsequent to the date of registration of the PhD candidate in the Doctoral or official Master programmes.

d) Co-authors of the published articles will provide their written consent regarding the use of the article as part of the doctoral candidate’s thesis.

e) Co-authors of the published articles will be excluded from forming part of the thesis board of examiners.

f) Co-authors of the articles published and used in a thesis who do not hold a doctoral degree are required to renounce in writing their right to use the article in another thesis. In the event that the published articles have been sourced from more than one research team, the Doctoral Committee will have the right to consider justified exceptions regarding the application of these regulations.

g) The thesis will have a general introduction which should present the published works, justification of the thematic unit, a copy of each published work, an overall summary of the results, their discussion and the final conclusions.

h) For all the mentioned above, at the beginning of the process of a thesis in the form of a compendium of publications, the candidate will ask for acceptance before the Doctoral Committee of the institution by presenting a formal request in writing and a report from the thesis director explaining specific contribution of the author to the dissertation presented as well as of the rest of the authors, if relevant.
ANNEX VII

REGULATIONS ON DOCTORAL THESIS COTUTELLE BETWEEN RAMON LLULL UNIVERSITY AND A EUROPEAN UNIVERSITY

(Adapted to the Royal Decree RD 1393/2007, 29th October)
(Approved by the Doctoral Committee on 18th September 2008)

Objective

- The objective of this regulation is to stimulate and develop scientific collaboration within the framework of doctoral studies between Ramon Llull University and other European universities, and to facilitate mobility of doctoral candidates.

Access Requirements

- Candidates should possess the qualifications necessary for accessing PhD studies as required under the current legal procedures of the universities or institutions in which the qualification has been issued.
- Candidates should follow the normal admissions procedure for a PhD programme at the Ramon Llull University.

Procedural Requirements

- The two (or more) universities will sign a cotutelle agreement which will specify the following:
  - Requirements for being admitted to two (or more) programmes.
  - Length of the period to be spent at each of the universities.
  - Name of the thesis directors.
  - Thesis registration requirements at each university.
  - Procedural explanation of the university where the thesis will be defended. The composition of the examination board will be adjusted to meet the current legislation in the two (or more) countries.
  - Commitment to recognize the validity of the defended doctoral thesis within the framework of the agreement and, in consequence, confer the qualification of doctor.
- The doctoral candidate will be assigned a thesis director at each of the universities.
- The thesis will be registered at both (or more) universities. However, the qualification issuing fees will be payable at only one university.
- The examination board assigned to adjudicate the thesis will be established in common accord between the universities.
• The thesis will be defended in a single session at one of the universities, applying the regulations of the university where the thesis is being defended, with the examination board appointed by both (or more) universities. In the event of the directors being required to form part of the examination board, the examination board will always fulfill the requirements established by the legal framework of the country/university where the thesis is defended.

• A literal copy of the doctoral degree will be sent to the other university (or universities).

• Protection of the thesis subject matter and copyrights for the use and publication of the resulting material will be guaranteed in accordance with the specific arrangements laid out in each country.

• To attain the qualification of doctor, the requirements of each of the universities regarding the presentation of the doctoral thesis should be fulfilled in accordance with current legislation.

• The Ramon Llull University Doctoral Committee will follow up joint supervision doctoral theses.
DOCUMENTARY AGREEMENT TO BE SIGNED BY THE PRESIDENT OF THE ACADEMIC COMMISSION OF THE PHD IN MANAGEMENT SCIENCES PROGRAMME, THE PHD CANDIDATE, HIS/HER TUTOR AND HIS/HER SUPERVISOR/S

Barcelona, XX XXXXX XXXXX

BY AND BETWEEN

Dr. (name and surname[s] of the President of the Academic Commission of the PhD Programme), with ID Card number XXXX as President of the Academic Commission of the PhD in XXXX Programme at Ramon Llull University.

And Mr./Ms. (Name and surname[s] of the PhD candidate), with ID card/Passport number XXXX, as a PhD candidate at Ramon Llull University, hereinafter referred to as, “the PhD candidate”.

Dr. (name and surname[s] of the supervisor of the PhD thesis. In the event of co-supervision, both supervisors must sign), with ID card/Passport number XXXX as the supervisor of the PhD thesis, hereinafter referred to as, “the supervisor”.

Dr. (name and surname[s] of the PhD candidate’s PhD tutor, if applicable), with ID card/Passport number XXXX as the PhD candidate’s PhD tutor, hereinafter referred to as, “the tutor”.

DECLARE

That in accordance with Royal Decree RD 99/2011, of 28 January 2011, PhD studies, corresponding to the third cycle of official university courses, led to the acquisition of skills and competencies related to the quality scientific research. The development of the PhD Programme has thus enabled the creation of a PhD thesis through the drawing up of an original and innovative research plan and a personalised PhD training plan, designed to meet the requirements for the acquisition of basic and specific skills, as well as the creation of a professional development itinerary linked to research.

This agreement document defines the respective rights and duties, as well as the reciprocal commitments made by the signatories, in order to ensure the attainment of the defined objectives, during the period in which the PhD thesis is being prepared.

Therefore, all parties sign this agreement document and
AGREE

1. Collaboration agreement between the PhD candidate, the tutor and the supervisor
The PhD candidate, the tutor and the supervisor agree to establish and maintain mutual collaboration in order to attain the objectives set out in the PhD in Management Sciences Programme. This involves the drawing up and presentation of the research plan and the updating and improvement of this plan, as well as the preparation and defence of the PhD candidate’s doctoral thesis, in accordance with the deadlines and procedures established in the PhD Programme’s Internal Regulations and any other applicable rules. A clear definition and management of the expectations should be clearly stated from the beginning of this collaboration.

2. Commitment of the tutor
The tutor undertakes to guide the PhD candidate regularly and periodically. Moreover, he/she will supervise the interactions between the PhD candidate and the direction of the PhD Programme and the Doctoral Academic Commission. In addition, the tutor undertakes to review regularly the personalized Doctorand Activities Document (DAD) of the PhD candidate and to write a report each year to be assessed by the PhD Programme’s Academic Commission along with the DAD and the PhD candidate’s research proposal and follow up file.

3. Commitment of the supervisor or supervisors of the PhD thesis
The supervisor or supervisors will undertake to schedule personal guidance and monitoring sessions, sufficiently often to enable them to supervise the PhD candidate’s training process and research plan. The supervisor will guide the PhD candidate during the preparation of the research proposal and thesis. At the same time, the supervisor will ensure that the PhD candidate becomes independent and will inform him/her about the rules, the codes of good practice and the basic duties of the PhD candidate when carrying out his/her research work.

The supervisor will undertake a clear communication with the PhD candidate in terms of ensuring access to data and publications in his/her research area and participation in projects. In addition, the supervisor will undertake to clarify the expectations for co-authorship in journal papers and conferences.

The PhD supervisor will ensure that the PhD candidate’s thesis is original, educational, and innovative and that it is consistent with the line of research to which it is linked. Moreover, the supervisor will advise and motivate their PhD candidate through the scientific diffusion of the results of his/her research and by carrying out research trips.

The supervisor undertakes to review regularly the personalized Doctorand Activities Document (DAD) of the PhD candidate and to write a report each year to be assessed by the PhD Programme’s Academic Commission along with the DAD and the PhD candidate’s research proposal and follow up file.

4. Commitment of the PhD candidate
The PhD candidate undertakes to carry out his/her doctoral studies within the framework established by
the PhD in Management Sciences Programme’s internal regulations, and in line with the commitments set out in this document. The PhD candidate must keep in touch with his/her tutor and supervisor/s, and should inform the supervisor regularly about how his/her work is progressing and the results obtained. The PhD candidate should also inform about any problem that may arise during the PhD program to facilitate conflict resolution.

The PhD candidate undertakes to keep his/her CV up to date in the corresponding application on the institution’s intranet. At the same time, the PhD candidate must keep an updated record of all his/her research work and training through the DAD.

PhD candidates must respect any comments made by the supervisor and become actively involved in the research groups and PhD Programme activities. To this end, the PhD candidate’s commitment to the programme will be full time, and he/she undertakes to complete his/her thesis within the timeframe established in the Programme’s internal regulations.

5. Regarding confidentiality

The PhD candidate undertakes to maintain the confidentially of any confidential information that he/she is given orally, in writing, graphically or by any other means by the PhD supervisor, tutor or other researchers. The PhD candidate will not reveal, communicate, transfer or divulge to third parties any information referring to his/her work without prior authorisation from his/her supervisor, and he/she undertakes to use the information obtained exclusively for preparing his/her PhD thesis.

Moreover, the PhD candidate will not reveal any information about the research project in which he/she participates without having obtained prior, express, written authorisation from his/her thesis supervisor. Similarly, the PhD candidate undertakes to sign any specific confidentiality agreements required by the supervisors or tutor.

The PhD candidate, tutor and supervisor undertake to maintain the confidentiality of any confidential information that they share during the preparation of the research project for the doctoral thesis.

6. Regarding intellectual property aspects

The PhD candidate and the supervisor have the right to be recognised as the holders of the intellectual property rights that may correspond to them, in accordance with current legislation, and appear as co-authors of all papers, articles or communications that describe the results of research work in which the PhD candidate has played a significant role.

The PhD candidate may exercise his/her intellectual property rights derived from his/her research training activity and in line with his/her contribution, according to the provisions set out in current legislation.

The abovementioned rights are independent, compatible and cumulative with other rights that may derive from the research that is carried out, without prejudice to the conditions related to joint work when the PhD candidate participates in a joint research project or is associated with such a project.
7. Regarding industrial property aspects

If the research work for the PhD thesis gives rise to a patentable invention, the PhD candidate and the supervisor can maintain their rights over the invention if the policies of the institution responsible and the nature of the research project allow this. The exercise of these rights will be examined on an individual basis for each invention by the person responsible for this task in each institution together with the supervisor, the PhD candidate and the coordinator of the PhD Programme.

In any case, the PhD candidate and the supervisor will be considered co-inventors in the application for the Spanish patent, and for any other patent application made with regard to this invention to another country or international office.

Similarly, the PhD candidate undertakes to collaborate with the centre responsible for his/her PhD Programme or with the natural person or legal person to whom he/she has transferred the rights, for the presentation of any patent or other later documents. In particular, the PhD candidate undertakes to sign a document in relation to the allocation of rights for the USA.

8. Regarding the resolution of conflicts

In the event that the agreements included in this document are breached, the parties must inform the coordinator of the PhD in Management Sciences Programme, who will act as mediator. If the mediation does not resolve the conflict, the complaint or claim must be transferred to the Academic Commission of the PhD Programme, which will address the complaint presented and notify the parties in writing of the resolution.

An administrative appeal can be lodged with the University Ramon Llull’s ombudsman against any decision made by the Academic Commission of the PhD Programme.

If the doctorate is carried out in partnership with another institution, the parties must comply with the special provisions established in the collaboration agreement of which all the signatories of this document should be aware.

9. Validity of the Agreement Document

This document will be valid from the date that it is signed until five years after the defence of the PhD candidate’s thesis.

In witness whereof, the parties have signed this document in quadruplicate, on the time and in the place indicated at the top of the document.

Dr. (name and surname[s] of the President of the Academic Commission of the PhD Programme)
President of the Academic Commission of the PhD in Management Sciences Programme at Ramon Llull University.

Mr./Ms. (name and surname[s] of the PhD candidate)
PhD candidate at Ramon Llull University

Dr. (name and surname[s] of the supervisor of the PhD thesis. In the event of co-supervision, all the supervisors must sign)
Supervisor of the PhD thesis

Dr. (name and surname[s] of the PhD candidate tutor, if applicable)
Tutor of the PhD candidate at Ramon Llull University