



**SHORT VERSION**

**Methodology for evaluation and public defense of the doctoral thesis**

**Chapter 1  
General Provisions**

- Art 1. (1)** Doctoral studies represent the 3rd cycle of university studies, according to the Bologna Process - to which Romania joined in 1999 - and allow the holding of level 8 qualification from the EQF/CEC and from the National Qualifications Framework (NQF).
- (2) The scientific research program and, implicitly, the doctoral university studies end with the public defense of the doctoral thesis.
- (3) The doctoral thesis is an original work, being mandatory to mention the source for any cited material.
- (4) The doctoral student is the author of the doctoral thesis and assumes the correctness of the data and information presented in the thesis, as well as the opinions and demonstrations expressed in this paper.
- (5) The PhD supervisor jointly liable with the author of the thesis for respecting the quality or professional ethics standards; this includes ensuring the originality of the content, according to the regulations of article 170 of the National Education Law 1/2011, with subsequent amendments and updates.

**Art. 2. The conflict of interest**

- (1) The person involved in the evaluation procedure is in a situation of conflict of interest, when there is a personal interest, in the following cases:
- a) this person is the husband, brother-in-law or relative up to the 2nd degree with the person whose file is being evaluated, including with the PhD advisor;
- b) this person has benefited in the last 3 years prior to the evaluation or currently has any kind of benefits from the evaluated person, including from the PhD advisor.
- (2) These situations do not include occasional collaborations with the Institution organizing the academic doctoral studies, such as participation in doctoral or habilitation committee, other than those under the direct analysis of National Council for Attestation of University Degrees, Diplomas and Certificates.

**Chapter 2.**

**The evaluation and the public defense of the doctoral thesis**

- Art. 3.** In order to start the doctoral thesis evaluation procedures, the doctoral student submits to the doctoral school a signed application regarding the initiation of the thesis evaluation procedures by the guidance committee, approved by the PhD advisor, for pre-examination (Annex 1) and sends the thesis and the list of publications in digital format to the PhD advisor, in order to achieve the certificate on the validation of the list of papers and the similarity report. The verification period cannot exceed 30 days from the date of submission of the doctoral thesis.

- Art. 4. (1)** The PhD supervisor sends the request to perform the analysis of similarities of the content of the doctoral thesis (in Word format, without bibliography and contents) using a program recognized by National Council for Attestation of University Degrees, Diplomas and Certificates, to the Research and Innovation Management Department, by e-mail to [cercetare@ase.ro](mailto:cercetare@ase.ro).
- (2)** The list of publications in digital format will be sent by the PhD supervisor to the Research and Innovation Management Department, in order to verify the fulfillment of the minimum criteria regarding the public defense of the doctoral thesis established by Senate Decision. The Research and Innovation Management Department issues the certificate regarding the validation / invalidation of the list of papers, within 5 working days from the receipt and confirmation of the documents and sends it to the PhD advisor.
- (3)** The Research and Innovation Management Department issues the similarity report, within 5 working days from the receipt and confirmation of the documents and sends it to the PhD advisor, to the e-mail address from which the request was received (the address will be entered in the CC by e-mail to [doctorat@ase.ro](mailto:doctorat@ase.ro)). The doctoral student benefits from the free checking of the doctoral thesis at the proposal of the PhD advisor; for additional checking of the thesis through the system of identification of similarities, a checking fee is paid, according to the Methodology regarding the fees applied in the Bucharest University of Economic Studies, in the current academic year.
- (4)** *The similarity report and the Certificate on the validation of the list of papers are submitted to the PhD supervisor and the doctoral student in electronic format and they are included in the «doctoral file».*
- (5)** If the similarity coefficients exceed the levels of 30% for CS1 and 5% for CS2, the PhD supervisor will ask the doctoral student to remake the thesis. If the requirements regarding the minimum criteria for the public defense of the doctoral thesis are not met, the public defense of the thesis in front of the guidance committee will be postponed until these criteria are met.

- Art. 5. (1)** The doctoral thesis is presented in front of the guidance committee.
- 2)** After this pre-examination defense, which can be public, the PhD supervisor and the guidance committee decide on the official submission of the thesis and the organization of the public defense.
- (3)** The acceptance report of the PhD supervisor and the agreement of the members of the guidance committee are included in the “doctoral file”. The duration of the thesis evaluation process in the guidance committee is 30 days and it can be extended by a maximum of 30 days in duly justified situations.

**Art. 6. Submission of the doctoral file to the Council for Doctoral Studies Office**

After obtaining the favorable opinion of the PhD supervisor and the members of the guidance committee on the official submission of the thesis and the organization of the public defense, the doctoral student submits it to the Council for Doctoral Studies Office, at least 30 days before the estimated date of the public defense, a file folder with metal clips containing the following documents:

- a)** Application signed by the doctoral student, registered at the doctoral school, regarding the initiation of the thesis evaluation procedures by the guidance committee, approved by the PhD advisor, for pre-examination (Annex 1) - 2 copies;
- b)** Application for initiation of the public defense procedure (Annex 2) – 2 copies ;
- c)** Resolution of the guidance committee (Annex 3) - 2 copies;
- d)** List of papers, according to the compulsory information from the list of papers, signed and dated by the student - doctoral student (Annex 4) - 2 copies;
- e)** Application for the approval of the PhD thesis committee addressed to the Council Of University Doctoral Studies (with the opinion of the Doctoral School Council) (Annex 5) - 2 copies;

- f)** The request of the PhD supervisor regarding the proposal of the committee for public defense of the doctoral thesis (Annex 6) - 2 copies;
- g)** A CD that will include:
  - i. The full text of the doctoral thesis (in PDF format);
  - ii. Abstract of the doctoral thesis, in Romanian, containing the title of the doctoral thesis, the content, keywords, synthesis of the paper (in PDF format);
  - iii. Doctoral thesis abstract, in English, containing the title of the doctoral thesis, content, keywords, synthesis of the paper (in PDF format);
  - iv. Doctoral student's CV in Europass format in Romanian or English, updated, dated and signed;
  - v. CVs of the members proposed to be part of the PhD thesis committee, updated, dated and signed;
  - vi. Agreement of the members proposed to be part of the PhD thesis committee (Annex 7);
  - vii. Complete similarity report;
  - viii. Resolution of the PhD supervisor and of other persons who have analyzed the similarity report (Annex 8).
- h)** The abstract of the doctoral thesis, in Romanian and in English, in printed format, containing the title of the doctoral thesis, the content, the key words, the synthesis of the paper;
- i)** CV of the doctoral student in Europass format in Romanian or in English - in printed, updated, signed and dated format;
- j)** The report of the PhD advisor, dated and signed - 2 copies;
- k)** Certificate regarding the similarity report - 2 copies;
- l)** Similarity report, first 2 pages - 1 copy;
- m)** Resolution of the PhD supervisor and of other persons who have analyzed the similarity report (Annex 8);
- n)** Certificate regarding the validation of the list of works - 2 copies;
- o)** The agreement of the members proposed to be part of the PhD thesis committee, annex 7 (in the form of a scanned copy) and the CVs of the members proposed to be part of the PhD thesis committee in physical format, updated, signed and dated;
- p)** Declaration regarding the agreement for the publication of the doctoral thesis (Annex 14);
- q)** Declaration of consent for the processing of personal data by the doctoral student (Annex 15);
- r)** Declaration of consent for the processing of personal data - by each member of the committee (Annex 16).

- (1)** When the doctoral student submits the thesis in electronic format and, as the case may be, in printed format to the Council Of University Doctoral Studies, this Office issues a document registered in the register of records of the institution and this document is part of the doctoral file.
- (2)** In exceptional circumstances (such as the state of emergency, the state of alert or other specific situations approved by the Council for Doctoral Studies), the documents specified in article 6 paragraph (1) may also be submitted in digital format.

**Art. 7. (1) The public defense of the doctoral thesis will take place after the following stages:**

- a)** Approval by Council for Doctoral Studies of the PhD thesis committee;
- b)** Issuing and signing the decision to appoint the PhD thesis committee;
- c)** Submission to Council for Doctoral Studies of the reports of the members of the committee (3 documents), 2 copies each, signed and dated;
- d)** Submission to Council for Doctoral Studies of the assumption of responsibility: in 2 copies, signed by the doctoral student and the PhD advisor, according to article 71 paragraphs (1) and (2) of the Institutional Regulation on the organization and conduct of doctoral studies in force (Annex 9);
- e)** Submission to the Council for Doctoral Studies of the Certificate from the library, attesting the submission of the doctoral thesis to the library of Bucharest University of Economic Studies -1 copy. In order to obtain the certificate from the library, the doctoral thesis is submitted to the Central library of Bucharest University of Economic Studies, at least 20 days before the public defense, as follows:
  - A.** A copy of the doctoral thesis, as written document;
  - B.** A CD containing 3 files:
    - i.** A copy of the doctoral thesis in electronic format, in a PDF file
    - ii.** Summary of the doctoral thesis in electronic format, in a PDF file, which includes:
      - 1. Summary in Romanian
        - a. Contents
        - b. Keywords
        - c. Abstract of the paper
        - d. CV of the doctoral student
      - 2. Summary in English (or another language of international circulation):
        - a. Contents
        - b. Keywords
        - c. Abstract
        - d. CV
- f)** Submission to the Council for Doctoral Studies of the Evidence of payment of the fee for public defense of the doctoral thesis, according to the Methodology regarding the fees applied in the Bucharest University of Economic Studies, in force. The fee is paid at the cashiers of this University, by payment order or by bank transfer.
- g)** Submission to the Council for Doctoral Studies of the certified copy according to the original, of the following documents (2 copies):
  - i.** Birth certificate;
  - ii.** Marriage certificate (if applicable);
  - iii.** High school diploma;
  - iv.** Bachelor's degree and study report card / diploma supplement,
  - v.** Master's degree (as applicable) and study report card / diploma supplement (if applicable);
- h)** Submission to the Council for Doctoral Studies of the thesis as a printed paper, printed on both sides and of a CD with the doctoral thesis in electronic format. The thesis cover model and other details regarding it are presented in the Guide for the elaboration of the doctoral thesis.
- i)** After receiving the doctoral thesis evaluation reports from the committee and only if all the documents are favorable, the Application for scheduling the public defense, signed by the doctoral student and approved by the PhD supervisor and by the president of the PhD thesis committee, is submitted to the Council for Doctoral Studies, at least 20 calendar days before the public defense (Annex 10).

- (2) In exceptional circumstances (such as the state of emergency, the state of alert or other specific situations approved by the Council for Doctoral Studies), the documents specified in article 7 paragraph (1) may be also submitted in digital format.
- (3) When the doctoral file has all of the documents listed above, **the announcement of the public defense of the thesis is displayed, at least 20 calendar days before the date of the public defense**, established by the president of the PhD thesis committee, according to the regulations in force (Annex 11). The announcement of the public defense of the doctoral thesis must include the date, location and time of the public defense, the PhD supervisor or advisors, as well as the place where the full text of the thesis can be read in printed format. The announcement of the public defense, the summary of the thesis in electronic format, the CV of the doctoral student, the CVs of the members of the PhD thesis committee or links to them are displayed on the website [www.doctorat.ase.ro](http://www.doctorat.ase.ro)

**Art. 8. The public PhD defense scenario will be as follows:**

- (1) The public defense of the doctoral thesis can take place in the presence of at least four of the five members of the committee, where the president of the committee and the PhD supervisor must participate and only after the thesis has received positive evaluation reports from all members of the PhD thesis committee.
- (2) The referent who, for objective reasons, is absent, will send to the president of the committee the analysis report on the doctoral thesis, as well as a written statement in which he will express his vote and grade and mention the reason for not participating in the public defense of the PhD thesis (Annex 12).
- (3) The president of the committee will record the questions, answers and debates that will take place in the meeting and, as the case may be, in the report of the public defense will record the grade for the given by the absent referent and will sign for it.
- (4) In exceptional circumstances (such as the state of emergency, the state of alert or other specific situations approved the Council for Doctoral Studies), the public defense of the doctoral thesis can also take place online, by videoconference. The doctoral student and the members of the committee can participate in the public defense of the doctoral thesis online.
- (5) The online defense can take place either with the presence of all the members of the committee and the doctoral student online or with the presence of only a part of the members of the committee, in a room from the Bucharest University of Economic Studies and with the rest of the members of the committee being online.
- (6) The Council for Doctoral Studies Office and the Information and Communication Technology Department of the Bucharest University of Economic Studies will provide support in organizing the public defense of the doctoral thesis online, ensuring free access for those interested (based on a request addressed at least two days before defending the thesis at [doctorat@ase.ro](mailto:doctorat@ase.ro)), as well as the full registration and archive of the doctoral thesis.
- (7) If the public defense of the doctoral thesis will be held online, the report in which the decision of the PhD thesis committee is mentioned, will be signed electronically by the members of the committee.
- (8) If the doctoral thesis is written in a language of international communication, the public defense may be conducted in that language with the approval of the PhD thesis committee. If the thesis is defended in a language of international communication, this will be mentioned in the report of the thesis defense and in the announcement prepared by the Council for Doctoral Studies.

- (9)** This is how the debate unfolds:
- a) The president of the PhD thesis committee opens the meeting and presents the final report regarding the ending of the doctoral studies;
  - b) The doctoral student briefly presents (around 20 minutes) the synthesis of the research from the PhD thesis;
  - c) Each official referent, member of the PhD thesis committee, presents his / her thesis report and at the same time asks the doctoral student questions about the content of his / her doctoral thesis. He / she writes them down and answers them after the referent has finished his set of questions and comments;
  - d) The members of the PhD thesis committee present the evaluation reports of the PhD thesis in the following order: first, the external referents, followed by the internal referent, the member from the Institution organizing the academic doctoral studies – Bucharest University of Economic Studies;
  - e) The president of the committee asks the questions to which the doctoral student will answer;
  - f) The PhD supervisor will be the last one to speak. He presents the official report, the comments on the PhD thesis and / or his collaboration with the doctoral student.
  - g) The president of the committee invites the public specialists to ask questions to which the doctoral student answers successively;
  - h) The PhD thesis committee withdraws to evaluate and deliberate the grade to be assigned to the doctoral thesis and its public defense. The grade will be voted and will be decided by the committee only if there is gathered at least half plus one of the votes (minimum four votes). Each member of the committee shall sign for the grade that is given and the president of the committee shall record the grade which received the majority of the votes and will sign.
  - i) Then the President invites the audience to stand up and hear the decision that awards the title of doctor to the doctoral student;
  - j) The doctoral student will give speech to make additional remarks related to the period in which he / she elaborated the doctoral thesis;
  - k) The president closes the public defense.
- (10)** Based on the public defense of the doctoral thesis and the reports of the official referents, the PhD thesis committee evaluates and deliberates on the grade to be assigned to the doctoral thesis. The grades that can be assigned are: "Excellent", "Very good", "Good", "Satisfactory" and "Unsatisfactory".
- (11)** The president of the committee finishes the report of the public PhD defense (Annex 13) and the annex with questions and answers (Annex 13.1). This report is signed by all of the members of the PhD thesis committee.
- (12)** If the doctoral student has fulfilled all the requirements provided in the scientific research program and if the assessments on the PhD thesis allow the awarding of the grade "Excellent", "Very good", "Good" or "Satisfactory", the PhD thesis committee proposes to grant the PhD award. The proposal is submitted to National Council for Attestation of University Degrees, Diplomas and Certificates, for evaluation and validation. National Council for Attestation of University Degrees, Diplomas and Certificates, following the evaluation of the PhD file, proposes to the relevant Ministry the granting or non-granting of the PhD award.

(13) If assigning the grade Unsatisfactory, the PhD thesis committee will specify the content elements to be revised or added in the doctoral thesis within a period of time set by the committee and will request a new public defense of the thesis. When this period finishes, the same committee for public defense of the PhD thesis analyses the fulfillment of the requirements and submits to the vote a new grade. If the grade awarded is still Unsatisfactory, the doctoral thesis is considered rejected and the doctoral student is expelled.

**Art. 9. (1)** After the public defense of the doctoral thesis, **within a maximum period of 7 calendar days**, the doctoral student will submit to the Council for Doctoral Studies Office, the (physical) doctoral file for the defense and the CD with the following documents in PDF format:

1. Identity card (copy);
2. Birth certificate (copy);
3. Document certifying the change of name (if applicable) (copy);
4. PhD student CV (signed and dated);
5. Registration decision;
6. Study contract and additional documents (where applicable);
  - 6.1. Additional act no.1;
  - 6.2. Additional act no.2 and so on
7. Application for initiation of the thesis evaluation procedures by the guidance committee, application signed by the doctoral student, registered at the doctoral school, approved by the PhD advisor, in order to be pre-examined (Annex 1);
8. Request regarding the initiation of the procedure for public defense of the PhD thesis / pre-examination (Annex 2);
9. Statement of assumption of responsibility (Annex 9)
10. Certificates regarding the validation of the list of publications and the similarity report:
  - 10.1 Certificate regarding the validation of the list of publications;
  - 10.2 Report of similarity;
  - 10.3 Resolution of the PhD supervisor and, if applicable, of other persons who have analysed the similarity report (Annex 8);
11. Preliminary report prepared prior to the public defense of the thesis and documents that confirm that the PhD student has attended the doctoral study program
12. The proposal of the PhD supervisor regarding the members of the PhD thesis committee (Annex 6) and the Application for the approval of the PhD thesis committee (Annex 5);
13. CVs (for all members of the committee:
  - 13.a name of the member of the committee,
  - 13.b name and so on), updated, signed and dated;
14. Decision for nominating the PhD thesis committee;
15. Application for the scheduling of the public defense, approved by the PhD supervisor and the president of the doctoral committee, submitted at least 20 calendar days before the proposed date for defense (Annex 10);
16. Announcement of public PhD defense (displayed at least 20 calendar days before the date of support) (Annex 11);
17. Certificate regarding the submission of a printed copy of the thesis to the Library;
18. Reports of official referents, members of the doctoral commission, signed by them; these reports are copies or they are electronically signed documents scanned individually (18.1., 18.2., 18.3);
19. Acceptance report from the PhD advisor;
20. Opinion of the PhD thesis committee (Annex 3);
21. The report of the public defense of the thesis and its annex with questions and answers containing the proposal for the granting of the doctoral award (Annex 13, 13.1) and declaration of absence of a member (if applicable), (Annex 12). The report will be signed by all members of the doctoral committee and will be added to the file as a copy or as an electronically signed document.

22. Summary of the PhD thesis, both in Romanian and English /French /German, containing the title of the doctoral thesis (22.a; 22.b)
23. Doctoral thesis and annexes in electronic format (format.pdf)
24. List of publications that are the result of scientific research during the doctoral program; these articles are published or accepted to be published, if applicable; each article is presented individually, in PDF format, no larger than 10 MB (24. List of papers, 24.1 , 24.2, ..... 24.n scanned papers/articles)
25. PhD student statement regarding the options for the publication of the thesis (Annex 14);
26. Documents certifying all the studies graduated (diplomas and diploma supplements, in PDF format, each document scanned individually)
27. Request from the Institution organizing the academic doctoral studies to start the evaluation procedure of the PhD thesis at National Council for Attestation of University Degrees, Diplomas and Certificates, registered at the Ministry of Education and Research.

**(2)** In exceptional circumstances (such as the state of emergency, the state of alert or other specific situations approved the Council for Doctoral Studies), the documents specified in article in 8 paragraph (1) may also be submitted in digital format.

**Art. 10.** The doctoral thesis and its annexes, in electronic format, are signed with qualified / advanced electronic signature by the persons nominated by the Institution organizing the academic doctoral studies – Bucharest University of Economic Studies and are uploaded on the platform in PDF format where the main text is represented as it is and not by images. Audio, video or graphic illustrations may be an exception to this rule.

- Art. 11. (1)** In order for the process of evaluating the doctoral files to take place, the Council for Doctoral Studies has to print the doctoral file and to also save it in electronic format.
- (2)** Council for Doctoral Studies verifies the doctoral file.
  - (3)** The documents in electronic format (PDF), signed with qualified / advanced electronic signature by the persons nominated by the Council Of University Doctoral Studies, that are part of the doctoral file are uploaded to the specific platform by the Council Of University Doctoral Studies and represent the electronic doctoral file.
  - (4)** The doctoral file is uploaded to the platform within a maximum period of 30 days from the date of the public defense of the doctoral thesis.
  - (5)** Council for Doctoral Studies is responsible for the accuracy of the uploaded data. Through the qualified/advanced electronic signature, Council for Doctoral Studies assumes the responsibility for the conformity with the original of the documents included in the electronic file of the doctoral student, including the conformity of the documents in electronic format with those in printed format.
  - (6)** When uploading the electronic file of the doctoral student, Council for Doctoral Studies indicates the profile of the doctoral student, mentioning also the doctoral field targeted for obtaining the doctoral award.

This methodology was approved in the Senate Meeting of December 16<sup>th</sup> 2020.