



REGULATION FOR OBTAINING THE HABILITATION CERTIFICATE AND THE AFFILIATION TO THE DOCTORAL SCHOOL OF THE TECHNICAL UNIVERSITY OF CLUJ-NAPOCA

Section I. Legal Framework and Terminology

Art.1. (1) The legal framework of reference for this institutional regulation (IR) is set by:

- a) the Romanian Law for National Education no. 1/2011, including subsequent amendments;
- b) The Romanian Government Decision H.G. 681/2011, The Code of doctoral studies, amended;
- c) The Romanian Law 288/2004 amended;
- d) The UTCN Charter, in force on the date of approval of this IR.
- e) The order of the Romanian Ministry for Education and Scientific Research no 4106/2016, approving the nominal compenence of the National Council for Attesting Titles, Diplomas and Certificates;
- f) The order of the Romanian Ministry for Education and Scientific Research no. 6129/2016, regarding the approval of minimum standards necessary and mandatory for granting the didactic titles in the higher education system, the research and development professional titles, the PhD supervisor capacity and the habilitation certificate;
- g) Romanian Government Resolution no. 26/ 2017, regarding the organization and functioning of the Ministry for National Education;
- h) The Order of the Minister of Education and Scientific Research no. 3121/2015 regarding the approval of the methodology for the organisation and carrying out of the process necessary for obtaining the habilitation certificate.
- i) The specifications of the Romanian Ministry for Education and Scientific Research no. 29466/13.02.2015;
- j) The UTCN Institutional Regulation (RI) regarding the organization and development of doctoral studies in
the Technical University of Cluj-Napoca.

(2) This IR is correlated and completed by the UTCN Code of Ethics and by the UTCN Code for Quality Assurance.

Art.2. The habilitation process shall be conducted following the Order of the Minister of Education and Scientific Research no. 3121/2015. The specific terms listed below have the meaning as defined in the legal framework mentioned in Art.1, paragraph (1).



Section II. General Provisions

Art.3. The habilitation represents the certification on a person to supervise PhD thesis.

Art.4. The habilitation thesis reveals the didactic and research capacities and performances of the applicant,

acquired after the PhD thesis defence.

Art.5. The habilitation certificate is granted through an Order of the competent ministry, at the proposal of

The National Council for Attesting Titles, Diplomas and Certificates.

Art.6. (1) The public defence of the habilitation thesis to obtain the habilitation certificate is performed only within the Technical University of Cluj-Napoca, in its quality of Organizing Institution of Doctoral Studies (IOSUD) in the domain requested by the applicant.

(2) The procedure for obtaining the habilitation certificate can take place within IOSUD-UTCN only in the domains

for which the Technical University of Cluj-Napoca received accreditation.

(3) The UTCN Doctoral School ensures the on-going of the habilitation procedure according to the legal regulations and the provisions of the present regulation.

(4) The Technical University of Cluj-Napoca is an Organizing Institution of Doctoral Studies in the following domains: Architecture, Computer information technology, Civil Engineering and Building Services, Electrical Engineering, Electronic Engineering, Telecommunications and Informational Technology, Industrial Engineering, Engineering and Management, Materials Engineering, Mechanical Engineering, Environmental Engineering, Systems engineering, Philology, Philosophy, Mathematics.

Art. 7 To be able to register in the process for obtaining the habilitation certificate in a certain domain, the applicant shall meet the minimum standards, identical with the standards needed for granting the title of Professor, respectively Scientific Researcher I, established by CNATDCU and approved by Order of the competent minister (according to article 219, paragraph (1) letter a) of the Romanian Law for National Education no. 1/2011, including subsequent amendments and additions).

Art. 8 The whole process of obtaining the habilitation certificate shall be conducted in compliance with the ethics and professional rules of the university, as regards both the candidate and the evaluation.

Section III. The habilitation thesis, the habilitation file and the composition of the habilitation committee

Art. 9 IOSUD-UTCN publishes on the UTCN website all relevant information relating to the procedure for obtaining the habilitation certificate: regulations, the content of the habilitation file, the procedure for the public defence of the habilitation thesis, the composition of the habilitation committee, the communication of results after the habilitation procedure is over.

Art. 10 - (1) The habilitation thesis shall highlight:

- a) In a succinct and documented way, the main original scientific results obtained by the applicant during the scientific research, the teaching and the artistic creation after obtaining the PhD title in the doctoral field chosen, indicating the evolution of the teaching, scientific and professional career, and their main development directions in the global context of significant and topical



research achievements in the domain the applicant specialised in.

- b) The individual capacity of the applicant to coordinate research teams, to organise and manage didactic and research activities.

(2) The applicant can choose to write the habilitation thesis in Romanian, in which case it will be accompanied by a summary in English, or in an internationally-spoken language, in which case it will be accompanied by a summary in Romanian.

Art. 11 (1) The file of the applicant for obtaining the habilitation certificate will include at least the following documents:

- a) application form for the habilitation public defence, approved by the Rector, drafted respecting Annex 1;
- b) The self-assessment form concerning the fulfilment of the minimum standards for the granting of the habilitation certificate in the chosen domain, written according to the forms required by the UTCN Doctoral School (printed and electronic PDF on a CD). The self-assessment form contains references (eg. DOI, WOS, Links) of the publications reported, accompanied by supporting documents where appropriate. The Coordination Council of the doctoral programmes who evaluates the self-assessment form may require additional supporting documents to the file, depending on the case.
- c) Portfolio of relevant scientific papers, published in the desired doctoral field (minimum 5 papers in electronic format on CD) in the period which succeeded the PhD thesis defence;
- d) Curriculum vitae (Europass template) and the list of publications, signed by the candidate (printed+ PDF on a CD);
- e) Candidate's affidavit concerning the compliance with the minimum and mandatory standards established by CNATDCU and approved by the Order of the competent ministry, and the original character of the scientific papers included in the list of publications;
- f) certified copy of the doctoral degree and, if applicable, certified copy of the certificate for recognition of achievement;
- g) personal identification documents, simple copy: identity card, proof of name change if the name on the diploma is no longer the same with the one on the identity card;
- h) habilitation thesis (printed + PDF on CD);
- i) Abstract of the habilitation thesis (printed + PDF on CD);
- j) The composition of the specialist committee for the defence of the habilitation thesis (printed + WORD on CD);

(2) If the documents referred to paragraph (1) under letter f) are not written in Romanian or English, they will be accompanied by a certified Romanian translation.

Art. 12 (1) The committee for the evaluation of the habilitation thesis is composed of three members, renowned experts in the field of doctorate chosen by the applicant, who must meet the following criteria:

- a) They have PhD supervisor capacity in the domain chosen by the applicant;
- b) They have at least one PhD student who obtained the PhD title;
- c) They are not in situations of incompatibility laid down by the legislation in force concerning the assessment of the applicant in view of the habilitation.

(2) The committee for the evaluation of the habilitation thesis in the domain chosen is established by



the Coordination Council of the respective doctoral programme and approved by the Council of the UTCN Doctoral School.

(3) At least 2 of the members of the committee have to be teaching professionals or researchers employed outside of the institution which organizes the process of obtaining the habilitation certificate, or outside the applicant's institution of origin if the two are distinct. It is recommended that external members be from different institutions. One member of the committee may be from the Technical University of Cluj-Napoca.

(4) IOSUD - the Technical University of Cluj-Napoca sends the proposal containing the composition of the committee for the evaluation of the habilitation thesis to CNATDCU, not before posting on the UTCN website the whole habilitation file and the habilitation thesis.

(5) Through the committee of experts in the doctoral domain chosen by the applicant, CNATDCU appoints the committee set out in paragraph (1). The composition of the committee for the defence of the habilitation thesis will be posted on the website of UTCN after its approval by CNATDCU.

Section IV. The habilitation procedure and the issuing of the habilitation certificate

Art. 13 IOSUD-UTCN, through the UTCN Doctoral School and the Coordination Councils of the doctoral programmes, verify if the file submitted is complete and if the minimum standards established by CNATDCU are met, in maximum 15 days after the submission of the habilitation file at the UTCN Doctoral School; the minimum standards are the same as the ones requested for obtaining the professor title, approved through the Order of the competent ministry.

Art. 14 After receiving the approval of the committee for the thesis defence from CNATDCU, the IOSUD-UTCN Secretariat will send the members the Decision to appoint them together with the file of the applicant in electronic format, in 5 working days.

Art. 15. (1) The committee of experts for the defence of the habilitation analyses the habilitation file submitted by the applicant and may request further scientific papers or documents relevant for the scientific, professional and academic activity of the applicant.

(2) After receiving the approval in principle from all the members of the committee, IOSUD organises the public defence of the habilitation thesis.

(3) The date of the public defence of the habilitation thesis is made public by posting it on the UTCN website.

Art. 16 (1) The habilitation thesis is usually defended (1) in Romanian, but the applicant can choose to defend it in English.

(2) The defence of the thesis will be public, led by the president of the habilitation committee, elected by vote by the members of the committee.

(3) The defence of the thesis shall be carried out as follows:

- The applicant presents the thesis and the development perspectives of his career in 45-60 minutes;
- The presentation is followed mandatorily by a session of questions;
- During the session of questions, each member of the committee shall ask at least one question;

also, the public can address questions related to the subject of the thesis and the perspectives of later career



development, questions to which the candidate is obliged to answer;

The session of questions may not exceed 2 hours.

(4) As a result of the public defence, the committee for the evaluation of the habilitation thesis draws up an assessment report, which includes the proposal for acceptance or rejection of the habilitation thesis, as the motivation of the decision taken. (Annex 2)

Art. 17 IOSUD-UTCN sends the habilitation file, together with the report referred to in Article 16, paragraph (4), to the competent ministry - CNATDCU, for analysis and decision.

Art. 18. The competent ministry, through its specialised directorate, verifies the conformity of the file following article 11 and 17. In the case of missing items in the file, the competent ministry may require its completion. If IOSUD-UTCN does not send the required documents within 5 working days, the file shall be returned.

Art. 19 The competent committee within CNATDCU analyses the habilitation file and proposes the granting/refusal of the habilitation certificate to the General Council of CNATDCU, based on a reasoned resolution.

Art. 20 Based on the resolution of the competent committee, the General Council of CNATDCU analyses and validates, as the case may be, the proposal of granting/not granting the habilitation certificate.

Art. 21 (1) On the strength of the favourable resolution validation by CNATDCU for the granting of the habilitation certificate

an Order of the Ministry of Education and Scientific Research shall be issued for each applicant.

(2) The Order referred to in paragraph (1) shall mean the habilitation certificate.

(3) The Order referred to in paragraph (1) shall be transmitted to IOSUD-UTCN.

(4) IOSUD-UTCN has the obligation to communicate the Order to the applicant

And to post it on-line on the website of the university.

(5) If CNATDCU validates the resolution of the refusal of the habilitation certificate, the Ministry of Education and Scientific Research shall transmit this resolution to IOSUD - UTCN and returns the habilitation file; IOSUD-UTCN must communicate the resolution to the applicant. The applicant can file an appeal to the CNATDCU committee, and a reply is to be expected in the time limit set by the law.

Section V. Affiliation to a Doctoral School within IOSUD-UTCN

Art. 22 Obtaining a habilitation certificate does not confer automatically the right to supervise PhD students in IOSUD UTCN.

Art.23. The IOSUD-UTCN will establish through its regulation the specific conditions and criteria for each doctoral field, for the acceptance of new members in the doctoral fields of IOSUD-UTCN.

Art.24 Given the integration in the Doctoral School within UTCN, the applicant submits a request addressed to the Doctoral School,

Together with the following documents:

a) Proof of the capacity of PhD supervisor;

b) Proof that the criteria specific to the doctoral field in which the applicant obtained his habilitation certificate

Stipulated in the Regulation of the Doctoral School is met.



- c) When the applicant has tenure at another university from Romania or from abroad, written consent from the aforementioned university is necessary, allowing him to become a PhD supervisor at the UTCN Doctoral School.

Art. 25 The Council of the Doctoral School together with the Coordination Council of the doctoral programme regarding the chosen field analyse the request of the applicant and if the specific criteria from the Doctoral School regulation are met, and in the event of a favourable decision, the director of the Doctoral School transmits the favourable opinion to the IOSUD-UTCN (extract from the minutes of the committee meeting), together with the documents mentioned in article 24. IOSUD UTCN submits the file to CSUD, and then to the UTCN Senate for validation. The Decision of the UTCN Senate is communicated to the competent Ministry and the applicant.

Section VI. FINAL PROVISIONS

Art. 26. After issuing the order referred to in Article 21, paragraph (2), the competent ministry through the specialised directorate, archives the habilitation file except for the printed habilitation thesis, which is returned to IOSUD-UTCN.

Art. 27. IOSUD-UTCN perceives a habilitation tax, to cover the costs of organization and defence of the habilitation theses. The amount is established by the Senate of the University, at the proposal of the Administration Council, through the Annual Tax Regulation.

Additions to the present Regulation have been approved in the Administration Council Board from 2018 and in the Senate of the University Board from 2018.

Rector
Prof. Vasile ȚOPA, PhD, Eng.

Approval of the Legal Office



TECHNICAL UNIVERSITY
OF CLUJ-NAPOCA, ROMANIA

Annex No. 1
Technical University of Cluj-Napoca

Approved Rector

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COMPLIANCE WITH THE MINIMUM STANDARDS

YES

NO

APPLICATION FORM
for the defence of the habilitation thesis

Mr. Rector,

I, the undersigned, (Name and Surname)
tenure at _____, position

require your approval for organising the defence of the habilitation thesis
in the domain of doctoral studies _____.

I kindly need your approval for the habilitation procedure in the domain
_____ to take place
within _____ (the Institution Organizing University
Doctoral Studies, IOSUD).

I hereby declare that all information presented in this application form and the habilitation file
are accurate.

Date

Signature



THE ASSESSMENT REPORT OF THE HABILITATION COMMITTEE

Date

SURNAME and first name of the applicant

Title of the habilitation thesis / main research directions

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.....

The domain of doctoral studies:
(In which the quality of PhD supervisor will be conferred)

The name of the Organizing Institution of Doctoral Studies (IOSUD) Strengths of

the habilitation thesis:

- 1.
- 2.
- 3.

Weaknesses of the habilitation thesis:

- 1.
- 2.
- 3.

The result of the vote/observations/ conclusions of the habilitation committee is detailed below:

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HABILITATION COMMITTEE

SURNAME and first name Signature

1.

2.

3.