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din ARAD

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**METHODOLOGY FOR COMPLETION OF  
DOCTORAL STUDIES**

at "Vasile Goldiș" Western University of Arad

- Revision 1 –

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## CHAPTER I - GENERAL PROVISIONS

(1) This Methodology is based on the following documents: the National Education Law (LEN) no. 1/2011 with subsequent amendments and additions; the Code of Doctoral Studies, approved by Government Decision no. 681/2011 with subsequent amendments and additions; MEN Order no. 4982 of 5 September 2013 on the activity of doctoral supervision; Order MECS 5229/2020 for the approval of methodologies for the granting of the habilitation certificate, the awarding of the doctoral title, as well as the resolution of complaints regarding non-compliance with quality standards or professional ethics, including the existence of plagiarism, in a doctoral thesis, Order MECS 4621 on the approval of the Regulation on the organization and functioning of the National Council for the Accreditation of University Degrees, Diplomas and Certificates; University Charter and other normative documents of the Ministry of Education and Scientific Research and the UVVG; Regulation of organization and functioning of the IOSUD-UVVG and Regulation of the Doctoral Schools of Biology and Medicine of the IOSUD-UVVG; Regulation of organization of admission to the UVVG for bachelor, master and doctoral level.

(2) Doctoral studies represent the third cycle of university studies and allow the acquisition of a level 8 qualification of the European Qualifications Framework for Lifelong Learning (EQF/CEC) and the National Qualifications Framework.

(3) The doctoral thesis is an original piece of work and it is compulsory to mention the source of any material taken from it.

(4) The doctoral student is the author of the doctoral thesis and accepts responsibility for the accuracy of the data and information presented in the thesis, as well as for the opinions and demonstrations expressed in the thesis.

(5) The doctoral supervisor is jointly responsible with the author of the thesis for compliance with the standards of quality or professional ethics, including ensuring the originality of the content, in accordance with the provisions of Article 170 of the National Education Law no. 1/2011, as amended.

## **CHAPTER II - STAGES OF THE PUBLIC DEFENSE OF THE DOCTORAL THESIS**

(6) The stages of the public defense of the doctoral thesis are carried out in accordance with GD 681/2011 supplemented and amended, MECS Order 5229/2020 for the approval of the methodologies for the granting of the habilitation certificate, the awarding of the title of doctor, as well as for the resolution of complaints regarding non-compliance with quality or professional ethics standards, including the existence of plagiarism, in a doctoral thesis, MECS Order 4621 on the approval of the Regulation on the organization and functioning of the National Council for the Accreditation of University Degrees, Diplomas and Certificates

(7) The final deadline for submission of the doctoral thesis for public defense is at the end of the 3/4 years of doctoral studies or, if applicable, at the end of the interruption/extension periods. *The public defense of the doctoral thesis can take place within a maximum of 1 year from the date of the official submission of the thesis, except for doctoral students who benefit from a grace period, according to GD 681/2011.*

### **II.1. Presentation of the doctoral thesis to the Supervisor and the Supervisory Committee**

(8) The Doctoral School registers the doctoral student's request to defend the doctoral thesis before the Doctoral Supervisor and the Supervisory Committee, together with the thesis submitted electronically by the doctoral student.

(9) The doctoral student requests the Scientometrics Office to perform the similarity analysis for a fee set by the UVVG Board of Directors. The verification period may not exceed 30 days from the date of submission of the doctoral thesis to IOSUD;

(10) The similarity analysis is carried out with the following CNATDCU recognised systems: [www.sistemantiplagiat.ro](http://www.sistemantiplagiat.ro), iThenticate; Turnitin; Plagiarism Detector + PDAS (PDAS - Plagiarism Detector Accumulator Server) and Safe Assign

(11) The similarity coefficient 1 will not exceed 10% and the similarity coefficient 2 will not exceed 5%, according to the UVVG Anti-Plagiarism Regulation.

(12) The doctoral thesis is defended in front of the PhD supervisor and the Supervisory Committee, which gives the opinion for the official submission to the IOSUD secretariat and the public defense. *The duration of the evaluation process of the thesis in the Supervisory Committee is 30 days and may be extended by a maximum of 30 days in duly justified situations.*

(13) If, following the pre-submission of the doctoral thesis, the approval for the official submission of the doctoral thesis in the defended form has not been obtained, and the members of the Doctoral Committee and the Supervisor have requested specific modifications, recorded in the Minutes of the pre-submission, the doctoral student will defend the doctoral thesis again before the Supervisor and the Doctoral Committee in the modified form and will carry out a new similarity analysis.

(14) If, following the submission of the PhD Thesis, the approval for its official submission in the defended form has been obtained, the PhD Thesis shall be officially submitted to the IOSUD secretariat (in 3 covered copies, with the mention that it has been defended in front of the DC and the IC), accompanied by: 1. Abstract of the PhD Thesis; 2. CV and List of published works of the doctoral candidate (updated); 3. Affidavit of the PhD student and supervisor; 4. Opinion of the UVVG Scientific Research Ethics Committee.

## **II.2. Public defense of the PhD thesis**

(15) The IOSUD Secretariat certifies that the doctoral student has fulfilled all the obligations of the doctoral programme.

(16) The Doctoral School performs the final similarity analysis with the following systems, recognized by the CNATDCU: [www.sistemantiplagiat.ro](http://www.sistemantiplagiat.ro), iThenticate; Turnitin; Plagiarism Detector + PDAS (PDAS - Plagiarism Detector Accumulator Server) and Safe Assign

(17) Similarity coefficient 1 will not exceed 10% and similarity coefficient 2 will not exceed 5%, according to the UVVG Anti-Plagiarism Regulation.

(18) If the similarity report confirms the suspicion of plagiarism, in consultation with the Doctoral Supervisor, the Doctoral School Council shall conduct an analysis of the report and the thesis and notify CSUD and the IOSUD Secretariat of the decision taken and the deadline for redoing the doctoral thesis, if applicable.

(19) The PhD supervisor proposes the PhD Committee, which will be approved by the CSUD.

(20) The doctoral committee is composed of the chairperson, the doctoral supervisor and at least 3 official referees, of which at least two specialists work outside the UVVG. Those proposed to be members of the committee must be renowned specialists with relevant concerns and contributions to the doctoral thesis. The Chairperson of the Doctoral Committee may be the Director of the Doctoral School or, if appropriate, the Director of the CSUD. The official referees are specialists in the field in which the doctoral thesis was written, hold a doctoral degree and hold the teaching position of at least a university lecturer or a senior research scientist, grade I or grade II, or have obtained a habilitation. The doctoral committee may also include specialists from other countries who meet the conditions laid down in H.G. no. 681/2011, as subsequently amended and supplemented.

(21) The CSUD submits the approved proposal on the composition of the Doctoral Commission to the Senate.

(22) The UVVG Senate issues a resolution approving the nominal composition of the Doctoral Commission;

(23) The IOSUD Secretariat drafts the addresses for the members of the Doctoral Commission and ensures their transmission.

(24) The official referees are obliged to submit/transmit the review reports to the IOSUD within 30 days from the date of receipt of the doctoral thesis at the latest, accompanied by their CV and updated list of works. If at least one official reviewer considers that the thesis does not meet the quality standards, it will have to be redone. The PhD supervisor informs the PhD student that the thesis needs to be redone and sets the deadline for the redrafting. The reworked doctoral thesis will undergo a new anti-plagiarism check only at the proposal of the doctoral supervisor. The reworked doctoral thesis shall be submitted to the IOSUD Secretariat with the written consent of the doctoral supervisor and the official referee(s) involved.

If one of the members of the doctoral committee becomes unavailable, he/she may be changed at the proposal of the Doctoral Supervisor, with the advice of the Doctoral School Council and the approval of the CSUD Director.

The public defense of the doctoral thesis can only be organized if all official reports are favourable.

(25) The Doctoral School posts the abstract of the doctoral thesis on the website.

(26) The doctoral student submits to the IOSUD Secretariat the request for fixing the date of the public hearing with the opinion of the PhD supervisor and the President of the PhD Committee.

(27) The Doctoral School prepares and posts the announcement for the public defense of the Doctoral Thesis - at least 20 days before the public defense. The abstract of the thesis in electronic format, the CV of the doctoral candidate, the CVs of the members of the committee for the public defense of the doctoral thesis or links to them are posted on the IOSUD website.

(28) The doctoral thesis is submitted to the University Library for consultation - at least 20 days before the public defense.

(29) The IOSUD Secretariat and the doctoral student prepare the doctoral file. The doctoral file will contain the documents in Annex 1.

(30) The doctoral dissertation may be defended in the presence of at least 4 of the 5 members of the Doctoral Committee, with the mandatory participation of the President of the Doctoral Committee and the Supervisor. If one of the three referees is unable to attend the defense, for well-founded reasons, they must send their written vote to the President of the Commission

If the doctoral thesis is written in an international language, the public defense may be conducted in that language.

(31) On the basis of the public defense of the doctoral thesis, the Doctoral Committee evaluates and decides on the grade to be awarded to the doctoral thesis. The grades that can be awarded are: "Excellent", "Very good", "Good", "Satisfactory" or "Unsatisfactory". The Councils of the Doctoral Schools establish the criteria for awarding grades to doctoral theses, in compliance with the legislation in force.

(32) If the doctoral student has fulfilled all the requirements set out in the scientific research programme and the assessment of the doctoral thesis allows the award of the grade "Excellent", "Very good", "Good" or "Satisfactory", the doctoral committee proposes the award of the doctoral degree. The proposal is submitted to the CNATDCU for evaluation and validation. The CNATDCU, following the evaluation of the doctoral file, proposes to the Minister of Education and Research to award or not to award the doctoral degree.

(33) In the case of granting the qualification "Unsatisfactory", the doctoral committee will specify the elements to be reworked or completed, the period to be granted to the doctoral student for rework or completion, and will set the deadline for a new public presentation of the doctoral thesis.

(34) The second public defense of the thesis shall take place before the same doctoral committee as for the first defense. If the second public hearing is also marked "Unsatisfactory", the doctoral degree is not awarded and the doctoral student is expelled.

(35) During the public defense of the doctoral thesis, the minutes of the defense session are drawn up and signed by the President of the Commission and all the members of the Doctoral Commission present.

(36) The minutes of the public defense include:

- a) the proposed qualification;
- b) the indication of the specialized committee of the CNATDCU to which the field of doctoral studies in which the study programme was completed is assigned;
- c) the date of the public defense of the doctoral thesis.

### **II.3. Doctoral file**

(37) The doctoral thesis and its annexes, in electronic format, are signed with a qualified/advanced electronic signature by the persons designated by the IOSUD/IOD and are uploaded to the platform in PDF format in which the main text is represented as such and not by images. Exceptions to this rule may be audio, video or graphic illustrations.

(38) In order to carry out the evaluation process of the doctoral files, IOSUD/IOD is obliged to produce the doctoral file in printed and electronic format.

(39) The doctoral file shall be archived by IOSUD on a permanent basis, in accordance with the legislation in force.

(40) The IOSUD/IOD checks the doctoral file.

(41) The documents in electronic format (PDF), signed with qualified/enhanced electronic signature by the persons designated by IOSUD/IOD, from the doctoral file are uploaded to the platform by IOSUD/IOD and form the electronic doctoral file.

(42) The doctoral file is uploaded to the platform within a maximum of 30 days from the date of the public defense of the doctoral thesis.

(43) IOSUD/IOD is responsible for the accuracy of the uploaded data. With the qualified/enhanced electronic signature IOSUD/IOD assumes responsibility for the conformity with the original of the



documents included in the doctoral student's electronic file, including the conformity of the documents in electronic format with those in printed format.

(44) When uploading the doctoral student's electronic file, the IOSUD/IOD shall constitute the doctoral student's profile, including the field of doctoral studies aimed at obtaining the doctoral degree.

#### **II.4. Evaluation process by the CNATDCU, awarding of the doctoral title and doctoral diploma**

(45) The CNATDCU, following the evaluation of the doctoral file, proposes to the Minister of Education and Research to grant or not to grant the doctoral degree.

(46) The process of evaluation of the doctoral file by the CNATDCU is supported by a computer system, hereinafter referred to as the national platform, provided by the Ministry of Education and Research (MEC). The platform is administered by the MEC through the UEFISCDI and ensures the exchange of information in electronic format within the doctoral file evaluation process.

(47) The awarding of the doctoral degree is made by Order of the relevant Minister, on the proposal of the CNATDCU.

(48) The IOSUD/IOD communicates the decision of the CNATDCU to the doctoral student within a maximum of 15 days from the notification.

(49) Decisions of the CNATDCU may be appealed within 15 days of receipt by the doctoral student.

(50) The appeal shall be registered with the MEC, accompanied by the communication address from the IOSUD regarding the CNATDCU decision, and uploaded to the platform by the CNATDCU Technical Secretariat within a maximum of 5 days from registration.

(51) The platform shall notify IOSUD/IOD, the General Council and the chair of the panel to which the panel is attached of the upload of the appeal to the platform.

(52) The decision of the NCATDCU on the resolution of the appeal shall be signed by the Chair of the General Board, including by electronic means, and uploaded to the platform. The platform notifies the Technical Secretariat of the CNATDCU of the CNATDCU decision. The CNATDCU Technical Secretariat notifies the doctoral student and the IOSUD/IOD of the CNATDCU decision within 15 days of the notification.

(53) The doctor's diploma is drawn up according to the legal provisions based on the Order of the relevant Minister and issued by the UVVG. The doctoral degree will include the qualification confirmed by the CNATDCU and in accordance with the provisions of H.G. no. 681/2011, art.70 para. (4).

*The present revised Methodology was approved by the Council of Doctoral Studies in its meeting of 10.09.2020, endorsed by the Board of Directors of the University on 24.09.2020 and approved by the Senate of the University on 25.09.2020.*

## **SCHEDULE OF THE DOCTORAL DOSSIER**

(According to MECS Order 5229/2020 for the approval of the methodologies for the granting of the habilitation certificate, the awarding of the doctoral title, as well as for the resolution of complaints regarding non-compliance with quality or professional ethics standards, including the existence of plagiarism, in a doctoral thesis)

The doctoral dossier is in printed and electronic format (PDF) and contains the following documents:

- a) scanned copy of the PhD student's identity card;
- b) scanned copy of the PhD student's birth certificate;
- c) scanned copy of the marriage certificate, if applicable;
- d) CV of the student-doctoral candidate;
- e) the admission decision for the doctoral programme;
- f) the doctoral studies contract and additional documents, if applicable. the doctoral studies contract contains provisions for the publication of the doctoral thesis according to the law, accompanied by the name and surname of the doctoral student and the supervisor; personal data, except for the name, will not be publicly visible;
- g) a request signed by the doctoral student, registered at the doctoral school, to initiate the procedures for the evaluation of the thesis by the supervising committee, approved by the doctoral supervisor, for the purpose of presubmission;
- h) a scanned copy of the declaration signed by the doctoral student and the doctoral supervisor on the assumption of responsibility for ensuring the originality of the content of the doctoral thesis, as well as compliance with the standards of quality and professional ethics, in accordance with art. 143 para. (4) and art. 170 of the National Education Law no. 1/2011, as amended, and art. 65 para. (5) - (7) of the Code of Doctoral Studies, approved by Government Decision no. 681/2011, as amended;
- i) at least one similarity report which will include the resolution of the PhD supervisor and, if applicable, of other persons who have reviewed the report;

- j) a report drawn up by the doctoral school, preliminary to the public defense of the thesis, and documents attesting the course of the study programme;
- k) the proposal for the composition of the public defense committee, formulated by the doctoral supervisor and approved by the CSUD;
- l) the CVs of the members of the public defense committee;
- m) the decision appointing the public defense committee;
- n) the request for the date of the public defense of the doctoral thesis, approved by the doctoral supervisor and the chair of the defense committee, submitted to the secretariat of the doctoral school at least 20 calendar days before the proposed date of the defense;
- o) the announcement of the public defense, drawn up by the doctoral school at least 20 calendar days before the proposed date of the defense;
- p) the certificate of submission of a printed copy of the doctoral thesis to the library;
- q) the reports of the official referees, members of the doctoral committee, signed by them, in the form of scanned copies or electronically signed documents;
- r) the acceptance report from the doctoral supervisor;
- s) the opinion of the doctoral supervisor's committee for the submission of the doctoral thesis to the secretariat of the doctoral school;
- t) the minutes of the public defense of the doctoral thesis and the questions and answers annex, containing the proposal for the award of the doctoral degree, signed by all the members of the doctoral committee, in the form of a scanned copy or an electronically signed document;
- u) the abstract of the doctoral thesis;
- v) the doctoral thesis and its annexes, in electronic format (PDF format, excluding scan);
- w) the list of publications resulting from scientific research in the doctoral programme, published or accepted for publication, if applicable, and scanned copies of these publications;
- x) the declaration of the PhD student regarding his/her options regarding the publication of the PhD thesis on the national platform, in accordance with the provisions of the Government Decision no.

681/2011 on the approval of the Code of Doctoral Studies, with subsequent amendments and additions;

y) IOSUD's request to enter the evaluation procedure at the CNATDCU level of the doctoral thesis, registered at MENCŞ.