

Internal Regulations

PhD in Management Sciences

2022-2023



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By signing these Internal Regulations, PhD candidates declare that they have read them and that they commit to abide by all that contained herein upon enrolling.

In addition, by signing this document, PhD candidates hereby cede their rights of personal portrayal whenever recording their images is required for academic purposes.

1. ADMISSION TO THE PhD IN MANAGEMENT SCIENCES

The organised training and research activities leading to the title of Doctor is called a Doctoral Program or PhD Program. The PhD in Management Sciences offered by ESADE is a three years full time program 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.

The [Royal Decree 99/2011](#) (January, 28th) that regulates the organisation of doctoral studies corresponding to the third cycle of the official university teachings are addressed to the obtaining of the Doctor Degree, that shall have official nature and validity throughout the national territory in its article 1, establishes the following definitions:

1. Doctorate refers to the third cycle of official university studies, aimed to the acquisition of the competences and skills related to the high-quality scientific research.
2. Doctorate Program refers to a set of activities addressed to the acquisition of the competences and skills needed for obtaining the Doctor degree. The program will have as an objective the development of the different training aspects of the doctorate and will establish the procedures and lines of research for the development of doctoral theses.
3. It is recognised as a PhD-candidate the one who, previous accreditation of the established requisites in the current royal decree, has been admitted in a doctorate program and he/she has been enrolled in the program.

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.

PhD candidates enrolled and who successfully complete the PhD Program at Esade will earn an official PhD in Management Science, awarded by the Esade Business School, University of Ramon Llull and issued by the Spanish Government.

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 Science, Education and Universities. It is recommended that a literal translation from the official title in Catalan be used in order to avoid confusion.

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).

Being an official degree has validity throughout the national territory and, worldwide as long as you comply with the corresponding procedures established by the respective governments where you want to use it.

Admission Requirements

The requirements for entry to the Doctorate studies are set out in the [Royal Decree 99/2011](#) which regulates official doctorate studies.

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.

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:

- a) Applicants must have GMAT/GRE.
- b) Applicants must have taken a minimum of 25 ECTS credits in areas of methodology and theory related to business management.
- c) 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.
- d) 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 Behaviour. 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 I provides a list of the research units and their main research lines): 20%
- ESADE "qualifying exam": 40%

2. PROGRAM MANAGEMENT BODIES

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 program will have its own Board of Academic Affairs, presided over by its Program Director. Each Program 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 the Director of the MRes in Management Sciences and which plans and monitors academic matters (See Table 1 for the Board of Academic Affairs's composition).

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

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 made.
- 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 analyse and propose changes to the PhD in Management Sciences Curriculum with regard to structure, content, methodology and length.
- To inform the Dean of Faculty and Research and the General Director of the program fees for the following academic year proposed by the Direction of the PhD in Management Sciences for their approval.

Table 1. Governing Bodies

Board of Academic Affairs (9 members)	
Permanent members: <ul style="list-style-type: none"> - The Director of the MRes Program - The Director of the PhD Program - The Vice-Dean of Research 	
Appointed members: <p style="text-align: center;">Two PhD/MRes in Management Sciences faculty members, designated by the Dean of Faculty and Research</p>	
Elected members: <ul style="list-style-type: none"> - One PhD-candidate, elected by the candidate representatives - One MRes student, elected by the students’ representatives - Two faculty members from the program, elected by the ESADE faculty 	
PhD Academic Commission (8 members)	
Permanent members: <ul style="list-style-type: none"> - The Director of the MRes Program - The Director of the PhD Program - The Vice-Dean of Research 	Appointed members: <ul style="list-style-type: none"> - Five PhD/MRes in Management Sciences faculty members, designated by the Dean of Faculty and Research

Phd Academic Commission

The PhD Academic Commission meets once a month (See Table 1 for the PhD Academic Commission’s composition) 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 program representatives for international events and conferences.

3. PROGRAM STRUCTURE

The PhD period is held at the Sant Cugat campus. The length of doctoral studies will be a maximum of three years full-time, starting from the enrolment of the PhD Program to the oral defence of the doctoral thesis¹.

If after a period of three years an application for the deposit of the thesis has not been made, the PhD Academic Commission may authorise an extension of this period for a one year, exceptionally may be extended for an additional year, under the conditions established in the corresponding PhD Program.

Table 2 summarizes the three-year doctoral studies that correspond to the PhD Program. As a full-time program, the work plan for the PhD period include: attending seminars and developing the own research project (doctoral thesis), conferences and workshops planned attendance, international research stays and teaching activities.

Table 2. PhD structure				
	1 st year PhD	2 nd year PhD	3 rd year PhD	
Advanced Research Seminars	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Judgement & Decisions in the Marketplace (Juice) Coord.: Dr. Núria Agell </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Leadership and Innovation in Public Management (GLIGP) Coord.: Dr. Angel Saz </div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Business Network Dynamics (BuNeD) Coord.: Dr. Annachiara Longoni </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Social Issues in Management (IIS) Coord.: Dr. Guillermo Casanovas Dr. Janina Grabs </div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Economics and Finance (GREF) Coord.: Dr. Ioanna Schliopu Dr. André Brandao </div> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Leadership Development Research Issues (GLEAD) Coord.: Dr. Laura Guillén </div>	<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> Institute for Innovation and Knowledge (IIK) Coord.: Dr. Ivanka Visnjic </div> <div style="border: 1px solid black; padding: 5px;"> Entrepreneurship (EEI) Coord.: Dr. Daniel Blaseg </div>
Transversal Seminar	<ul style="list-style-type: none"> • Open Research Seminars • PhD Seminars 			
Preparing PhD Thesis	<ul style="list-style-type: none"> • Research Proposal • Conference & Journal publications • DAD & addenda 	<ul style="list-style-type: none"> • Conferences & Journal publications • DAD & addenda 	<ul style="list-style-type: none"> • <i>Thesis writing and defence</i> • Conferences & Journal publications • DAD & addenda 	
Other activities (optional)	<ul style="list-style-type: none"> • Teaching competences • Research stay abroad 			

Seminars/Courses

The organization of the training provided to 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. There are two blocks of seminars, especially suitable for training future researchers. The first block includes *advanced research seminars*² - see [Annex I](#) - (research group or departmental seminar), which focus on subjects related to the research area

¹ Sick leave, pregnancy leave, or any other cause provided for by current regulations will not be included in the calculation of the above period ([Royal Decree 99/2011](#)).

² Candidates must enroll for at least one advanced research seminar. The detailed list of the advance research seminars in [Annex I](#).

and involve the participation of the PhD-candidate in the research group activities. The second block is made up of *cross-training transversal seminars* and is devoted to develop research skills. The cross-training transversal seminars include the *ESADE open research seminars*³ and the *PhD seminars on advanced topics* proposed by the PhD Program management and based on the specific needs of all candidates.

Seminar attendance is compulsory once enrolled. Seminars cancelled through no fault of the teaching staff cannot be made up.

The list of PhD seminars on advanced topics proposed for this academic year 2022 – 2023 include:

Transversal PhD seminars

- PhD seminar on Theory Building. Dr. Ruth Aguilera (compulsory for all first year PhD-candidates)
- PhD seminar on Developing A-papers. Dr. Ruth Aguilera
- PhD seminar on Public Big Databases. Dr. Georges Chondriakis
- PhD seminar Observation: Participating and writing fieldnotes. Dr. Ignasi Martí
- PhD seminar on Gender: Dr. Laura Guillén (compulsory for all first year PhD-candidates)
- PhD seminar on Teaching (tbc)
- PhD seminar on Academic Writing: Dr. Maja Tampe and Dr. Tobias Hahn

PhD Seminars on Qualitative Methods

- PhD seminar on Qualitative 1 (tbc)
- PhD seminar on Qualitative 2 (tbc)
- PhD seminar on Qualitative 3 (tbc)

PhD seminar on Quantitative Methods

- PhD seminar on Methods Stumblers. Dr. Uri Shimonshon
- PhD seminar: Survey data design and analysis. Dr. Melanie Revilla
- PhD seminar on Quantitative 3 (tbc)

In addition, PhD-candidates are encouraged to follow some optional courses in the Master of Research in Management Sciences Program or in other PhD Programs or research institutions focused on related research areas.

If any restrictions to in-person teaching have to be applied during the academic year, regardless of their motive, including health-related causes, we will continue to carry out our teaching activity on our facilities insofar as possible while complying with officially mandated health and safety norms. In these circumstances, teaching will be complemented with synchronous learning activities, requiring the use of technology and communication between faculty and students. The Spanish Network of University Quality Agencies (REACU) still considers this combination to be in-person teaching. In addition, and if necessary, in-person classes may be substituted completely or partially with online classes while guaranteeing the same level of quality and excellence our institution demands. If this online teaching is not feasible due to methodological concerns, the affected subjects may be postponed, and, in case of electives, they may even be cancelled.

³ Candidates are required to attend a minimum of 7 sessions of the ESADE Open Research Seminar during an academic year.

Preparing PhD Thesis

Research Proposal: In order to receive feedback on research progress and the work-plan for the remaining two-year thesis period, first-year candidates have to defend their research proposal in front of a thesis evaluation committee. The guidelines for the research proposal are attached in [Annex II](#). Briefly, the purposes of this evaluation committee are:

- To help candidates to develop a PhD project with realistic goals that can be achieved within the timeframe of the PhD period (3 years).
- To certify that the PhD-candidate and PhD-supervisor(s) are aligned with goals of the project and the work plan/schedule.
- To critically evaluate the overall objectives.

DAD & addenda: Following the requirements of the [Royal Decree 99/2011](#) governing doctoral studies, PhD-candidates have to present the *Doctoral Activities Document* (DAD & addenda) at the end of every academic year ([link to Ph.D. Program's moodle](#)).

This DAD is compulsory by Ministry of Education, Real Decreto and part of the document for the PhD committee evaluation. You should fill it in accurately as this document is also assessed by your Committee Members as requirement to continue in the PhD program and the contract renewal and at the moment of the PhD thesis defense.

Conference and/or journal publication: An essential part of your PhD period is to present your research to the academic community, allowing us to be self-critical and contribute to collective knowledge-building. Conferences are excellent venues for meeting research colleagues from around the world. The networking at the conferences can provide valuable feedback for your research and help you find opportunities for collaboration. Publishing your work is an essential part of research life, and choosing where to publish is therefore an important consideration.

Other Activities

One of the program's interests is to offer candidates the chance to teach some classes at ESADE during the PhD period, in order to provide them with experience for their future job market. It is recommended also for candidates in the 1st and 2nd year, as long as it does not interfere with candidate's research work. The maximum number of hours devoted to teaching activities during one academic year will be 60.

Internationalization is important for the academic and research career and all PhD-candidates should be part of an international research community. This includes active participation in international conferences, publishing in international journals with peer review and cooperation with research groups in other countries. To this end, a research stay (visiting research stays abroad) can be very useful, academically, personally and for networking, but it must be carefully planned. The objective of this stays is to promote the internationalization of PhD Program candidates through research coordinated with and conducted in foreign countries. A research stay abroad can be demanding in terms of time and resources and you should therefore be aware of what added value you expect from the research stay ([see Annex VII](#)).

4. REQUIREMENTS FOR CONTINUING IN THE PhD IN MANAGEMENT SCIENCES

Once enrolled in the PhD Program, the PhD-candidate has to personalize the Doctoral Activities Document (DAD & Addenda). The PhD-candidate will list on the DAD all relevant activities⁴ done during the PhD period and will be regularly reviewed by the tutor/advisor and supervised annually by the PhD Academic Commission. **A positive assessment is a prerequisite for continuing on the PhD Program.**

During the first year, the PhD-candidate must develop the Research Proposal. Once the Research Proposal have been approved by the PhD supervisor and/or tutor, it has to be presented in one of the advanced research seminars (see [Annex I](#)).

Finally, before the end of the first academic year, the PhD candidate must orally defend the PhD Research Proposal in front of a thesis evaluation committee (see [Annex II](#) for guidelines and details). In the event of a negative assessment, which should be duly substantiated, the PhD-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 PhD Program (article 11.7 of [Royal Decree 99/2011](#)).

5. THESIS SUPERVISION

Since the admission to the PhD Program, every PhD candidate has a PhD supervisor and a tutor assigned by the PhD academic commission.

All thesis supervisors for the PhD Program in Management Sciences must hold a doctorate, have accredited research activity and experience in supervising Doctoral theses. A doctor without experience supervising PhD thesis should act as co-supervisor with a senior PhD advisor.

Doctoral theses can be co-supervised by other PhD holders, up to a maximum of three co-supervisors.

In the event of the supervisor(s) being an external member of faculty, an ESADE faculty advisor (tutor) will be required to co-ordinate the relationship between the candidate and the thesis supervisor(s).

PhD-candidates who want to have a co-supervisor must first request prior approval from the PhD Academic Commission. PhD Academic Commission may later revoke this authorisation if it deems that the candidates' thesis is not benefiting from this co-supervision.

As a general rule, faculty members can only supervise a maximum of three PhD theses at the same time. In exceptional cases, however, the PhD Academic Commission will study the possibility of increasing the total number of theses supervised simultaneously.

PhD-candidates and their thesis supervisor will be required to sign the supervision commitment document ([link to Ph.D. Program's moodle](#)) 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.

⁴ All training activities conducted by the candidate, including courses, seminars, conferences attended or articles published, will be reflected in this file.

6. REQUIREMENTS FOR DEPOSIT AND DEFENSE

PhD-candidates who have successfully fulfilled all requirements for years 1, 2 and 3, may submit their doctoral thesis by mutual agreement between all parties: PhD-candidate, thesis supervisor/s and the ESADE Academic Committee for Doctoral Programs.

The documents that must be submitted to the ESADE doctoral commission are:

1. PDF copy of the thesis (see [Annex III](#) and [Annex IV](#) to know the different thesis formats and guidelines).
2. An abstract of the thesis in three languages: English, Spanish and Catalan.
3. The authorization of the supervisor (and co-supervisor if it is the case).
4. The tribunal composition (3 members and 2 alternates).
5. The Doctoral Activities Document (DAD & addenda)⁵.
6. PhD candidates who want to apply for the mention of 'International Doctor', please see [Annex V](#).

All the above requirements have been met, according to the criteria established in the [Royal Decree 99/2011](#), and the Doctoral Thesis has the positive evaluation of the three members of the tribunal, it will be submitted to the University Ramon Llull, where their Doctoral Committee will have to give its approval for the defence.

7. WITHDRAWALS AND LEAVES OF ABSENCE

PhD candidates have the right to definitively withdraw from the program at any given time, duly requesting a voluntary withdrawal. They also have the right to request a leave of absence for justified causes and abandon the program temporarily and only for a limited time. Below are details on these proceedings depending on the circumstances.

Voluntary Withdrawal

PhD candidates wishing to withdraw from the PhD in Management Sciences for personal reasons must notify the Direction of the PhD Program in writing, who will then inform the PhD Program office. PhD candidates must request *voluntary withdrawal* from the program, specifying the reasons for reaching such a decision. PhD candidates must also provide all the documents which support the decision set out in the written notification. Such information will be treated in the strictest confidence. In the absence of the aforementioned notification, the PhD candidate will be considered to be fully enrolled on the program.

Applications for re-admission to the PhD Program will be considered by the PhD Academic Commission, which will take previous performance into consideration. The acceptance to the program will be maintained for the next academic year, but ESADE will not reimburse the reservation fee in cases of voluntary withdrawal from the program.

The Director of the PhD in Management Sciences will consider the possibility of partial reimbursement of enrolment fees in the case of serious illness of the PhD candidate; serious family problems or force majeure.

⁵ 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).

Leave of Absence

Applications for leave of absence must be made in writing and addressed to the Director of the PhD in Management Sciences. PhD candidates can request a temporary leave of absence from the program for one year, though it can be extended for a maximum of one additional year. PhD candidates have to forward their requests to the PhD Academic Commission and duly justify their reasons. This committee will then decide whether or not to grant the leave of absence. PhD candidates 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 PhD candidates failing to re-join the program after a leave of absence, this will be treated as a voluntary withdrawal from the PhD program. 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 PhD candidate's re-incorporation into the program.

After re-incorporation into the PhD in Management Sciences, the PhD candidate concerned will from now on belong to the class year joined for academic purposes.

The Direction of the PhD Program 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 PhD candidate or close family member, the death of a close family member).

8. STUDENT REPRESENTATIVES

PhD candidates are represented by delegates which they elect. Representatives must be elected by their colleagues in a democratic election by the end of November, who are the voice and opinion of all program candidates, acting as the link between PhD candidates and Program Management. These representatives are expected to be responsible, empathetic, constructive and conciliatory. In addition, as stipulated in the Board of Academic Affairs' regulations, these representatives give voice to all the PhD candidates on the Academic Board.

The Director of the PhD in Management Sciences holds various meetings throughout the course with PhD candidate representatives. The main purpose of these meetings is to analyse the progress of the current academic year and to comment upon opportunities to make improvements to the PhD Program.

9. USE OF FACILITIES AND SERVICES

Esade makes it possible for all members of the Esade community to use its facilities and services, including classrooms, the library, cafeteria, study rooms, etc. All Esade PhD candidates commit to use these spaces responsibly and always in keeping with the purposes for which they were designed. Using these facilities and services in an inappropriate manner may be penalised depending on the severity of the infraction and in keeping with the program's Internal Regulations.

10. INTELLECTUAL AND INDUSTRIAL PROPERTY

PhD candidates will have a non-exclusive and non-transferrable license over any and all teaching material and information (presentations, videos, podcasts, charts, maps, exercises, etc.) that faculty reproduce, distribute and/or publicly communicate to PhD candidates during the academic year, whether in paper format or electronically (e-mail, the Moodle platform or any other means). PhD candidates will thus be entitled to use said material and information for their own personal study and group activities. However, they are not allowed to make copies (whether paper or electronic), share them with others not associated to the subject in question or post/distribute them via online platforms or any other electronic means.

The content taught in PhD seminars, whether in person or online, may not be recorded (including image and sound); similarly, PhD candidates may not take any screenshots or photos without express permission from the faculty in charge of the subject. In addition, recording images and sound and taking pictures of faculty, administrative staff and other students without the affected parties' express consent are not permitted on Esade facilities.

When using photos or material downloaded from internet, PhD candidates must ensure that said material is not protected by copyright and that they have the right to use them thanks to a Creative Commons license or other license which enables that material to be used freely. When citing others' work, the cited text has to be in quotes, and the author has to be duly referenced. Not abiding by these rules may be considered plagiarism as defined in these Regulations.

Esade is a registered trademark belonging to Fundació Esade. Student use of this trademark (for example, though not limited to, in association names, at events, in internet profiles, social media recordings and posts, etc.) must be expressly authorised by Fundació Esade.

11. DISCIPLINE

The ESADE's general Code of Conduct is a statement of the principles and values that inspire and guide the conduct of ESADE as an academic institution. The Code also provides a guiding framework for the behaviour of everyone in the ESADE community. The Code of Conduct can be found in the Esade webpage:

http://itemsweb.esade.edu/wi/documentos/CodigodeConducta/ESADE_code%20of%20conduct_2.pdf

The MRes and PhD Academic Commission, at its discretion, withdraw a PhD candidate from the PhD Program for a violation of the program rules, for engaging in conduct that violates Esade's Code of Conduct, or any other conduct that could bring the Programme into disrepute. Such a decision will be final and the candidate will be responsible for any costs associated with a mandated withdrawal.

Infractions in the Academic Context

All Esade community members commit to uphold and defend the institution's objectives and values and, in particular, its academic principles. Any acts contrary to these objectives, values and principles will be considered infractions which can be penalised as stipulated in these Internal Regulations.

Types of Infractions

Infractions can be classified as either "very severe", "severe" or "minor", in keeping with the following definitions.

Very severe infractions include the following:

- a. Falsifying documents, transcripts and/or any other academic document.
- b. Providing false data in any document the institution requires, for example, in admissions or in scholarship and loan applications.
- c. Plagiarism ([see Annex VIII](#)).
- d. Offending any member of the Esade community whether verbally, physically or in writing, as well as acting in any type of discriminatory way against a member of the community due to the latter's race, age, gender, sexual orientation, religious beliefs or disability.
- e. Holding, selling, consuming, providing or distributing any illegal substance on Esade property as well as violating Esade-established rules or legal dispositions regarding the consumption of alcohol and tobacco.
- f. Disrupting academic activity via actions which impede normal academic activity.
- g. Offending any member of the Esade community via social media, including spreading any type of offensive comment or content regarding students, faculty, administrative staff or any other member of the Esade community and said comment or content is prejudicial for the affected party, regardless of whether or not said comment or content is posted via a private mailing list or group, etc.
- h. Harassing any member of the Esade community whether in-person or through social media.
- i. Revealing any type of confidential information, data, situation, circumstance or document which PhD candidates and students may have access to via work or external internships carried out as part of the program. PhD candidates also commit to not record any audio or images on Esade facilities without the institution's prior authorisation.
- j. Recording images or sound during teaching activities without the prior authorisation from Esade, as well as recording images and sound on Esade facilities without prior authorisation from Esade or those appearing in said recordings.
- k. Unauthorised sharing or distribution of teaching material to third parties who are unrelated to Esade, whether via social media, file-sharing applications, photocopies or any other means.
- l. Using any brand, trade name or trademark belonging to Esade without due authorisation or using them inappropriately.
- m. Any other behaviour which may constitute a crime or misdemeanour.
- n. Removing, damaging or rendering useless any university property, equipment or facility or that of any other Esade community member so long as this infraction is not considered "very severe". Ceding Esade spaces to others unrelated to Esade without the latter's prior authorisation.
- o. Intentionally interfering in another PhD candidate's endeavours.
- p. Unduly using new technologies, for example, to upload computer viruses, copy software or use others' passwords, etc.

Esade may also consider some "very severe" infractions to be only "severe" if, given the circumstances or their impact on academic activity or campus life, Program Management deems that those "very severe" infractions should be downgraded to "severe" infractions.

Minor Infractions

In addition, other minor infractions include those which, depending on the circumstances and their impact on academic activity or campus life, Program Management determines that those "severe" infractions should be downgraded to "minor" infractions.

Penalisations

Very or severe infractions may be subject to any of the following penalisation depending on their severity and circumstances though always at Program Management's sole discretion after speaking with the PhD candidate in question:

- a. Loose access to economic funding of the PD Program (conference attendance, visiting research period funding, etc.)
- b. Definitive expulsion from the PhD program in Management Sciences.

Minor infractions will imply students receiving an official written warning which will also be included in said PhD candidate's official records.

Penalisation procedure

When faced with severe or very severe infractions, Program Management will name an internal auditor in charge of opening the corresponding proceeding to gather all the evidence which accredits the infraction in question and details the specific circumstances. The accused PhD candidate will, at all times, have the right to be heard and be provided information regarding all the actions taken so that they may present any allegations and evidence they deem relevant within a period of 10 working days.

The internal auditor will then have up to 15 working days to gather and evaluate all the evidence, after which he/she will draft a proposed resolution which will then be sent to the PhD candidate in question. After receiving said notification, PhD candidate will have no more than 5 working days to present any additional allegations in writing to the internal auditor and attach any documents or information they consider relevant and did not provide in the previous step.

PhD Program Management will be solely responsible for deciding on and imposing the corresponding penalisation in cases of severe and minor infractions.

In cases of very severe infractions, Program Management will escalate the proposed resolution to the Business School Dean or who will be solely responsible for making the final determination.

After deciding on the corresponding penalisation, PhD Program Management will ensure that the program carries out all the pertinent actions and notifies the affected units and areas for the latter to implement the imposed penalisation.

12. INTERPRETATION AND APPEALS

The application, interpretation and integration of these Internal Regulations corresponds to the corresponding Vice-Dean of Faculty and Research, the Program Management and Ombudsman. As detailed in Esade process, ESADE_D3_05A ([Internal Quality Assurance System, SGIQ](#)), which regulates proceedings to gather student claims, allegations and suggestions, any claims regarding these Internal Regulations and their interpretation have to be forwarded to the abovementioned offices except in cases of manifest abuse.

In exceptional circumstances which extend beyond the Internal Regulations' reasonable application, the corresponding Vice Dean Office, at Program Management's request, will be authorised to adopt any special decisions he/she deems appropriate, always bearing equitable criteria in mind and subject to the general principles established herein.

Appeals regarding this interpretation will be addressed to the Vice-Dean of Faculty and Research in the first instance and to the Dean in the second instance.

Any change to these Program Regulations has to be approved by the Academic Board and shall take effect when publicly announced and shall be added to subsequent versions of this text.

13. VALIDITY AND MODIFICATIONS OF THE INTERNAL REGULATIONS

These Internal Regulations will be valid as of the 2022-2023 academic year and substitute any previous regulations. Any later modifications to these Internal Regulations will be valid as of the moment they are duly communicated via official channels and they will be incorporated into future versions of this text.

Any suggestions to modify these Internal Regulations will be presented by PhD representatives to Program Management. The latter will study all these suggestions and determine whether or not to incorporate them into the Internal Regulations for the following academic year if duly approved by the Academic Board.

ANNEXES

ANNEX I: ADVANCED RESEARCH SEMINARS LIST

- Judgement & Decisions in the Marketplace (JUICE). Coord. Dr. Núria Agell
<http://www.esade.edu/en/faculty-and-research/research/knowledge-units/institute-for-data-driven-decisions/research/juice>
- Business Network Dynamics (BuNeD): Coord. Dr. Annachiara Longoni
<https://www.esade.edu/en/faculty-and-research/research/knowledge-units/business-network-dynamics>
- Economics and Finance (GREF): Coord. Dr. Ioanna Schiopu and Dr. André Brandao
<https://www.esade.edu/en/faculty-and-research/research/knowledge-units/group-research-economics-finance>
- Institute for Innovation and Knowledge (IIK): Coord. Dr. Ivanka Visnjic
<https://www.esade.edu/en/faculty-and-research/research/knowledge-units/institute-innovation-knowledge-management>
- Leadership Development Research Centre (GLEAD): Coord. Dr. Laura Guillén
<https://www.esade.edu/en/faculty-and-research/research/knowledge-units/leadership-development-research-centre>
- Leadership and Innovation in Public Management (GLIPGP): Coord. Dr. Angel Saz
<http://www.esade.edu/en/faculty-and-research/research/knowledge-units/esadegeo>
- Social Issues in Management (IIS): Coord. Dr. Guillermo Casanovas and Dr. Janina Grabs
<https://www.esade.edu/en/faculty-and-research/research/knowledge-units/institute-social-innovation>
- ESADE Entrepreneurship Institute ((EEI): Coord. Dr. Daniel Blaseg
<http://www.esade.edu/en/faculty-and-research/research/knowledge-units/entrepreneurship-institute/research>

ANNEX II: Research proposal guidelines

Structure and Format

PhD-candidates are required to write a Research Proposal during the first academic year of the PhD Research Period⁶. This document should include the following items:

1. Name of PhD-candidate and thesis advisor 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. References
8. Gantt Chart: Work plan and an estimated completion schedule for the thesis, publications and/or participation in research projects

In the event of the thesis advisor or co-advisor being external, the advisor's CV or a detailed description of his/her academic background should be included.

The Research Proposal document should not exceed 5,000 words in length (excluding external advisor data). It should be written in English on plain white A4 paper (i.e. 8.27 by 11.69 inches) and the margins should be set to word's default margin settings: top and bottom 1.00 inch, right and left 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 present their Research Proposal to their research group/department before **beginning of June 2023**. Once approved by the supervisor(s)/tutor, a copy of the Research Proposal must be submitted to the PhD Program office before **June 26th 2023** (format: black and white, double-sided).

At the same time, the candidate should inform the PhD office of the date of the thesis group/department presentation⁷ and the names of both evaluators. An electronic copy (PDF format) should also be submitted via email.

The PhD Program office will send the evaluators a copy of the Research Proposal along with the assessment form .

The Research Proposal will be defended orally **July 10 – 14, 2023**. The presentation by the candidate will be approximately 30 minutes. During this time, the candidate will not be interrupted. Following the

⁶ PhD-candidates can present his/her Research Proposal during the second academic year of the PhD Research Period, as long as his/her thesis advisor agrees. In order to formalize this situation, the candidate should submit a formal request in writing signed by himself/herself and his/her advisor.

⁷ The research group coordinator will be responsible for distributing the Research Proposal document among attendees.

presentation, the PhD-candidate will be asked questions about the Research Proposal. The total time for presentation and discussion will not exceed one hour.

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 attendance and journals publication agenda

ANNEX III: 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 Program. 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.

COMPARISON OF THE THREE MODELS FOR PRESENTING THESES		
Title Page Acknowledgments (Optional) Table of contents (compulsory) List of tables and list of figures (optional) Introduction		
COMPENDIUM OF PUBLICATION	TRADITIONAL MONOGRAPH	
	Traditional Monograph	Variation: Thesis by Manuscript
Overarching framework* Optional methods chapter/s Published papers General discussion	Strong Literature review Methodology Results Conclusions Discussion	Overarching framework * Methods chapter (optional) Manuscripts Results chapter (optional) Conclusions General discussion
References + Appendices		
<small>* Should demonstrate how papers are related/complementary and the position of the research within some of the larger empirical and theoretical debates within the area.</small>		

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.

Compendium of publications.

All manuscripts 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.

See [Annex IV](#) for the URL regulations on drafting doctoral theses in the form of a compendium of publications.

General guide to all types of format

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

- Be written in English, except in cases where the PhD Academic 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.

ANNEX IV: 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 three 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 Programs.
- 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 must have a general introduction, which should present the published works specifying the contribution of the author to the dissertation for each of them; 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.

The Academic commission should present to the URL Doctoral Commission their written consent for the thesis to be submitted.

ANNEX V: Regulations on the inclusion of “international doctor” mention

(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’ is included on the obverse of the doctoral diploma 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 one 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 (DAD).
- b) That, part of the doctoral thesis, at least the abstract 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 programs, 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).
- Request to Esade and URL Academic Commission to obtain 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 VI: Regulations on doctoral thesis cotutelle

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

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 Program at the Ramon Llull University.

Procedural Requirements

- The two (or more) universities will sign a cotutelle agreement which will specify the following:
 - a) Requirements for being admitted to two (or more) programs.
 - b) Length of the period to be spent at each of the universities.
 - c) Name of the thesis directors.
 - d) Thesis registration requirements at each university.
 - e) 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.
 - f) 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 fulfil 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.

ANNEX VII: Regulations for visiting periods

Objective:

To promote the internationalization of PhD Program candidates through research coordinated with and conducted in foreign countries.

Characteristics:

1. ESADE funding for mobility is up to 3 months.
2. Weekly aid package maximum 300 €/week.
3. The mobility must be out of Spain.
4. Travel expenses (through travel agency El Corte Inglés), once approved by the PhD Program.
5. ESADE funds up to 10 PhD candidates each academic year. The research stay must be within the 3 years contract.

Requirements

1. All PhD candidates must ask for the official mobility grants both from the Spanish Ministry and Catalan Government, where available.
2. Submit the application form to the direction of the PhD Program ([link to Ph.D. Program's moodle](#)).
3. To have a written acceptance from the host university.

Evaluation and awarding

Evaluation of applications is done based in:

1. The matching between the host institution and ESADE research lines.
2. Good performance of the PhD candidate in the PhD Program.

Justification

For fiscal reasons, all flight tickets, boarding cards and the maximum of Invoices and receipts (rent apartment invoices, utilities invoices, expenses tickets...) should be submitted at the end of the research period to the Human Resources Department to justify the stay, otherwise, without the justifications the PhD grant will be taxed.

It is required that you have the acceptance from the host university before starting the visiting period and that you have to submit a letter from the professor responsible for your stay at the host university explaining what you have done there and the exact period (it should be minimum 90 days).

Important:

- Applications should be submitted to the PhD Program Management three months prior the mobility will take place.
- For those PhD candidates awarded, it's compulsory to apply for the International Mention.

ANNEX VIII: Plagiarism proceedings

Definition and basic rules

Plagiarism is defined as “Passing off someone else’s work whether intentionally or unintentionally as your own, for your own benefit” (Carroll, J. 2002).

Plagiarism includes un-attributed or incorrectly attributed copying, failing reference all sources, making use of other students’ essays, auto plagiarism (submission of an assignment identical or closely related to one already submitted), the production of academic work by a third party, or the fabrication of fraudulent data

Basic rules:

- Reference and put in inverted commas all quoted text (from books, web, etc.)
- Clearly reference/list all sources as appropriate.
- Give the sources of all pictures, data etc. that are not my own.
- Not make any use of the essay(s) of any other researcher(s) either past or present.

It is the responsibility of the PhD candidate to use referencing conventions and to avoid close paraphrasing.

Process

When a potential case of plagiarism occurs, the PhD Program director presents the case to the Research Degrees Commission. The Commission assesses the case and confirm the level of seriousness. The Commission will rely on its expertise and the advisor and external evaluators feedback. Also other available tools (such as software application like Turnitin) can be used to make a decision. Finally, the PhD candidate will be notified of the Commission’s resolution by letter or email, and orally. The PhD candidate can appeal to the decision by submitting a written document in which she/he will develop her/his arguments to the Research Degrees Commission.

COVID-19 PROTOCOLS AND MEASURES

To clearly outline everyone’s responsibilities and obligations in terms of the COVID-19 health crisis, there are key measures you should bear in mind. These measures are in keeping with the general protocols we’ve defined and are available via MyEsade (<http://myesade.esade.edu/es/pas/Paginas/HealthSafety.aspx>) and which Hospital Clínic de Barcelona has reviewed and validated.

Failure to comply with the responsibilities and obligations in this sense, will be considered a very severe infraction and disciplinary measures will apply.