



TECHNICAL UNIVERSITY

OF CLUJ-NAPOCA, ROMANIA

**Approved in the meeting of the
Council of Administration bureau of
23.01.2019**

**REGULATION
OF THE DOCTORAL SCHOOL OF THE TECHNICAL UNIVERSITY OF CLUJ-NAPOCA
WITHIN THE INSTITUTION ORGANISING DOCTORAL STUDIES (IOSUD-UTCN)**

**Chapter 1
GENERAL PROVISIONS**

Art. 1 The present regulation shall apply to the activity of training for PhD students within the Doctoral School of the Technical University of Cluj-Napoca (hereinafter named "UTCN"), and includes rules specific to the UTCN Doctoral School which will enter into force as a result of their approval in accordance with the provisions of the law and the Institutional Regulation for the organisation of doctoral studies within UTCN (hereinafter named "IR").

**CHAPTER 2
LEGISLATIVE FRAMEWORK**

Art. 2 The present Regulation is drafted in accordance with:

- The Romanian Law of National Education no. 1/2011, amended;
- The UTCN Charter with subsequent amendments,
- The Romanian Government Decision 681/2011, The Code of doctoral studies, amended,
- The Romanian Government Decision 134/2016 and the competent Ministry Order no.3482/2016,
- The Institutional Regulation regarding the organization of doctoral studies in UTCN/2018,
- Romanian Law 288/2004, amended,
- The competent Ministry Order no. 3121/27.01.2015,
- Regulation for obtaining the habilitation certificate and the affiliation to the Doctoral School of the Technical University of Cluj-Napoca/2018.
- The Order no. 5403/1.11.2018 regarding the establishment of the methodology for the evaluation of doctoral studies and systems of criteria, standards and performance indicators used in the assessment, published in: The Official Gazette Part I, no. 962 of 14 November 2018.

**CHAPTER 3
ORGANISATIONAL FRAMEWORK**

Art. 3 Within the Institution Organising Doctoral Studies (hereinafter named IOSUD-UTCN), the doctoral studies are organized in the UTCN Doctoral School, in accordance with legal provisions.

Art. 4 The Doctoral School of UTCN is organised based on disciplines and interdisciplinary subjects. PhD supervisors carry out their activity within the UTCN Doctoral School. The Doctoral School provides the



logistics necessary for the doctoral programme, for PhD students in the 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. 5 Depending on his scientific research competences, each PhD supervisor publishes his own themes within his habilitation domain on the UTCN Doctoral School website, containing: the themes for the admission to the doctoral studies and the scientific projects of his PhD students.

Art. 6 As a rule, a PhD supervisor can guide a maximum of 8 PhD students in the same time, subsidised or tuition paying, in all the stages of the PhD internship. During the allocation of places to doctoral studies, the Coordination Councils of the doctoral programmes and the Council of the Doctoral School (hereinafter named CSUD) will take account of the availability of PhD supervisors and their individual performances. It is recommended that a greater number of places be allotted to PhD supervisors who are involved in/lead grants/scientific research projects.

Art. 7 (1) The Council of the UTCN Doctoral School (hereinafter named "CSUD") has 7 members: 3 PhD supervisors, 2 PhD students and 2 scientists with significant recognised international research activity, and/or personalities of the relevant industrial and socio-economic sectors.

(2) The Decisions of the Council of the UTCN Doctoral School shall be taken by the vote of the majority of the members present, if the number of those present represents at least two thirds of the total number of members.

Art. 8 (1) UTCN Doctoral School has 10 Coordination Councils of the doctoral programmes:

1. Coordination Council of the doctoral programmes Architecture and Urban Planning (Architecture domain)
2. Coordination Council of the doctoral programmes Automation and Computer Science (Systems engineering and Computer information technology domains)
3. Coordination Council of the doctoral programmes Constructions and Building Services (Civil Engineering and Building Services domains)
4. Coordination Council of the doctoral programmes Electronics, Telecommunications and Informational Technology (Electronic Engineering, Telecommunications and Informational Technology domains)
5. Coordination Council of the doctoral programmes Materials Engineering and environment (Materials Engineering and Environment Engineering domains)
6. Coordination Council of the doctoral programmes Electrical Engineering (Electrical Engineering domain)
7. Coordination Council of the doctoral programmes Industrial Engineering and Management (Industrial Engineering and Management domains)
8. Coordination Council of the doctoral programmes Mechanical Engineering and Mechatronics (Mechanical Engineering domain)
9. Coordination Council of the doctoral programmes Applied Sciences (Mathematics domain)
10. Coordination Council of the doctoral programmes Humanities (Philology and Philosophy domain).

(2) The Coordination Council of the doctoral programmes:

- Drafts the specific regulations of the field;
- Proposes the affiliation or revocation of the PhD supervisor capacity in the field in question;
- Proposes minimum standards of scientific performance for the affiliation of PhD supervisors in the Doctoral School, and the affiliation procedure;



- Proposes standards and approves the affiliation and revocation from the Doctoral School of teaching or research professionals who are not PhD supervisors, and carry out didactic or research activities within the Doctoral School, including as members in the guidance committees.
- Proposes the enrolment or the expulsion of PhD students, at the proposal of PhD supervisors members of the Doctoral School;
- Proposes the reallocation of the supervision of an ongoing doctoral programme to another PhD supervisor as per the legal provisions;
- Mediates conflicts between PhD students and their PhD supervisors;
- Approves the committees for the analysis and public defence of PhD theses;
- Validates the scientific research programs for PhD students;
- Draws up and recommends the content of the doctoral study programmes, approved by the CDS;
- Adopts 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 professional rules, as well as for the external assessment process with a view to the accreditation/reaccreditation or the temporary authorisation of the doctoral school;
- Exercises any other specific duties established by the IR or other normative documents.
- Responds for the proper conduct of the admission in the Doctoral School, on each field;
- Proposes the admission committees;
- Validates the results of the admission;
- Validates the applications for disruption, extension and grace for PhD students.

Art. 9

(1) Doctoral studies are organised within doctoral programmes.

(2) The Doctoral School of IOSUD-UTCN can organise:

- a. Doctoral programmes which operate within a single Doctoral School;
- b. Interdisciplinary doctoral programmes organised through interinstitutional cooperations of UTCN with other academic and research national and international institutions;
- c. The doctoral studies organized under joint-supervision, according to letter b) of the present Art., have institutional PhD supervisors nominated to cooperate in the supervision of one PhD student activity.
- d. In collaboration with the organizations 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.

(6) 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.

(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 according to the criteria of affiliation to the doctoral school.

(8) 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.

(9) 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.

(10) 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.

(11) 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.

(12) The doctoral study programme based on advanced university studies: purpose, structure, and content - is described in Chapter 4 from the Institutional Regulation.

The Coordination Council of the doctoral programmes of each field drafts and proposes the structure and content of the general doctoral studies programme, according to the opportunity of the subjects and/or disciplines, and the current legislation. The programme is then approved by CSUD.

(13) The doctoral study programme based on advanced university studies: opportunity, responsibility

- (a) The study elements in the context of the preparatory program based on academic studies at which the PhD student has to participate are established by the PhD supervisor.
- (b) The PhD supervisor takes responsibility of the structure, the content, the on-going and the organisation of the doctoral training program of the PhD student.
- (c) The PhD supervisor is directly responsible for the scientific process of the PhD student, having the obligation to do their utmost to ensure the conditions, knowledge and information to maximize the chances of a successful completion of the doctoral program.

(14) The access of the PhD student to research resources

- (a) Ensuring the necessary resources for the doctoral training is the obligation of UTCN, IOSUD-UTCN, UTCN Doctoral School, the Councils for the Coordination of Faculties responsible for each domain. The PhD supervisor is obliged to support the PhD student access to the necessary resources for the conduct of the individual research programme.
- (b) The access of the PhD student to a research structure within UTCN is made with the approval of the PhD supervisor, according to the rules established in the research structure the PhD supervisor is a part of.
- (c) In the case of PhD thesis having interdisciplinary subjects, the PhD student can have access to another research structure within UTCN, other than the one the PhD supervisor is affiliated to, with the approval of the director of the research structure, after the PhD supervisor submits a request.
- (d)** The access of the PhD student to the research structures from other institutions will take place



according to the existing interinstitutional agreements. UTCN supports the conclusion of collaboration agreements with higher education institutions, research institutions, research networks, for the use of various research infrastructures in partnership.

CHAPTER 4

COMPLIANCE WITH THE TERMS OF THE ADVANCED UNIVERSITY TRAINING PROGRAMME (PPUA), THE SCIENTIFIC RESEARCH PROGRAMME (PCS) AND THE PUBLIC DEFENCE OF THE PHD THESIS

Art. 10 The duration of the doctoral study program is usually 3 years. In special situations, the duration of the doctoral study program may 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. The request will be approved by the Doctoral School Council with the agreement of the Coordination Council of the doctoral programmes in the field chosen, only for reasons related to the research activity and the valorisation of research results. During the extension period, PhD students are considered to be in training, but cannot be quantified in the teaching load of the PhD supervisor.

Art. 11 The doctoral programme may be interrupted for medical reasons, for childbirth and pregnancy leave, for maternity leave, or any other serious reasons, for a maximum period of 3 years. The request will be approved by the Doctoral School Council with the agreement of the Coordination Council of the doctoral programmes in the field chosen.

Art. 12 In the event that the PhD student has not fulfilled all contractual obligations at the end of the internship (finishing the PPUA and defending all 4 scientific progress reports, according to IR) and did not obtain an extension of the study period, or in the case in which the PhD student has exceeded the term approved by the extension, the PhD student shall be notified in written by the PhD supervisor, with the approval of CSUD and the Coordination Council of the doctoral programme, 30 days prior to the expiry of the extension period . After this notification, the PhD student shall have a respite of 1-2 months to remedy the situation; if not, he will be expelled.

Art. 13 The Doctoral School Council will not take into consideration and will not approve the disruption, extension or the grace period requested by the PhD student unless all the necessary approvals are obtained (from the PhD supervisor and the Coordination Council of the doctoral programmes from the field chosen) and if, until the date of the request, he has met his obligations mentioned in the contract and the individual scientific research programme.

Art. 14 The full time PhD students enrolled will respect the attendance schedule established by the PhD supervisor, not less than 20 hours per week. In the case of part time PhD students, the PhD supervisor will establish periodical meetings with the agreement of the PhD student.

Art. 15 (1) The UTCN Doctoral School must perform the anti-plagiarism verification (using TURNITIN software offered by UTCN) and draw up the anti-plagiarism report. These activities will be carried out by the person designated for this purpose, member in the Coordination Council of the doctoral programme chosen.

(2) The pre-defence of the PhD thesis shall be public, in the presence of the guidance committee, and announced with at least 7 days before the scheduled date (displayed at the office of the department/faculty and posted on the Doctoral School website), so all the specialists in the department/faculty can find out about it.

Art. 16 The announcement of the public defence of the thesis (date, hour, location), the abstract of the thesis in electronic format, the CVs of the PhD student and the members of the committee for the public defence of the doctoral thesis, or links towards these documents, will be posted on the website of the Doctoral School.



CHAPTER 5

CHANGING THE PhD SUPERVISOR AND THE PROCEDURES FOR THE MEDIATION OF CONFLICTS

Art. 17 The CSUD can decide, on the reasoned request of the PhD student, to change the PhD supervisor if the conditions laid down in Art. 29(1) of the Government Decision 681/2011 are met.

Art. 18 At the request of the Coordination Council of the doctoral programme chosen and the PhD student, CSUD can decide to appoint a new PhD supervisor for the PhD student, as a result of the non-compliance of the PhD supervisor to the obligations of the contract, or for other reasons which significantly alter the supervision report between the supervisor and the student.

Art. 19 The CSUD mediates the conflicts between the PhD supervisor and the PhD student, in accordance with Art. 24(2) of the Government Decision 681/2011. The conflicts between the Doctoral School and the PhD student are mediated by the CSUD.

CHAPTER 6

NATIONAL AND INTERNATIONAL COMPETITIVENESS AND QUALITY

Art. 20 Through the Coordination Councils of the doctoral programmes, the Doctoral School adopts the necessary measures specific to the domain, 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 professional rules, as well as for the external assessment process with a view to the accreditation/reaccreditation or the temporary authorisation of the doctoral school.

Art. 21 (1) In order to stimulate the quality of scientific research and the national and international competitiveness of doctoral research, PhD students are obliged to publish during the doctoral studies period, under the affiliation of UTCN, scientific papers in scientific journals in the field, indexed ISI/BDI, and in national and international conference proceedings volumes in the field.

(2) The Coordination Councils of the doctoral programmes of UTCN Doctoral School shall establish the eligibility criteria for the thesis defence and the minimum criteria for the granting of the titles, and the PhD supervisors and the guidance committee shall ensure their observance. In the case in which the performance criteria established by CNATDCU exceed those of UTCN Doctoral School, the CNATDCU criteria shall prevail.

CHAPTER 7

CONDITIONS FOR HABILITATION, AFFILIATION TO THE DOCTORAL SCHOOL AND WITHDRAWAL

Art. 22 The verification of the minimum standards compliance list, drafted by the applicant in accordance with the legal provisions in force for the specific field, is performed by the Coordination Councils of the doctoral programmes. The final report on the fulfilment of the habilitation criteria and the composition of the committee are approved by the Coordination Council of the doctoral programme and the Council of the Doctoral School.

Art. 23 (1) The affiliation of new PhD supervisors to the UTCN Doctoral School shall be carried out in accordance with the methodology set out in the "UTCN Regulation for obtaining the habilitation certificate and the affiliation to a Doctoral School within IOSUD-UTCN". The Doctoral School may require in addition a report with the performance in the recent activity.

(2) In order to be affiliated as a PhD supervisor to the UTCN Doctoral School, the research domain of the applicant has to be included in the strategic areas of research proposed by UTCN.

(3) The applicant shall write an affidavit that he did not breach the ethics and professional rules in the entire teaching/research activity, as mentioned in the UTCN Charter. The eventual identification of



misconducts is observed by the CSUD and leads to the suspension of the affiliation procedure until the final settlement of the alleged infringements of the regulation. The applicant will be informed of such suspension.

(4) Domain affiliation is conditional upon:

- The written acceptance of a research structure coordinator to be part of the structure team and to have access to the proposed doctoral topics and the logistics of the research; or
- the capacity of research structure coordinator within the UTCN, or
- the capacity of research structure member within the UTCN, recognised by the coordinator of the structure.

(5) 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, the opportunity of receiving new members and if the specific criteria from the Doctoral School regulation is 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 associated documents. 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.

Art. 24 The withdrawal of membership of the Doctoral School can be made:

- At the written request of the PhD supervisor, member of the Doctoral School;
- At the request of the internal/external periodical evaluation committee, according to Art. 67 and Art. 68 of the IR;
- In other situations arising from the regulatory acts in force, or the internal regulations of the university.

CHAPTER 8

CRITERIA, STANDARDS AND PERFORMANCE INDICATORS FOR ACCREDITATION

Art. 25 The UTCN Doctoral School, through IOSUD-UTCN, publishes on the website of the organising institution the information below, in compliance with the general rules with regard to data protection:

- The Regulation of the Doctoral School;
- The Regulation for Admission;
- The Regulation for the completion of studies which includes the procedure for the completion of doctoral studies;
- The content of doctoral studies programmes;
- Information regarding the organisation and deployment of doctoral programmes;
- The scientific profile and interests/research topics of PhD supervisors from the Doctoral School, and their institutional contact details;
- A list of PhD students from the Doctoral School, with the basic information (year of enrolment, PhD supervisor);
- Information about the standards for writing a PhD thesis, procedures and evaluation criteria;
- Links to the abstracts of the PhD thesis which are to be publicly defended, the date, hour and place of defence, with at least 20 days before the defence;
- The composition of the Doctoral School Council;
- The composition of the Coordination Councils of the doctoral programmes;



- The list of PhD supervisors with their CV, the list of scientific contributions, the list of PhD students, the guidance committees and the completed PhD thesis;
- The list of PhD thesis defended, with a link to their abstracts. There will be separate lists for the thesis with joint-supervision and those written in an internationally-spoken language, at the level of the Doctoral School;
- The material base and the use of the research infrastructure at international standards, included in data bases/national and/or international networks (libraries and access to international data bases).

Art. 26 Each Doctoral School will keep a track of the reports containing the publications and attendances to scientific events of PhD students, including the observance of the requests for institutional affiliation through:

- Top international scientific contributions of the Doctoral School
- The existence of a supplementary offer for doctoral training in international context: summer schools, conference for PhD students, seminars, workshops, etc.
- post-doctoral programmes with regulations and specific performance indicators,
- Projects obtained through national and international competitions by PhD students and post-doctoral researchers.

CHAPTER 9

COMPLIANCE WITH THE SCIENTIFIC, PROFESSIONAL AND UNIVERSITY ETHICS

Art. 27

- (1) The Doctoral School together with the PhD supervisor have the obligation to inform the PhD student regarding the scientific, professional and university ethics, and to verify their observance, including:
 - a) The observance of the professional rules during the PhD research;
 - b) The observance of the professional rules during the PhD thesis drafting.
- (2) The Doctoral School and IOSUD take measures to prevent and penalise the violations of the scientific, professional and academic ethics, according to the ethics code and professional rules of UTCN.
- (3) The PhD student and PhD supervisor are responsible under the rule of law in the case of eventual academic frauds, violation of university ethics or misconduct from the rules of conduct in scientific research, including plagiarism.

Art. 28 This regulation was approved in the meeting of CSUD on 23 January 2019 and in the meeting of the Administration Council Board on 23 January 2019.

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Approval of the Legal Office