Example of Guidelines for the *ExPost* Evaluation of Doctoral Programs

C3QA Project

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INTRODUCTION

The guide presented here is an example model to be used by each country in order to establish its criteria and rubrics, according to what is expected in each PC of its doctoral programmes (DPs), but under the framework of the ESGx. It is related to chapter 7 of the "Framework-MODEL for External Quality Assurance (F-EQA-M)" document, in which the different ESGxs are also detailed (chapter 9) (http://www.enqa.eu/wp-content/uploads/2015/11/ESG_2015.pdf). Therefore, the aspects to be evaluated, as well as the standards and criteria are in accordance with those described in the aforementioned document.

The objectives of this guide-model are to provide PCs with a tool on which to base themselves in order to develop their procedure and criteria when evaluating (ExPost Accreditation) the proposals for Doctoral Programmes. But, on the other hand, Universities and Doctoral Schools can also use it to develop their monitoring tools (monitoring in IQA) and analyze their situation and prepare the forms to submit to ExPost Accreditation.

The *standards and criteria* to be considered in this guideline are

> Quality of the training program
>
> Relevance of public information
>
> Efficiency of the internal quality assurance system (IQA)
>
> Teaching staff quality and suitability
>
> Effectiveness of learning support systems
>
> Quality of results

In chapters 1 to 6, which are given below, the title of the chapter describes the name of the aspect to be evaluated. Below is a short introduction to the contents to be reviewed within the chapter and describes in what sense and in what depth each standard should be reviewed (with an explanation of what and how to consider, in order to evaluate each of these indicators). Below is a table of rubrics with the different indicators to be considered when evaluating the standards. The assessment system, based on evaluation rubrics, qualitatively assesses standards and criteria.

Additionally, Chapter 7 includes a proposal for a quantitative assessment to do the evaluation of DPs that achieve the mention of excellence.

1 QUALITY OF THE TRAINING PROGRAM

Institutions should have running processes within their IQAS that allow for the design and approval of qualifications in a manner consistent with European standards and guidelines for internal quality assurance in higher education institutions, in particular: ESG 1.2 (Programme design and approval), ESG 1.3 (Student-centered teaching, learning and assessment) and ESG 1.4 (Admission, progression, recognition and certification of students).

1.1 <u>**Standard: The design of the programme (lines of research, profile of competences and training activities) is updated according to the requirements of the discipline and meets the training level required in the regulatory framework for qualification of the corresponding country.**</u>

- The programme has mechanisms in place to ensure that the entry profile of doctoral candidates is adequate and that their number is consistent with the characteristics and distribution of the programme's research lines and the number of places offered.
- The programme has adequate mechanisms for supervising doctoral students and, if applicable, their training activities.

The **evidences** that will need to be considered to evaluate this standard are the following:
- Updated report for the verification of the degree
- Verification and, if necessary, modification report

The **indicators** to be considered in the assessment of this standard are as follows:
- Admissions offer.
- Demand.
- Newly enrolled students.
- Total number of students enrolled.
- Percentage of foreign students enrolled.
- Percentage of students coming from master's studies at other universities.
- Percentage of students enrolled on a part-time basis.
- Percentage of students with scholarships.
- Percentage of students according to entrance requirements.
- Percentage of students by research line.

1.2 **Evaluation rubrics**

1.2.1 The programme has mechanisms in place to ensure that the admission profile of doctoral candidates is adequate and that their number is consistent with the characteristics and distribution of the programme's research lines and the number of places offered.	
In progress towards	The programme has well-developed mechanisms to ensure that the profile and number of students are appropriate.

excellence	All students have the appropriate profile according to the scope and characteristics of the program.
	The number of students is appropriate considering the initial offer of openings, the lines of research and the characteristics of the program.
Achieved	The programme has mechanisms in place to ensure that the profile of students and their numbers are appropriate.
	Most students have the right profile according to the scope and characteristics of the programme.
	The number of students is coherent considering the initial offer of places, the lines of research and the characteristics of the programme.
Achieved with conditions	The programme has mechanisms in place to partially ensure that the profile and number of students are appropriate.
	Some of the students have the right profile according to the scope and characteristics of the programme.
	The student enrolment rate is far from the number of places offered and/or is partially adjusted to the characteristics and lines of research of the programme.
Not achieved	The programme does not have mechanisms in place to ensure that the profile of students and their numbers are appropriate.
	Most students do not have the appropriate profile according to the scope and characteristics of the programme.
	The enrolment rate differs greatly from the number of places available, the characteristics and the lines of research of the programme.

1.2.2 The programme has appropriate mechanisms for supervising doctoral candidates and, if applicable, their training activities.

In progress towards excellence	The programme has very appropriate mechanisms for the supervision of doctoral students and, where appropriate, their training activities.
Achieved	The programme has appropriate mechanisms for monitoring doctoral students and, where appropriate, their training activities.
Achieved with conditions	The mechanisms for supervising doctoral candidates and, where appropriate, the training activities available to the programme are dysfunctional
Not achieved	The supervisory mechanisms for doctoral candidates and, where appropriate, the training activities are inadequate.

2 RELEVANCE OF PUBLIC INFORMATION

Transparency of information is key to building confidence and increasing competitiveness regarding the quality of university education.

This relevance of transparency is reflected transversally in the European standards defined by ENQA, which refer to access to information on the qualifications by the different interest groups. The current accreditation standard must reflect this highlighted position of the public information related to the training programme, in accordance with **ESG 1.8** (Public information).

Institutions should provide information including the availability of programmes and selection criteria, the expected learning outcomes, the qualifications to which they lead, the teaching, learning and assessment procedures used, the academic outcomes achieved, the learning opportunities available to students, as well as information on the employability of their graduates. (**ESG 1.7** Information management, **ESG 1.1** Quality assurance policy).

2.1 <u>**Standard: The institution adequately informs all of the interest groups about the characteristics of the DP and the management processes that guarantee its quality.**</u>

- The institution publishes truthful, complete and up-to-date information on the characteristics of the doctoral programme, its operational development and the results achieved.
- The institution ensures easy access to relevant information on the doctoral programme for all the interest groups, including the results of the monitoring and, where appropriate, its accreditation.
- The institution publishes the IQAS in which the doctoral programme is framed.

The **evidences** to be considered in evaluating this standard is as follows:
- Web of the institution and degree (university).
- Documentation related to the IQAS processes on public information, information gathering and accountability (university).

The **mínimum indicators** to be considered in assessing this standard are as follows:
> ACCESS TO THE DP
>> - Objectives of the programme.
>> - Admission profile.
>> - Output profile.
>> - Number of places offered.
>> - Registration period and procedure.
>> - Admission requirements and criteria.
>> - Procedure for assigning a tutor and a thesis supervisor.
>> - Training complements.
>> - Scholarships.
> ORGANISATION
>> - Lines of research.

- Training activities.
- Procedure for the elaboration and defence of the research plan.

OPERATIONAL PLANNING
- Academic regulations.
- Duration of studies and permanence.
- Academic Calendar.
- Learning resources:
    o Virtual communication spaces.
    o Laboratories.
    o Library.
    o Others.
- Internal quality assurance system.

FACULTY
- Teaching staff of the programme.
- Academic and research profile.
- Contact information.

MOBILITY PROGRAMMES
- Objectives.
- General regulations.
- Scholarships.

DOCTORAL THESIS
- Regulations and general framework (evaluation, deposit, defence, international mention, structure, etc.).
- Dissertations defended in recent academic years.

EMPLOYABILITY
- Main job opportunities (companies, universities and other institutions) for doctoral students in the programme.

QUALITY OF THE TRAINING PROGRAMME
- Offer of vacancies.
- Demand.
- Newly enrolled students.
- Total number of students enrolled.
- Percentage of foreign students enrolled.
- Percentage of students coming from master's studies at other universities.
- Percentage of students enrolled on a part-time basis.
- Percentage of students with scholarships.

FACULTY SUITABILITY
- Number of professors with thesis defended recently.
- Percentage of qualified research period of supervisors with defended theses

EFFECTIVENESS OF LEARNING SUPPORT SYSTEMS
- Doctoral students' satisfaction with their studies.
- Satisfaction of the thesis supervisors with the studies.

QUALITY OF RESULTS
- Number of theses defended in the context of full-time studies.
- Number of theses defended in the context of part-time studies.
- Average duration of the full-time DP.
- Average duration of the part-time DP
- Dropout rate from the programme
- Percentage of PhDs with international recognition
- Number of scientific results of doctoral theses.
- Percentage of PhD students who have completed research stays.
- Employment rate.
- Rate of adaptation of work to studies.

2.2 **Evaluation Rubric**

2.2.1 The institution publishes true, complete and up-to-date information on the characteristics of the doctoral programme, its operational development and the results achieved.

In progress towards excellence	It provides up-to-date, comprehensive and relevant information on the characteristics of the programme and its operational development
	The information is very clear, readable, aggregated and accessible to all groups of interest.
Achieved	Relevant information is provided on the characteristics of the programme and its operational development.
	The information is clear, legible, aggregated and accessible to the groups of interest.
Achieved with conditions	Partial information is provided on the characteristics of the programme and its operational development.
	The published information has certain shortcomings in terms of clarity, readability, aggregation and accessibility.
Not achieved	Deficient information is provided on the characteristics of the programme, its operational development.
	The published information is seriously lacking in terms of clarity, readability, aggregation and accessibility.

2.2.2 The institution ensures easy access to relevant information on the doctoral programme for all groups of interest, including the results of monitoring and, where appropriate, accreditation..

In progress towards excellence	Access to information for the groups of interest is easy, complete and aggregated, and includes the academic results and satisfaction of the program.
Achieved	The institution provides access to information for groups of interest that includes academic results and program satisfaction.
Achieved with conditions	The institution provides partial access to information for the groups of interest.
Not achieved	The institution does not provide easy access to information or does not include information on the academic results and satisfaction of the degree

2.2.3 The institution publishes the IQAS that forms the framework of the doctoral programme.

In progress towards excellence	The institution thoroughly publishes and disseminates the quality policy, processes and accountability elements of the IQAS, including the results of monitoring and accreditation.
Achieved	The institution publishes the quality policy, the processes of the IQAS and the elements derived from it for accountability, including the results of monitoring and accreditation.
Achieved with conditions	The institution partially publishes the quality policy, the processes of the IQAS and the elements derived from it for accountability, including the results of monitoring and accreditation.
Not achieved	The institution does not publish the quality policy, the processes of the IQAS and the elements derived from it for accountability.

3 EFFICIENCY OF THE INTERNAL QUALITY ASSURANCE SYSTEM (IQA)

Universities must ensure that their actions are in the right direction to achieve the objectives associated with their teaching. To this end, they must have formally established and publicly available internal quality assurance policies and systems. The IQAS is therefore a key instrument in defining the training activities of the centre, and one that responds to **ESG 1.1, ESG 1.9, and ESG 2.1** (Taking into account internal quality assurance).

At the time of accreditation of a degree, it is considered that the institution already has a formally established and sufficiently implemented IQAS that guarantees the quality of the degrees that are within its scope and that, therefore, defines the processes for the design, approval, implementation, monitoring, review and improvement.

3.1 <u>Standard: The institution has a formally established and implemented internal quality assurance system that efficiently ensures the quality and continuous improvement of the doctoral programme.</u>

- The implemented IQAS facilitates the processes of design and approval of the doctoral program, its monitoring and accreditation.
- The implemented IQAS ensures the collection of information and results relevant to the efficient management of doctoral programmes.
- The implemented IQAS is reviewed periodically to analyse its adequacy and, if necessary, an improvement plan is proposed to optimise it.

The **evidences** to be considered in evaluating this standard are the following:
- Documentation of the IQAS (university):
- Design and approval process for doctoral programmes.
- Monitoring process of doctoral programmes.
- Accreditation process for doctoral programmes.
- IQAS review process.
- Plans and monitoring of actions to improve the doctoral programme (university).
- Tools for collecting data on the degree of satisfaction of interest groups (university).

3.2 <u>Evaluation rubric</u>

3.2.1 The implemented IQAS facilitates the processes of design and approval of the doctoral programme, its monitoring and accreditation.	
In progress towards excellence	The IQAS has processes in place that facilitate the optimum design and approval of programmes, as well as their monitoring and accreditation, with the involvement of all groups of interest.

Achieved	The IQAS has processes in place that facilitate the design and approval of programmes, as well as their monitoring and accreditation, with the involvement of the most significant groups of interest.
Achieved with conditions	The IQAS has processes in place that partially facilitate the design and approval of programs, as well as their monitoring and accreditation,
Not achieved	The IQAS does not have processes in place (or have not been implemented) for programme design and approval, monitoring and accreditation.

3.2.2   The IQAS implemented ensures the collection of information and results relevant to the efficient management of doctoral programmes.

In progress towards excellence	The IQAS has an implemented process that optimally manages the collection of relevant results, with the existence of a scoreboard with complete information on its evolution over time.
	The IQAS allows the collection of information on the satisfaction of groups of interest (especially graduates, doctoral students, faculty and employers) with the programme.
Achieved	The IQAS has an implemented process that manages the collection of relevant results, with the existence of a scoreboard with information on its evolution over time.
	The IQAS allows the collection of information on the satisfaction of doctoral students and graduates with the programme.
Achieved with conditions	The IQAS has an implemented process that partially manages the collection of relevant results, with the existence of a scoreboard with partial information on its evolution over time.
	The IQAS only collects information on the satisfaction of doctoral candidates in relation to partial aspects of the programme
Not achieved	The IQAS does not have a process (or is not implemented) for managing the collection of programme results. The data available are partial and do not include any time series.
	The IQAS does not collect information on interest group satisfaction with the programme. e información sobre la satisfacción de los grupos de interés con respecto al programa.

3.2.3 The implemented IQAS is periodically reviewed for adequacy and, if appropriate, an improvement plan is proposed to optimise it.

In progress towards excellence	The IQAS has a process in place that obliges the institution to periodically and completely review the adequacy of the IQAS itself. The review takes the form of a report that reflects on the functioning of the IQAS and makes it possible to monitor the changes made.
	The improvement actions of the IQAS are consistent with the review carried out and are structured in improvement plans that include all the necessary elements for an optimal and periodic monitoring of their implementation.
Achieved	The IQAS has a process in place for its review, which is set out in a report that reflects on the functioning of the IQAS and includes the changes made to the system.
	The improvement actions of the IQAS are consistent with the review carried out and are structured in improvement plans that include the minimum elements necessary to carry out a sufficient follow-up of the implementation of the measures.
Achieved with conditions	The IQAS has a process in place for its review, but it is not implemented. Some non-systematic actions are carried out to review and improve the IQAS processes.
	The IQAS improvement actions have a partial scope and prioritisation and are not systematically monitored.
Not achieved	The IQAS does not have a process for its review.
	No actions are taken to review and improve the IQAS.

4 TEACHING STAFF QUALITY AND SUITABILITY

The teaching staff must have the experience and training appropriate to the objectives of the doctoral programme and be sufficient in number and dedication to cover their main tasks: tutoring and thesis supervision, teaching and, where appropriate, evaluation of training activities, monitoring committees, programme management, etc. ESG 1.5.

The DP should reflect on the maintenance of the initial conditions for verification, especially on the following aspects:
- The accredited experience of the teaching and research staff.
- The quality of scientific contributions.
- The number of active competitive research projects.
- The internationalization of the teaching staff.

4.1 <u>**Standard: The teaching staff is sufficient and adequate, according to the characteristics of the DP, the scientific field and the number of students.**</u>

- The faculty has an accredited research activity.
- The teaching staff is sufficient and has the appropriate dedication to carry out their duties.
- The doctoral programme includes the appropriate actions to encourage the supervision of theses and the tutoring of doctoral students.
- The degree of participation of foreign professors and international doctors in the monitoring commissions and thesis courts is appropriate in the scientific field of the programme.

*The **evidences*** to be considered in evaluating this standard are the following:
- Competitive research projects in force in which the PI is a professor of the programme (university).
- Teachers who participate in current competitive research projects (university).
- Scientific contributions of the teaching staff relevant to the programme (university).
- Foreign teaching staff between the teaching staff who supervise doctoral theses and those who give training activities (university).
- Results of the actions aimed at teachers to promote the supervision of doctoral theses (university).
- If appropriate, a training plan or IQAS documents related to teacher quality assurance, human resources policies, etc. (university) may be considered.

*The **indicators*** to be considered in evaluating this standard are as follows:
- Number of thesis supervisors defended (university).
- Percentage of research periods continuously recognised by the teaching staff of the programme (university).
- Percentage of research periods continuously recognised for defended thesis advisors (university).

4.2 **Evaluation rubrics**

4.2.1 The faculty has an accredited research activity.

In progress towards excellence	At least 75% of the faculty associated with DP have an accredited research activity.
Achieved	Around 60% of the teaching staff associated with the doctoral programme have an accredited research activity.
Achieved with conditions	Less than 50% of the teaching staff associated with the doctoral programme have an accredited research activity.
Not achieved	Less than a quarter of the faculty associated with the doctoral programme have accredited research activity.

4.2.2 The teaching staff is sufficient and has the appropriate dedication to carry out their duties.

In progress towards excellence	Both the structure of the teaching staff and the number of professors are very suitable for supervising doctoral theses and attending to doctoral students and, where appropriate, for teaching the programme's training activities.
Achieved	Both the structure of the teaching staff and the number of professors are sufficient to supervise doctoral theses and to attend to doctoral students and, where appropriate, to carry out the training activities of the programme.
Achieved with conditions	The structure of the teaching staff and the number of professors are insufficient to supervise doctoral theses and to attend to doctoral students and, where appropriate, to carry out the training activities of the programme.
Not achieved	Both the structure of the teaching staff and the number of professors are seriously deficient in supervising doctoral theses and in attending to doctoral students and, where appropriate, in providing training activities for the programme.

4.2.3   The doctoral programme includes the appropriate actions to encourage the supervision of theses and the tutoring of doctoral students.

In progress towards excellence	The doctoral programme (or institution) has clear and highly appropriate mechanisms for recognising and promoting the work of tutoring and supervising theses.
Achieved	The doctoral programme (or the institution) has mechanisms for the recognition and promotion of tutoring and thesis supervision.
Achieved with conditions	There are shortcomings in the mechanisms for recognising and promoting the work of tutoring and supervising theses in the doctoral programme (or institution).
Not achieved	The doctoral programme (or the institution) does not have mechanisms for the recognition and promotion of tutoring and thesis supervision.

4.2.4   The degree of participation of foreign professors and international doctors in the monitoring commissions and thesis courts is appropriate in the scientific field of the programme.

In progress towards excellence	The programme has a high and relevant presence of international experts in the thesis courts and in the monitoring and previous reports commissions.
Achieved	The programme has the presence of international experts in the thesis courts and in the monitoring and previous reports commissions.
Achieved with conditions	The programme has a low presence of international experts in the thesis tribunals and in the commissions for monitoring and previous reports.
Not achieved	The programme does not include international experts in the thesis courts or in the monitoring and previous reports commissions.

5   EFFECTIVENESS OF LEARNING SUPPORT SYSTEMS

In addition to teachers, institutions must make available to students a range of services and resources to motivate, facilitate and enrich their learning, regardless of their location (on campus, distance learning, etc.). **ESG 1.6.**

5.1   **<u>Standard: The material resources and services necessary for the development of the activities foreseen in the doctoral programme and for the training of the doctoral candidate are sufficient and appropriate to the number of doctoral candidates and the characteristics of the programme.</u>**

- The material resources available are appropriate to the number of doctoral students and the characteristics of the doctoral programme.
- The services available to doctoral students provide adequate support for the learning process and facilitate their entry into the labour market.

The *<u>evidences</u>* to be considered in evaluating this standard is as follows:

- IQAS documentation on the process of quality assurance of material resources (university).
- Institutional action plan to facilitate labour market integration (university).
- Documentation from the IQAS on the support and guidance processes for doctoral students (university).

The *<u>indicators</u>* to be considered in evaluating this standard are as follows:

- Satisfaction of doctoral students with their studies (university).
- Satisfaction of the thesis supervisors with the studies (university).
- Material resources, such as facilities (spaces for the location and work of doctoral students, laboratories, computer rooms, libraries, etc.), technological infrastructures, equipment and scientific and technical material, etc.
- Services, mainly those of reception and other logistical services (housing, advice on legal matters regarding residence, etc.), academic orientation (grants, mobility, projects, etc.) and professional orientation and labour market insertion.

5.2 **Evaluation rubrics**

5.2.1   The material resources available are appropriate to the number of doctoral students and the characteristics of the doctoral programme.

In progress towards excellence	The material resources and other services available are very adequate to guarantee the development of the research to be carried out by doctoral students.
Achieved	The material resources and other services available are adequate to guarantee the development of the research to be carried out by doctoral students.
Achieved with conditions	The material resources and other services available are insufficient to guarantee the development of the research to be carried out by doctoral students.
Not achieved	The material resources and other services available are insufficient to guarantee the development of the research to be carried out by doctoral students.

5.2.2   The services available to doctoral students provide adequate support for the learning process and facilitate their entry into the labour market.

In progress towards excellence	The services available to doctoral students offer very adequate support for the learning process and facilitate their entry into the labour market.
	Students are very satisfied with the services and material resources available to them.
Achieved	The services available to doctoral students offer adequate support for the learning process and for entering the labour market.
	Students are satisfied with the services and material resources available to them.
Achieved with conditions	The services available to doctoral students are lacking in terms of support for the learning process and incorporation into the labour market.
	Students are partially satisfied with the services and material resources available to them.

Not achieved	The services available to doctoral students do not provide the necessary support for the learning process and the incorporation into the labour market.
	Students are not satisfied with the services and material resources available to them.

6 QUALITY OF RESULTS

In order to review and improve the degree, the results of the training programmes must be collected and analysed. The results are understood to be those of:

- learning and academics,
- job placement and
- stakeholder satisfaction.

The evaluation of the learning process in the preparation of the doctoral thesis is the process that allows the degree of achievement of the learning outcomes to be determined.

Both doctoral theses and training activities plus the evaluation system must be relevant, public and adequate to certify the learning reflected in the training profile. The adequacy of the evaluation system implies a judgement on its relevance (validity) and an assessment of the extent to which such activities discriminate, and its quality is ensured (reliability). **ESG 1.3 and ESG 1.4**.

The results of the employment insertion of doctors will also be assessed in this section, as they are one of the key results of university education.

6.1 **Standard: Doctoral theses, training activities and evaluation are consistent with the training profile. The quantitative results of the academic and labour market insertion indicators are adequate.**

- Doctoral theses, training activities and their evaluation are consistent with the intended training profile.
- The values of the academic indicators are suitable for the characteristics of the doctoral programme.
- The values of the labour market insertion indicators are suitable for the characteristics of the doctoral programme.

The *evidences* to be considered in evaluating this standard is as follows:

- Doctoral theses generated within the framework of the doctoral programme (university).
- Information on training activities and evaluation systems (university).

The *indicators* to be considered in evaluating this standard are as follows:

- Number of theses defended in the context of full-time studies.
- Number of theses defended in the context of part-time studies.
- Average duration of the full-time doctoral programme.
- Average duration of the part-time doctoral programme.
- Percentage of dropouts from the programme.
- Percentage of doctors with an international mention.
- Number of scientific results of doctoral theses.

- Percentage of PhD students who have completed research stays (of 3 months or more).
- Occupancy rate.
- Rate of adaptation of work to studies.

6.2 **<u>Evaluation rubrics</u>**

6.2.1 Doctoral theses, training activities and their evaluation are consistent with the intended training profile.	
In progress towards excellence	Documented evidence of the achievements of doctoral candidates, especially doctoral theses and other research results, shows *the high level of training and very well meets* the requirements of the required level of qualifications (MECES).
	The doctoral theses respond to a thematic planning in accordance with the groups and lines of research or transfer of knowledge of the teaching staff.
	Training methodology and activities are successfully aligned with learning outcomes. Assessment systems and criteria are very relevant for certifying and discriminating learning outcomes
Achieved	Documented evidence of the achievements of doctoral candidates, especially doctoral theses and other research results, *shows an adequate level of training and sufficiently satisfies* the requirements of the required level of qualifications (MECES).
	Most of the doctoral theses are based on a thematic plan in accordance with the groups and lines of research or transfer of knowledge of the teaching staff.
	Training methodology and activities are aligned with learning outcomes. Assessment systems and criteria are adequate for certifying and discriminating learning outcomes
Achieved with conditions	Documented evidence of the achievements of doctoral candidates, especially doctoral theses and other research results, *shows an uneven level of training and does not sufficiently meet* the requirements of the required level of qualifications (MECES).
	The doctoral theses respond partially to a thematic planning in accordance with the groups and lines of research or transfer of knowledge of the teaching staff.
	The methodology and training activities are partially aligned with the learning outcomes. Assessment systems and criteria are inadequate to certify and discriminate against learning outcomes.
Not achieved	Documented evidence of the achievements of doctoral candidates, especially doctoral theses and other research results, *shows an inadequate level of training and does not meet* the requirements of the required level of qualifications (MECES).

	Doctoral theses rarely respond to a thematic planning in accordance with the groups and lines of research or transfer of knowledge of the teaching staff.
	There is no clear relationship between learning outcomes and the programme's teaching methodologies and activities. Assessment systems and criteria are not adequate to certify and discriminate against learning outcomes.

6.2.2 The values of the academic indicators are suitable for the characteristics of the doctoral programme.

In progress towards excellence	The documentary evidence shows that the time series of all academic indicators is consistent with the typology of doctoral students and equivalent programmes, and clearly shows the continuous improvement of the degree.
Achieved	The documentary evidence shows that the time series of most academic indicators is consistent with the typology of doctoral candidates and equivalent programmes, and shows the continuous improvement of the doctoral programme.
Achieved with conditions	Documentary evidence shows that the time series of academic indicators is out of step with the typology of doctoral candidates and the equivalent programmes, and does not show a clear continuous improvement in the doctoral programme.
Not achieved	The documentary evidence shows that the time series of the academic indicators presents a significant and serious mismatch in relation to the typology of doctoral candidates and the equivalent programmes, and does not show a continuous improvement of the doctoral programme.

6.2.3 The values of the labour market insertion indicators are suitable for the characteristics of the doctoral programme.

In progress towards excellence	The usefulness of the training received is superior to that of other programmes in the same disciplinary field.
	The employment rate is higher than that of the labour force for the same reference period and age bracket and is higher than that of similar programmes.
	The adequacy rate is higher than that of other programmes in the same disciplinary area.
Achieved	The usefulness of the training received is adequate compared to that of other programmes in the same disciplinary field.
	The employment rate is higher than that of the labour force for the same reference period and age bracket and is adequate compared to similar programmes.

	The adequacy rate is adequate compared to other programmes in the same disciplinary field.
Achieved with conditions	The usefulness of the training received is low compared to other programmes in the same disciplinary field
	The employment rate is close to that of the labour force for the same reference period and age bracket, but is low compared to that of similar programmes.
	The adequacy rate is slightly low compared to other programmes in the same disciplinary area.
Not achieved	The usefulness of the training received is far below the average of the evaluation of other programmes in the same disciplinary field.
	The employment rate is low compared to that of the labour force for the same reference period and age bracket.
	The adequacy rate is lower than for other programmes.
	The degree does not carry out studies of labour market insertion

7 QUANTITATIVE ASSESSMENT CRITERIA FOR THE EXCELLENCE MENTION

In the case of an accreditation rating of "In progress towards excellence", it is possible to choose to obtain the EXCELLENCE MENTION if the indicators indicated in the following section are exceeded. The consequences of obtaining an EXCELLENCE MENTION and its scope must be defined by the cycle 3 reduction policies of each country.

7.1 Research curricula of the professors and researchers who have supervised doctoral theses defended in the DP

This criterion accounts for 20% of the final evaluation of the programme

Score of less than 60 out of 100 points, will not be eligible for the Excellence Mention

7.1.1 Overall research history (accounts for 15% of the value of the criterion)

The 15 most relevant contributions of all the professors and researchers who have supervised the thesis, selected by the person in charge/coordinator of the programme. (citation, impact factor) 1 point max per contribution in Q1 - Science Citation Index. -

7.1.2 Research history of each teacher or researcher (accounts for 85% of the value of the criterion) Average of all teachers

- The coordination of a research project (this section represents 20% of the value of the sub-criterion) included in competitive programmes of the European Union, the National Plans, and other public or private bodies or organisations subject to external evaluation, especially by the National Evaluation Agency or similar body. *1 point (0,5 points if only participates)*
- 4 scientific contributions to journals (This section accounts for 80% of the value of the sub-criterion). Published in a journal listed in the Science Citation Index. *(1pt Q1, 0.75 pt Q2, 0.5 pt Q3, 0.25 pt Q4)*

7.2 Performance in doctoral theses of the doctoral program

This criterion accounts for 25% of the final evaluation of the programme.

A score of less than 50 out of 100 points is not eligible for the Excellence Mention.

7.2.1 No. of theses defended/ No. of teachers (40% of the value of the criterion).

- Average reference value ≥ 2 →100%

7.2.2 Number of theses defended / Students. (accounts for 40% of the value of the criterion).

- Indicates abandonment or non-defence in time limits.
- Reference value 0.8 → 100%

7.2.3 Funded Students/Students (accounts for ==20%== of the value of the criteria).

- Reference ==value 0.8== → 100%

7.3 **Scientific performance of the doctoral theses defended**

This criterion accounts for ==25%== of the final evaluation of the programme.

A score of ==less than 50 out of 100 points== is not eligible for the Excellence Mention.

These scientific contributions may be outside of the period evaluated. Scientific contributions derived from doctoral theses that have not been defended within the evaluated period will not be considered. In these contributions, the doctoral candidate must appear as the author and contributions obtained in the thesis must be reflected in them.

The maximum score ==(100 points)== will be awarded when the evaluation of the publications, according to the criteria established in the "Research curricula" criterion, is 2 or more points on average per doctoral thesis.

- Select 2 contributions per thesis, published in a journal in the Science Citation Index. ==(1pt Q1, 0.75 pt Q2, 0.5 pt Q3, 0.25 pt Q4)==
- Average → benchmark 2 points → 100%.

7.4 **Mobility of students during the completion of their doctoral thesis**

This criterion accounts for ==10%== of the final evaluation of the programme.

A score of less than ==50 out of 100 points== is not eligible for the Excellence Mention.

7.4.1 Number of students with a stay abroad during their doctoral thesis / Total number of students registered. (accounts for ==20%== of the value of the criterion).

- Average reference value 0,5 → 100 points

7.4.2 Number of students who have participated in a mobility programme with a competitive call / Number of students who have stayed, ==(30%== of the value of the criterion).

- Average reference value 0.7 → 100 points

7.4.3 The average length of stays (months), (represents ==10%== of the value of the criterion).

- Average reference value 3 months → 100 points

7.4.4 Students who have completed their undergraduate studies or similar at a university other than the one carrying out their thesis/ Total number of students enrolled. (Capture). (accounts for ==30%== of the value of the criterion).

- Average reference value 0.5 →100 points

7.4.5 Thesis with International Mention/ Total number of participants. (accounts for <mark>10%</mark> of the value of the criterion).

- Average reference value 0.5 →100 points

7.5 <u>Adequacy and accessibility of programme regulations.</u>

This criterion accounts for <mark>10%</mark> of the final evaluation of the programme.

A score of <mark>less than 50 out of 100 points</mark> is not eligible for the Excellence Mention.

- Admission criteria
- Regulation on the preparation, processing and evaluation of the thesis
- Information concerning the quality assurance system of the programme.
- Contact details of the programme coordinator
- Information for students prior to enrollment in the doctoral program.

7.6 <u>Intensity of collaboration with other universities and bodies for the development of the programme.</u>

This criterion accounts for <mark>10%</mark> of the final evaluation of the programme.

A score of <mark>less than 50 out of 100 points</mark> is not eligible for the Excellence Mention.

- Collaborations with other universities and/or entities that favour the development of the programme (object of the collaboration, intensity of the collaboration, participating universities or entities, etc.).
- The existence of specific agreements with other national and foreign, public and private institutions for the programme (purpose of the collaboration, intensity of the collaboration, universities or participating entities, etc.).

8 RESULT OF EVALUATION

8.1 <u>Final evaluation report</u>

For the preparation of the final evaluation report issued by <mark>XXX</mark>, the main evidence will be the external visit report. The evaluation can be favourable or unfavourable and, according to the accreditation criteria, can be structured into four possible levels:

1. Favorable report:
    a. Accredited in progress towards excellence.

      b. Accredited.

      c. Accredited with conditions.

2. Unfavorable report:

      a. Not accredited.

      b. The evaluation report shall contain at least the following information:

           i. Description of the context of the doctoral programme.

          ii. Description of the procedure used, including the experts involved.

        iii. Evaluation results for each of the standards.

        iv. Final result of the evaluation.

         v. Good practices detected.

        vi. Proposals for improvement (recommendations for follow-up actions).

Include here the legal procedure and steps to receive the final report

8.2 **Certificates and effects of accreditation**

When the doctoral program under evaluation obtains a favourable evaluation report, a Favourable Accreditation certificate will be issued. This certificate shall be valid for continuing the program for a maximum of 6 years. These certificates shall be made public

The ExPost accreditation of a successful DP implies that it is authorized to be continued. The responsible university may continue its implementation, under the terms set out in the report, for a maximum period of 6 years.

If a favourable evaluation is not obtained, the responsible institution will not be able to register new students and must initiate all the actions included in the verification report to progressively extinguish the degree, always respecting the rights of the students enrolled.

Define according to each country's policies what implications and possibilities are involved in obtaining the Excellence Mention.

9 ACRONYMS

DAD Doctoral candidate's activities document

DP   Doctoral Program

PC   Partner country

SP   Salzburg Principles

ESGx European Standard Guidelines

IQA   Internal Quality Assurance

IQAS Internal Quality Assurance System

10 REFERENCES

http://www.aneca.es/

http://www.aqu.cat/