ACADEMIC RULES AND PROCEDURES

PhD in Management

September 2016
INTRODUCTION

The purpose of this document is to provide students with a summary of the academic rules and procedures concerning IESE’s PhD in Management Program.

This document contains guidelines for the academic work carried out during the Program. The rules and procedures described in this document apply to all students enrolled in the Program, and are subject to yearly revision and modification.

To ensure the proper functioning of the Program, the student must be familiar with the information contained in this document. Any requests for explanations or clarifications of the information provided in this document must be addressed to the Program Executive Committee.

ADMISSION

The PhD program is the highest level of research training in an academic field. It is aimed to train students interested in pursuing an academic career, and who are committed to learning in a demanding, rigorous environment.

The Program therefore provides students with knowledge of the research methods and theoretical foundation of research fields that enable them to apply these competences and knowledge in her/his area of specialization in an independent and critical way, providing new knowledge and further development of her/his field of research.

Holding a “Ph.D. in Management” from IESE implies that the student has the level of knowledge, technique, and ability to start building a professional career as a professor and researcher.

1. REQUIREMENTS FOR ADMISSION

Only holders of IESE's "Master en Ciencias de la Dirección" (Master of Research in Management) will be considered for admission to the Ph.D. Program. However, holding this degree does not guarantee automatic admission. The Admissions Committee is responsible for choosing highly qualified students with a strong inclination towards research and teaching.

Under very exceptional circumstances, the Program Executive Committee may admit in the Program holders of another Master's degree.

The student must:

- Have applied and paid the MRM diploma
- Submit the application for admission to the PhD Program by October 10th. The application form may be found in the Program’s Virtual Campus.

2. STUDENT ENROLLMENT

The student's file will be transferred from the MRM to the PhD. Program. Approval of the empirical research paper final version is required for the enrollment to take place.
3. **READMISSION OF STUDENTS WHO FAIL TO ACHIEVE THE NECESSARY LEVEL**

Students who leave the Program due to academic difficulties will have to submit a formal request for readmission to the Program Executive Committee. In turn, the Executive Committee will submit this request to the Program Committee with a report concerning the student’s suitability and the terms of readmission.

**ACADEMIC REQUIREMENTS DURING THE PhD**

During the PhD Program, students must contribute to the field of their research in the form of independent research in a specific area and a scientific PhD dissertation of high academic standard.

Besides, PhD candidates are expected to attend the seminars or courses that their Dissertation Director may consider sufficient in academic breadth and depth and relevant for the student’s dissertation.

The choice of Dissertation Director and co-Director must be fulfilled at the earliest, and no later than **October 30th, 2016**. The application form is available at the PhD Virtual Campus.

The Executive Committee is responsible for the assessment of the PhD candidate’s work, on the basis of the following documents:

   a) Dissertation Proposal (1st year students)
   b) Research plan

The final decision concerning the assessment of the students will be taken at the end of every academic year (June), by the PhD Executive Committee, in a follow-up meeting specially held for these purposes. The Program Director will then give a final grade: “valid” or “not valid”.

1. **FIRST YEAR**

In the third term of the first year, PhD candidates must send their Dissertation Proposal to the Executive Director of the Program, which will be the basis for the assessment of the students.

**Dissertation Proposal:**

The Dissertation Proposal is the document where candidates describe and justify their research project (argument, methodology, timeline, etc).

The Dissertation Proposal will be defend in a Committee set up for this purpose, formed by three professors of the corresponding area. See Annex I.

The Dissertation Proposal must be approved **before April 30th, 2016**.

A positive assessment is a prerequisite for continuing on the program. In the event of a negative assessment, which should be duly substantiated, the doctoral candidate
will have the opportunity to submit her/his proposal for a new Proposal Defense before the next October 31st.

In the event of a subsequent negative reassessment, the candidate will not be permitted to continue in the Program.

2. FOLLOWING YEARS

In the 2nd and 3rd year, students will be assessed on an annual basis. This follow-up will be carried out by the Executive Committee, and will be based on the following documents:

- Report from the Dissertation Director about the activity carried out by the PhD candidate
- Research plan submitted by the PhD candidate.

The positive assessment will be a prerequisite to continue in the PhD program. In the event of a negative evaluation, which must be duly reasoned, the PhD candidate will be reassessed within 6 months, by submitting a new research plan. In the event of another negative assessment, the PhD candidate will not be permitted to continue in the Program.

The final decision concerning the assessment of the students will be taken at the end of every academic year (June), by the PhD Executive Committee, in a Follow-up meeting specially held for these purposes. The Program Director will then give a final grade: “valid” or “not valid”.

**Research plan**

At the end of the academic year, the PhD candidate will submit to the Executive Committee a work plan about the research she/he is going to undertake on the following academic year. This plan will include, at least, the methodology used and the objectives to be achieved on the following academic year, as well as the means and the timeline to achieve the research plan. See Annex II.

3. TIME LIMIT FOR COMPLETION OF DOCTORAL STUDIES:

The time limit for completion of the PhD studies is 3 years from initial enrollment to defense of the dissertation. An extension of one year may be granted if it is sufficiently justified. One more year extension can maybe granted under exceptional circumstances. Under no circumstances will the limit be extended beyond 5 years.

Any student who exceeds the 5-year limit without submitting the dissertation will lose her/his rights as PhD student and will be required to repeat the admission process to the Ph.D. Program if she/he wishes to obtain her/his Ph.D. degree.

**DISSERTATION SUPERVISION**

To be appointed as a Dissertation Director entails the supervision and mentoring of the PhD candidate as described in the written agreement (Annex III). The Dissertation Director
must fulfill the requirements established in the Spanish regulations on the PhD studies (RD 99/2011):

1. Hold a PhD degree
2. Have been a Dissertation co-Director in previous occasions
3. Have gained recognition for a six years of research experience (sexenio de investigación)

If the Dissertation Director doesn’t fulfill these requirements, she/he will attach her/his CV to the student’s admission form, which must include a list of her/his best publications within the last 5 years.

The requirements to be Dissertation co-Director are:

1. Hold a PhD degree
2. Have, at least, one year experience as post-doctoral
3. Have been part of one research contract or project
4. Have four scientific contributions within the last 5 years.

Under no circumstances a faculty member should be simultaneously the Dissertation Director of more than 5 dissertation. For this purpose, being a co-director will count as half.

The PhD candidate, together with her/his Dissertation Directors, must sign 3 copies of the “written agreement”, which includes all the regulations concerning the supervision of the dissertation. Please see Annex III.

Joint supervision of doctoral thesis

Students who wish to apply for the joint doctoral thesis supervision must ensure that the following requirements are met:

- Joint supervision of a doctoral thesis will be done by two or more PhD holders from different institutions, under the terms of a cotutelle agreement between IESE Business School and a foreign University.
- IESE PhD candidates will have to carry out research in the other institution for, at least, six months, either in a single period or in several stays. These research periods and the activities resulting from them will be specified in the cotutelle agreement.

The joint supervision of the doctoral thesis will appear in the reverse of the PhD diploma, with a mention that the doctoral thesis has been jointly supervised with the other institution.

DEPOSIT AND DEFENSE OF THE DISSERTATION

1. DISSERTATION:

PhD candidates will submit their dissertation by mutual consent with their Dissertation Directors. The documents to be submitted to the PhD Office are:

1. PDF copy of the dissertation (See Annex IV)
2. An abstract of the dissertation (the PhD Office form will provide the students with the official form)
3. The list of the Dissertation Committee Members (a form will be provided by the PhD Office)
4. Accreditation of the Committee Members' research activity (following the requirements listed in the following section)
5. The application form for the admission of the defense of the doctoral dissertation (provided by the PhD Office)

The final version of the dissertation must be **submitted at least 2 months prior to its public defense**, in order to process all the documents required by the University of Navarra and get the approval for the defense.

2. **DISSERTATION COMMITTEE:**

The assessment of the dissertation will be made by a Committee appointed for this purpose.

The names of the Committee members should be sent to the Doctoral Program Committee for approval (Form available in the Virtual Campus). The details of the Committee must be sent together with the final draft of the dissertation, at the latest.

The Dissertation Committee consists of 2 members of the IESE Faculty, 3 members from other universities, plus two substitutes, one from IESE and one from other universities

In order to proof their research expertise, the members of the Dissertation Committee must fulfill at least one of the following requirements:

- Have gained recognition for a six years of research experience (sexenio de investigación)
- Have 5 research contributions:
  - Articles in top level journals
  - Books or book chapters
  - Research projects won in public competitive tenders/calls, as main researcher
  - Doctoral dissertations previously directed, which had resulted in a relevant contribution
- If the Committee member comes from a foreign University, all her/his research activity will be assessed through her/his CV

The Dissertation Director cannot be a member of the Committee but may defend the work done before the Committee.

3. **DISSERTATION DEFENSE:**

The student will have to make a public oral defense of her/his work before the Dissertation Committee.

The dissertation must be a substantial original contribution to knowledge, and the Dissertation Committee will assess different aspects of the candidate's work:
originality, definition of the objectives, methodology, relevance of the conclusions, discussion, bibliography and the formal aspects of the presentation.

In order to have as much information as possible, the Dissertation Committee evaluating the doctoral dissertation must have the student's research plan 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 dissertation.

If the Dissertation Committee does not agree on a certain grade, the candidate may be given the opportunity to resubmit the dissertation after having had time to make corrections to it. A dissertation cannot be presented more than twice; should the dissertation not be accepted on the second defense, the candidate will have to rewrite the dissertation.

DEGREE AWARDED

The Dissertation Committee must decide whether the PhD degree can be awarded and must inform the author of the PhD dissertation of such decision. The Committee’s final grade must be announced verbally immediately after the defense session and must be available in writing as soon as possible hereinafter.

The official degree of PhD in Management (Doctor en Ciencias de la Dirección) by the University of Navarre will be then awarded to the candidate.

Should the candidate wish to request the diploma of International Doctor, she/he must comply with the requirements described in Annex V.

WITHDRAWAL AND LEAVES OF ABSENCE

1. VOLUNTARY WITHDRAWAL

Candidates wishing to withdraw the Program for personal reasons must send a written request to the Program Executive Committee, describing the reasons for that decision. They will also submit the form of Voluntary Withdrawal (available in the Virtual Campus), that will be finally signed by a member of the Executive Committee.

The PhD Program requires being on campus. The lack of contact with the Program representatives for one month during the school year will be understood as withdrawal from the Program.

2. LEAVE OF ABSENCE

If a student plans to carry out part of her/his research in another location for longer than one month, she/he should notify this to the Program Executive Director. This absence must be approved by her/his Director. Candidates may find the Leave of Absence form in the Virtual Campus.
If a student must temporarily leave the program due to exceptional circumstances, she/he must submit a formal request to the Program Executive Committee, which will issue a report concerning the suitability and recommended time given for this leave of absence and send it to the Program Committee.

Failure to formally request this leave of absence will be considered as a voluntary withdrawal from the program.

ACADEMIC POLICIES

1. INTERACTION WITH PROFESSORS

A distinguishing feature of IESE’s style and of the Program’s objectives, is the close student/faculty interaction. It is expected and highly recommended that students meet with their professors to ask for advice about their dissertation and research work.

In order to achieve a greater degree of coordination and to improve the personal attention received by students, all the appointments with a faculty member will be done through her/his assistant.

It is not allowed to enter a professor’s office in her/his absence. If a student wishes to deliver a document, report, message, etc., this must be done through the professor’s secretary.

2. ATTENDING CONFERENCES

PhD candidates are encouraged to submit their research papers at relevant international conferences and to follow seminars or workshops specifically designed for their research topics.

The Program will provide funding for 2 conferences each academic year. The amount granted will cover the registration fees, transportation and accommodation. No meals or other expenses will be reimbursed.

To get this financial support, participants:

- Must have the consent of their Dissertation Director
- Must have submitted a paper and got the approval from the Conference organizers.
- Must send a budget with the details of the expenses for the conference, to the Executive Director for her approval.

Any other special circumstances will be reviewed on a case-by-case basis.

3. STANDARD OF PROFESSIONAL ETHICS AND BEHAVIOR

Everyone in IESE (students, faculty, and staff) is expected to conform to high standards of professional ethics and honesty, shown in the respect for people and property, and truthfulness in all that we do.
We take for granted that all students will comply with the highest standards of ethical behavior, in particular in their research activities. Plagiarism is considered a serious act of academic misconduct, even if committed non-deliberately. Please refer to the document *Retraction statement for ‘Ethics and Integrity of the Publishing Process: Myths, facts, and a roadmap* by Marshall Schminke and Maureen L. Ambrose, that has been provided to you.

Misconduct in these, or equally serious matters, will initiate an Academic Evaluation Process by the Executive Committee. Depending on the seriousness of the case, action taken might range from failing a particular assignment to discontinuation from the Program.

4. USE OF FACILITIES

Members of IESE (faculty, students and staff) are expected to use all facilities and equipment efficiently, carefully and honestly. Resources should be used economically, secured against theft or misuse and waste avoided. These resources should not be used for personal purposes unless explicit permission has been granted in accordance with IESE policy.

5. NON PHD-RELATED ACTIVITIES

Prior to committing to any internal or external teaching or consulting assignments (hereafter referred to as “non PhD-related activities”), students enrolled in the IESE PhD program must notify their Directors and get their formal approval for the activity.

The PhD office must also be notified, and the Executive Committee of the PhD program needs to grant permission before the non PhD-related activities can be pursued.

Failure to notify in due time to the Dissertation Director and the PhD office as stated above will involve that the student will not be permitted to continue in the Program.

**ORGANIZATIONAL STRUCTURE AND MANAGEMENT**

1. THE PHD COMMITTEE

The PhD Committee consists of academic staff of different departments who act as a standing selection committee on admissions and it is also concerned on the readmission of students.

2. THE PROGRAM EXECUTIVE COMMITTEE

The Executive Committee is responsible for the proper functioning of the program, and for the academic decisions concerning the Ph.D. in Management Program. It consists of the Director (Prof. Christoph Zott), the Associate Director (Prof. Fabrizio Ferraro), and the Executive Director (Désirée Janssen).
TUITION AND SCHOLARSHIP

The Program’s annual fees:

- include tuition and materials
- must be paid per academic year.

Students may apply for a tuition fee waiver on a yearly basis up to year 3 on the PhD Program. Should a student take longer to finish her/his dissertation, the tuition fee will be waived only in exceptional circumstances at the discretion of the Program Executive Committee. If the tuition waiver is turned down, students may either accept the decision and pay the fees or leave the program.

The Committee of the PhD Program is responsible for the award of fellowship to PhD students, which consists of:

- 100% exemption fees, plus
- Stipend for living expenses

The fellowship is renewed each year:

- It will be conditioned upon the student’s academic performance during her/his doctoral studies
- The evaluation of the PhD candidate’s performance will be mainly based on the contribution to research
- The annual revision will be made each June prior to the following academic year.

If students get another scholarship or fellowship from other institutions, they must inform the Director of the PhD Program (specifying the amount received or to be received). The PhD Committee will study the granting of IESE fellowship and, in this particular instance, its amount.
ANNEX I: DISSERTATION PROPOSAL GUIDELINES

1. DISSERTATION PROPOSAL:

PhD students are required to write a dissertation proposal during their first academic year. This document must describe:

- The state of the art (with bibliography)
- Research hypotheses
- Objectives of the research
- Methodology
- Timeline
- Means to be used to carry on the dissertation

The dissertation proposal must include a structure and the suitable elements to proof the scientific quality of your proposal.

2. PROCEDURE FOR SUBMISSION

With the approval of her/his Dissertation Director, the student will submit her/his dissertation proposal to the Executive Director within eight months from the enrolment.

The Dissertation Proposal will be assessed by the Dissertation Proposal Committee, which will consist of the Dissertation Director and two other IESE professors. The student will inform the Executive Director about the Dissertation Proposal Committee and the date of the Defense, 21 days before the Dissertation Proposal Defense.

The student will also send:

- A copy of the Dissertation Proposal, both to the Committee members and to the Executive Directors, at least 21 days before the Proposal Defense
- The presentation of the Proposal (slides), to the Committee members, 1 day before the Defense

The Committee members will examine the Dissertation Proposal and will assess:

- Not valid: the Committee will give a copy of the recommendations for the student to the Executive Director, in order to inform the Executive Committee.
- Valid: the Dissertation Proposal Committee will give the assessment document to the Executive Director, who will inform the Executive Committee.

3. DEADLINE

The Dissertation Proposal must be approved before April 30th, 2016.

A positive assessment is a prerequisite for continuing on the program. In the event of a negative assessment, which should be duly substantiated, the doctoral candidate
will have the opportunity to submit her/his proposal for a new Proposal Defense before the next October 31st.

In the event of a subsequent negative reassessment, the candidate will not be permitted to continue on the Program.

4. PROTOCOL OF THE EVENT

The Committee members gather to evaluate the theoretical and practical contribution of the proposed research project, as well as the suitability of the methodology used to conduct the research. The aim of the Proposal Defense is to provide the student with the comments, guidance and feedback on her/his research work.

This previous step to the Dissertation Final Defense is key and essential since the student faces an academic committee who will provide thorough feedback on his piece of research. Bear in mind that this is not the final defense, and as such, it is still a work in progress. Professors’ comments, questions and suggestions to the student will help towards the improvement of the final dissertation document.

Upon accepting the role of dissertation committee member, the Professor will:

- Receive the proposal description document 21 days before the defense
- Receive the proposal presentation slides 1 day before the defense
- Be expected to pose questions to the candidate in conformance with the time available (presentation + Q&A = 120 minutes)

Protocol of the event

a. The President of the Committee will briefly mention who is in the Committee and the order you will be following during the Proposal Defense.
   i. Candidate’s presentation: approximately 40 minutes
   ii. Questions from the Committee: approximately 40 minutes
   iii. Candidate’s answering questions: approximately 30 minutes.

   The candidate might answer every question from the Committee either at the end or after each question. This will be decided by the President of the Committee.

b. Once all interventions have concluded, the President will ask the PhD candidate to momentarily leave the classroom, in order that the Committee may deliberate and reach an agreement on the grade to be given to the dissertation proposal:
   i. Valid: the Committee may give the student some comments or suggestions to improve his Dissertation
   ii. Not valid: the candidate will have to do the proposal again, on an agreed date stipulated by the Committee. If the student fails for a second time, he will not be permitted to continue in the Program.

c. After the Committee has decided, the President let the PhD candidate into the room and says the verdict
d. The Committee members will sign the document provided by the Executive Director stating the final assessment of the proposal (valid / not valid)

The whole Proposal Defense should not take more than 2 hours.
ANNEX II: RESEARCH PLAN

At the end of the academic year, the PhD candidate will submit to the Executive Committee a work plan about the research she/he is going to undertake on the following academic year. This plan will include, at least, the methodology she/he will use and the objectives to be achieved on the following academic year, as well as the means and the time planning to achieve the research plan.

At the end of every academic year you will receive a form with the sections you will have to complete for your assessment. This document will be the basis for the annual follow-up of students. You will find here below a sample of the Research Report to be submitted to the PhD Executive Director who will send it to the Dissertation Director for its assessment.

The final decision concerning the assessment of the students will be taken at the end of every academic year (June), by the PhD Executive Committee, in a Follow-up meeting specially held for these purposes. The Program Director will then give a final grade: “valid” or “not valid”.

A positive assessment is a prerequisite for continuing on the program. 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 program.
Name:
Professor:
Period:

1. In which projects have you collaborated (please include a short description of each one) and what have been your specific tasks in each project?

2. What have you learned during the collaboration during this academic course?

3. Attach a list of the IESE publications (cases, technical notes, working papers, etc…) in which you have collaborated or in which your name appears as co-author.

4. Conferences attendance and Awards granted. Attended and planned Seminars & Workshops. Please mention the titles of your accepted papers or papers you presented to/at these events.

5. Time line for further projects considering as well methodology, concrete objectives and hypothesis, and available means and resources.
COMPROMISO DOCUMENTAL DE SUPERVISIÓN

De una parte ................................................................. (Alumno), ................................................................. (estado civil), ................................................................. (número de DNI/NIE), con residencia en .................................................................

De otra parte Dña. Icíar Astiarán, con residencia a estos efectos en Pamplona, Oficinas Generales, Campus Universitario, - 31080 -, en calidad de Presidente de la Escuela de Doctorado de la Universidad de Navarra.

D. ................................................................., con residencia en ................................................................., en calidad de Tutor y Director de Tesis.

Todas las partes se reconocen capacidad suficiente para la firma de este documento y al efecto:

EXPONEN:

Que el RD 99/2011 por el que se regulan las enseñanzas oficiales de doctorado prevé en su artículo 11.8 que por cada alumno de doctorado se suscriba un compromiso documental firmado por la universidad, el doctorando, su tutor y su director, para establecer los mecanismos y funciones de supervisión encaminados a la realización de la tesis doctoral por parte de los doctorados.

Que para dar cumplimiento a la anterior disposición normativa, las partes suscriben el presente documento, de carácter exclusivamente académico, con arreglo a los siguientes:

COMPROMISOS:

1°Objeto. El objeto del presente documento es dar cumplimiento a la obligación contenida en el art. 11.8 del art. 99/2011, que prevé que las partes interviniendo establezcan un compromiso por el que se establecen las funciones de supervisión de las tareas que habrán de llevarse a cabo con la finalidad de realizar la tesis doctoral por parte de los doctorandos.

2°Colaboración mutua. A tal efecto, el tutor y Director de la tesis, en su caso el Codirector/es, el doctorando y el Presidente de la Escuela de Doctorado con competencias en la materia se comprometen, en el ámbito de las funciones que a cada uno correspondan, a establecer unas condiciones de colaboración que permitan la presentación del proyecto de tesis doctoral, su posterior elaboración y, finalmente, su defensa, de acuerdo con los procedimientos y los plazos que se hayan establecido en la normativa aplicable.

SR. PRESIDENTE DE LA ESCUELA DE DOCTORADO
3° Normativa. Los firmantes del presente compromiso declaran conocer la normativa general vigente reguladora de los estudios de doctorado y la específica de la Universidad de Navarra, que viene constituida por la Instrucción de los Programas de Doctorado de la universidad de octubre de 2011 y cualquier otra que sea publicada que complemente, modifique y/o sustituya el anterior texto, y aceptan que las disposiciones contenidas en ellas rijan la elaboración, tramitación y defensa de la tesis doctoral objeto del presente compromiso.

4° Obligaciones del doctorando. El doctorando se compromete a desarrollar los estudios de doctorado y a llevar a cabo la investigación objeto del proyecto de tesis en el marco que establece la normativa aplicable, bajo la supervisión del Director y Co-director/es, de acuerdo con las obligaciones que resultan del presente compromiso. En particular:

- Realizar las actividades formativas que, en su caso, se hayan podido establecer en la planificación específica del programa de doctorado.
- Informar al Director y Codirector/es regularmente de la evolución de su investigación, de los problemas que se le puedan plantear en su desarrollo y de los resultados obtenidos.
- Seguir las indicaciones que sobre la labor de investigación le haga su Director y Codirector/es de tesis.
- Velar por el correcto uso de las instalaciones y del material que se le faciliten con el objeto de llevar a cabo su actividad investigadora.
- Dedicarse a la realización de la tesis doctoral a tiempo completo/parcial.
- Someterse a la evaluación de la actividad realizada en el plazo previsto reglamentariamente.

5° Obligaciones del director de tesis / codirector de tesis. El Director y codirector de tesis se comprometen a supervisar y realizar con regularidad el seguimiento de la actividad investigadora que desarrolle el doctorando, facilitándole la orientación y el asesoramiento necesarios y procurando que el doctorando desarrolle su iniciativa y alcance autonomía en la tarea investigadora.

6° Confidencialidad. El doctorando se obliga a mantener en secreto todos los datos e informaciones de carácter confidencial que el Director/Codirector/es de la tesis, o cualquier otro miembro del equipo investigador en que esté integrado, le proporcionen o roven por cualquier medio, así como a emplear la información obtenida exclusivamente en la realización de la tesis doctoral.

Asimismo, el doctorando se obliga a no revelar ni transferir a terceros, ni siquiera en los casos de cambio en la dirección de la tesis, información del trabajo ni materiales producto de la investigación, propia o del grupo, en que haya participado, sin haber obtenido, de manera expresa y por escrito, la autorización correspondiente del anterior Director y Codirector/es de tesis.
7º Propiedad intelectual e industrial. El doctorando tendrá derecho a ser reconocido como titular de los derechos de propiedad intelectual o industrial que le puedan corresponder de acuerdo con la legislación vigente, y a figurar como coautor en todos los trabajos, sus artículos o comunicaciones en los que se expongan los resultados de la investigación en los que su aportación pueda considerarse sustancial y efectiva.

8º Procedimiento de resolución de conflictos. En caso de presentarse algún conflicto derivado del incumplimiento de alguno de los extremos a los que se extiende el presente compromiso, o por alguna otra causa relacionada con la realización de la tesis doctoral, incluida el cambio en la dirección de la Tesis, las partes acuerdan someterse a la decisión que adopte la Escuela de Doctorado de la Universidad de Navarra, sin perjuicio de los ulteriores recursos que legalmente procedan.

9º Vigencia. Este documento produce efectos desde la fecha de su firma hasta la lectura de la tesis doctoral. Sin embargo, queda sin efecto en caso de incumplimiento de alguna de las cláusulas previstas, así como también de la normativa reguladora sobre los estudios de Doctorado de la Universidad de Navarra.

Pamplona, ____________ de _______________ de 20__

| D./ Dña. <nombre y apellidos del doctorando/a> | El Dr./ La Dra.<nombre y apellidos del tutor y director/a de la tesis> y |
| (firma) | (firma) |

| El Dr./ La Dra.<nombre y apellidos del codirector> | La Dra. Icíar Astiasarán, Presidente de la Escuela de Doctorado> |
| (firma) (si hay más de uno también deberá firmar aquí) | (firma) |

SR. PRESIDENTE DE LA ESCUELA DE DOCTORADO
MONITORING WRITTEN AGREEMENT

(Please, bear in mind that the original document is the Spanish version. Therefore, only the Spanish version is binding. This document has been issued exclusively for information purposes. In the event of any inconsistency, the text in the Spanish language shall prevail).

Between

................................................................. {surname and first name}, .................. {status},
residing at ................................................................. {address},
................................................................. {profession}, ........................................... {nationality}, ........................................... {identity card or passport number].

And

The Doctoral School of the University of Navarra, represented by its President Ms. Icíar Astiasarán,
residing at Pamplona, Oficinas Generales, Campus Universitario, - 31080 -.

And

................................................................., acting as Mentor and Dissertation Advisor.

PREAMBLE

The Royal Decree 99/2011 regulating the official doctoral studies has provided in section 11.8, that each and every PhD student has to sign a written agreement with the University, the PhD student, his/her mentor and advisor, to establish the mechanisms and functions of monitoring, aiming the preparation of the doctoral dissertation by the PhD students.

To implement the above mentioned regulations, both parties sign this document, for exclusively academic purposes, according with the following

TERMS AND CONDITIONS:

Article 1: Object. The object of the present document is to comply with the obligations under section 11.8 of the Royal Decree 99/2011, envisaging that the intervening parties establish an agreement establishing the monitoring functions for the tasks to be carried out with the aim to prepare the doctoral dissertation by the PhD students.

Article 2: Mutual cooperation. For this purpose, the Mentor and Dissertation Advisor, and where appropriate co-Advisors, the PhD student and the President of the competent Doctoral School in this field, they all have agreed, in their relevant area, to establish the cooperation conditions allowing the submission of the Dissertation Project, its further preparation and eventually, its defense, according to the procedures and deadlines established in the applicable regulations.
Article 3: Regulation. The signatories of the present agreement have undertaken the general regulations in force regarding the PhD studies and the specific regulations from the University of Navarra, consisting of the Instruction of the PhD Programs of the university of October 2011 and any other that would be published and that complement, modify and/or replace the aforementioned document, and they have agreed that the provisions included in them will guide the preparation, administrative procedures and defense of the doctoral dissertation, the subject matter of this agreement.

Article 4: Liabilities of the PhD student. The PhD student has agreed to develop his/her PhD studies and to carry out the research subject matter of his/her dissertation project within the framework of the legislation in force, under the supervision of his/her dissertation Advisor and co-Advisors, according to the liabilities resulting from the present agreement. In particular:

- To carry out the training activities that may have been established, where appropriate, in the specific planning of the Doctoral Program.
- To inform regularly to the dissertation Advisor and co-Advisor/s about the evolution of his/her research, about the problems arising from its development and about the results obtained.
- To follow the advice that his/her Advisor and co-Advisor/s may give, about his/her research work.
- Ensure the correct use of the facilities and material provided to carry out his/her research work.
- To be full-time or part-time engaged to the preparation of the dissertation.
- To have his/her activity assessed within the period established by regulations.

Article 5: Dissertation Advisor/s/ co-Advisor/s liabilities. The dissertation Advisor and co-Advisor have agreed to supervise and follow up regularly the research carried out by the PhD student, providing him/her with the necessary guidance and advice and seeking that the PhD student develop his/her initiative and reach autonomy in his/her research task.

Article 6: Confidentiality. The PhD student has undertaken to keep secret all the confidential data and information provided or otherwise disclosed by the dissertation Advisor / co-Advisor/s, or any other member of the research team in which he/she is included, as well as to use this information exclusively for the preparation of the dissertation.

The PhD student has also undertaken not to disclose or transfer to others, even if there has been a change of the dissertation Advisor, any information about his/her work or any material resulting from his/her personal or group research, without having obtained, expressly and in written, the corresponding authorization from the former dissertation Advisor and co-Advisor/s.

Article 7: Intellectual and Industrial Property. The PhD student will have the right to be recognized as holder of the intellectual and industrial property rights that may have according to the legislation in force, and to appear as co-author in all the works, articles and communications in which he/she presents the results from the research where his/her contribution may be considered as substantial and effective.

Article 8: Conflict resolution process. In case of conflict resulting from the non-compliance with the any of the particulars included in this agreement, or from any other cause related to the preparation of the
doctoral dissertation, including the change of dissertation Advisor, both parties have agreed to submit to the decision made by the Doctoral School of the University of Navarra, without prejudice of the later legal remedies.

Article 9: Duration. This document has binding legal effects from the date of signature until the defense of the doctoral dissertation. Nevertheless, it will have no binding legal effect in the event of non-compliance of any of its terms, as well as the regulations on the PhD studies from the University of Navarra.

Pamplona, ................................................. (date)

| Mr. / Ms. <name and surname of the PhD student> (Signature) | Dr.< name and surname of the mentor and dissertation advisor> (Signature) |
| Dr.< name and surname of the dissertation co-advisor/s > (Signature/s) | Dr. Iciar Astiasarán, President of the Doctoral School (Signature) |
ANNEX IV: DISSERTATION GUIDELINES

The dissertation forms a distinct contribution to the knowledge of the subject and affords evidence of originality by the discovery of new facts and/or by the exercise of independent critical power.

It gives a critical assessment of the relevant literature, describes the method of research and its findings, and includes a discussion on those findings, and indicates in what respects they appear to the candidate to advance the study of the subject; and so demonstrates a deep and synoptic understanding of the field of study.

The dissertation confirms the candidate’s research skills and it will be of a standard to merit publication in whole or in part or in a revised form (for example, as a monograph or as a number of articles in learned journals).

The thesis will consist of the candidate’s own account of his or her investigations. Work already published, either by the candidate or jointly with others, may be included only if it forms an integral part of the thesis and so makes a relevant contribution to its main theme and is in the same format as the rest of the thesis. The student must clearly state the part played by the candidate in any work done jointly with the supervisor(s) and/or fellow researchers;

It will be an integrated whole and present a coherent argument.

Alternatively, a series of papers, with an introduction, critical discussion and conclusion, may be submitted instead of a conventional thesis. A thesis that contains only joint papers is not acceptable. It must contain linking materials which must be solely the work of the candidate. The part played by the candidate in any work done jointly with the supervisor(s) and/or fellow researchers must be clearly stated by the student;

The dissertation must be written in English and must comply with the following standards:

Length of the Dissertation

The text of the dissertation (excluding the preliminary pages) should normally not exceed 80,000 words, excluding ancillary data (about a 200-page document).

Monograph

Monograph style is the dissertation 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.

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 chapter is to be published must be indicated. The dissertation must have an introduction and general conclusions that justify the coherence and unity of the work done. All references are jointly included in the “Bibliography” section.

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.

**Regulations on drafting doctoral theses in the form of a compendium of publications**

a) The PhD dissertation must consist of a minimum of 3 articles on a single line of research.

b) For these purposes, articles must have been published (or been accepted for publication) after the date of enrolment of the PhD candidate in the PhD program.

c) 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.

d) Co-authors of the published articles cannot be members of the Dissertation Committee.

e) The dissertation will have a general introduction which must 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.

f) For all the mentioned above, at the beginning of the process of a dissertation in the form of a compendium of publications, the candidate will ask for acceptance before the PhD Executive Committee by submitting a formal request in writing and a report from the Dissertation Director explaining the specific contribution of the author to the dissertation to be defended as well as of the rest of the authors, if relevant.

**Style General Specifications: preparing your draft**

**Page Format:**

Size A4 (21 x 29.7 cm.).

Margins:

- Top and bottom margins must be 2.5 cm.
- Left and right margins must be 3 cm.

Typeface or font: Times New Roman 12.

Spacing: 1.5 lines

Numbering:

All pages (including preliminary pages) must be numbered.

- Bottom of the page
- Odd pages: right hand edge of the page
- Even pages: left hand edge of the page
• Alternatively, number of pages can be placed centered

Division in chapters or sections

1. Chapter
   ¶
   1.1. Section
   1.1.1. Subsection
   1.1.2. Subsection
   1.2. Section
   ¶
   ¶
2. Chapter
   ¶
   2.1. Section
   2.1.1. Etc.

Outline & Formatting Rules

Preliminary pages:

Note: Formal headings must be used on the sections marked with asterisks*.

1. Copyright page: Include this page to inform readers that you acknowledge your legal rights and that you are the copyright holder. Must be included if you chose to register your copyright. For details, see: Copyright and Your Dissertation or Thesis: Ownership, Fair Use, and Your Rights and Responsibilities, by Kenneth D. Crews, ProQuest, 2013.

2. Title page: the PhD office will provide you with a sample. The details that must be in this page are the following:
   • IESE Logo
   • Title of the dissertation: times 18, centered
   • Author's full name: times 16, left
   • Dissertation Directors’ full name: times 16, left
   • The full name of the PhD Program is “Doctorado en Ciencias de la Dirección”: times 14, left
   • Year of the defense, at the foot of the page: times 14, centered

3. Acknowledgements and/or Dedication *

4. Abstract: *
   • Title of the dissertation
   • Author’s name
• Dissertation Directors’ Names

5. Table of Contents *
   Includes all preliminary and concluding sections, with page references.

6. List of tables (with titles and page references)*

7. List of illustration (with titles and page references)*

Text

1. Introduction *
   Short text explaining the purpose and objectives of the research work, its field, range, limits and boundaries, the methodology used and main conclusions reached.

2. Main Body:
   Development of the research work. It is the longest, most important part of the dissertation.
   • It must be divided into chapters or sections, each having a title and each beginning on a new page
   • As needed, chapters are further divided into one or more series of subsections, each preceded by a subtitle.
   • Graphs, figures, tables, charts, maps, and photographs must be suitably sharp and clear for reproduction and for binging.
   • Short citations must be written with quotation marks and in the main body of the text. Quotations of four or more lines of prose must be in a different paragraph and left indented 1cm.
   • Headings of chapters, sections and subsections must be lowercase and bold. See section “Division in chapters and sections” above.
     o First level headings: without indent, giving two blank lines before it and one line after
     o Second level headings: left indented, with one blank line before it and no line after.

3. Conclusions:

References, citations and bibliography

1. Appendices *
   Appendices are those materials (tables, graphs, regulations, charts...) used in the research work, too long to be included as a footnote or endnote, but necessary to support the results of the research and the conclusions of the dissertation. Anexos: material utilizado en el trabajo, demasiado extenso para ser incluido en nota, pero necesario para justificar resultados y conclusiones.
2. **References or footnotes**
   - should be in Times New Roman 9, single spaced.
   - First line with an indent of 0.5 cm from the left margin
   - Numbered consecutively: when they are at the end of chapters, each chapter's notes should begin with the number one (1)
   - Bibliographic references in footnotes will include the surname of the author in small capitals

3. **Bibliography**
   All documents used on the research work or checked when drafting the dissertation, must be mentioned in the dissertation. Bibliography is limited to:
   - Works quoted in the dissertation
   - All and only those books or articles consulted
   - Those articles or books checked or read but not reflected in the dissertation must not be included.

Bibliographic references must be done in the main body of the text (in parentheses), mentioning the author’s surname, followed by the year of publication and, if needed, colon and the number of page(s) alluded. For example: (Müller 2003: 1-10).

You will find below some guidelines for the bibliographic citation (examples):

1. **Books**:
   - One author
   - Two authors
   - One author mentioned twice:
   - One author in a collective article:
   - E-book:

2. Journals:

3. Webpage:
   - Organization/Surname/Family Name, INITIALS, Year. *Title of the webpage* [online]. Place of publication. Publisher. Available from: URL [accessed date]
   

   If the file referred has a DOI (Digital Objects Identifier), insert the DOI instead of the website link.
ANNEX V: REGULATIONS FOR THE INTERNATIONAL DOCTORAL DISTINCTION

In order to get the distinction of “International Doctor”, the following requirements must be fulfilled:

a) The PhD candidate, during her/his training period, must complete a 3-month period abroad at an institution of higher education or research center of prestige, studying or conducting research. This period and its corresponding activities should be endorsed by the Dissertation Director and approved by the Executive Committee, and must be included in the candidate’s research plan.

b) Part of the dissertation, at least the summary and conclusions, must 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) At least two experts, PhD holders belonging to a non-Spanish higher education institution or research institute, must issue a report on the dissertation.

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

At the time of submitting the dissertation, 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 stated 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 University of Navarra for the issuance of the International Doctoral degree certificate. The PhD Office will provide you with the required forms.

Issuance of the degree certificate shall be effective upon the approval and defense of the thesis, in addition to the completion of points listed above.