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**TECHNICAL UNIVERSITY**  
OF CLUJ-NAPOCA, ROMANIA

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Approved in the meeting of the Council of Administration Bureau of

14 January 2020

**INSTITUTIONAL REGULATION**  
**on the organisation and conduct of doctoral studies and advanced**  
**research post-doctoral programmes at the Technical University of Cluj-**  
**Napoca (UTCN)**

JANUARY 2020

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## Chapter 1. General framework

### Section 1.1 Purpose and Scope

- Art. 1** This institutional regulation, hereinafter abbreviated as “IR”, ensures the general reference framework for the organisation and conduct of the doctoral study programmes and advanced research post-doctoral programmes carried out by the Technical University of Cluj-Napoca, hereinafter referred to as “UTCN”.
- Art. 2** (1) This IR is applied to the activities of PhD training and post-doctoral activities throughout the entire university.
- (2) This IR also includes the general regulations referring to the organisation and functioning of doctoral schools provided for by the legislation in force.
- (3) Any other regulations specific to certain fields in which doctoral programmes are carried out within the UTCN doctoral school shall be included in this regulation.
- (4) The provisions of this IR also apply to the doctoral study programmes or post-doctoral programmes carried out as part of the university international cooperation, based on the memoranda of understanding signed between the UTCN and the specified institutions.

### Section 1.2 Legal Framework for Reference and Terminology

- Art. 3** (1) The legal framework of reference for this IR is set by:
- a) The Romanian Law of National Education no. 1/2011, amended;
  - b) The Romanian Government Decision H.G. 681/2011, The Code of doctoral studies, amended;
  - c) Law No. 288/2004, amended;
  - d) The UTCN Charter, in force on the date of approval of this IR.
  - e) The Romanian Order no. 5140 /11 September 2019 for the approval of the Methodology for academic mobility of students
- (2) This IR is correlated and completed by the UTCN Code of Ethics and by the UTCN Code for Quality Assurance.
- Art. 4** The specific terms mentioned hereinafter have the meaning defined in the reference legal framework mentioned in art. 3 paragraph (1), namely:
- a) doctoral studies – the higher cycle of higher education studies whose end purpose is to develop human resources competent in carrying out scientific research, capable of entering the highly qualified labour market. They are formed through research for the purposes of research, development, and innovation, and they represent the professional research experience, which ends after the defence of the PhD thesis with the awarding of the PhD title;
  - b) PhD student – the students enrolled in a doctoral study programme;
  - c) PhD supervisor – the teaching or research staff member who is experienced in scientific research and who coordinates the PhD student’s activity on condition they have obtained this right;

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- d) the doctoral study programme hereinafter referred to as the “doctoral programme” – the set of activities in which the PhD student is involved, which are relevant for the doctoral studies;
- e) PhD thesis – the original scientific work elaborated by a PhD student during their doctoral studies, a legal condition for the award of the PhD title;
- f) institution organising doctoral studies hereinafter referred to as IOSUD-UTCN, the institution entitled to organising doctoral programmes;
- g) doctoral school – an organisational and administrative structure set up within the IOSUD that offers the necessary support for the development of doctoral studies in a specific disciplinary or interdisciplinary subject or topic.
- h) Advanced research post-doctoral programmes for the persons who have obtained a PhD degree in science no more than 5 years before the entrance examination for the post-doctoral programme, and which can be organised by IOSUD-UTCN;
- i) The mentor - the PhD supervisor who coordinates the activity of the post-doctoral researcher.

### Section 1.3. Types of doctoral studies and advanced research post-doctoral programmes within the UTCN

- Art. 5** (1) Within the UTCN there is the UTCN doctoral school, which organises scientific doctoral programmes; consequently, this IR refers to this unique type existing within our institution.
- (2) If a doctoral school carrying out professional doctoral programmes is accredited, this IR is amended with the regulations specific to this type of programme.
- (3) IOSUD-UTCN assures the institutional framework for the development of advanced research after finishing PhD studies, in the specific PhD fields within IOSUD-UTCN.

## Chapter 2. Framework for the organisation of Doctoral Studies

### Section 2.1. The IOSUD and the CSUD

- Art. 6** As per the legal framework of reference mentioned in art. 3 paragraph (1) of this IR, UTCN is an Institution Organising Doctoral Studies (hereinafter referred to as “IOSUD-UTCN”).
- Art. 7** (1) Within the IOSUD-UTCN, doctoral studies are organised in a doctoral school that is accredited or temporarily authorised as per the legal provisions;
- (2) The IOSUD-UTCN offers institutional, administrative and logistic support to its composing doctoral schools;
- (3) Other universities or other research and development units can become affiliated to the IOSUD-UTCN following the signing of a partnership agreement, which does not lead to the establishment of a new legal entity.
- Art. 8** (1) According to law, the UTCN can become part of other IOSUD through:
- a) partnerships concluded with other higher education institutions within university

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consortia;

- b) legally established partnerships with public or private research and development units;
  - c) partnerships concluded between university consortia with research and development units.
- (2) The partnerships mentioned in paragraph (1) letters b) and c) are legally established through partnership agreements, which do not lead to the establishment of a new legal entity.
- (3) In the cases stipulated in paragraph (1) of this article, the institution that duly represents the IOSUD, as a legal entity, is as follows:
- a) the university consortium, in the case stipulated at article (1) letters a) and c);
  - b) the UTCN, in the case stipulated at article (1) letter b).
- (4) At national and international levels, the IOSUD-UTCN and its doctoral school may establish cooperation agreements with different organisations from the academic or socio-economic environment, based on which they may cooperate for the development of doctoral programmes or the activity carried out by some PhD students.

**Art. 9** The collective and individual management bodies of the UTCN as well as their general responsibilities are the same, being the ones established by the legal regulations in force, regarding its capacity of higher education institution and its complementary capacity of IOSUD.

**Art. 10** (1) The activities carried out within the doctoral studies of the university are run by the Council for Doctoral Studies, hereinafter referred to as the “CSUD”, which exists and functions based on the legal provisions in force and this IR.

(2) The CSUD is run by a director, who is a lawful member of the CSUD.

(3) The position of Director of CSUD is assimilated to the one of Vice-rector, as per the legal provisions in force, and the person appointed to this position also lawfully receives the responsibility and the authority pertaining to this position.

(4) The mandate of the CSUD members and the director is of 4 years.

**Art. 11**(1) The CSUD is made up of 17 members, as follows:

- a) the CSUD director, appointed after a contest;
  - b) 1 member elected directly through the universal, direct, secret and equal vote of the PhD supervisors within the IOSUD-UTCN;
  - c) 3 PhD students representing three different scientific profiles, elected through the universal, direct, secret and equal vote of the PhD students within the IOSUD-UTCN, one for each of the following scientific profiles: civil engineering, mechanics, and electrical engineering;
  - d) 12 members from within the IOSUD-UTCN or from outside it appointed by the Rector of the UTCN (scientific personalities whose activities have a significant international recognition and/or personalities from the relevant industrial and socio-economic sectors);
- (2) Those CSUD members who are also teaching or research staff members must have the right to supervise doctoral studies at national or international levels and to fulfil the minimum and mandatory standards for the award of the habilitation certificate in force on the date when they



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are appointed as CSUD members.

- (3) The setting up of the CSUD is made as per the methodology for the organisation of elections and appointment of the members of the Council for Doctoral Studies (CSUD) within the IOSUD-UTCN.
- (4) The deputy directors of the doctoral schools within the IOSUD-UTCN (if any) are permanently invited to the activities of the CSUD.

**Art. 12** (1) The main responsibilities of the CSUD are:

- a) to establish the strategy of the IOSUD-UTCN;
- b) to elaborate and update the IR;
- c) to coordinate the doctoral school within the IOSUD-UTCN;
- d) to approve the decisions regarding the establishment and the dissolution of doctoral schools within the IOSUD-UTCN;
- e) to select the PhD supervisors who are part of the doctoral school;
- f) to coordinate the partnerships established as per the legal regulations mentioned in art. 8 paragraph 1 of this IR, according to the partnership agreements;
- g) to approve the provisions specific to the doctoral school;
- h) to initiate and approve the projects for accessing national and European funds for doctoral and postdoctoral study programmes and to supervise, together with the project managers, their implementation process;
- i) other specific duties, established in this IR, according to law.

(2) The CSUD meets any time it is necessary, upon the request of the CSUD director or of at least 1/3 of its members.

**Art. 13** (1) The CSUD director is appointed based on a public exam organised by the UTCN.

(2) As per the decision of the exam commission, the Rector of the University concludes a management contract with the appointed director for 4 years.

(3) The exam methodology for the position of CSUD director is proposed by the Rector of the University and approved by the University Senate.

**Art. 14** The IR elaborated by the CSUD is first tabled for debate with the PhD supervisors within the UTCN, then it is endorsed by the CSUD and the Administration Council Board, and afterwards, it is submitted by the Rector to the University Senate for approval.

**Art. 15** The administrative activities related to the conduct of the PhD studies within the IOSUD-UTCN are carried out by the CSUD Secretariat. The members of the CSUD Secretariat are employees of the UTCN and are subordinated to the CSUD Director.

### **Section 2.2. Doctoral school, Coordination Councils of doctoral programmes, regulatory framework and institutional classification**

**Art. 16** (1) In the UTCN, doctoral studies are carried out within the Doctoral School of the Technical University of Cluj-Napoca, which is established as per the legal regulations in force.

(2) A doctoral school is established according to the law, on condition there are at least 3 PhD supervisors, upon the proposal of the CSUD, with the endorsement of the Rector and the

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Administration Council Board, and with the approval of the University Senate.

(3) Doctoral schools are subject to evaluation and accreditation under the conditions of the legal regulations in force.

(4) A doctoral school is a structure within the IOSUD-UTCN made up of professors/researchers and PhD students, which focuses on scientific research and on learning through research, whose activity is translated into PhD theses, scientific publications, innovations, patents, and other results of the scientific research.

(5) The scientific research activity within the doctoral school is integrated into the scientific research activity of the scientific research structures existing within the UTCN.

**Art. 17** (1) The general framework for the organisation and functioning of the doctoral school is set by:

- a) the legal reference regulations mentioned in art. 3 of this IR;
- b) this IR, which also integrates the regulation of the UTCN doctoral school and, where applicable, the specific provisions of each doctoral school, as per law;

(2) The regulation of the UTCN doctoral school is approved by the CSUD.

(3) The regulation of the doctoral school sets and approves at least the following aspects:

- a) the general organisation and management of the doctoral school;
- b) how the doctoral school is institutionally integrated into the organisational structure of the university;
- c) how doctoral programmes are organised and carried out;
- d) the criteria and standards for the acceptance of new PhD supervisors as members, as well as the regulations regarding how the quality of member in a doctoral school can be revoked from a PhD supervisor;
- e) the procedure for the replacement of a certain PhD student's PhD supervisor and the procedure for conflict mediation;
- f) the conditions under which the doctoral programme can be interrupted;
- g) the methods to prevent fraud in scientific research, including plagiarism.

(4) Following the consultation of its members who are PhD supervisors and in compliance with the regulatory framework mentioned in paragraph (1) of this article, the Doctoral School Council may elaborate and approve specific provisions considered to be necessary for properly conducting their activity. These provisions can refer, among other specific conditions, to:

- a) the selection and admission of PhD students;
- b) the process of carrying out doctoral programmes, including access to the specific research resources;
- c) the management of the doctoral school;
- d) the PhD theses.

(5) The provisions stipulated in paragraph (4) of this article are integrated as an appendix to this IR following completion of the endorsement and approval procedures foreseen by this IR.

(6) Through the interinstitutional agreements, specific conditions for the conduct of joint or partnership doctoral study programmes are established, classifying them according to the legal





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provisions and complying with the professional training interest of the PhD student.

- Art. 18** (1) The Technical University of Cluj-Napoca is an institution organising doctoral studies in the fields of Architecture; Computer Science and Information Technology; Civil Engineering and Building Services; Electrical Engineering; Electronic engineering, telecommunications and information technologies; Industrial Engineering; Engineering and Management; Materials Engineering; Mechanical Engineering; Environmental Engineering; Systems Engineering; Philology; Philosophy; Mathematics.
- (2) The UTCN doctoral school functions within the UTCN, where the PhD supervisors from the aforementioned fields carry out their activity, and which supplies the necessary logistic support for the implementation of the doctoral programme.
- (3) Apart from the PhD supervisors, other researchers and teaching staff from the IOSUD-UTCN or other national or international institutions or research and development units involved in research and/or teaching activities within the doctoral school can join the doctoral school according to the criteria of affiliation to the doctoral school.
- (4) The doctoral activity is integrated into the teaching and research activity of the supervising faculty/faculties, with the respective responsibilities regarding the appropriate accountability, authority, and resources.
- (5) The faculties that cumulatively fulfil the following conditions can supervise or participate in the supervision of a doctoral programme in a field:
- a) they have at least 3 PhD supervisors and 10 PhD students in their field;
  - b) they have the necessary research infrastructure, the laboratories, the equipment and the facilities to support a doctoral programme in their field;
  - c) they have the human resource that is capable and competent to significantly contribute to the support of the training and research activities of a doctoral programme in the field.
- (6) In the case of those coordination councils associated with several faculties, the doctoral programmes can be organised in collaboration or separately within each faculty. Each faculty takes responsibility for its contribution and reports their performance related to the PhD supervisors, the PhD students and the resources made available to them.
- (7) Apart from the PhD supervisors, other researchers and teaching staff from the IOSUD-UTCN or other national or international institutions or research and development units involved in research and/or teaching activities within the doctoral school can join the doctoral school.

- Art. 19** (1) The doctoral school is run by a Director of the Doctoral School and by the Doctoral School Council. The Director of the doctoral school is assimilated to the head of department. The Doctoral School Council is assimilated to the Council of the department.
- (2) The Director of the doctoral school is appointed based on the methodology regarding the organisation of the elections and the appointment of the doctoral school management, approved by the University Senate. The appointment integrates the consultation of the PhD supervisors from the doctoral school.

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- (3) The Director of the doctoral school is a lawful member of the Doctoral School Council.
- (4) The structure and the number of the members of the Council of each Doctoral School within the IOSUD-UTCN are established by the CSUD in compliance with the legal regulations in force. The number of members of the Doctoral School Council within the IOSUD-UTCN is limited to seven (7).
- (5) The Doctoral School Council includes PhD supervisors from the doctoral school (maximum 50%), PhD students (20%, rounded up if necessary), plus members from outside the doctoral school selected from those scientific personalities whose scientific activity has significant international recognition and/or personalities from the relevant industrial and socio-economic sectors.
- (6) Those members of the Doctoral School Council who are university professors or researchers must have the right to supervise national or international PhD theses and must fulfil the minimal and mandatory standards for the habilitation certificate, in force on the date of their appointment as members of the Doctoral School Council.
- (7) The members of the Doctoral School Council are selected according to the methodology for the organisation of elections and appointment of the doctoral school management within the IOSUD-UTCN.
- (8) The mandate of the Doctoral School Council is of 5 years.
- (9) Those PhD students who are members of the Doctoral School Council and who finish their doctoral studies during their mandate lose the capacity of members of the Doctoral School Council on the date of their PhD thesis defence.
- (10) To occupy the vacant seats in the Doctoral School Council, by-elections are organised, and the mandate of the newly selected member shall cease upon the expiry of the mandate of the Doctoral School Council.
- (11) The Doctoral School Council meets at least 3 times a year, upon the request of the director of the doctoral school or of at least 1/3 of its members.

**Art. 20** The duties of the Doctoral School Council are:

- a) to elaborate those regulations specific to the doctoral school;
- b) to recommend the award or the revocation of the PhD supervisor capacity in the doctoral school;
- c) to recommend minimal scientific performance standards for the affiliation of PhD supervisors to the doctoral school, as well as the affiliation procedure;
- d) to recommend standards and to approve the affiliation and the end of the affiliation to the doctoral school of those teaching and research staff members who do not have the PhD supervisor capacity and who carry out teaching or research activities in that doctoral school, including as members of the guidance committees;
- e) to decide the enrolment and expulsion of PhD students upon the proposal of the PhD supervisors who are members of the doctoral school;
- f) to decide the reallocation of the supervision of an ongoing doctoral programme to another PhD supervisor as per the legal provisions;

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- g) to mediate conflicts between PhD students and their PhD supervisors;
- h) to approve the committees for the analysis and public defence of PhD theses;
- i) to draw up and recommend the content of the doctoral study programmes, approved by the CSUD;
- j) to set the regime of intellectual property rights concerning the PhD thesis;
- k) to adopt the necessary measures to ensure the quality of the doctoral studies, for the proper periodical assessments of the doctoral schools and the PhD supervisors, for the compliance with the ethical and deontological norms, as well as for the external assessment process with a view to the accreditation/reaccreditation or the temporary authorisation of the doctoral school;
- l) to exert any other specific duties established by the Law, Code, Charter, IR, or other normative documents.

**Art. 21** (1) The Doctoral School may conclude memoranda of understanding to collaborate within certain doctoral programmes or for the specific supervision of a PhD student, as follows:

- a) with doctoral schools within other national or international IOSUD;
- b) with research institutions;
- c) with organisations from the national and international socio-economic environment.

(2) If they refer exclusively to the doctoral activity, the aforementioned memoranda are approved by the Council for Doctoral Studies and then they are approved by the Director of the Council for Doctoral Studies (Director of CSUD) or, if they are part of more complex document of interinstitutional cooperation, they are approved by the Rector of the University.

**Art. 22.** The Coordination Councils of the doctoral programmes

- (1) The Coordination Councils of the doctoral programmes are structures that manage the doctoral studies and the PhD students at the level of the doctoral fields.
- (2) The Coordination Councils are subordinated to the Doctoral School of the UTCN, and their setting up is approved by the Administration Council Board of the UTCN and by the UTCN Senate upon the proposal of the CSUD and the Doctoral School.
- (3) The Coordination Councils of the doctoral programmes are organised according to doctoral fields, at the level of the faculty/faculties which supervise those doctoral fields. The doctoral research activity is integrated into the teaching and research activity of the faculty/faculties. Consequently, the faculty/faculties take responsibility and authority and allocate the necessary resources.
- (4) In the UTCN doctoral school, doctoral programmes can be organised in collaboration or separately within each faculty that manages certain fields. Each faculty takes responsibility for its contribution and reports the performance of its PhD supervisors, PhD students and of the resources it puts at their disposal.
- (5) The Coordination Council of the doctoral programmes is led by a coordinator and by the members of the Council. The structure and the number of members of the Coordination Council are established by the CSUD. The number of the members of the Coordination Council within the IOSUD-UTCN is set to maximum 5.
- (6) The Coordination Council includes 3 PhD supervisors from the corresponding fields and 2 PhD

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students.

- (7) The members of the Coordination Council are university teaching or research staff members, who must have the right to supervise PhD theses, nationally or internationally, who must have a remarkable scientific activity, as well as rich experience in the doctoral activity.
- (8) The members of the Coordination Council are selected according to the methodology for the organisation and appointment of the doctoral school management within the IOSUD-UTCN.
- (9) The mandate of the Coordination Council is of 5 years.
- (10) The PhD students who are members of the Coordination Council and who finish their doctoral studies while their mandate is still active lose the capacity of members in the Council on the date when they publicly defend their theses.
- (11) To occupy vacant seats in the Coordination Council by-elections are organised, and the mandate of the newly selected member shall cease upon the expiry of the mandate of the Coordination Council.
- (12) The Coordination Council meets at least 3 times a year, upon the request of the coordinator of the coordination council or of at least 1/3 of its members.
- (13) The attributions of the Coordination Councils are stipulated in the regulation of the UTCN doctoral school.

### **Section 2.3. Doctoral Programmes**

**Art. 23** (1) Doctoral studies are organised within certain doctoral programmes.

- (2) The doctoral school within the IOSUD-UTCN can organise:
  - a) doctoral programmes functioning within only one doctoral school;
  - b) interdisciplinary doctoral programmes organised as a result of interinstitutional collaborations of the UTCN with other national or international academic or research institutions;
  - c) doctoral programmes under joint-supervision, organised as per letter b) of this article, have institutionally nominated PhD supervisors who work to coordinate the activity of a PhD student;
  - d) in collaboration with organisations of the socio-economic environment.
- (3) The setting up of a doctoral programme is recommended by the Doctoral School Council and by the Coordination Council of the doctoral programme, which includes the PhD supervisors who suggest that programme; this setting up is approved by the CSUD.
- (4) Within a doctoral school, there can coexist two or more doctoral programmes. The existence of an independent doctoral programme is conditional upon the cumulative fulfilment of the following conditions:
  - a) the existence of a distinct scientific sub-field;
  - b) the existence of at least 3 PhD supervisors competent in that sub-field;
  - c) the existence of the material and knowledge basis of that doctoral school or through an institutionalised cooperation necessary for doing good research in that sub-field;
  - d) ensuring the financial sustainability of the programme from budgetary or extra-budgetary resources.
- (5) For interdisciplinary programmes, the CSUD can establish special setting up conditions.



#### **Section 2.4. Ensuring the transparency of the doctoral school activity**

**Art. 24** The doctoral school has the obligation of offering full and accurate information regarding the doctoral programmes to the applicants to these programmes, to the academic community, as well as to other natural and legal bodies who might be interested in them.

**Art. 25** (1) The IOSUD guarantees the transparency of the organisation and conduct of the doctoral programmes at the level of the doctoral school.

(2) The doctoral school, with the logistic support of the IOSUD, shall post on the Internet all the necessary information regarding the doctoral programmes, focusing mostly on the following categories:

- a) documents representing the general framework for the organisation and functioning stipulated at art. 17 of this IR;
- b) information on the content and on how doctoral programmes are organised and conducted;
- c) information on the means of study funding, as well as on the costs borne by the PhD student;
- d) information on the vacant places for PhD students that each PhD supervisor has;
- e) the template of the framework agreement for doctoral studies;
- f) information on the PhD supervisors and the PhD students they coordinate, which includes at least their list of publications and patents;
- g) information on the results and professional achievements of the PhD supervisors;
- h) information on the PhD theses, as well as on their elaboration standards, on their procedures and evaluation criteria;
- i) the announcement of the public defence of a PhD thesis must include the date, location and hour of the defence, the name(s) of the PhD supervisor(s), as well as the place where one can find the printed full text of the thesis, the electronic summary of the PhD thesis, the PhD student's CV, the CVs of the members of the examination commission and of the members of the commission for the public defence of the thesis or links to these documents, which are displayed on the website of the IOSUD-UTCN at least 20 calendar days before the date designated for the public defence.

### **Chapter 3. Framework for the conduct of doctoral studies**

#### **Section 3.1. Admission and enrolment in a doctoral study programme**

**Art. 26** (1) The number of places for doctoral studies requested by the UTCN from the Ministry of National Education (hereinafter, "MEN") for state-funded places, the total number of places for which the process of admission is organised (cumulating the budgeted places approved by the MEN and the tuition-based ones), as well as their distribution throughout the UTCN are recommended by the CSUD, endorsed by the Administration Council Board and approved by the University Senate for each academic year.

(2) When doctoral places are distributed for each field, every year are taken into account the



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availability and the workload of each PhD supervisor, their performance, as well as the cumulated performance of each doctoral field established on a set of criteria suggested by the CSUD, endorsed by the Administration Council Board and approved by the University Senate.

**Art. 27** (1) Admission to doctoral studies is made based on an exam organised by the IOSUD-UTCN, through the doctoral school, as per the framework methodology on the organisation of the admission to higher education institutions in Romania, elaborated annually by the MEN, and the regulations of the Technical University of Cluj-Napoca.

(2) The admission exam can be organised only by a doctoral school, which operates based on an accreditation. The loss of the accreditation by a doctoral school, leads, according to each case, to its liquidation as per the law.

(3) In compliance with the legal provisions, only those graduates who hold a master's degree or an equivalent degree have the right to participate in the exam of admission to doctoral studies. The graduation degree or the bachelor's degree held by those who graduated long-term higher education studies before the implementation of the Bologna system is the equivalent of the specialised master's degree. The applicant can apply for any admission exam to doctoral studies, irrespective of the field in which they obtained their bachelor's and master's degrees.

(4) The citizens of the EU member states, of the states belonging to the European Economic Area or the Swiss Confederation have access to the doctoral studies under the same conditions as those stipulated by the normative acts for the Romanian citizens, including in what regards the fees (the fee for the admission exam, the tuition fee, the fee for the public defence of the PhD thesis).

**Art. 28** (1) The CSUD and the Doctoral School Council indicate the documents that are necessary for the applicant's registration to the admission exam to the doctoral study programme.

(2) Through consultation with the Doctoral School Council and the Coordination Councils of the doctoral programmes, the PhD supervisors establish the evaluation and selection criteria for the applicants who compete for the doctoral places offered.

(3) The doctoral school ensures the transparency of the criteria and of the evaluation selection procedures for the applicants who compete for the doctoral places offered by the PhD supervisors, information that is made public through the means of information at their disposal.

(4) It is forbidden to promote any form of direct or indirect discrimination, through the criteria for the evaluation and selection of applicants, among the applicants to the doctoral studies.

(5) The director of the doctoral school, together with the coordination councils of the doctoral programmes, is fully responsible for the progress of the admission exam, in compliance with the norms of quality, university ethics and with the legislation in force.

**Art. 29** (1) Irrespective of the field, the admission exam to doctoral studies consists of at least two exams:

- a) an interview, whose purpose is to analyse the level of training and the scientific/professional preoccupations of the applicant, their research skills, as well as the topic suggested for doctoral studies;



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- b) a language exam for an international language, taken at the Department for Modern Languages and Communication within the UTCN. Following the exam, the applicant has to obtain a language certificate that should certify at least a B1 level in that language. If an applicant already holds a B1 language certificate recognised by the Department for Modern Languages and Communication, then the language certificate exam is no longer necessary.
- (2) According to the specificities of each field, other tests can be included in the exam of admission to the doctoral studies, upon the request of the PhD supervisors and with the consent of the Doctoral School Council.
- (3) Tests are taken before an admission commission, composed of the PhD supervisor who offered the doctoral place for admission and at least two other specialists from the Technical University of Cluj-Napoca who are at least associate professors or 2<sup>nd</sup>-degree scientific researchers. The president of the admission committee is the PhD supervisor. The admission commissions are proposed by the Coordination Councils of the doctoral programmes and by the Doctoral School Council and are approved by the CSUD director.
- (4) Following the endorsement of the admission results by the Doctoral School Council, with the endorsement of the coordination council of the doctoral programme where the PhD supervisor is tenured, the applicants accepted by the admission commission are enrolled in the doctoral school.

### Section 3.2. Duration of the doctoral studies

**Art. 30** (1) The duration of the doctoral programme usually is of 3 years. For serious reasons, under the conditions set by this IR, the duration of the doctoral programme can be extended by 1-2 years, with the approval of the University Senate, at the proposal of the PhD supervisor and within the limits of the available funds.

(2) The doctoral programme may be interrupted for medical reasons, for childbirth and pregnancy leave, for maternity leave, or any other serious reasons. The duration of the doctoral studies is extended according to the cumulated period of the interruptions approved.

(3) The cumulated duration of the interruption period granted to a PhD student is of maximum 3 years.

(4) The interruption is granted by the CSUD Director, upon the PhD student's request, which must be endorsed by the PhD supervisor and by the Doctoral School Council. Each approved interruption request is considered an addendum to the agreement for doctoral studies.

**Art. 31** (1) If the PhD student does not finish their PhD thesis in due time according to the contract of doctoral studies and to any other addenda to it, the PhD student has a grace period of maximum 4 years to finish and publicly defend their PhD thesis; exceeding this deadline automatically leads to their expulsion from the study programme. The approval procedure for this grace period is as follows:

- a) the first 2 years are approved by the CSUD Director within the UTCN, upon the request of the PhD student, with the endorsement of the PhD supervisor, of the Doctoral School

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Council and the coordination council of the doctoral programme;

- b) the last 2 years are approved by the University Senate, upon the request of the PhD student with the approval of the PhD supervisor and with the endorsement of the CSUD.
- (2) During the grace period stipulated at art. (1), the PhD student cannot receive a PhD scholarship offered from doctoral grants.

### Section 3.3. Activity guidance during the doctoral study programmes

**Art. 32** (1) During their doctoral studies, the PhD student is also guided/supported by a guidance commission made up of 3 other teaching or research staff members from the UTCN (who hold a PhD title and are at least university lecturers or 3<sup>rd</sup>-degree scientific researchers). Additionally, the commission can include another PhD holder from outside the UTCN whose role is to offer guidance and support in the topic of the PhD thesis, who can come from other universities or relevant industrial and socio-economic sectors, affiliated or not to the doctoral school.

(2) The main role of the doctoral commission is that of guiding the PhD student throughout their doctoral programme to write the PhD thesis.

(3) The members of the guidance commission are established by the PhD supervisor, following consultation with the PhD student, within maximum 30 days from their enrolment.

(4) The guidance commission meets at least once every 6 months upon the PhD student's or the PhD supervisor's request. The PhD student has to notify the guidance commission about the reasons why they requested the commission's meeting and to prepare a report with the results obtained since their last meeting.

(5) After each meeting, the guidance commission shall draft a report which shall include the progress made by the PhD student, as well as the recommendations of the commission. The report shall be annexed to the PhD student's file.

(6) A member of the guidance commission can be replaced upon the PhD supervisor's proposal.

**Art. 33** The guidance commission has the following obligations:

- a) to analyse the PhD student's research project and to make sure that there are all the necessary conditions for the PhD student to be able to finish it in 3 years;
- b) to support the PhD student's access to the research infrastructure necessary for the completion of the research programme;
- c) to monitor the fulfilment by the PhD student of the performance indicators established at the level of the doctoral school to award the PhD title;
- d) to support the PhD student, as of their second year of doctoral studies, to prepare their professional career;
- e) to supervise the elaboration of the PhD thesis and to contribute with suggestions and comments to improve its level;
- f) to participate in the defence of the progress reports, in the pre-defence of the thesis, as well as in the public defence of the thesis.

### Section 3.4. ECTS and the recognition of the study and scientific activity period carried out outside the IOSUD

**Art. 34** (1) The number of ECTS accumulated by the PhD students during the entire advanced academic

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training programme is of 30 credits.

- (2) For the Scientific Research Project and each Scientific Research Report, the PhD student accumulates 30 credits.
- (3) The credits obtained in a research master's degree programme or the carrying out of previous doctoral and/or scientific research period, at a national or international level, in prestigious universities or research and development centres, can be recognised as equivalent to the ones from an advanced academic training programme. The equivalation is proposed by the PhD supervisor and is approved by the Coordination Council of the doctoral programme from the respective field and is endorsed by the Doctoral School Council.

### Section 3.5 Academic mobility

**Art. 35** According to law, the academic mobility represents the right of PhD students to have their ECTS credits recognised; these credits have to be obtained respecting the law, from other accredited / temporary authorised higher education institutions from Romania or abroad, or from other programmes of study in the same higher education institution. The mobility can be internal or international, definitive or temporary, for all forms of education.

**Art. 36** The PhD student status is maintained for the period of internal and international mobilities.

**Art. 37** The recognition of ECTS credits in the case of international academic mobilities is performed by the higher education institutions for the person who has proof of the mobility, obtained from the higher education institution where the mobility took place.

**Art. 38** The academic mobility can take place as a result of the PhD student endeavour, under the following conditions:

- a) the existence of an agreement between institutions; b) the approval of accredited / temporarily authorised higher education institutions, depending on the case: the institution of origin or the receiving institution.

**Art. 39** Inter-institutional agreements establish the conditions for conducting mobilities between accredited / temporarily authorised higher education institutions: the type and duration of the mobility, the number of mobilities, the domain, the program of study, the financing of temporary mobility, the language of study, accommodation conditions, etc.

**Art. 40** The inter-institutional agreement consists of filling-in and signing the application form of the mobility annexed to this document. The PhD student applies for the mobility at the receiving higher education institution, to obtain the approval. After obtaining approval, the PhD student asks for the approval of the higher education institution where he/she is enrolled. The receiving higher education institution is the first to sign the mobility application, followed by the institution of origin. The application contains the conditions for the mobility to take place.

**Art. 41** (1) The PhD student can benefit from a temporary academic mobility between two accredited / temporarily authorised higher education institutions, depending on the case.

(2) The temporary academic mobility can take place within inter-institutional agreements. In this case, the compatibility of the curricula in view of the recognition of ECTS credits is established before the beginning of the mobility period, and the recognition is performed after the mobility is finished, as



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per inter-institutional agreement and regulations of the higher education institutions involved, depending on the case.

(3) The temporary academic mobility of free-movers is the temporary mobility which takes place apart of the inter-institutional agreements for academic mobility, at the student's request, after identifying a receiving institution, with the observance of the provisions in article 40. In this case, the compatibility of the curricula in view of the recognition of ECTS credits is established before the beginning of the mobility period, and the recognition is performed after the mobility is finished, as per regulations of the higher education institutions involved, depending on the case.

(4) The temporary academic mobility, on subsidised or fee-based places, can take place after the completion of the first year of study.

(5) The international temporary academic mobility which is part of international programmes is realised per the provisions of these programmes.

**Art. 42** (1) The permanent academic mobility can be performed both by the students subsidised from the state budget and the tuition-paying students, with the observance of legal provisions regarding the university tuition capacity and the financing of higher education, and with the approval of the accredited / temporarily authorised higher education institutions involved and according with the regulations of each institution as to the professional activity of students.

(2) The permanent academic mobility can take place in the same higher education institution.

(3) In the case of doctoral studies, the permanent academic mobility can take place within the same doctoral field, between accredited doctoral schools, after the completion of the advanced academic training programme, respecting the provisions of the Code of Doctoral Studies.

(4) The permanent academic mobility can take place in the same doctoral school in justified cases concerning PhD supervisors (retirement, death, etc.).

(5) The enrolment is made respecting the provisions of the regulation concerning the professional activity of students, the recognition and equivalence of ECTS credits and the requirements for passing the years of study.

(6) The enrolment is performed following the legal requirements regarding the introduction of amendments in the Student Academic Record System in Romania (Registrul matricol unic – RMU).

(7) In the case of the permanent academic mobility, the diploma is issued by the higher education institution which organises the graduation examination.

(8) The permanent internal academic mobility is made on the principle “the subventions follow the student”.

(9) The provisions regarding the permanent academic mobility are also applied in the case of PhD students from the member states of the EU, the European Economic Area and the Swiss Confederation.

(10) In the case of third countries, the provisions of the permanent academic mobility, bilateral agreements and international agreements which are in force at the date of the mobility shall apply.

### Section 3.6. Financial aspects of doctoral studies

**Art. 43** (1) The financial aspects regarding the organisation and conduct of doctoral studies at the UTCN are not the object of this IR; they are subject to the legal regulations in force, as well as to the subsequent ones of the university.

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(2) The CSUD may propose specific regulations, as per law, regarding the payment of those involved in the management or conduct of the doctoral process or the allocation of resources for their specific actions. These regulations are endorsed by the Administration Council Board and approved by the University Senate.



## Chapter 4. Doctoral study programmes: purpose, structure, and content

### Section 4.1. Purpose and competences offered by the doctoral study programmes

**Art. 44** The doctoral study programmes ensure the development of professional, cognitive and research skills in specific fields, as well as the development of certain transversal competences.

**Art. 45** (1) The following are considered professional competences:

- a) advanced knowledge in the field of the PhD thesis;
- b) ability to identify, formulate, and solve research problems;
- c) mastering advanced research methods and techniques;
- d) knowledge about the management of research projects;
- e) abilities of documentation, elaboration and valorisation of scientific papers;
- f) academic language skills in international languages necessary for the documentation and elaboration of scientific papers;
- g) acquisition of the ethical principles and values of scientific research.

(2) The doctoral study programmes ensure the formation of the following transversal competencies:

- a) written and spoken communication skills;
- b) advanced language skills in international languages;
- c) the use of information technology and communication;
- d) networking and teamwork abilities;
- e) knowledge related to risk management in the research activity;
- f) knowledge related to the use of legislation in the field of intellectual property rights;
- g) economic, technological and social entrepreneurship abilities.

### Section 4.2. Structure of the programmes

**Art.46** The cycle of doctoral studies has two mandatory components:

- a) The advanced academic training programme, within the doctoral school;
- b) The individual scientific research programme.

### Section 4.3. Advanced academic training programme

**Art. 47** (1) The training programme based on advanced academic studies is an instrument meant to enrich the PhD student's knowledge, to help them to carry out well their programme of scientific research, and to acquire advanced competencies specific to the cycle of doctoral studies.

(2) The training programme based on advanced academic studies must not affect negatively the PhD student's available time for the individual programme of scientific research and must be relevant for the research topic of the PhD thesis.

(3) During the first year of the training programme based on advanced academic studies, the



PhD student participates in the activities of 3 or 4 subjects of doctoral studies. These subjects are selected in such a way that they are all offered during the first year of PhD studies, and the cumulated duration of the training programme based on advanced academic studies should not exceed 3 months.

(4) The subjects from a PhD student's training programme based on advanced academic studies are agreed upon and proposed by the PhD supervisor together with the PhD student, and they are approved by the Doctoral School Council and by the Coordination Council of that doctoral programme.

(5) The subjects to be pursued by a PhD student during the training programme based on advanced academic studies can be selected from the subjects offered by:

- a) the doctoral school the PhD student is part of;
- b) the doctoral schools of the partner university, in case of a joint-supervision doctoral study programme, with one PhD supervisor from outside the UTCN, following the agreement signed between the UTCN and the partner institution;
- c) the training programme based on advanced academic studies from other universities that have signed a collaboration agreement with the UTCN in the field of doctoral studies;
- d) the individual study under the coordination of the PhD supervisor and the guidance commission.

(6) The studies carried out by a PhD student within a university programme for a research master's degree can be equated by the Doctoral School Council together with the Coordination Council of the doctoral programme, upon the proposal of the PhD supervisor, with the training programme based on advanced academic studies of that PhD student. The decision to equate the two is based on the convergence between the field and the content of the master's degree programme and the topic of the PhD thesis together with the knowledge necessary for its elaboration.

(7) The training programme based on advanced academic studies can stipulate the participation of the PhD student in other subjects from a university programme for a research master's degree, organised by the UTCN, on condition that those subjects had not already been studied by the PhD student without being obliged to take the exams for these subjects.

(8) A doctoral programme can have its training programme based on advanced academic studies if at least 6 PhD students are participating in it.

**Art. 48** (1) For each discipline the PhD student participates in during the training programme based on advanced academic studies, they receive a participation certificate issued by the course holder and endorsed by the PhD supervisor/main PhD supervisor. All the participation certificates are submitted by the PhD student to the IOSUD-UTCN Secretariat to prove the fulfilment of the candidate's obligations from the training programme based on advanced academic studies.

(2) In the case of co-supervised doctoral studies, if one of the PhD supervisors is from outside the UTCN, the PhD student must submit to the IOSUD secretariat the necessary evidence



material issued by the partner university for the subjects they attended in that institution.

**Art. 49** (1) Changing certain disciplines from the training programme based on advanced academic studies can be made upon the request of the PhD student, with the endorsement of the PhD supervisor and with the approval of the director of the doctoral school and the coordinator of the doctoral programme.

(2) The PhD student cannot request to change a subject from their training programme based on advanced academic studies after the beginning of the activities of that subject.

#### **Section 4.4. Scientific research programme**

**Art. 50** (1) Within the first 6 months from the signing of the contract, the PhD student has to present the scientific research project to elaborate the PhD thesis. The topic of the scientific research project is established by the PhD supervisor together with the PhD student and is correlated with the training programme based on advanced academic studies, as well as with the university's programmes and institutional policies.

(2) The research project must include the general objective and the specific objectives of the PhD thesis, the research methodology, the risk evaluation and alternative solutions, the tentative calendar of the research activities (the project's Gantt diagram), etc. The scientific and financial sustainability of the project is an essential condition.

(3) The examination commission of the scientific research project is made up of the PhD supervisor, as the president of the commission, and at least two of the members of the guidance committee.

(4) The results of the assessment are expressed using grades ("Accepted" or "Rejected"). The first grade ("Accepted") allows the PhD student's promotion in the research programme. In case the scientific research project is rejected, the PhD student presents a new project within maximum 60 days. If the second defence of the research project is also rejected, then the PhD student is expelled from the doctoral study programme.

**Art. 51** (1) The main objective of the scientific research programme is for the PhD student to elaborate a PhD thesis. The responsibility regarding the structure, content, conduct and organisation of this programme belongs to the PhD supervisor.

(2) The scientific research programme involves the PhD student's participation in one or more scientific research projects established by the PhD supervisor.

(3) The IOSUD-UTCN, the doctoral school and the PhD coordinators have the obligation, subject to availability, of putting at the PhD students' disposal the resources necessary for the development of the research activity within the doctoral study programme.

(4) Throughout its development, the scientific research programme can be carried out within the scientific research centres and laboratories existing within the UTCN, in other universities or research institutions from Romania or from abroad, as well as in other socio-economic entities, based on collaboration agreements.

**Art. 52** (1) To ensure a coherent scientific track record for the PhD student, 5 oral presentations



(research reports) delivered before the PhD supervisor and the guidance commission shall be planned as part of the scientific research programme:

- a) in the 1st year of doctoral studies, the PhD student presents the scientific research project (1st semester) and a progress report on their scientific activity (2nd semester);
- b) in the 2<sup>nd</sup> year of doctoral studies, the PhD student presents 2 progress reports on their scientific activity, while in the 3<sup>rd</sup> year of doctoral studies (1<sup>st</sup> semester), they present a progress report on their scientific activity.

(2) The actual date of each presentation mentioned in paragraph (1) is set by the PhD supervisor. The interval between two consecutive presentations has to be of maximum 6 months (one progress report per semester regarding their scientific activity). The PhD supervisor cannot be absent from any presentation, and from the guidance commission, there have to be at least 2 members present.

(3) A report is drafted after each presentation, which includes the main observations and recommendations made by the PhD supervisor and by the members of the guidance commission, as well as the fact that the progress report has been “Accepted” or “Rejected”. A copy of the report signed by the PhD supervisor and by the members of the guidance commission who were present is then submitted to the IOSUD-UTCN Secretariat.

**Art. 53** During the individual scientific research programme, the PhD student can always request the modification of the topic of the PhD thesis, on condition they elaborate a new scientific research project.

## Chapter 5. Completion of the doctoral studies

### Section 5.1. The PhD thesis

**Art. 54** (1) Doctoral studies end with the defence of the PhD thesis in a public session in front of the commission for the analysis and public defence of the PhD thesis.

(2) The PhD thesis must be the result of the PhD student’s own scientific research activity, it must contain original findings from the scientific knowledge field, and it must be elaborated according to the requirements of the IOSUD-UTCN and the doctoral school.

(3) The content of the PhD thesis is established by the PhD student in consultation with the PhD supervisor.

(4) The PhD student, with the approval of the PhD supervisor, is free to change the title of their PhD thesis until the moment of its finalisation with a view to its public defence.

(5) The PhD student is the author of the PhD thesis and takes full responsibility for the accuracy of the data and information, as well as for the opinions and demonstrations presented therein. It is mandatory to mention the source for any material used.

(6) The PhD supervisor, together with the author of the thesis, supervises the compliance with





the standards of quality and professional ethics.

**Art. 55** (1) With a view to international standardisation and collaboration with other similar national doctoral school, the CSUD and the Doctoral School Council generate the elaboration standards and the evaluation criteria for the PhD theses.

(2) The elaboration standards and the evaluation criteria for the PhD theses are the general ones established by the National Council for Attestation of Academic Titles, Diplomas and Certificates (hereinafter, "CNATDCU"). The CSUD and the Doctoral School Council, with the approval of the CSUD, may establish specific conditions for the doctoral studies within the IOSUD-UTCN. These conditions, together with the format of the PhD theses and with the recommendations on their structure and content, shall be integrated into the "Guidelines for the elaboration and the evaluation criteria of PhD theses", drawn up by the CSUD as per the regulations in force.

(3) The PhD student has to comply with the standard format of the PhD thesis established throughout the IOSUD-UTCN.

**Art. 56** (1) PhD theses (including their appendices) and their summaries are public documents and are drawn up in digital format as well.

(2) The protection of the intellectual property rights on the PhD thesis is ensured in compliance with the regulations in force.

## **Section 5.2. Compliance with the academic ethics**

**Art. 57** (1) The doctoral school, together with the PhD supervisor have the obligation of informing the PhD student about the scientific, professional and academic ethics and of checking its compliance, including:

- a) the compliance with the deontological provisions during the doctoral research;
- b) the compliance with the deontological provisions for the drawing up of the PhD thesis.

(2) The doctoral school and the IOSUD take measures to prevent and sanction the deviations from the scientific, professional and academic ethics, according to the UTCN Code of ethics and professional deontology.

(3) In case of academic fraud, violations of the academic ethics or deviations from the good conduct in scientific research, including cases of plagiarism, the PhD student and/or the PhD supervisor is/are held liable according to law.

## **Section 5.3. Public defence of the PhD thesis and its endorsement by the CNATDCU**

**Art. 58** (1) The completion of the doctoral studies is carried out according to law. Consequently, the CSUD and the Doctoral School Council shall elaborate specific regulations/methodologies/procedures, in compliance with the legal provisions.

(2) With a view to the public defence of the PhD thesis, a commission of specialists is set up, known as the doctoral commission. This commission is proposed by the main PhD supervisor,



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approved by the Coordination Council of that doctoral programme and by the Doctoral School Council, and is validated by the CSUD Director.

(3) The doctoral commission is composed of at least 5 members: the president (as the representative of the IOSUD-UTCN), the PhD supervisor and at least 3 official reviewers, from Romania or from abroad, who are specialists in the field in which the PhD thesis was elaborated, out of which at least 2 do not carry out their activity in the Technical University of Cluj-Napoca. The members of the doctoral commission hold the PhD title and are at least associate professors or 2<sup>nd</sup>-degree scientific researchers, or they hold equivalent titles in the case of the foreign members, or they are PhD supervisors in Romania or abroad.

(4) The president of the commission must be a member of the IOSUD-UTCN. The president of the commission ensures the compliance with the law, with the IR and with the doctoral school regulations on the public defence of the thesis; the president leads and draws up the report of the public session defence. As a member of the commission, the president assesses and deliberates on the grade to be given to the PhD thesis.

(5) It is recommended that at least one official reviewer is from outside the city of Cluj-Napoca and to avoid appointing two official reviewers from the same institution.

**Art. 59** (1) Once the doctoral commission is approved, each official reviewer draws up an evaluation report they have to submit in 2 copies to the CSUD Secretariat within maximum 30 days from the date when the PhD thesis was received for evaluation.

(2) The organisation of the public defence of the PhD thesis can be initiated by the CSUD Secretariat together with the doctoral school only after they have received all the evaluation reports. It is subject to approval by the CSUD Director.

(3) After the approval of the public defence by the president of the commission, the PhD student and the PhD supervisor communicate to the IOSUD-UTCN Secretariat their proposal regarding the date, hour, and place for the public defence session of the PhD thesis. There has to be a minimum twenty-day period between the date when the public defence of the PhD thesis was approved and the date of the public defence session.

(4) During this time interval, but no later than 20 days, before the date set for the public defence of the PhD thesis, the PhD student shall fill in online the form by accessing the link: <http://doctorat.utcluj.ro> – section “PhD student registration”/“Înregistrare doctorand” for the documents (in PDF format) necessary for the public defence of the PhD thesis to be displayed on the Technical University of Cluj-Napoca webpage.

(5) The IOSUD-UTCN Secretariat shall send the thesis to the UTCN Central Library and shall upload the thesis summary on the UTCN website (“Theses to be defended”/“Teze în curs de susținere” - heading) for public consultation.

**Art. 60** (1) The defence of the PhD thesis can only take place after its evaluation by all the members of the doctoral commission and in the presence of at least 4 of them, the participation of the president of the commission and the PhD supervisor being mandatory.

(2) An official reviewer who cannot participate in the public defence of the PhD thesis has to

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send to the IOSUD-UTCN Secretariat, before the public defence session, a written statement communicating the reason for their absence from the public defence of the PhD thesis as well as their grade for the PhD thesis.

**Art. 61** (1) The public defence session is chaired by the president of the doctoral commission and is carried out as follows:

- a) the president of the commission introduces the PhD student (biographic data, the title of the thesis, etc.) and the members of the public defence commission;
- b) the PhD student presents the content of their PhD thesis;
- c) the PhD supervisor(s) and the official reviewers present their evaluation reports;
- d) the president of the commission presents the opinions sent in writing, before the public defence, of those specialists who read the thesis or its summary;
- e) the debate of the PhD thesis, during which the members of the doctoral committee and the public address questions to the PhD student, as per the legal regulations; the deliberating procedure and the public announcement by the president of the commission of the decision made;
- f) upon the invitation of the president of the commission, the PhD student delivers an address on the completion of their PhD thesis.

(2) The debate on the PhD thesis is mandatory and is registered in the report of the session. It has to represent the focal point of the public defence of the PhD thesis, whose purpose is to outline the PhD student's knowledge in the field of the topic approached and the elements of originality included in the thesis.

**Art. 62** (1) Based on the public defence of the PhD thesis and taking into account the evaluation report, the doctoral commission deliberates on the grade to be given to the PhD thesis.

(2) Each member of the commission gives a grade. The available grades are "*Excellent*", "*Very good*", "*Good*", "*Sufficient*" or "*Insufficient*". The grade given by the absolute majority of the votes expressed by the members of the commission becomes the decision of the entire commission. The report of the meeting for the defence of the PhD thesis has to include not only the grade established by the commission following its members' votes, but also the grade given by each member of the doctoral commission.

(3) When grades are given, the CNATDCU general criteria, as well as the IOSUD-UTCN specific criteria shall be taken into consideration.

(4) If during the evaluation of the PhD thesis, before or during its public defence, a member of the doctoral commission identifies serious deviations from the good conduct in scientific research and academic activity, including plagiarism of the results or the publications of other authors, forging findings or replacing the results with fictional data, then that member of the doctoral commission must take the following measures:

- a) to notify the ethical committee of the Technical University of Cluj-Napoca to analyse and solve the case in compliance with the legal provisions and the academic



regulations;

- b) to notify the other members of the doctoral commission about these breaches;
- c) to propose granting the *"Insufficient"* grade.

(5) If the PhD student has fulfilled all the requirements included in their scientific research programme and their thesis has obtained one of the following grades *"Excellent"*, *"Very good"*, *"Good"*, or *"Sufficient"*, then the doctoral commission will propose the award of the PhD title. The IOSUD-UTCN Secretariat submits this proposal for CNATDCU validation.

(6) If the *"Insufficient"* grade is given, then the doctoral commission will mention the content-related elements of the PhD thesis that have to be changed or adjusted; the thesis will have to be defended publicly again before the same doctoral commission within a term to be established by this commission. To reorganise this public defence of the PhD thesis, the PhD student shall pay the fee for the public defence of the thesis established by the University Senate for the academic year when the PhD thesis is defended again. If following the re-defence of the thesis, the commission still grades the thesis as *"Insufficient"*, then the PhD title shall not be awarded, and the PhD student shall be expelled.

(7) The decisions of the doctoral commission are communicated by the president of the doctoral commission in the public session for the defence of the PhD thesis.

**Art. 63** (1) The PhD title is awarded by order of the Minister of National Education, after the validation of the PhD thesis by the CNATDCU.

(2) If the CNATDCU invalidates the PhD thesis, it can be resubmitted to the CNATDCU through the IOSUD-UTCN Secretariat, within maximum one year since the invalidation date, by complying with the conditions and recommendations stipulated in the invalidation report. If the PhD thesis is invalidated the second time, the PhD title shall not be awarded, and the PhD student shall be expelled.

**Art. 64** (1) The activity of the official reviewers from the doctoral commissions is rated and remunerated as per law and the UTCN regulations in force on the date of the PhD thesis public defence.

(2) The PhD student is forbidden from offering gifts or any other undue advantages to the members of the doctoral commission.

#### **Section 5.4. Diploma and title awarded following the completion of the doctoral studies**

**Art. 65** (1) Following the completion of the doctoral studies and the confirmation of the thesis by the CNATDCU, the IOSUD-UTCN awards the diploma and the title of Doctor of Science, which is abbreviated as *"Dr."*.

(2) The doctoral diploma shall include the grade obtained by the PhD student, namely *"Excellent"*, *"Very good"*, *"Good"*, or *"Sufficient"*. Furthermore, the doctoral diploma shall also include the Latin translation, as follows:

- a) for the *"Excellent"* grade, the translation *"Summa cum laude"* will also be added;
- b) for the *"Very good"* grade, the translation *"Magna cum laude"* will also be added;



- c) for the “Good” grade, the translation “*Cum laude*” will also be added.

## Chapter 6. Status of PhD students and PhD supervisors

### Section 6.1. Status, rights and obligations of PhD students

**Art. 66** (1) The PhD students are enrolled by the Technical University of Cluj-Napoca as research assistants or assistant professors with a fixed-term contract. They are included in the organisational chart of the doctoral school.

(2) During their entire activity, the PhD students benefit from the recognition of the seniority in the field of work and research. Furthermore, they also benefit from free medical care services, without the payment of social security contributions to the state, of the unemployment contributions, health insurance benefits, and of work injuries and occupational diseases.

(3) For the PhD students, the period of their doctoral studies is an assimilated period, according to the retirement legislation, for the establishment of the retirement contributions, unless, during this period, the PhD students obtain an income for which they pay social security contributions.

(4) The PhD student may carry out teaching activities, according to their PhD study contract, within the limit of 4-6 conventional hours per week. The teaching activities that exceed this level shall be remunerated as per the legislation in force, subject to the Labour Code, in compliance with the employee’s rights and obligations and with the payment of the contributions owed, according to the law, to the state social contributions, the unemployment contributions, health insurance benefits, as well as work injuries and occupational diseases.

**Art. 67** (1) The PhD student’s rights and obligations arise from Law No. 1/2011, the Code for Doctoral Studies, the Charter of the Technical University of Cluj-Napoca, from this IR, as well as from the regulations of the doctoral school.

(2) During the doctoral studies (less their possible periods of interruption and the possible four-year grace period), the PhD student has the following rights:

- a) to be informed on the doctoral programme in which they were enrolled;
- b) to participate in the drawing up of their individual doctoral study plan;
- c) to benefit from the support, the guidance and the coordination of the PhD supervisor and the guidance commission;
- d) to request to the Doctoral School Council, based on well-grounded reasons, the replacement of their PhD supervisor;
- e) to participate in the reunions or the seminars of the research department/group their PhD supervisor is part of when relevant topics for their doctoral studies are discussed;
- f) to be represented in the decision-making forums of the doctoral school, in the CSUD



and the Senate of the Technical University of Cluj-Napoca, as per the provisions of the regulation of the doctoral school, of this IR, and the Charter of the Technical University of Cluj-Napoca;

- g) to benefit from the logistics, the documentation centres, the libraries and the equipment of the Technical University of Cluj-Napoca for their training and the elaboration of the PhD thesis;
  - h) to participate in the activities organised by the doctoral school;
  - i) to work, with their PhD supervisor's approval, in research teams within the Technical University of Cluj-Napoca or within other research and development units that have concluded agreements or institutional partnerships with the Technical University of Cluj-Napoca;
  - j) to participate in the scientific communication sessions organised by the doctoral school and/or by the UTCN;
  - k) to benefit from institutional support to participate in national or international scientific events, workshops, and summer/winter schools in the field of their PhD thesis;
  - l) to carry out research internships with public/private economic agents.
- (3) During the doctoral studies (less their possible period of interruption and the possible four-year grace period), the PhD student has the following obligations:
- a) to comply with the timeline established with their PhD supervisor and to carry out the activities stipulated in their individual doctoral plan;
  - b) to be in permanent contact with their PhD supervisor and with the members of the guidance commission;
  - c) to present activity reports to the PhD supervisor and the members of the guidance commission any time the PhD student is requested to do so;
  - d) to comply with the regulations and rules within the Technical University of Cluj-Napoca, to behave in a way that is appropriate for a PhD student;
  - e) to promptly reply to all the requests addressed to them by the doctoral school.

### **Section 6.2. Status, rights and obligations of PhD supervisors**

**Art. 68** The IOSUD-UTCN teaching staff members who have obtained the right to supervise PhD theses before the entry into force of Law no. 1/2011, as well as the teaching staff members who acquire this right afterwards, have the right to supervise PhD theses.

**Art. 69** (1) A PhD supervisor can supervise PhD students only in the field he/she obtained this right as per the legal regulations.

(2) To supervise PhD theses in a UTCN doctoral school, the teaching and research staff members who have obtained this right must have an employment contract signed with the UTCN.

(3) An individual who was awarded the right to supervise PhD theses can become tenured in



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a UTCN doctoral school only with the approval of the UTCN Senate.

(4) A PhD supervisor from a UTCN doctoral school does not have the right to simultaneously supervise PhD theses in other institutions unless they are part of joint-supervision doctoral studies.

(5) Those PhD supervisors who have been included in the file for the setting up of a doctoral school become automatically members of that school after its establishment.

(6) For the activity they carry out in this capacity, the PhD supervisors are remunerated as per the legislation in force.

**Art. 70** If a tenured PhD supervisor does not wish to continue their activity of PhD supervision after their retirement age, the doctoral school has the obligation of reallocating the ongoing doctoral theses of this PhD supervisor to other PhD supervisors, to complete the PhD theses under optimal conditions.

**Art. 71** (1) It is recommended that the maximum number of PhD students that can be simultaneously supervised by a PhD supervisor be limited to 8. Those PhD students who are in a period of interruption of their doctoral studies or during the four-year grace period are not considered as being supervised during that period.

(2) The maximum number of PhD theses simultaneously supervised can be increased if the PhD supervisor can prove the necessity of having more PhD students (research contracts, scientific collaborations, etc.) and the existence of the appropriate conditions for their supervision (the existence of a research group, the support of a research centre, joint-supervision conventions, etc.).

**Art. 72** (1) The PhD supervisor's rights and obligations arise from Law No. 1/2011, the Code for Doctoral Studies (GD no. 681/2011), the Charter of the Technical University of Cluj-Napoca, from this IR, from the regulation of the doctoral school, as well as from their employment contract.

(2) The PhD supervisor's rights include:

- a) the right to benefit from doctoral grants and/or to participate in competitions for doctoral grants;
- b) the right to request the doctoral school to include in the offer for the admission exam certain vacant positions of PhD students under their supervision;
- c) the right to select the PhD student for a vacant position under their supervision and to propose the enrolment of the applicant who passed the admission exam;
- d) the right to establish the guidance committee for each PhD student supervised;
- e) the right to supervise and assess the activity of the PhD student under their supervision throughout their doctoral studies (less the period of interruption), pursuing the requirements of the doctoral programme and complying with the professional interests of the PhD student;
- f) the right to decide on the study elements from the training programme based on advanced academic studies in which the PhD student has to participate in compliance





with the provisions of this IR.

- g) the right to recommend the commission for the public defence of the PhD thesis;
- h) the right to an impartial internal and external assessment, according to the methodology specific to the assessment process;
- i) the right to know the methodology based on which they are evaluated, in what regards both the internal and the external assessment;
- j) the right to know the results of the internal or external assessment of their activity;
- k) the right to refuse the supervision of a PhD student if they are involuntarily put in a situation of conflict of interests;
- l) the right to request from the Council of doctoral studies and the Coordination Council of the doctoral programme, based on well-grounded reasons, the interruption of their supervision or guidance of a PhD student.

(3) The PhD supervisor has the following obligations:

- a) to ensure the appropriate scientific, professional and deontological supervision of the PhD student, who is under his guidance or supervision, throughout their doctoral studies (less the period of interruption);
- b) to permanently supervise how the PhD student fulfils their activities that are part of their doctoral studies;
- c) to take all the necessary measures to make sure the PhD student has all the conditions, knowledge, and information that maximise the PhD student's chances of completing their doctoral studies;
- d) to objectively and rigorously assess the activity and the results of each PhD student under their supervision;
- e) to suggest the research topics;
- f) to ensure and to stimulate the progress of their PhD students in the research/artistic creation they carry out;
- g) to support the PhD students' mobility;
- h) to avoid any conflicts of interest in the supervision and guidance of PhD students;
- i) to supply the information that is necessary for the evaluation of the Doctoral School and the participation in the national competition for doctoral grants between doctoral schools;
- j) to comply with the UTCN code of ethics.



## Chapter 7. Quality Assurance

### Section 7.1. Planning, keeping under control and continuously improving the UTCN doctoral studies

- Art. 73** (1) The CSUD identifies those processes critical for quality assurance in the doctoral activity within the UTCN and collaborates with the UTCN quality assurance department for the drawing up and implementation of the procedures necessary for the keeping under control, as well as for the continuous improvement of these processes.
- (2) These procedures comply with the UTCN Quality Assurance Code and are periodically analysed and improved when necessary.

### Section 7.2. Periodical assessment of the doctoral schools and the PhD supervisors

- Art. 74** (1) As per the legislation in force, each doctoral school is subject to an external assessment every 5 years.
- (2) The external assessment of the doctoral school is made based on a criteria system and a methodology established by an order of the Minister of National Education.
- (3) A doctoral school that has lost its accreditation cannot enrol new PhD students. The PhD students from that doctoral school, who are still carrying out their doctoral programme, continue their studies according to the doctoral studies contract until their completion.
- Art. 75** (1) The PhD supervisors are assessed as per law every 5 years.
- (2) The assessment procedures are established by an order of the Minister of National Education, upon the proposal of CNATDCU, and mainly envisage the aspects related to the quality of the scientific findings of the group led by the PhD supervisor, mainly the impact and the relevance of the scientific activity of this group at an international level, as well as at national level in the case of fields that are specific to the Romanian area. The results of the assessment are public.
- (3) Following the internal or external assessments, the doctoral school may recommend the CSUD the extension or the revocation of a PhD supervisor's right to supervise PhD theses within a doctoral programme of the doctoral school.
- Art. 76** (1) Every now and then, on dates set by the CSUD, the doctoral school and the PhD supervisors are subject to internal assessment processes.
- (2) The assessment processes are drawn up by the CSUD.

## Chapter 8. Advanced research post-doctoral programmes within IOSUD-UTCN

**Art. 77** The advanced research post-doctoral programmes:

- (1) take place at IOSUD-UTCN, within the Doctoral School of UTCN, under the form of programmes which can be accessed by persons who have obtained a PhD degree in science no more than 5 years before the entrance examination for the post-doctoral programme;
- (2) IOSUD-UTCN assures the institutional framework for the development of advanced research



after the end of PhD studies, in the specific PhD fields within IOSUD UTCN.

(3) have a duration of minimum one year;

(4) can be financed by public institutions or economic operators;

(5) can create the premises to access funds for the development of post-doctoral programmes through national or internal (of UTCN) projects, international projects, or projects proposed by the economic environment.

**Art. 78** The setting up of a post-doctoral programme within IOSUD-UTCN is proposed by the CSUD director and submitted to the approval of the UTCN Council of Administration.

**Art. 79** The post-doctoral programmes of IOSUD-UTCN can enrol Romanian or foreign citizens - persons with Romanian ethnicity from EU and non-EU countries, citizens of the EU member states, of the states belonging to the European Economic Area or the Swiss Confederation, citizens from outside of these areas, respecting the specific conditions for each category, according to the law.

**Art. 80** (1) The description of post-doctoral programmes, including information about the admission, conditions for participation and deployment, etc. are specified for each programme, according to the legislation in force.

(2) The description of advanced research post-doctoral programmes is, usually, posted on the website of IOSUD: <http://iosud.utcluj.ro/>.

(3) The institutional programmes have as general purpose to enhance the components of the advanced research and the opportunities to develop the career of post-doctoral researchers, through their integration in the research structures of UTCN and the facilitation of their access to the advanced research resources. Post-doctoral training is realised through the ensuring of a continuous, high-quality academic training and through granting professional support under the form of mentoring, ensured by specialists in a certain domain, PhD supervisors affiliated to the doctoral school of UTCN.

**Art. 81** IOSUD-UTCN signs with each post-doctoral researcher enrolled in a study program a learning agreement, in line with the provisions of the regulations concerning the organisation and deployment of study programs and with the legislation in force. Learning agreements shall not be modified during the academic year.

**Art. 82** When graduating from a post-doctoral programme, IOSUD or the receiving institution shall grant a certificate of post-doctoral studies.

## Chapter 9. Transitional and final provisions

**Art. 83** This IR enters into force on the date of its approval by the UTCN Senate.

**Art. 84** Those PhD students who started their doctoral programme, before Law no. 1/2011 entered into force, in another study form than the full-time one can continue their studies in that study form until the completion of their studies.



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- Art. 85** For those PhD students whose PhD theses have not been subject to the preliminary analysis within the department or the research group until 1<sup>st</sup> October 2011, the provisions of this IR apply, including those provisions regarding the appointment of the guidance committee. If the guidance committee will not have been appointed by the completion of the PhD thesis, the public defence may take place only based on the PhD supervisor's consent.
- Art. 86** The CSUD is responsible for solving the specific problems related to the carrying out and completion of the doctoral studies by the PhD students enrolled before the entry into force of Law No. 1/2011. The CSUD shall take or propose, as applicable, decisions for each case in compliance with the legal provisions in force.
- Art. 87** (1) Appointing the management positions and structures of the IOSUD-UTCN is made within each electoral academic cycle, following the election of the Rector and the appointment of the Deans.  
(2) Upon the expiry of the mandate of the current Councils, the elections/appointments shall be made by taking the new structures into account.
- Art. 88** The CSUD shall solve those situations that are not regulated with the endorsement of the Administration Council Board.

This regulation was approved in the meeting of the Administration Council Board on 14 January 2020 and in the meeting of the University Senate on 23 January 2020.0

Rector,  
Prof. VasileȚopa, PhD, Eng.

Endorsed by the Legal Department

**ANNEX 1 Standard form for application**

**MOBILITY APPLICATION**

University / Institution organising doctoral studies    University / IOSUD  
(IOSUD)

.....  
.....  
(from where the PhD student comes)

.....  
(where the PhD student wants to go)

I agree  
Rector

I agree  
Rector

I, the undersigned, ....., PhD student in the ..... year ..... at  
the University ....., Doctoral School ....., field of  
study ....., organised in the form of education (full-time / part-time), year of study  
....., form of financing (subsidised / tuition paying), request your approval for the mobility as a PhD student  
in the academic year ..... at the University.....,  
Faculty....., field of study ....., organised in the form of  
education (full-time / part-time), year of study ....., form of financing (subsidised / tuition paying).

I request the mobility for the following reasons:

.....  
.....  
.....

The present application has the following annexes:

.....  
.....  
.....

Date .....

Signature

.....

Approved

Doctoral School

.....

(from where the PhD student comes)

Director of the Doctoral School

.....

CSUD Director

.....

.....

Approved

Doctoral School

.....

(where the PhD student wants to go)

Director of the Doctoral School

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CSUD Director

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