

## **The External Evaluation Report of an Institution Organizing Doctoral Study Programs (IOSUD)**

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### **I. Introduction<sup>1</sup>**

To accomplish the role of *International expert for IOSUD evaluation*, the activities performed started from the critical analysis of the following documents, which have been synthesized and inspected to assess and rate the different domains under investigation (Institutional capacity; Educational effectiveness; Quality management):

- the 2021 Report on the internal evaluation of university doctoral studies by Babeş-Bolyai University- Doctorate Studies Organizing Institution of the University (I.O.S.U.D.);
- the Report Annexes provided through website links and links to Pdf documents in the abovementioned Report on the internal evaluation of university doctoral studies;
- the documents, data and information available on the IOSUD/Doctoral School(s) website, in electronic format;
- the recommendations for activities carried out during the experts'panel visit for the evaluation of an institution organizing doctoral study programs (Annex 1);
- the list of the domains, criteria, standards and of critical performance indicators for the periodical external evaluation of IOSUD (Annex 4);
- the Aracis Guidelines on conducting external evaluation of doctoral studies;
- the Aracis Guide on conducting the process of Periodic External Evaluation of institution organizing doctoral study programs (IOSUD);
- the Aracis Guide for external evaluation of doctoral studies in hybrid mode.

The first individual evaluation consisted in the general judgement of the three domains, criteria, standards and performance indicators indicated in Annex 4. This task was performed by referring both to the quantity and the quality of the description provided in the Internal report for each performance indicator, accomplished for each standard to evaluate the fulfillment of the standard itself, of the criteria and of the domains. The quantitative dimension refers to the number of performance indicators fulfilled in each criterion and to the number of criteria fulfilled for each standard and domain. The qualitative dimension

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<sup>1</sup> Each time when applicable the information shall be presented genderwise



refers to the way in which the fulfilled indicator has been carefully described and detailed both in the text of the Report of the internal evaluation and in the final table with annexes.

The period of the institutional evaluation visit (that consisted in a series of online meetings scheduled by Aracis) lasted four days (from November 2 to November 5, 2021). The members of IOSUD evaluation Panel had the possibility to participate in virtual meetings (via Zoom platform) with the following stakeholders:

- other members of IOSUD evaluation Panels (Director of the evaluation mission, Coordinator of the IOSUD evaluation panel, PhD student expert);
- evaluation panel members for doctoral study domain;
- representatives of the University management;
- representatives of the CSUD and of the Doctoral School;
- academic staff of the doctoral schools;
- academic staff of the doctoral study domain;
- doctoral students in the IOSUD;
- graduates of the IOSUD;
- representatives of the various structures of the IOSUD/Doctoral schools.

The different interventions of the abovementioned stakeholders helped explain and explore in-depth all the facets of the domains under investigation by clarifying the criticalities and doubts related to the fulfillment of the various performance indicators by UBB.

In detail, the meetings with the experts permitted to:

- discuss the findings of the individual evaluation of the internal report drafted by the education provider and of the report annexes accomplished preliminarily by each evaluator before the visit period;
- collect additional documents needed from the evaluated institution to complete the evaluation;
- clarify the roles that each team member had during the evaluation visit and define the timelines and tasks to be fulfilled after the end of the visit for the final evaluation process.

Overall, the online visit has been satisfying and helpful for the quality of the evaluation process since several updates on UBB policies and actions for the quality of education and of PhD programme have been provided.

During and after the period of evaluation, the interaction with the different members of IOSUD evaluation panels and of the Experts Committee (in particular with the Coordinator of the IOSUD evaluation panel and the Director of the evaluation mission) has been necessary for the completion of evaluation activities and the provision of all the explanations regarding the schedule and the programme of on-line visit and the guidelines and timeline related to the different steps of the evaluation process.

## **II. Methods used**

The method employed to conduct the external evaluation process consisted in the analysis of the documents listed above, that were reviewed before the virtual evaluation visit, and of the additional documents provided during and after the evaluation visit, including at least:

- The analysis of the internal evaluation report of the IOSUD and its Annexes;



- The analysis of links, documents and data made available by the IOSUD, in physical format, during and after the evaluation visit.

The methodological procedure accomplished to perform the evaluation tasks has been sub-divided in the following steps:

- *phase 1*: preliminary analysis of the documents provided by UBB and Aracis for the evaluation of IOSUD internal report and first evaluation of the three inspected domains, of the related criterias, standards and performance indicators (see Annex 4) based on the content of Internal Report and of the Annexes;
- *phase 2*: collection of additional data related to the different domains and performance indicators through: (i) online meetings with different categories of University staff and stakeholders that ensure the constant discussion with other members of expert panels; (ii) the constant support of the Coordinator of the IOSUD evaluation panel, who provided further detailed information and documents on the organization, policies, strategies and processes implemented by IOSUD doctoral schools;
- *phase 3*: enrichment, revision and re-elaboration of the individual evaluation obtained in phase 1 through: (i) the analysis of the additional data obtained from the discussion with IOSUD evaluation members, IOSUD Phd students and experts of the other domains; (ii) the analysis of the additional documents provided by the Coordinator of the IOSUD evaluation panel and the Director of the evaluation mission.

### **III. Analysis of ARACIS's performance indicators<sup>2</sup>**

#### **Domain A. INSTITUTIONAL CAPACITY**

*The reports provides an adequate description of the institutional capacity of UBB and of the compliance of the organization of Doctoral Schools with internal regulations and national law.*

*In detail, the description of functioning mechanisms and organization of doctoral schools and the definition of logistical resources is completely fulfilled.*

*Information about research infrastructure and quality of human resources are provided.*

#### **Criterion A.1. The administrative, managerial institutional structures and the financial resources**

***Standard A.1.1. The institution organizing doctoral studies (IOSUD) has implemented the effective functioning mechanisms provided for in the specific legislation on the organization of doctoral studies.***

*As for A.1.1.1 details on the applications of regulations (internal regulations, procedure for election, contracts) are provided. Detailed information is provided on the organization of Doctoral Schools and on the mechanisms for the selection of Advisors and for the equivalence of abroad Doctorate.*

*As for A.1.1.2, the description of facts and findings is fulfilled.*

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<sup>2</sup> Each time when applicable the information shall be presented genderwise



As for A.1.1.3, the description of educational plans and curricula of the different Doctoral Schools is properly outlined, and a sufficient number of is provided.

**Performance Indicator A.1.1.1.** *The existence of specific regulations and their application at the level of the IOSUD, respectively at the Doctoral School(s):*

(a) *the internal regulations of the administrative structures (the institutional regulations for the organization and conduct of doctoral studies programs, the regulation(s) of Doctoral School(s);*

(b) *the Methodology for conducting elections at the level of the Council of University Doctoral Studies (CSUD), respectively at Doctoral School(s) including elections by the students of their representatives in CSUD/Council of the Doctoral School (CSD) and the evidence of their conduct;*

(c) *the Methodologies for organizing and conducting doctoral studies for the admission of doctoral students, for the completion of doctoral studies);*

(d) *the existence of mechanisms for recognizing the status of a Doctoral advisor and the equivalence of the doctoral degree obtained abroad;*

(e) *functional management structures CSUD/Council of the Doctoral School with evidence of the regularity of meetings;*

(f) *the contract for doctoral studies;*

(g) *internal procedures for the analysis and approval of proposals about doctoral study programs based on advanced academic studies.*

- *description of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*

- *analysis of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*

The internal regulation adopted by Senat is provided in annex (p. 41). The legislation adopted for the organization and conduct of Doctoral studies is mentioned and attached in the regulation. The description of the Doctoral Studies provided is in accordance with both National Law and internal institutional regulation (UBB Charta, UBB regulation in annex, Anexa 1.1.17, UBB Regulation for organising and conducting doctoral studies, Anexa 1.3.29).

The description of the methodology for conducting elections (method, procedures) is provided in annex for both:

-CSUD (Council Level): regulations for members election: (i) 2016-2020 (Anexa 1.1.23), (ii) 2020 to 2024 (Anexa 1.1.24) and for CSUD Director competition (Anexa 1.1.23);

-Doctoral Schools representatives: methodology of election of CSUD members in UBB (see indicator C.1.12: <https://senat.ubbcluj.ro/wp-content/uploads/2020/07/HS-8793-privind-Metodologia-de-organizare-a-alegerilor-%C8%99i-designation-a-members-CSUD-8.pdf>).

The methodologies for organizing and conducting doctoral studies are clearly described by providing the regulations for both: A) Admission criteria 2021 (UBB Methodology for admission to doctoral studies (Anexa 1.3.43); B) Public defense: standard protocol for doctoral dissertation Defence (Anexa-3) in accordance with: i. National Law (n. 567/2005); ii. Csud decision 16 April 2020 (link in annex).



The Report provides the Senate decision (No. 1755/2017) that identifies mechanisms that recognize the status of: i) Doctoral advisor; ii) Abroad doctoral degree. However, the mechanisms identified in Senate decision should better described.

Functional management of CSUD related to regularity of meetings and discussions are communicated adequately in the following attachments: i) Composition of the CSUD – U.B.B. (Anexa 1.1.22); ii) summoners CSUD – U.B.B: communication methods (Anexa 1.1.27).

Information on doctoral degree contracts is provided in Anexa 1.3.44.1, Anexa 1.3.44.2, Anexa 1.3.44.3. After the admission procedure, the admitted candidates sign a study agreement that outlines the rights and obligations of the parties, which is revised in accordance with the doctoral field in which the doctoral student is enrolled.

The internal procedure of training programmes is presented in the self-assessment report of each doctoral school and suitable annexes are provided in the final table.

*Recommendations:*

***The indicator is fulfilled***

***Performance Indicator A.1.1.2.*** *The doctoral school' Regulation includes mandatory criteria, procedures and standards binding on the aspects specified in Article 17, paragraph (5) of the Government Decision No. 681/2011 on the approval of the Code of Doctoral Studies with subsequent amendments and additions.*

The report refers to the regulations of the doctoral schools included in the report of each doctoral school (in compliance with the Code and The Doctoral Regulation of UBB), published on their websites. The Report provides reference to internal regulations of single doctoral schools

*Recommendations:*

***The indicator is fulfilled.***

***Performance Indicator\* A.1.1.3<sup>3</sup>.*** *Doctoral schools included in IOSUD are organized as disciplinary or interdisciplinary disciplines/thematic, according to Article 158, paragraph (7) of the Law of National Education No. 1/2011 with subsequent amendments and additions.*

The report adequately explains the organization of curricula and also provides links to UBB website. The educational plans of the doctoral schools have in their content: (i) compulsory subjects, such as: General methods of research and the method of elaboration of scientific papers, Ethics and academic integrity; (ii) specialized disciplines (Anexa 1.3.57.)

*Recommendations:*

***The indicator is fulfilled***

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<sup>3</sup> The indicators marked with an asterisk (\*) hold a special status, referring exclusively to the evaluation of doctoral schools, as per Article 12 from the annex No.1 of the Order of the minister of education No. 3651/12.04.2021 approving the Methodology for evaluating university doctoral studies and the system of criteria, standards and performance indicators used in the evaluation In case they are not fulfilled, the Agency extends a period of maximum 3 years to IOSUD to correct the respective deficiencies.



**Standard A.1.2. The IOSUD has the logistical resources necessary to carry out the doctoral studies' mission.**

The description of the logistical resources is completely fulfilled. The Report provides a detailed definition of the different IT systems and platforms for storage of scientific works and of the software for similarity check.

**Performance Indicator A.1.2.1.** *The existence and effectiveness of an appropriate IT system to keep track of doctoral students and their academic background.*

The report provides a complete description of the platforms and instruments used by the staff of the Institute for Doctoral Studies to store papers or electronic data on doctoral students' academic life such as: i. AcademicInfo- a UBB internal platform (Anexa 1.3.47); ii. The Single Matriculation Register (rei.gov.ro): (Anexa 1.3.48).

*Recommendations:*

**The indicator is fulfilled**

**Performance Indicator A.1.2.2.** *The existence and use of a software program and evidence of its use to verify the percentage of similarity in all doctoral theses.*

- *description of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*
- *analysis of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*

The Report describes and identifies: (i) the software employed to detect similarity in PhD thesis: iThenticate Turnitin similarity analysis software (Anexa 1.2.16.1 and Anexa 1.2.16.2); (ii) the Institute (UBB Institute for Doctoral Studies personnel) that applies the measures; (iii) the regulations that guide the application of the measures with website links:

- Revised procedure for the generation and review of the Similarity Report,
- CSUD Decision no. 12327/19.06.2016
- Senate Decision no. 5939 of 16.04.2020

*Recommendations:*

**The indicator is fulfilled**

**Criterion A.2. Research infrastructure**

Research infrastructure of UBB are described in the report. Sufficient information is provided about the actions implemented to enhance the modernization and efficiency of the infrastructure



**Standard A.2.1. The IOSUD/doctoral schools have a modern research infrastructure to support the conduct of doctoral studies' specific activities.**

Satisfactory information on the adequacy of spaces (A.2.1.1) and on the agreements established with platforms (A.2.12.) for the modernization of infrastructure is provided. Moreover, the description of the process of renewal of infrastructure (A.2.1.3) is adequately fulfilled.

**Performance Indicator A.2.1.1.** *The IOSUD/the doctoral school(s) present proof of possessing or having rented adequate spaces for research activity specific to doctoral studies (laboratories, experimental fields, research stations etc.)*

The number and the size of buildings, educational areas, classrooms and other spaces devoted to research activities are listed properly. Moreover, additional details are provided in Anexa 1.2.1.

*Recommendations:*

**The indicator is fulfilled**

**Performance Indicator A.2.1.2.** *The IOSUD/doctoral school(s) has/have collaboration agreements with higher education institutions, research institutes, research networks for joint partnerships and have access for using various research infrastructures; the offer for research services is presented publicly using a dedicated platform.*

The strategies for the improvement of the quality of educational activities are widely described. In detail, the IOSUD established agreements with different kind of services/platforms related to two improvement goals: - modernization and efficiency of services: EBSCO, Dspace, WorldCat, Lucian Blaga Central University Library (BCU, see links in the table); - simplification of communication: "Ask the Librarian" service, a tool for Q&A.

*Recommendations:*

**The indicator is fulfilled.**

**Performance Indicator A.2.1.3.** *The IOSUD/doctoral school(s) proves that it is/are concerned with permanent renewal of the research infrastructure to provide doctoral students access to up-dated research resources, by applying to various funding competitions and using own university resources for acquiring new research infrastructure.*

The report refers to the single doctoral schools reports for details on the research infrastructure. The reports for each doctoral school specify the national and international founding competitions that has contributed to the renewal of resources. Moreover, information on the strategy elaborated from the Research Council of the University on the continuous renewal of research infrastructures is provided.

*Recommendations:*

**The indicator is fulfilled.**





### **Criterion A.3. Quality of Human Resource**

*The quality of human resources of UBB Doctoral Schools is adequately described.*

#### **Standard A.3.1. At the level of each Doctoral School there are sufficient qualified staff to ensure a quality educational process.**

*Detailed information is provided about the threshold of advisors with more than 8 students (A.3.1.1) and about the percentage of advisors with full-employment contracts (A.3.1.2).*

**Performance Indicator \* A.3.1.1.** *The share of Doctoral advisors coordinating simultaneously more than 8 doctoral students but not more than 12 during their doctoral studies<sup>4</sup> does not exceed 20%.*

The Report provides a link (Anexa 1.3.17) with the percentage of supervisors who coordinate more than 8 doctoral students at the same time, but no more than 12.

*Recommendations:*

***The indicator is fulfilled***

**Performance Indicator A.3.1.2.** *At least 50% of all teaching/research staff involved in teaching/research activities related to training programs for advanced university studies or in individual research/art creation programs have a full-time employment contract for an indefinite period with the IOSUD.*

The Report provides in the final table three links (Anexa 1.3.11, Anexa 1.3.32 and Anexa 1.3.33) with data on the employment contracts of teaching staff. The Annexes show the fulfillment of the performance indicator for the period 2015-2020 and report for each year per doctoral schools and at IOSUD level the percentage of teachers involved in training programs with full-time employment contract.

*Recommendations:*

***The indicator is fulfilled.***

### **Domain B. EDUCATIONAL EFFECTIVENESS**

The description of the instruments, strategies and practices implemented to achieve educational effectiveness is fulfilled satisfactorily. Adequate information is provided for each criterion.

#### **Criterion B.1. The number, quality and diversity of candidates enrolled for the admission contest**

The regulations applied to ensure the quality and diversity of candidates (B.1) are adequately described. Moreover, the procedure to establish the content of program (B.2) is defined in detail. Lastly, the actions implemented to promote the capitalization of research activities (B.3) and to ensure and evaluate the quality of PhD theses (B.4) are satisfactorily illustrated.

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<sup>4</sup> 3 years for the doctoral university studies with the duration stipulated at Article 159, paragraph (3), respectively 4 years for the doctoral university studies with the duration stipulated at Article 174, paragraph (3) of the Law of national education No.1/2011 with subsequent amendments and additions, with additional extension periods approved as per Article 39, paragraph (3) of the Code of doctoral studies approved by the GD No. 681/2011 with subsequent amendments and additions.





**Standard B.1.1. Candidates admitted to doctoral studies demonstrate academic, research and professional performance and are diversified as social representation and by gender.**

The illustration of the procedure and activities implemented to comply with the guidelines established in B.1.1. standard is adequately fulfilled.

**Performance Indicator \* B.1.1.1.** *Admission to doctoral study programs is based on selection criteria including: previous academic, research and professional performance, their interest for scientific or arts/sports research, publications in the domain and a proposal for a research subject. Interviewing the candidate is compulsory, as part of the admission procedure.*

- *description of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*
- *analysis of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*

The criteria established in the internal regulation are adequately synthesized, by providing information on: (i) the publication of requirements for the admission on the websites of the doctoral schools(ii) number, type and content of the examinations; (ii) the criteria investigated in the Doctoral admission exams can vary according to the specifics of the doctoral field and the specifics of the research direction of the doctoral schools. (reference to individual doctoral schools reports); (iii) the estimate of a ratio of master's degree graduates from other higher education institutions in the country or abroad to the number of state funded places in doctoral schools in the last five years (the data is reported in Anexa 1.3.45). Reference to the full text of Methodology of admission to PhD at UBB is reported.

*Recommendations:*

***The indicator is fulfilled.***

**Performance Indicator B.1.1.2.** *The IOSUD/doctoral school(s) have a policy for stimulating enrollment of doctoral students coming from disadvantaged social environments, by allocating reserved positions in the admission procedure and/or granting special scholarships, as well as organising support programs to prevent drop-outs.*

The Report states that UBB reserved special places for Roma People and currently has 14 enrolled doctoral students of Roma origin.

The equal opportunity policies for disadvantaged socio-economic candidates and the fulfillment of their PhD programme are properly described. Further, the Report provides adequate information on the reserved positions in the admission procedures or data on grants and scholarships.

*Recommendations:*

***The indicator is fulfilled.***



## **Criterion B.2. The content of doctoral programs**

The description of doctoral plans and of the number and content of compulsory and mandatory subjects that should be selected by students is adequately fulfilled.

### **Standard B.2.1. The training program based on advanced university studies is appropriate to improve doctoral students' research skills and to strengthen ethical behavior in science.**

The composition of training program, the process of selection of educational plans and the content of the subjects included in the program are properly defined.

**Performance Indicator B.2.1.1.** *The training program based on advanced academic studies includes at least 3 disciplines relevant to the scientific research training of doctoral students; at least one of these disciplines is intended to study in-depth the research methodology and/or the statistical data processing.*

The organization of individual doctoral plan is adequately explained. The Report describes: (i) the possibility of choosing the mandatory courses from a list published by each doctoral school, available on the website of the Institute for Doctoral Studies at the beginning of each academic year. (<https://doctorat.ubbcluj.ro/wpcontent/uploads/2020/10/Planuri-invatamant-2020.pdf>); (ii) the process of definition of the mandatory courses in the curriculum, realized by the doctoral schools' Councils every year for each doctoral degree programme (the number of hours, credits, teachers, etc)

*Recommendations:*

**The indicator is fulfilled.**

**Performance Indicator B.2.1.2.** *At least one discipline is dedicated to Ethics and Intellectual Property in scientific research or there are well-defined topics on these subjects within a discipline taught in the doctoral program.*

Information on the mandatory subjects that should be selected by the candidate are provided. In detail, the report explains: (i) the content of these disciplines (general research methods and the methodology of scientific work, Ethics and academic integrity are provided: Anexa 1.3.57); (ii) the process of selection of the disciplines in the educational plan, guided by the supervisor, is based on the selection of three compulsory course and of at least one methodology course.

*Recommendations:*

**The indicator is fulfilled.**

**Performance Indicator B.2.1.3.** *The IOSUD has mechanisms to ensure that the academic training program based on advanced university studies addresses "the learning outcomes", specifying the knowledge, skills, responsibility and autonomy that doctoral students should acquire after completing each discipline or through the research activities<sup>5</sup>.*

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<sup>5</sup> Or by what the graduate should know, understand and to be able to do, according to the provisions of the Methodology regarding inscription and registration of higher education qualifications in the the National Register of Qualifications in Higher Education (RNCIS) approved by the Order No.3475/2017 with subsequent amendments and additions.



The Reports of the single doctoral schools define the mechanisms that regulate the verification of the achievement of the learning outcomes (exams and oral presentations, academic articles, communications at conferences and workshops), which are different for every scientific area and specified in the syllabus for each course. Each doctoral school elaborates an individual Doctoral Study Plan for each doctoral student that guarantees the appropriateness of the PhD courses and the compliance of the programs with the learning outcomes.

*Recommendations:*

***The indicator is fulfilled***

### **Criterion B.3. The results of doctoral studies and procedures for their evaluation**

The general mechanisms to promote and evaluate the results of doctoral studies are properly described.

#### **Standard B.3.1. Doctoral students capitalize on the research through presentations at scientific conferences, scientific publications, technological transfer, patents, products and service orders.**

All the strategies and activities implemented to valorise the results of the scientific production of doctoral students are adequately illustrated.

***Performance Indicator B.3.1.1.*** *For the doctoral school there are in place mechanisms for valorification of the results of doctoral studies in accordance with the specificity of the particular domain (i.e. technological transfer, products, patents in the case of exact sciences; products and services for social sciences and humanities; festivals, contests, recitals, sports competitions; cultural-arts orders in the vocational domain; presentations at national and international conferences, publication of research results in national and international publications, engaging doctoral students in writing research-development projects etc.)*

To ensure adequate exploitation of research results, UBB has activated mechanisms to capitalize on research results in PhD studies. UBB encourages the collaborations between Ph-D supervisors and Ph-D students aimed at encouraging:

- the publication of works,
- the participation in international conferences,
- collaborations with institutes and research centres
- applied research in the field of development and innovation (through grants and scholarship)

The results of scientific production of PhD candidates are described in the report together with the evaluation criteria (and published on the websites of the University and of the doctoral courses).

*Recommendations:*

***The indicator is fulfilled.***

### **Criterion B.4. Quality of doctoral theses**

The criteria established to evaluate the quality of doctoral thesis are sufficiently described.



### **Standard B.4.1. Doctoral theses fulfil high quality standards**

Adequate information on the threshold required to ensure the quality standards of thesis is provided.

**Performance Indicator B.4.1.1.** *At the level of IOSUD, the percentage of theses non-validated, at the level of General Council of the National Council for Attestation of University Degrees, Diplomas and Certificates (CNADTCU), without the right of further amendments and re-organizing the process of public defending, is not exceeding 5% in the last 5 years.*

The report clearly underlined that the percentage of doctoral theses is below the maximum allowed of 5%. In fact, in the last five years only 4 theses out of a total of 1070 have been invalidated for a percentage equal to 0.37%. The percentage of non-validated thesis is provided and the threshold established by CNADTCU is observed.

*Recommendations:*

***The indicator is fulfilled.***

### **Domain C. QUALITY MANAGEMENT**

Overall, the description of the procedure for quality management is fulfilled. However, there is a partial description of internal quality system (C1) and of the system of assurance of ethical integrity (C4). The strategies implemented to ensure transparency of information (C2), access to resources and internationalization (C3) are suitable and the information provided are adequate

#### **Criterion C.1. Existence and periodic implementation of the internal quality assurance system**

Overall, the description of the internal quality system and of the process to ensure the quality of evaluation is fulfilled.

#### **Standard C.1.1. There are an institutional framework and procedures in place and relevant internal quality assurance policies, applied for monitoring the internal quality assurance.**

For all the indicators, the laws that regulate the procedure of quality evaluation are briefly described in the text and supported with the Annexes in the final table.

**Performance Indicator C.1.1.1.** *The IOSUD shall demonstrate the continuous development of the evaluation process and its internal quality assurance following a procedure developed and applied at the level of the doctoral school(s), the following assessed criteria being mandatory:*

*(a) the scientific work of Doctoral advisors;*

*(b) the infrastructure and logistics necessary to carry out the research activity;*

*(c) the procedures and subsequent rules based on which doctoral studies are organized;*

*(d) the academic and social services (including participation to various events, publications of papers etc.) and counselling made available to doctoral students).*



The Report affirms the existence of a procedure for the evaluation of the scientific work of PhD supervisors and PhD students (see Anexa 1.3.31) performed both my management and collegium (see Anexa 1.3.21 and Anexa 1.3.23) (Anexa 1.3.22 and Anexa 1.3.24) Anexa 1.3.25, Anexa 1.3.26).

It is declared that there is a regulation for the evaluation of the quality of the infrastructure and logistics necessary to carry out the research activity (Anexa 1.2.1)

Doctoral studies are carried out under the National Education Act No. 1/2011, of Law 49/2013, of the Code of University Studies of Doctorate approved by HG 681/2011, of the UBB Charta, of the UBB Regulation on the organisation and conduct of university doctoral studies approved by the Senate Decision No. 483/2020 (Anexa 1.1.17), the regulations of the doctoral schools of the UBB, as amended and supplemented (Anexa 1.1.8) / (Anexa 1.3.35) / Anexa 1.3.31. The regulations that guide the organization of Doctoral Studies are listed in the final table.

The Report describes the regulations and the laws that ensure the quality of the academic social services and counselling services to the students by providing information on the role of the “Student Support and Development Unit”, created by UBB Senate in 2021. This Unit seeks to respond effectively to the demands and needs of students, to support them in the difficulties encountered before, during and after completing their university studies in order to create a real bridge between pre-university, university education and the labor market.

Moreover, UBB set up other counselling bodies such as: (i) The Career Guidance and Alumni Center (CCOPA), which offers career counseling and guidance services for UBB students and graduates; (ii) the Center “Student Expert”, which offers psychological counseling; (iii) The Office for students with disability (BSD); (iv) the Volunteer Office.

*Recommendations:*

***The indicator is fulfilled***

***Performance Indicator C.1.1.2.*** *Students’ associations and, according to the case, representatives of students organise elections in the community of doctoral students, for positions in the CSUD, by universal vote, direct and secret, all doctoral students having the right of electing or being elected.*

The number of the members of CSUD elected from among the PhD students is provided (4). The link to the document that establishes the Methodology of Choice as CSUD members in UBB is provided in the final table.

*Recommendations:*

***The indicator is fulfilled***

***Performance Indicator C.1.1.3.*** *Students’ associations and, according to the case, representatives of students organise elections in the community of doctoral students at the level of each doctoral school, for positions in the councils of doctoral schools, by universal vote, direct and secret, all doctoral students having the right of electing or being elected.*

A link with the Regulation of Election of Student Representatives in UBB for positions within the Doctoral School Councils is provided both in the text and in the table.



*Recommendations:*

***The indicator is fulfilled.***

**Performance Indicator \* C.1.1.4.** *Following the internal evaluation, IOSUD and the doctoral schools draft strategies and policies aiming to eliminate the identified deficiencies and to stimulate scientific and academic performance of IOSUD.*

The Report provides adequate information on the internal process for evaluation and of the development of strategies to increase performances and address lacks should be provided. At IOSUD level, the actions to solve the deficiencies and to stimulate scientific and academic performance are described in the strategic Plan of UBB (provided in Annex) that describes the institutional strategies on research. Moreover, the strategic Plan is translated into a related operational plan (in Annex) that describes IOSUD's internal development objectives, objectives aimed at remedying deficiencies and consolidating development strengths. In order to solve the ensure a balanced distribution of grants, UBB introduced at IOSUD level an internal evaluation and professional motivation mechanism, based on some indicators and a clear measuring system. Lastly, UBB tries to guarantee the quality of the relationship between doctoral students and doctoral supervisors through an Operational Procedure for assessing student satisfaction.

*Recommendations:*

***The indicator is fulfilled.***

## **Criterion C.2. Transparency of information and accessibility of learning resources**

The report provides adequate description about the publication and the availability of information about Doctoral regulations (C.2.1) and about the policies for the access to resources (C.2.2).

### **Standard C.2.1. Information of interest to doctoral students, future candidates and public interest information is available for electronic format consultation.**

The description of all the indicators included in Standard C.2.1 is properly fulfilled (regulation, admission procedure, contract, presentation of the thesis, content of study program, thematic areas, students' personal data, information about thesis, information about opportunities for publication, public defence).

**Performance Indicator C.2.1.1.** *The IOSUD publishes on the website of the organizing institution, in compliance with the general regulations on data protection, information such as:*

- (a) the IOSUD/Doctoral School regulation;*
- (b) the admission regulation;*
- (c) the doctoral studies contract;*
- (d) the study completion regulation including the procedure for the public presentation of the thesis;*
- (e) the content of the training study program based on advanced academic studies;*
- (f) the academic and scientific profile, thematic areas/research themes of the Doctoral advisors within the domain, as well as their institutional contact data;*
- (g) the list of doctoral students within the domain with necessary information (year of registration; Advisor);*
- (h) information on the standards for developing the doctoral thesis;*



*(i) information on the opportunities for doctoral students aiming to attend conferences, to publish articles, awarding scholarships etc.*

*(j) links to the doctoral theses's summaries to be publicly presented and the date, time, place where they will be presented; this information will be communicated at least twenty days before the presentation.*

The report indicates the link of the website in which are provided periodically, after each update, in strict compliance with the regulations regarding data protection, information about the regulation on the organisation and conduct of university doctoral studies approved by Senate Decision No. 483/2020. Moreover, the annex with the regulations of UBB is provided.

All procedures and admission results are regularly and clearly disclosed and made public through UBB website. The link is provided in the text.

The link for the regulations on Phd contract is provided both in the text and in the table.

The link for the procedure for public defence of the doctoral thesis is provided in the text and in the table.

The link to UBB website with the content of training programmes and education plans is provided in the text and in the table.

The report provides the link to UBB website with the academic and scientific profile and thematic areas of PhD supervisors.

It is stated that the list of PhD students from each doctoral school is published on the website of each doctoral school.

The Report declares that information on the standards of elaboration of the doctoral thesis are displayed on the website of each doctoral school in the end of the doctoral field.

The Report provides the link to UBB website in which is provided information on opportunities for PhD students to attend conferences, publication of articles, grants.

The Report provides the link to UBB website in which is provided information about the public defence of the theses (date, time, location), etc.

*Recommendations:*

***The indicator is fulfilled.***

**Standard C.2.2.** The IOSUD/The Doctoral School provides doctoral students with access to the resources needed for conducting doctoral studies.

An adequate description of the procedure for the access to electronic resources (platform, databases, software for similarity check) and for the access to research laboratories is provided.

**Performance Indicator C.2.2.1.** *All doctoral students have free access to one platform providing academic databases relevant to the doctoral studies domain of the their thesis.*

- *description of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*





- *analysis of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*

The report provides information on the provision of access to international databases. UBB provided continued access throughout 2020, so that 13 resources subscribed through ANELIS+ can be used by students, teachers and researchers.

*Recommendations:*

***The indicator is fulfilled.***

***Performance Indicator C.2.2.2.*** *Each doctoral student shall have access, upon request, to an electronic system for verifying the degree of similarity with other existing scientific or artistic works.*

The Report defines the Platform offered by UBB to assess the degree of similarity of a study with extant works (iThenticate, Anexa 1.2.16.1 and Anexa 1.2.16.2).

Moreover, it is specified that the measures for checking the similarities are carried out by the UBB Institute for Doctoral Studies personnel. The Senate Decision in which the revised procedure for similarity report has been introduced is also mentioned.

*Recommendations:*

***The indicator is fulfilled.***

***Performance Indicator C.2.2.3.*** *All doctoral students have access to scientific research laboratories or other facilities depending on the specific domain/domains within the Doctoral School, according to internal order procedures.*

The Report declares that the UBB provides classrooms with the technical facilities and efficient tools like: video projectors, projection screens, flipcharts. University has also network of computer labs, teaching laboratories and language teaching-learning laboratories.

The list of laboratories and learning facilities is presented in each report of each doctoral school.

*Recommendations:*

***The indicator is fulfilled.***

### **Criterion C.3. Internationalization**

The report provides an adequate description of the strategies implemented to improve the internationalization of Doctoral studies.

#### **Standard C.3.1. IOSUD/Doctoral school has a strategy in place and it is applied to enhance the internationalization of doctoral studies.**

The description of two out of four indicators is adequately fulfilled. The actions and the measures implemented to promote the internationalization are described properly. Suitable information about the compliance with the threshold established for the number of students training PhD abroad (C.3.1.1) and the number of these in foreign language is provided (C.3.1.3).



**Performance Indicator \* C.3.1.1.** IOSUD, for every doctoral school, has concluded mobility agreements with universities abroad, with research institutes, with companies working in the field of study, aimed at the mobility of doctoral students and academic staff (e.g., ERASMUS agreements for the doctoral studies). At least 35% of the doctoral students have completed a training course abroad or other mobility forms such as attending international scientific conferences. IOSUD drafts and applies policies and measures aiming at increasing the number of doctoral students participating at mobility periods abroad, up to at least 20%, which is the target at the level of the European Higher Education Area.

The Report describes the strategies implemented by UBB for ERASMUS exchanges (grants, funds). The organism devoted to the track of international mobility is identified (UBB Centre for International Cooperation) and the link to the website is provided.

Moreover, information about the threshold for the number of doctoral students training course abroad (35%) and for students participating at mobility periods abroad (20%) is provided.

*Recommendations:*

**The indicator is fulfilled.**

**Performance Indicator C.3.1.2.** IOSUD supports, including providing financial support, to the organization of doctoral studies in international co-tutelage or invitation of leading experts to deliver courses/lectures for doctoral students.

All the actions for internationalization are reported. UBB launched were 25 international co-supervision agreements working with prestigious universities from seven different countries (Belgium, France, Germany, Italy, the Netherlands, Portugal, Hungary).

*Recommendations:*

**The indicator is fulfilled.**

**Performance Indicator \* C.3.1.3.** At least 10% of the doctoral theses of every doctoral schools of the IOSUD are drafted and/or submitted in an international foreign language or are organised in international co-tutelage.

The Report mentions the possibility of elaborating doctoral thesis in foreign languages of international circulation and provides an annex (Anexa 1.3.52).

Moreover, additional Annexes are provided to show data about the threshold of theses submitted in an international language or organized in international co-tutelage.

*Recommendations:*

**The indicator is fulfilled**

**Performance Indicator C.3.1.4.** The internationalization of activities carried out during the doctoral studies is supported by IOSUD through concrete measures (e.g., by participating in educational fairs to



*attract international doctoral students; by including international experts in guidance committees or doctoral committees<sup>6</sup> etc.).*

The measures implemented by UBB to support the internationalization of activities are described and supported with the provision of Annex.

UBB has invited foreign experts to participate in the activities of the STAR-UBB research centers (Anexa 1.3.53 is provided). In addition, initiatives were launched to promote the doctoral programs offered by UBB within the ERASMUS programs. Moreover, the Report refers to leaflets and brochures with information about doctoral programmes distributed at educational fairs (Anexa 1.3.58.1, Anexa 1.3.58.2, Anexa 1.3.58.3, Anexa 1.3.58.4).

*Recommendations:*

***The indicator is fulfilled.***

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<sup>6</sup> Doctoral studies are completed by presenting the doctoral thesis in public session in front of a committee whose members hear and judge the final public presentation of the thesis

#### **Criterion C.4. System for assurance of ethical and academic integrity**

The report provides an adequate description of the system implemented to ensure ethical and academic integrity and to comply with the established norms.

#### **Standard C.4.1. IOSUD/Doctoral school has a functional and efficient system in place for prevention and assuring ethical and academic integrity norms**

The description of four indicators out of seven is adequately fulfilled. In detail, the actions and policies implemented against fraudulent or non-compliant behavior (C.4.1.1) and the procedure for the final decision of withdrawal (C.4.1.4) are described appropriately. The sanctions for plagiarism (C.4.1.5) and for reviewers included in the committee of withdrawn theses (C.4.1.6) are also sufficiently described.

**Performance Indicator C.4.1.1.** *IOSUD, applies the current provisions regulating ethics, deontology/academic integrity, respectively to academic freedom and has developed:*

- *policies based on prevention regarding possible violations of the Code of ethics and academic integrity, demonstrated by public postionings, studies, analyses or measures taken;*
- *practices and mechanisms for preventing fraud, from an institutional perspective as well as from the perspective of the doctoral students;*
- *practices for preventing possible fraud in academic activity, research or any other activity, including active measures for preventing and avoiding plagiarism of any kind, as well as promoting ethical and integrity/deontology principles or observing intellectual property norms, authors' rights and other related rights, among all members of the academic community;*
- *administrative instruments which allow applying effective and eliminatory sanctions;*
- *mechanisms and measures to assure equal opportunities and protection against intolerance and discrimination of any kind;*

*IOSUD monitors and permanently evaluates these practices and can prove they are applied to all activities and engagement of students in all these processes, and the results of the monitoring is made public yearly or whenever it becomes necessary.*

The Report clearly describes the principles on which the code of ethics is based and the independent structure (UBB ethics committee) which is entrusted with the monitoring and control of the procedures for compliance with the code of ethics. Moreover, the Report mentions all the regulations about ethics and deontology (the code of Ethics and Professional Deontology of UBB adopted by Senate Decision No. 24.051/10.12.2019 (Anexa 1.1.4; Anexa 1.1.5), UBB's AntiDiscrimination Guide (Anexa 1.1.9), the Code of Professional Conduct for Auxiliary and Non-Teaching Teaching Staff (Anexa 1.1.10), Ethics and Academic Honesty - a guide for Babeş-Bolyai University students. (with link to the website)

As for the prevention and action policies against fraudulent or non-compliant behavior, the Report provides a series of Annexes that offer detailed information on the periodic sessions of UBB ethics committee. Moreover, the link to the yearly reports of the ethics committee is provided.

*Recommendations:*

***The indicator is fulfilled.***



**Performance Indicator C.4.1.2.** *All intimations regarding suspicion of plagiarism related to doctoral theses have been analysed and resolved by the IOSUD within the time interval legally established for expressing in writing its position regarding the intimation received.*

The Report describes the analysis of plagiarism implemented by IOSUD in a timely manner over the last years. All complaints have been resolved within the legal deadline laid down by the legislation (1 complaint of plagiarism in 2017 and a complaint of plagiarism in 2016 analyzed and resolved by IOSUD UBB in accordance with OM 3482/2016).

*Recommendations:*

**The indicator is fulfilled**

**Performance Indicator C.4.1.3.** *Annual Reports of the Ethics commission of the IOSUD contain information on the stage of solving each case of intimation or own-initiative intimation regarding violation of norms or ethical aspects relevant for university doctoral studies. description of the facts, the findings from the assessed institution's documents and the evaluation visit itself.*

The Report describes the annual reports of the ethics commission for plagiarism that collects, in a timely and clear manner, all the information regarding cases of plagiarism and their resolution. For more detail on the work of the Ethics Commission within UB (reports, cases discussed and decisions) the Report refers to the link on university's website.

*Recommendations:*

**The indicator is fulfilled.**

**Performance Indicator C.4.1.4.** *The measures taken by IOSUD after the final decision of CNADTCU to withdraw the title of "doctor" following accusations of plagiarism have addressed all the aspects mentioned in CNADTCU's decision and in the current legislation.*

The Report describes the process of withdrawal (the Ministry of Education, on the basis of external evaluation reports of CNATDCU, CNCS, the Board of Ethics and University Management or the National Council for the Ethics of Scientific Research, Technological Development and Innovation). For further details, the Report refers to the link of UBB Code of Ethics.

*Recommendations:*

**The indicator is fulfilled**

**Performance Indicator C.4.1.5.** *The measures aiming to prevent academic fraud in the doctoral studies, taken by IOSUD, could be:*

a) *Suspension of the right to advise newly enrolled doctoral students, for a period of 3 years, in the case of doctoral advisors having coordinated a doctoral thesis with a definitive decision of withdrawal of the "doctor" title for plagiarism;*



- b) Exclusion from the IOSUD of the doctoral advisor having coordinated at least two doctoral theses with definitive decisions of withdrawal of the “doctor” title for plagiarism;
- c) Suspension of the right to organize the admission process of new doctoral students in the Doctoral studies domain, for a period of 2 years, if in the respective domain a doctoral thesis has been finalized and defended with a definitive decision of withdrawal of the “doctor” title for plagiarism.

UBB policy for the prevention of plagiarism is adequately described in the Report. The detection of plagiarism is performed through preliminary anti-plagiarism check (the softwares employed are "Ithenticate" or "Turnitin"). Due to these preventing measures, data shows that UBB had no problems in the past. In case, however, as specified in the performance indicators, an hypothetical solution can be the withdrawal of the status of doctoral leader or student.

*Recommendations:*

**The indicator is fulfilled**

**Performance Indicator \*C.4.1.6.** *The scientific reviewers members in the commissions for public defense of two or more doctoral theses with definitive decisions of withdrawal of the “doctor” title for plagiarism, have not been nominated in other commissions for public defence of doctoral theses for a period of at least 3 years.*

The Report clarifies that there are data, available on the university website, which shows that there have been no cases of withdrawal of PhD theses in the last five years.

*Recommendations:*

**The indicator is fulfilled**

**Performance Indicator C.4.1.7.** *IOSUD has a database open to the public containing all the doctoral theses defended in the institution beginning at least in 2016 in a format including: the domain, author, doctoral advisor, title of the thesis and the thesis in electronic format (if there is an agreement of the author)*

The Report declares that UBB in 2012 implemented a database that contains the doctoral theses with indication of the supervisors, doctoral field, thesis title, and abstracts (see Anexa 1.3.49).

Moreover, information about public defence sessions is available on the website of the UBB Institute for Doctoral Studies (the link is provided in the text).

The report also describes the procedure of submission of doctoral dissertations and associated files to the Ministry of National Education (MEN) and CNATDCU through the rei.gov.ro platform (integrated educational register).

*Recommendations:*

**The indicator is fulfilled.**



#### IV. SWOT Analysis

<p><b><u>Strengths:</u></b></p> <p>The implementation of logistical resources (A.1.2) in the institutional dimension, demonstrated by the detailed description of an integrated set of platforms, databases, software for storage of papers information and similarity detection.</p> <p>The infrastructural dimension: the agreements established with platforms (A.2.12.) for the modernization of infrastructure contribute to improve the quality of educational activities.</p> <p>The instruments, strategies and practices implemented for educational effectiveness (Domain B): the actions accomplished to promote the capitalization of research activities (B.3) and to ensure and evaluate the quality of PhD theses (B.4).</p> <p>The transparency of information and accessibility of learning resources (Standard C.2.1) through electronic sources.</p>	<p><b><u>Weaknesses:</u></b></p> <p>As reported in the Annexes provided in the final table of IOSUD Internal report, UBB and the Research Council of the University implement several mechanisms to encourage the renewal of procedures, infrastructure (A.2.1.3) and continuous improvement. To support the explanation of the general strategy for renewal, the Internal Report can briefly describe (also in the text) some of the activities implemented for the continuous renewal of research infrastructures in the different doctoral schools.</p> <p>The different Annexes provided in the final table to show the adequacy of the implementation of academic social services and counselling services to the students can be supported with a more detailed description of the different events and activities made available to doctoral students (C.1.1.1 d).</p> <p>The Reports provides adequate information on the policy for the prevention of plagiarism. To further promote the adequacy and the transparency of the strategies applied to avoid non-compliant behavior (C.4.1.1.), more detailed information on fraud detection and management can be added in the text.</p>
<p><b><u>Opportunities:</u></b></p> <p>The technological infrastructure implemented by UBB can be a lever for seizing the opportunities for innovation and digitalization arisen in the context of Covid-19. The technological tools launched by the University to enhance the transparency of information and the digital access to resources can ensure the compliance with the limitations posed by the advent of pandemic and can prevent the isolation of PhD students. Moreover, the attention toward the access to information can help students continuing their research projects in different part of the worlds by promoting internationalization and digital competencies.</p>	<p><b><u>Threats:</u></b></p> <p>The weaknesses of UBB refers to the difficulties in the accountability of some aspects related to quality staff, performance and deficiencies. Moreover, the University should demonstrate the adherence to regulations in an unequivocal and more visible way by enhancing the coordination of regulations and reducing bureaucracy.</p> <p>A potential solution can be found in the creation of some meta-regulation bodies, that can act as data-driven, risk-based, robust internal systems that enable 'co-regulation' to be effective and that can simplify communication between actors and improve the effectiveness of governance.</p>



	<p>The external threats are related to the deficiencies in romanian national education system, characterized by low spending on education, high early school leaving rates, and high underachievement in basic skills.</p>
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## V. Overview of judgments awarded and of the recommendations

No.	Type of indicator (PI, PI*, CPI)	Performance indicator	Judgment	Recommendations
1	PI	<p>A.1.1.1 The existence of specific regulations and their application at the level of the IOSUD, respectively at the Doctoral School(s): (a) the internal regulations of the administrative structures (the institutional regulations for the organization and conduct of doctoral studies programs, the regulation(s) of Doctoral School(s); (b) the Methodology for conducting elections at the level of the Council of University Doctoral Studies (CSUD), respectively at Doctoral School(s) including elections by the students of their representatives in CSUD/Council of the Doctoral School (CSD) and the evidence of their conduct; c) the Methodologies for organizing and conducting doctoral studies (for the admission of doctoral students, for the completion of doctoral studies); d) the existence of mechanisms for recognizing the status of a Doctoral advisor and the equivalence of the doctoral degree obtained abroad; e) functional management structures, at the level of CSUD/CSD, with evidence of the regularity of meetings; f) the contract for doctoral studies; g) internal procedures for the analysis and approval of proposals about doctoral study programs based on advanced academic studies.</p>	<b>Fulfilled</b>	

		A.1.1.2. The doctoral school' Regulation includes mandatory criteria, procedures and standards binding on the aspects specified in Article 17, paragraph (5) of the Government Decision No. 681/2011 on the approval of the Code of Doctoral Studies with subsequent amendments and additions.		
<b>2</b>	<b>PI*</b>	*A.1.1.3. Doctoral schools included in IOSUD are organized as disciplinary or interdisciplinary disciplines/thematic, according to Article 158, paragraph (7) of the Law of National Education No. 1/2011 with subsequent amendments and additions	<b>Fulfilled</b>	
<b>3</b>	<b>PI</b>	A.1.2.1. The existence and effectiveness of an appropriate IT system to keep track of doctoral students and their academic background.	<b>Fulfilled</b>	
<b>4</b>	<b>CPI</b>	A.1.2.2. The existence and use of a software program and evidence of its use to verify the percentage of similarity in all doctoral theses	<b>Fulfilled</b>	
<b>5</b>	<b>PI</b>	A.2.1.1. The IOSUD/the doctoral school(s) present proof of its own possession or of having rented adequate spaces for research activity specific to doctoral studies (laboratories, experimental fields, research stations etc.) A.2.1.2. The IOSUD/doctoral school(s) has/have collaboration agreements with higher education institutions, research institutes, research networks for joint partnerships and have access for using various research infrastructures; the offer for research services is presented publicly using a dedicated platform.	<b>Fulfilled</b>	

6	PI	A.2.1.3. The IOSUD/doctoral school(s) proves that it is/are concerned with permanent renewal of the research infrastructure to provide doctoral students access to up-dated research resources, by applying to various funding competitions and using own university resources for acquiring new research infrastructure.	<b>Fulfilled</b>	
7	PI*	*A.3.1.1. The share of Doctoral advisors coordinating simultaneously more than 8 doctoral students but not more than 12 during their doctoral studies <sup>1</sup> does not exceed 20%	<b>Fulfilled</b>	
8	CPI	A.3.1.2. At least 50% of all teaching/research staff involved in teaching/research activities related to training programs for advanced university studies or in individual research/art creation programs have a full-time employment contract for an indefinite period with the IOSUD.	<b>Fulfilled</b>	
9	PI*	*B.1.1.1. Admission to doctoral study programs is based on selection criteria including: previous academic, research and professional performance, their interest for scientific or arts/sports research, publications in the domain and a proposal for a research subject. Interviewing the candidate is compulsory, as part of the admission procedure.	<b>Fulfilled</b>	
10	PI	B.1.1.2. The IOSUD/doctoral school(s) have a policy for stimulating enrolment of doctoral students coming from disadvantaged social environments, by allocating reserved positions in the admission procedure and/or granting special scholarships, as well as organizing support programs to prevent drop-outs.	<b>Fulfilled</b>	

11	PI	<p>B.2.1.1. The training program based on advanced academic studies includes at least 3 disciplines relevant to the scientific research training of doctoral students; at least one of these disciplines is intended to study in-depth the research methodology and/or the statistical data processing.</p> <p>B.2.1.2. At least one discipline is dedicated to Ethics and Intellectual Property in scientific research or there are well-defined topics on these subjects within a discipline taught in the doctoral program.</p>	<b>Fulfilled</b>	
12		<p>B.2.1.3. The IOSUD has mechanisms to ensure that the academic training program based on advanced university studies addresses “the learning outcomes”, specifying the knowledge, skills, responsibility and autonomy that doctoral students should acquire after completing each discipline or through the research activities</p>	<b>Fulfilled</b>	
13	PI	<p>B.3.1.1. For the doctoral school there are in place mechanisms for valorization of the results of doctoral studies in accordance with the specificity of the particular domain (i.e. technological transfer, products, patents in the case of exact sciences; products and services for social sciences and humanities; festivals, contests, recitals, sports competitions; cultural-arts orders in the vocational domain; presentations at national and international conferences, publication of research results in national and International publications, engaging doctoral students in writing research-development projects etc.).</p>	<b>Fulfilled</b>	
14	CPI	<p>B.4.1.1. At the level of IOSUD, the percentage of theses non validated, at the level of General Council of the National Council for Attestation of University Degrees, Diplomas and Certificates (CNADTCU), without the right of further amendments and re-</p>	<b>Fulfilled</b>	

		organizing the process of public defending, is not exceeding 5% in the last 5 years		
15	PI*	<p>*C.1.1.1. The IOSUD shall demonstrate the continuous development of the evaluation process and its internal quality assurance following a procedure developed and applied at the level of the doctoral school(s), the following assessed criteria being mandatory:</p> <p>(a) the scientific work of Doctoral advisors;</p> <p>(b) the infrastructure and logistics necessary to carry out the research activity;</p> <p>(c) the procedures and subsequent rules based on which doctoral studies are organized;</p> <p>d) the academic and social services (including participation to various events, publications of papers etc.) and counselling made available to doctoral students.</p>	Fulfilled	
16	PI	<p>C.1.1.2. Students' associations and, according to the case, representatives of students organize elections in the community of doctoral students, for positions in the CSUD, by universal vote, direct and secret, all doctoral students having the right of electing or being elected.</p> <p>C.1.1.3. Students' associations and, according to the case, representatives of students organize elections in the community of doctoral students at the level of each doctoral school, for positions in the councils of doctoral schools, by universal vote, direct and secret, all doctoral students having the right of electing or being elected.</p>	Fulfilled	
17	PI*	*C.1.1.4. Following the internal evaluation, IOSUD and the doctoral schools' draft strategies and policies aiming to eliminate the identified deficiencies and to stimulate scientific and academic performance of IOSUD	Fulfilled	

18	CPI	<p>C.2.1.1. The IOSUD publishes on the website of the organizing institution, in compliance with the general regulations on data protection, information such as:</p> <ul style="list-style-type: none"> <li>(a) the IOSUD/Doctoral School regulation;</li> <li>(b) the admission regulation;</li> <li>(c) the doctoral studies contract;</li> <li>(d) the study completion regulation including the procedure for the public presentation of the thesis;</li> <li>(e) the content of the training study program, based on advanced academic studies;</li> <li>(f) the academic and scientific profile, thematic areas/research themes of the Doctoral advisors within the school, as well as their institutional contact data;</li> <li>(g) the list of doctoral students within the domain with necessary information (year of registration; Advisor);</li> <li>(h) information on the standards for developing the doctoral thesis;</li> <li>(i) information on the opportunities for doctoral students aiming to attend conferences, to publish articles, awarding scholarships etc.</li> <li>(j) links to the doctoral theses' summaries to be publicly presented and the date, time, place where they will be presented; this information will be communicated at least twenty days before the presentation.</li> </ul>	Fulfilled	
19	PI	<p>C.2.2.1. All doctoral students have free access to one platform providing academic databases relevant to the doctoral studies domain of their thesis.</p> <p>C.2.2.2. Each doctoral student shall have access, upon request, to an electronic system for verifying the degree of similarity with other existing scientific or artistic works.</p> <p>C.2.2.3. All doctoral students have access to scientific research laboratories or other facilities depending on the specific domain/domains within the Doctoral</p>	Fulfilled	

		School, according to internal order procedures		
20	PI*	*C.3.1.1. IOSUD, for every doctoral school, has concluded mobility agreements with universities abroad, with research institutes, with companies working in the field of study, aimed at the mobility of doctoral students and academic staff (e.g., ERASMUS agreements for the doctoral studies). At least 35% of the doctoral students have completed a training course abroad or other mobility forms such as attending international scientific conferences. IOSUD drafts and applies policies and measures aiming at increasing the number of doctoral students participating at mobility periods abroad, up to at least 20%, which is the target at the level of the European Higher Education Area.	Fulfilled	
21	PI	C.3.1.2 IOSUD supports, including providing financial support, to the organization of doctoral studies in international co-tutelage or invitation of leading experts to deliver courses/lectures for doctoral students	Fulfilled	
22	CPI	*C.3.1.3. At least 10% of the doctoral theses of every doctoral schools of the IOSUD are drafted and/or submitted in an international foreign language or are organized in international co-tutelage.	Fulfilled	
23	PI	C.3.1.4. The internationalization of activities carried out during the doctoral studies is supported by IOSUD through concrete measures (e.g., by participating in educational fairs to attract international doctoral students; by including international experts in guidance committees or doctoral committees etc.).	Fulfilled	
24	PI	C.4.1.1. IOSUD, applies the current provisions regulating ethics, deontology/academic integrity,	Fulfilled	



		<p>respectively to academic freedom and has developed:</p> <ul style="list-style-type: none"> <li>- policies based on prevention regarding possible violations of the Code of ethics and academic integrity, demonstrated by public positionings, studies, analyses or measures taken;</li> <li>- practices and mechanisms for preventing fraud, from an institutional perspective as well as from the perspective of the doctoral students;</li> <li>- practices for preventing possible fraud in academic activity, research or any other activity, including active measures for preventing and avoiding plagiarism of any kind, as well as promoting ethical and integrity/deontology principles or observing intellectual property norms, authors' rights and other related rights, among all members of the academic community;</li> <li>- administrative instruments which allow applying effective and eliminatory sanctions;</li> <li>- mechanisms and measures to assure equal opportunities and protection against intolerance and discrimination of any kind;</li> </ul> <p>IOSUD monitors and permanently evaluates these practices and can prove they are applied to all activities and engagement of students in all these processes, and the results of the monitoring is made public yearly or whenever it becomes necessary.</p>		
25	PI*	<p>*C.4.1.2. All intimations regarding suspicion of plagiarism related to doctoral theses have been analyzed and resolved by the IOSUD within the time interval legally established for expressing in writing its position regarding the intimation received.</p> <p>*C.4.1.3 Annual Reports of the Ethics commission of the IOSUD contain information on the stage of solving each case of intimation or own - initiative intimation regarding violation</p>	<b>Fulfilled</b>	

		of norms or ethical aspects relevant for university doctoral studies. description of the facts, the findings from the assessed institution's documents and the evaluation visit itself.		
26	CPI	C.4.1.4. The measures taken by IOSUD after the final decision of CNADTCU to withdraw the title of "doctor" following accusations of plagiarism have addressed all the aspects mentioned in CNADTCU's decision and in the current legislation	Fulfilled	
27	PI*	*C.4.1.5. The measures aiming to prevent academic fraud in the doctoral studies, taken by IOSUD, could be: a) Suspension of the right to advise newly enrolled doctoral students, for a period of 3 years, in the case of doctoral advisors having coordinated a doctoral thesis with a definitive decision of withdrawal of the "doctor" title for plagiarism; b) Exclusion from the IOSUD of the doctoral advisor having coordinated at least two doctoral theses with definitive decisions of withdrawal of the "doctor" title for plagiarism; c) Suspension of the right to organize the admission process of new doctoral students in the Doctoral studies domain, for a period of 2 years, if in the respective domain a doctoral thesis has been finalized and defended with a definitive decision of withdrawal of the "doctor" title for plagiarism.	Fulfilled	
28		*C.4.1.6. The scientific reviewers, members in the commissions for public defense of two or more doctoral theses with definitive decisions of withdrawal of the "doctor" title for plagiarism, have not been nominated in other commissions for public defense of doctoral theses for a period of at least 3 years.	Fulfilled	
29	PI	C.4.1.7. IOSUD has a database open to the public containing all the doctoral theses defended in the institution beginning at least in 2016 in a format	Fulfilled	

		including: the domain, author, doctoral advisor, title of the thesis and the thesis in electronic format (if there is an agreement of the author).		
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## VI. Conclusions and general recommendations

*As confirmed during the evaluation visit, the institution under investigation (UBB) and the Doctorate Studies Organizing Institution of the University pay a great attention to student's needs by providing Phd students and graduates with a lot of opportunities for participation in international research projects, in national and international conferences and in a series of activities to foster the development of academic careers after the graduation and to enhance opportunities for publication.*

*From the discussion with PhD students and graduates conducted during the on-line evaluation visit, emerged the attention of the institution toward the promotion of international research projects and toward the implementation of some mechanisms to enhance the collaboration between Phd students/graduates and Advisors and the experiences of students in entrepreneurial activities.*

*The information provided by UBB management during the visit confirmed the key strength of IOSUD identified in the first preliminary evaluation activity: the implementation of a network of infrastructures to ensure student's access to resources for Phd thesis and to laboratories, library, international databases, similarity check software, etc..*

*Hence, the data collected during the online meetings has been analyzed to enrich the findings of the first evaluation process deriving from the analysis of IOSUD internal report and proved the quality and the effectiveness of UBB policies and actions for the quality of education and of doctoral schools.*

## VII. Annexes

Below, the detailed timetable of the institutional evaluation visit is provided.

### Day 1: Tuesday, 02.11.2021

- **09:00-09:50:** Online preliminary meeting for the preparation and harmonization of evaluation steps, in hybrid mode, of doctoral study domain and IOSUD;
- **10:00-10:50:** Online meeting with representatives of the institution and of the Council for Academic Doctoral Studies (CSUD);
- **11:00-11:50:** Online meeting of IOSUD evaluation panel members with the director of CSUD, directors of doctoral schools and the team responsible for the internal evaluation report;
- **12:00-12:50:** Online meeting of IOSUD evaluation panel members with academic staff of the doctoral schools;
- **13:00-13:50:** Online meeting of IOSUD evaluation panel members with the Ethics Commission;
- **17:00-17:50:** Online meeting of IOSUD evaluation panel members with the employers representatives;



- **18:00-19:00:** Online technical meeting for discussions on the evaluation Day 1.

**Day 2: Wednesday, 03.11.2021**

- **11:00-11:50:** Online meeting of IOSUD evaluation panel members with students of the doctoral schools;
- **12:00-12:50:** Online meeting of IOSUD evaluation panel members with graduates;
- **18:30-19:30:** Online technical meeting to identify specific issues that need to be clarified during the on-site visit (if the case).

**Day 3: Friday, 05.11.2021**

- **09:00-09:50:** Online technical meeting to identify specific issues that need to be clarified, if necessary, during the on-site visit;
- **14:00-15:20:** Online meeting for conclusions;
- **15:30-16:30:** Meeting with representatives of the institution under review to discuss on the conclusions of the evaluation process and the main recommendations.

Salerno, 17.11.2021

Signature