

## ANNEX V

### Types of thesis

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

#### 1. Monograph

- a. **Traditional monograph.** Monograph style is the thesis style in which the work is laid out as a series of chapters, typically with the following structure: introduction, literature review, methodology, results and conclusions.
  - b. **Monograph based on 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.
2. **Compendium of publications.** All articles included in the compendium must have been published or accepted prior to the presentation of the thesis. The thesis should have an introduction and general conclusions that justify the coherence and unity of the work done. In this case, articles can be included in the same format used in the publication. (See Appendix VI, Internal Regulations.)

#### General guide to all types of format

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

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

- Demonstrate a thorough understanding of the theoretical content of the work undertaken.

### COMPARISON OF THE MODELS FOR PRESENTING THESES

COMMON TO ALL MODELS		
<b>Title page</b> Acknowledgments (optional) <b>Table of contents (compulsory)</b> <b>List of tables and list of figures (optional)</b> <b>Introduction (compulsory)</b>		
MONOGRAPH		COMPENDIUM OF PUBLICATIONS
<b>Traditional monograph</b>  Literature review Methodology Results Discussion	<b>Monograph based on articles</b>  Overarching framework * Methods (optional) Manuscripts General discussion	Overarching framework * Published papers General discussion (optional)
<b>Conclusions and future research</b> <b>References</b> <b>Appendices</b>		

\* 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.

#### IMPORTANT:

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

## ANNEX VI

### REGULATIONS ON DRAFTING DOCTORAL THESES IN THE FORM OF A COMPENDIUM OF PUBLICATIONS

(Adapted to the Royal Decree RD 1393/2007, 29th October)

(Approved by the Doctoral Committee on 18th September 2008)

- a) A doctoral thesis in the form of a compendium of publications will be made up of a minimum of 3 articles on a single line of research.
- b) Articles will only be accepted from publications that have a “peer review” evaluation system and/or which are indexed in international scientific databases. (At least, one of the articles should be indexed in the ISI Journal Citation Reports).
- c) Published articles, or articles which have been accepted for publication, will only be accepted for those articles written subsequent to the date of registration of the PhD candidate in the Doctoral or official Master programmes.
- d) Co-authors of the published articles will provide their written consent regarding the use of the article as part of the doctoral candidate’s thesis.
- e) Co-authors of the published articles will be excluded from forming part of the thesis board of examiners.
- f) Co-authors of the articles published and used in a thesis who do not hold a doctoral degree are required to renounce in writing their right to use the article in another thesis. In the event that the published articles have been sourced from more than one research team, the Doctoral Committee will have the right to consider justified exceptions regarding the application of these regulations.
- g) The thesis will have a general introduction which should present the published works, justification of the thematic unit, a copy of each published work, an overall summary of the results, their discussion and the final conclusions.
- h) For all the mentioned above, at the beginning of the process of a thesis in the form of a compendium of publications, the candidate will ask for acceptance before the Doctoral Committee of the institution by presenting a formal request in writing and a report from the thesis director explaining specific contribution of the author to the dissertation presented as well as of the rest of the authors, if relevant.