

RULES OF PROCEDURE OF THE DOCTORAL SCHOOL OF THEORETICAL AND APPLIED GEOLOGY

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1. INTRODUCTION AND GENERAL PROVISIONS

The Doctoral School of Theoretical and Applied Geology (ŞDGTA) operates within the Department of Geology of Babeş-Bolyai University (UBB). ŞDGTA's rules of procedure are based on and observe the provisions of the *National Education Law* no. 1/2011, of the *Code of PhD studies* approved by Decision of the Romanian Government no. 681/2011, of the *Charter of Babeş-Bolyai University* and of the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies*, as updated in 2017. These rules of procedure describe the updated version of the Regulation of the Doctoral School of Geology no. 131a / 28.01.2013 as subsequently supplemented (*Annex 2* of 12.02.2016).

The PhD studies represent the third stage of university studies in the field of geology at Babeş-Bolyai University, following the bachelor and master studies; their main objective is to train young researchers so that they can prove, after completing the PhD training program, that they are able to carry out advanced scientific research, with results that can be capitalized through mainstream publications in the field of geology or to solve problems specific to applied geology. In accordance with the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies*, PhD studies in geology aim at acquiring scientific research skills and the abilities needed to apply knowledge in the field of geology. These skills and abilities mainly refer to:

1. developing scientific thinking to identify, formulate and solve research problems;
2. mastering the methods and techniques of advanced research in the field of geology;
3. acquiring knowledge regarding the management of research projects;
4. assimilation of new processes and solutions in geological research;
5. developing the skills of documentation, drafting and capitalization of scientific works;
6. assimilation and application of the principles and values of professional ethics;
7. skills of understanding, creation process and advanced expression in science;
8. advanced communication and inter-relationship skills;
9. knowledge of human, material and financial resources management.

PhD studies in geology are organized by the Department of Geology of Babeş-Bolyai University in the following main directions:

1. The study of sedimentary basins in their paleontological, stratigraphic and sedimentological aspect, with the main objective of reconstructing the spatial and temporal relations between sedimentary units, the evolution of paleoenvironmental parameters and highlighting any favourable conditions for the accumulation of resources which are economically useful.

2. The study of mineralo- and petrogenesis processes in the earth's crust, in order to reconstruct their positioning in space and their evolution over time, including their potential to generate mineral resources which are economically useful.

3. The study of the dynamic phenomena and processes that led, over time, to the configuration and reconfiguration of the global and regional tectonic-structural units with effect on the various major rock units.

4. Studies applied in interdisciplinary fields (archaeometry, heritage conservation, constructions, etc.).

ŞDGTA operates within the Department of Geology. The experienced members of the department have a substantial contribution to geological research in Romania, with remarkable results published in journals from the mainstream of publications in the field.

The Centre for Integrated Geological Research (CCGI), which operates within the Department of Geology, is associated with ŞDGTA.

The journal "Studia UBB - Geologia", published by the Department of Geology of Babeş-Bolyai University, offers a good opportunity to publish relevant scientific results obtained within the ŞDGTA.

The Department of Geology and the Centre for Integrated Geological Research have a modern research infrastructure that provides high-performance research facilities.

Studies conducted in the field of theoretical and applied geology open the way to employment opportunities in the field of scientific research, university education, as well as applied geology at national and international institutions.

2. DOCTORAL SCHOOL. ORGANIZATION

2.1. ŞDGTA consists of:

- PhD supervisors;
- affiliated university teachers and affiliated researchers;
- PhD students;
- secretary;
- auxiliary teaching staff, as well as technical and administrative staff (depending on needs and available funds).

2.2. ŞDGTA is led by the doctoral school council.

2.3. The doctoral school council is made up of:

- a) the director of the doctoral school;
- b) a full-time PhD supervisor from the doctoral school;
- c) two members from outside Babeş-Bolyai University who are recognized scientists;
- d) a PhD student who acts as representative of the PhD students enrolled in the doctoral school.

2.4. The doctoral school council is chaired by the director of the doctoral school, who is a full member of the doctoral school council. The director of the doctoral school is appointed by the CSUD based on a proposal presented by the doctoral school council following internal elections. The director of the doctoral school is a tenured PhD supervisor, a teacher holding a permanent position at Babeş-Bolyai University in Cluj-Napoca, and working for UBB on an open-ended employment contract. The other members of the doctoral school council, with the exception of the PhD student, are elected by universal, direct, secret and equal vote of the tenured PhD supervisors within the doctoral school.

2.5. University teachers or researchers who become members of the doctoral school council must have the right to conduct doctorates in Romania or abroad.

2.6. The PhD students elect their representative in the doctoral school council by universal, direct, secret and equal vote among the PhD students enrolled in the doctoral school. The PhD student who is a member of the doctoral school council and completes his / her PhD studies during the council's term loses the quality of member of the doctoral school council on the day of the public defence of their PhD thesis.

2.7. The term of office of the doctoral school council is 5 years.

2.8. The places that have become vacant within the ŞDGTA council are filled according to the provisions of paragraph 2.4, and the mandate of any new member ends at the expiration of the mandate of the doctoral school council.

2.9. The doctoral school council shall meet at the request of the director of the doctoral school or at least two members of the council. Council meetings are chaired by the director of the doctoral school.

2.10. The duties of the doctoral school council are as follows:

- a) drafts and adopts the doctoral school's rules of procedure;
- b) drafts the minimum criteria regarding the organization and operation of the PhD study programs;
- c) decides on granting / withdrawal of tenured PhD supervisor positions or affiliated professor / researcher positions, taking into account the legal provisions in force and the UBB Regulation for organizing and conducting PhD studies. The criteria for acceptance of new PhD supervisors and for the affiliation of teachers / researchers to the Doctoral School of Theoretical and Applied Geology are described in Annex 1 to this Rules of Procedure.
- d) approves, based on proposals from the tenured PhD supervisors, the enrolment in the PhD programs of the applicants selected through the admittance competition;
- e) approves, based on proposals from the tenured PhD supervisors, the expulsion of PhD students; mediates conflicts between PhD students and their PhD supervisors. The party dissatisfied with the decision of the doctoral school council can appeal it with CSUD.
- f) reassigns the supervision of a PhD thesis in progress to another PhD supervisor under the conditions laid out in Art. 73 points a), b), c) and d) of the Regulation of Babeş-Bolyai University for organizing and conducting PhD studies;
- g) approves the list of positions of the doctoral school;
- h) approves the content of the PhD study programs;
- i) approves the individual PhD study plans of PhD students;
- j) implements procedures for highlighting the results of the PhD research in order to evaluate the PhD theses and to approve them for public defence;
- k) ensures the internal evaluation of the PhD study programs;

- l) defines and implements the rules according to which the collaboration between the PhD supervisors and the PhD students will be established;
- m) approves the proposals of committees for the evaluation of PhD theses;
- n) drafts the strategy for attracting applicants;
- o) assists the external evaluator in the evaluation process in order to provisionally authorize or accredit / re-accredit the doctoral school;
- p) ensures the internal evaluation of the PhD studies;
- r) advances and approves the proposals for agreements and partnerships / consortia for the development of PhD study programs and co-supervised doctorates;
- s) manages – in collaboration with the director of the doctoral school and with the administrator of the Faculty of Biology and Geology – the funds of the doctoral school and carries out the steps for obtaining external financing. The relationship of the doctoral school with the Faculty of Biology and Geology, and with CSUD-ISD in this field is carried out according to the provisions of the *Regulation of Babeş-Bolyai University no. 7622 of 8.05.2017 for organizing and conducting PhD studies*.
- t) takes any other decisions needed for the smooth running of the doctoral school, in accordance with *National Education Law no. 1/2011*, the *Code of PhD studies*, the *Charter of Babeş-Bolyai University*, the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies*, as well as with any other legislation in force.

2.11. Duties of the secretary of the doctoral school:

The secretary of the doctoral school carries out a series of administrative and organizational activities in order to increase the efficiency of the doctoral school, such as:

- a) provides technical support for an efficient communication with UBB's Institute for Doctoral Studies;
- b) contributes to the periodic updating of the ŞDGTA Rules of Procedure;
- c) monitors the way in which the PhD students fulfil their contractual obligations and observe the calendar of their individual PhD studies plan;
- d) supports the logistics of the public defence of PhD theses;
- e) provides support for an effective fulfilment of the administrative duties incumbent on the director, the council and the members of ŞDGTA (curricula, time sheets, PhD students files, etc.);

- f) keeps and organizes the ŞDGTA archive (paper and digital format);
- g) draws up and keeps an alumni register with former PhD students of ŞDGTA;
- h) monitors the professional path of PhD graduates;
- i) informs PhD students on the opportunities for financing research programs;
- j) manages the ŞDGTA website;
- k) carries out any other activities provided for in the *Regulation of Babeş-Bolyai University no. 7622/2017 for organizing and conducting PhD studies*, at the request of CSUD, ISD, of the director and council of ŞDGTA.

3. PARTNERSHIPS

The Doctoral School of Theoretical and Applied Geology has collaboration agreements related to PhD training with universities in Romania and abroad.

4. ADMITTANCE TO PhD STUDIES

4.1. Admittance to PhD studies is based on a competition organized by Babeş-Bolyai University, through its Institute for Doctoral Studies, in accordance with the framework methodology on organizing admittance to higher education institutions in Romania, drafted annually by the competent ministry, and Babeş-Bolyai University's own regulations.

4.2. Only university graduates holding a master's degree or its equivalent can apply to take part in the competition for admittance to PhD studies. The diploma of graduation or bachelor's degree of long-term higher education graduates from the period prior to the application of the three Bologna cycles is equivalent to a master's degree in the field.

4.3. Applications for the PhD studies admittance competition can be submitted regardless of the field in which the candidate obtained a bachelor's and master's degree, but they need to have sufficient knowledge in the field of geology to allow them an appropriate PhD training. In the case of graduates who do not have a master's degree in geology, this knowledge is tested in the interview which forms part of the PhD admittance exams.

4.4. When applying for the admittance competition, the candidate for PhD studies chooses a PhD supervisor and competes for a place on the supervisor's team. If the applicant is successful, the PhD supervisor they have previously selected shall coordinate their PhD studies.

4.5. By consultation with the doctoral school council, the tenured PhD supervisors determine in detail and at least 2 months before the date of the admittance examination, the applicants evaluation and selection criteria for the places offered in the admittance exam. These criteria shall be communicated in writing to the Institute for Doctoral Studies and made public on the websites of the faculty and ŞDGTA.

4.6. The PhD admittance competition consists of two specialized exams:

a) a specialized written test, based on a list of topics announced by the PhD supervisor at least two months before the date of the admittance competition;

b) an interview in which the scientific interests of the applicant are analysed, as well as their research skills, the proposed topic for the PhD thesis and the intentions regarding the drafting of a PhD thesis on that topic, as well as the applicant's previous achievements.

At the request of the PhD supervisor and with the consent of the doctoral school council, other (preliminary) tests may be included in the PhD admittance competition.

4.7. The admittance exams for PhD studies are held in front of an admittance committee consisting of the PhD supervisor who offered the place of PhD student for admittance and at least 2 other experts from Babeş-Bolyai University, who hold, as a minimum, a position of associate university professor or 2nd-degree scientific researcher. The chairman of the admittance committee is the PhD supervisor of the PhD student in question. The admittance committees are suggested by the PhD supervisor, and approved by the doctoral school council and the CSUD director.

4.8. For each test, the admittance committee grants a full grade from 1 to 10; the arithmetic mean of these grades constitutes the final grade obtained by the applicant in the admittance competition. Applicants who have obtained at least an average of 8 will be declared admitted in descending order of the averages obtained and within the limit of available places.

4.9. After the evaluation of the exam papers (against the established evaluation criteria), the admittance committee nominates, based on the established selection criteria, the candidate who is to occupy the position of PhD student put up for competition. This candidate will be able to be enrolled in that position only after the validation of the final results by the doctoral school

council and by CSUD and according to the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies* and the *Methodology for admittance to PhD studies at Babeş-Bolyai University*.

4.10. The number of places financed by the state budget, the number and type of scholarships, the admittance and tuition fees, the contents of the admittance dossier are determined according to the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies* and the *Methodology for admittance to PhD studies at Babeş-Bolyai University*. The evaluation criteria, the bibliography related to the competition and the structure of the admittance committee are determined by the doctoral school council and are approved by CSUD. The results are announced, the dossiers are withdrawn and the places are redistributed in accordance with the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies*, the *Methodology for admittance to PhD studies at Babeş-Bolyai University* and the provisions laid out by CSUD of UBB.

5. PhD STUDIES PROGRAM

5.1. The PhD studies program in geology aims to train researchers capable of conducting scientific research with results that can be published in mainstream publications in the field, but at the same time to have highly qualified skills, with which to provide solutions to various problems in applied geology. The doctoral school aims at developing content competencies and transversal competencies in the sense of the Code of PhD studies, and of the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies*.

5.2. The program of PhD studies in the field of geology is organized on a full-time, as well as on a part-time basis. The attendance obligations of PhD students enrolled in the full-time or part-time program are determined by the doctoral school council.

5.3. The actual attendance may vary from one PhD student to another. This is defined by the PhD supervisor according to the specifics of the PhD study program and in compliance with the provisions of the doctoral school regulations.

5.4. The PhD study program is carried out within the doctoral school under the guidance of a PhD supervisor and includes a component based on postgraduate studies and another based on individual research.

5.5. The PhD student is supported by a guidance committee, consisting of three other teachers or researchers who hold the title of doctor and, as a minimum, the position of lecturer or 3rd-degree scientific researcher. The members of the guidance committee are selected by the PhD supervisor in consultation with the PhD student, within 30 days from the day of his / her enrolment.

Postgraduate training program

5.6. The postgraduate training program aims to enrich the knowledge of the PhD students and help them carry out their individual scientific research program in optimal circumstances and acquire advanced skills specific to the PhD studies cycle.

5.7. The postgraduate training program is carried out in one of the two university semesters of the first year of the PhD, in accordance with a curriculum proposed by the doctoral school. It takes 12 weeks and cannot be extended according to Art. 6 par. 1 of the Regulation of Babeş-Bolyai University for organizing and conducting PhD studies. This program is a continuation, at a higher level, of the undergraduate and master's degree programs, but the curriculum also includes knowledge modules which differ from those pertaining to the undergraduate and master's degree programs.

5.8. The postgraduate training program must be relevant to the research topic of the PhD thesis and must not negatively impact the time available to PhD students for their individual scientific research program. It consists of activities carried out within the doctoral school, such as courses, seminars, laboratories and individual training activities.

5.9. The subjects in the curriculum of the doctoral school are proposed by the tenured PhD supervisors. The curriculum is prepared by the director of the doctoral school, is approved by the Council of the doctoral school and is subject to CSUD approval.

5.10. Within the framework of the postgraduate training program, PhD students take part, during the semester of the academic year corresponding to these activities, in at least 3 disciplines of PhD studies from the doctoral school curriculum. For each discipline they attend, PhD students receive a certificate of participation, issued by the teacher who is responsible for the course and countersigned by the PhD supervisor. PhD students submit the certificates of participation to the

secretary of the doctoral school. The secretary of the doctoral school sends the Institute for Doctoral Studies a summary table with the situation of all the participation certificates of the PhD students and all the original participation certificates, and keeps copies of the certificates for the ŞDGTA archive.

5.11. Within the postgraduate training program, PhD students must obtain, through attendance of the courses, at least 60 transferable credits. Credits obtained in other PhD programs, in Romania or abroad, can be recognized as equivalent to those in the postgraduate training program. The equivalence is proposed by the PhD supervisor and is approved by the doctoral school council in accordance with the *UBB Regulation for organizing and conducting PhD studies*.

5.12. The change of some disciplines in the postgraduate training program can be allowed only once for each discipline and only at the request of the PhD student. Any such request must be endorsed by the PhD supervisor. The request shall then be approved by the director of the doctoral school.

5.13. PhD students cannot request the change of a discipline after starting the activities related to it.

Individual scientific research program

5.14. The main objective of PhD students individual scientific research programs is to draft their PhD theses. The PhD supervisor is responsible for the structure, contents, implementing and organization of this program. The PhD student is part of the PhD supervisor's research team; as such, the PhD student is involved in scientific research projects, obtains knowledge on the progress made in the scientific research undertaken and develops transferable skills during teamwork.

The Department of Geology and the Centre for Integrated Geological Research provide PhD students with the research infrastructure they need to carry out the research activity within the PhD study program.

5.15. The individual scientific research program is planned for the entire period of PhD studies. In special cases, when the researched topic requires a longer period, the duration of this program can be extended in accordance with the provisions of the Regulation of Babeş-Bolyai University for organizing and conducting PhD studies. In view of the extension, an additional document to the PhD studies contract is concluded. The individual scientific research program shall be carried

out based on the scientific research project, which must be defended within one year from enrolment at the most.

5.16. The individual scientific research programs of PhD students include 3 oral presentations, in front of the PhD supervisor and the guidance committee, namely:

a) during the first year of the PhD studies, PhD students submit the research project drafted in order to complete their PhD thesis;

b) during the other 4 semesters of the PhD period, PhD students submit at least two progress reports regarding their own research, where they summarize the intermediate scientific results they have obtained and which will be capitalized in their PhD thesis. The supervisor of a PhD student may request additional activity reports to those provided for initially. The additional report shall be requested from the PhD student at least 30 days before the proposed deadline for its defence.

5.17. The actual date of each presentation mentioned above is set by the PhD supervisor and is communicated to all members of the department, who may attend the presentation and may ask questions and launch discussions. The interval between two consecutive presentations shall be 12 months at most. The PhD supervisor cannot be absent from any of the presentations, and at least 2 members of the guidance committee must attend each presentation.

5.18. After each presentation, a report is drawn up recording the main comments and recommendations made by the PhD supervisor and the members of the guidance committee. A copy of the report, signed by the PhD supervisor and by the members of the guidance committee who attended the presentation, is then submitted to the secretariat of the Institute for Doctoral Studies and kept in electronic format or printed and included in the doctoral school archives.

5.19. The individual research program of each PhD student must lead to the communication of their results at 3 scientific events (as a minimum) organized by the Department of Geology / ŞDGTA or other institutions in Romania or abroad and to publishing of at least 3 specialized articles related to the topic of the thesis, of which at least one article should be ISI-indexed (Ministerial Order No. 4478 of June 23, 2011, published in the Official Gazette of Romania, Part I, No. 448 / 27.VI.2011: *“An ISI-rated journal is a journal for which Thomson Reuters calculates and publishes the impact factor in Journal Citation Reports.”* The PhD student’s research program is considered fulfilled if the PhD student has completed the following:

a) defence of all planned presentations;

b) participation with lectures at scientific events, in accordance with the official program of the event;

c) proof of publication of articles in the field of their PhD thesis by extracts or letters from the editorial boards, which shows that the publication of the articles has been accepted.

5.20. The title of the scientific research project preparing the PhD thesis is chosen by the PhD supervisor and the PhD student and relates to the PhD field of study, to the specialized training module attended by the PhD student, to the field of expertise of the PhD supervisor and to the scientific research strategy of the doctoral school and of Babeş-Bolyai University.

5.21. The postgraduate training program ends with the defence of the scientific research project developed by the PhD student in order to complete the PhD thesis. The evaluation of this project and of the research skills acquired by the PhD student within the postgraduate training program shall be carried out by the PhD supervisor and the guidance committee. The date and place of the defence of the scientific research project shall be communicated by the PhD supervisor by posting an announcement at the headquarters of the doctoral school at least five working days in advance. The evaluation of the research project is carried out according to the provisions of the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies*.

5.22. The PhD student may interrupt the PhD program for substantive reasons, in accordance with the provisions of Art. 7 par. (1) of the Regulation of Babeş-Bolyai University for organizing and conducting PhD studies.

5.23. Any interruption of the PhD program must begin on the first day of a university semester and end on the last day of a university semester, thus ensuring that the interruption period includes a whole number of university semesters.

5.24. The cumulative duration of the interruption periods granted to a PhD student is 6 university semesters at the most.

5.25. The interruptions are approved by the director of the PhD studies council of Babeş-Bolyai University, at the request of the PhD student, with the endorsement of the PhD supervisor and that of the doctoral school council. For each interruption, an additional document to the PhD studies contract is concluded.

5.26. In special cases, when a PhD student who has fulfilled his / her obligations pertaining to the postgraduate training program and the individual scientific research program, but did not complete his / her PhD thesis after 6 academic semesters from enrolment – plus the interruptions

granted in accordance with this Rules of Procedure – the PhD supervisor may request, if the necessary funds are available and upon the approval of the doctoral school council, an extension of 2 or 4 university semesters for the PhD studies of the PhD student in question. The extension can be granted only once. The request for extension is submitted by the PhD supervisor to the secretariat of the Institute for Doctoral Studies and it shall then be submitted by the director of CSUD to the Senate of Babeş-Bolyai University for approval.

5.27. If the PhD student fails to complete or publicly defend his / her PhD thesis by the deadline stipulated in the PhD studies contract and in any additional documents, he / she still has a maximum period of 4 years from the completion of the PhD studies to defend his / her PhD thesis, with the consent of the PhD supervisor and of the university senate; exceeding this deadline shall lead to the impossibility of completing the PhD studies and thus to the student's expulsion.

6. WRITING THE THESIS AND COMPLETING THE PhD STUDIES

6.1. The PhD thesis is an original scientific paper resulting from field and laboratory research conducted by the PhD student in accordance with the topic of the thesis and its drafting plan. The PhD thesis must show that the PhD student has come to master the research methodology in the researched field, that they have assimilated the latest results in the field, that they have acquired the necessary competencies for advanced research and that they are able to carry out autonomous research. The PhD thesis must bring new results to the knowledge in the researched topic, which are published, accepted for publication and publishable in the mainstream publications in the field of Earth science.

6.2. The PhD student is the author of the PhD thesis and is responsible for the correctness of the data, information, opinions and demonstrations included in the thesis. It is mandatory to specify the source of any data cited from the literature. The PhD supervisor is responsible, together with the author, for the observance of quality standards and professional ethics, including for ensuring the originality of the content of the PhD thesis.

6.3. While writing the thesis, the PhD student must observe the structure decided together with the PhD supervisor, as well as the writing guidelines provided for in the “PhD thesis writing guide” included in Annex 2 of these Rules of Procedure developed by ŞDGTA.

6.4. A PhD student who has completed their thesis can begin the procedure for defending it and obtaining the PhD degree.

a) The PhD student submits a copy of the thesis in digital format to their PhD supervisor and to each member of the guidance committee in order for them to evaluate the initial thesis.

b) The PhD supervisor and / or the members of the guidance committee may reject the public defence of the thesis requested by the PhD student if they find methodological errors, erroneous interpretations of results, superficial bibliographic documentation, violation of research ethics or plagiarism. Depending on the deficiencies found, the PhD supervisor and the members of the committee shall recommend the appropriate remedial measures to the PhD student.

c) The PhD thesis is pre-defended in front of the guidance committee. The members of the department are invited to the pre-defence meeting and can participate through questions and discussions at the end of the PhD student’s presentation. They are invited by the director of the department at the request of the director of the doctoral school, after the date of the presentation has been approved.

d) The title of the PhD thesis can be modified by the PhD student until the moment of obtaining the public defence agreement given by the PhD supervisor and the members of the guidance committee. After these parties have expressed their approval in writing, the title of the PhD thesis can no longer be changed.

6.5. After the PhD student obtains the agreement to publicly defend the thesis, he / she must submit the PhD thesis in digital format to the secretary or director of the doctoral school for a similarities analysis. This analysis is performed in accordance with the UBB anti-plagiarism procedure. The Similarity Report is submitted to the PhD supervisor, who will prepare the PhD Supervisor's Resolution on the Similarity Report.

6.6. The PhD studies in the field of geology are completed by defending the PhD thesis in a public setting, in front of the specialized committee. This process is achieved through collaboration between the doctoral school of geology and ISD. The appointment of the committee for public defence of the thesis, the documents that the PhD student must submit to the ISD secretariat, the procedure for evaluating the thesis by the committee members, the

deadlines and the procedure for conducting the meeting and awarding the doctorate are those provided in the *Regulation of Babeş-Bolyai University no. 7622/2017 for organizing and conducting PhD studies*.

7. RIGHTS AND OBLIGATIONS OF THE PhD STUDENT

7.1. The person who has been declared as admitted to the PhD program by the admittance committee and who has subsequently been enrolled at UBB shall have the quality of PhD student of ŞDGTA for the entire duration of the PhD studies undertaken at Babeş-Bolyai University. According to the *Regulation of Babeş-Bolyai University no. 7622/2017 for organizing and conducting PhD studies* and taking into account the particularities of ŞDGTA, the PhD student has the following rights:

- a) to be informed about the PhD study program in which he / she has been enrolled;
- b) to choose the field of specialization and the research topic in agreement with the PhD supervisor;
- c) to participate in the drafting of the individual plan of PhD studies;
- d) if need be and for substantive reasons, to request the doctoral school council to change his / her PhD supervisor;
- e) to attend meetings or seminars of the department / research team to which his / her PhD supervisor belongs, when topics relevant to his / her PhD studies are being discussed;
- f) to be represented in the decision-making bodies of the doctoral school, in the CSUD and in the Senate of Babeş-Bolyai University, according to the provisions of the doctoral school regulation, of the present Rules of Procedure and of the Charter of Babeş-Bolyai University;
- g) to use the documentation resources and research equipment of the Department of Geology and the Centre for Integrated Geological Research for the preparation and drafting of their PhD thesis;
- h) to take part in the scientific paper sessions organized by the doctoral schools and / or by Babeş-Bolyai University and the Department of Geology;

- i) to work, with the consent of their PhD supervisor, in research teams within Babeş-Bolyai University or within research and development units that have concluded agreements or institutional partnerships with Babeş-Bolyai University;
- j) to prepare their PhD thesis in co-supervision, based on an agreement concluded and signed by the parties involved;
- k) to benefit from national or international mobility programs; to benefit from institutional support to participate, in Romania or abroad, in scientific events, workshops and specialization programs in the field of their PhD thesis;
- l) to carry out internships in public / private companies in Romania or abroad;
- m) to get involved in any other professional activities, at the request of the PhD supervisor or the doctoral school;
- n) to carry out teaching activities, in accordance with the PhD studies contract, amounting to 4-6 teaching hours per week, at the request of the PhD supervisor and with the consent of the department director. Teaching activities that exceed this level fall under the labour code and thus shall be remunerated in accordance with the legislation in force, observing the rights and obligations of workers and paying the taxes and fees required by law.

7.2. Obligations of the PhD student:

- a) to carry out the activities provided for in the individual plan of PhD studies and to comply with the attendance obligations depending on the form of education in which he / she is enrolled (full-time or part-time), in accordance with this Rules of Procedure;
- b) to be in constant contact with the PhD supervisor and the members of the guidance committee;
- c) to submit activity reports to the PhD supervisor and the guidance committee whenever requested;
- d) to observe the rules and regulations of Babeş-Bolyai University, and to conduct themselves in a manner befitting the quality of PhD student;
- e) to actively contribute to the improvement of the framework for the development of PhD studies;
- f) to respond promptly to all requests addressed by the Institute for Doctoral Studies;

- g) to consult at the end of each academic year with the Secretariat of the Institute for Doctoral Studies in order to check the stage of fulfilling their obligations as stipulated in the PhD training program;
- h) to participate with scientific presentations in the works of the Symposium “IP Voitești”, organized annually by the Department of Geology, or in other national and international scientific events;
- i) to participate in the meetings of the Department of Geology organized in view of defending the PhD theses within ŞDGTA;
- j) to participate in the public defences of the PhD theses drafted within ŞDGTA;
- k) to submit for publication in the journal of the Department of Geology, “Studia UBB – Geologie”, or in other specialized journals (BDI, ISI), the results obtained during their PhD studies; it is recommended to publish in “Studia UBB – Geologie” at least one contribution containing results obtained during the PhD studies.

7.3. Conflict of interests of the PhD student:

According to the *Regulation of Babeş-Bolyai University no. 7622/2017 for organizing and conducting PhD studies*, the following situations are considered conflicts of interest:

7.3.1. A candidate for PhD studies cannot have a spouse or a relative / in-law up to the 3rd degree among the members of the admittance committee in front of whom he / she must take the tests in the PhD admittance competition.

7.3.2. A candidate for PhD studies cannot have a spouse or a relative / in-law up to the 3rd degree as his / her PhD supervisor or among the members of his / her guidance committee or PhD committee appointed to evaluate the public defence of his / her PhD thesis.

7.3.3. People who are in a relationship of spouses, relatives and in-laws up to and including the 3rd degree cannot be appointed in the same PhD admittance committee, PhD student guidance committee or PhD defence committee.

8. RIGHTS AND OBLIGATIONS OF THE PhD SUPERVISOR

8.1. The rights and obligations of the PhD supervisor are stipulated in the *National Education Law no. 1/2011*, the *Charter of Babeş-Bolyai University*, the *Regulation of Babeş-Bolyai University for organizing and conducting PhD studies*, the ŞDGTA regulation, as well as the PhD supervisor' employment contract.

8.2. The status of PhD supervisor in the field of geology is obtained according to the rules of CNATDCU. The activity of PhD supervisors is regulated in accordance with the law and falls within the duties of the director of the doctoral school. In accordance with Art. 27 Para. (3) of GD 681/2011 on the *Code of PhD studies*, a PhD supervisor may simultaneously guide a maximum of 8 PhD students who are in various stages of their PhD studies.

8.3. The rights of the PhD supervisor include:

- a) the right to participate in competitions for PhD grants;
- b) the right to request the doctoral school to include in the offer for the PhD admittance competition some vacant positions of PhD student, under the supervisor's management;
- c) the right to select the PhD candidate for a vacant position under his / her management and to propose the enrolment of the candidate who was declared successful in that position following the admittance competition;
- d) the right to assemble the guidance committee for each PhD student under his / her supervision;
- e) the right to evaluate the activity of the PhD student under his / her supervision or guidance throughout the PhD studies (except for the potential interruption periods), based on the requirements of the PhD studies program and observing the professional interests of the PhD student;
- f) the right to propose the disciplines within the postgraduate training program in which the PhD student supervised by the PhD supervisor in question must participate, in compliance with the provisions of these Rules of Procedure;
- g) the right to propose the PhD committee members;
- h) the right to an impartial internal and external evaluation, in accordance with the specific methodology of the evaluation process;

- i) the right to be aware of the methodology under which he / she is evaluated, both for the internal and the external part of the evaluation;
- j) the right to know the results of the internal or external evaluation of his / her activity;
- k) the right to reject the supervision of a PhD student;
- l) the right to request the doctoral school council, based on substantive reasons, the interruption of the supervision or guidance relationship with a PhD student.

8.4. The PhD supervisor has the following obligations:

- a) to ensure, throughout the PhD studies (except for the potential interruption periods), an adequate scientific, professional and deontological guidance of the PhD student under his / her supervision;
- b) to permanently follow the way in which the PhD student carries out his / her PhD studies and activities;
- c) to take all the necessary measures to provide the PhD student with the conditions, knowledge and information that will maximize the chances of their completing the PhD studies;
- d) to carry out an objective and rigorous evaluation of the activity and results of each PhD student under his / her supervision or guidance;
- e) to select and propose a list of research topics adapted to market requirements, which will allow the PhD student to enter the labour market;
- f) to ensure and stimulate the progress of PhD students in the research they carry out;
- g) to support the mobility of PhD students;
- h) to avoid the occurrence of conflicts of interest in the supervision and guidance of PhD students.

9. EVALUATION AND MONITORING OF THE DOCTORAL SCHOOL OF THEORETICAL AND APPLIED GEOLOGY

9.1. The PhD study program undergoes a periodical internal evaluation processes, carried out according to timetables established by CSUD. The internal evaluation of the quality of the PhD study program (the results of the PhD students, the PhD supervisors, the council and the director of the doctoral school) takes place periodically and is carried out by the doctoral school.

9.2. The procedures for the internal evaluation of the quality of a PhD study program are developed by CSUD.

9.3. Each doctoral school undergoes an external evaluation at 5-year intervals.

9.4. The external evaluation of the PhD study programs is carried out by ARACIS or by another quality assurance agency from Romania or abroad. It is carried out based on a system of criteria and a methodology established by order of the competent minister. The result of the evaluation is made public, and the consequences of a negative evaluation are specified in the Regulation of Babeş-Bolyai University for organizing and conducting PhD studies.

9.5. The evaluation of PhD students' activities is mainly focused on the results of their research and is carried out according to the *Regulation of Babeş-Bolyai University no. 7622/2017 for organizing and conducting PhD studies*.

10. TRANSITIONAL AND FINAL PROVISIONS

10.1. The Rules of Procedure of the Doctoral School of Theoretical and Applied Geology are drafted by the council of the doctoral school by consulting all the tenured PhD supervisors of this school, in compliance with the Code of PhD studies and the regulations of Babeş-Bolyai University.

10.2. The ŞDGTA Rules of Procedure are endorsed by universal, direct, secret and equal vote of the tenured PhD supervisors in the doctoral school, acting by an absolute majority, and they are subsequently approved by CSUD.

10.3. The ŞDGTA Rules of Procedure are supplemented, whenever necessary, with new provisions regarding various aspects of the doctoral school's activity.

Annex 1

Conditions for the affiliation of PhD supervisors to the Doctoral School of Theoretical and Applied Geology

The admission of new PhD supervisors is carried out on request.

Candidates must hold the habilitation certificate and meet the UBB criteria for the position of University Professor in the field of Geology.

Candidates shall describe the experimental facilities they coordinate and those to which they have access for the implementing of the proposed research program. Candidates shall also describe the laboratories and experimental facilities they intend to develop within the proposed research program.

Candidates must demonstrate that they have created and coordinated nationally / internationally recognized teams and / or research centres.

By affiliation to the doctoral school, candidates who hold their main position in other institutions become members of the UBB community. Thus, they shall mention their affiliation to UBB and ŞDGTA in the scientific publications they will produce during the research program they implement in the doctoral school. This affiliation must also be mentioned by candidates who hold their main position at UBB and become members of the doctoral school. Where applicable, double affiliation will be mentioned.

Candidates must demonstrate they are able to obtain the necessary resources for the proper conduct of the proposed research program and will undertake to comply with the UBB Code of Ethics.

Annex 2

PhD thesis writing guide

Doctoral School of Theoretical and Applied Geology

Babeş-Bolyai University of Cluj-Napoca

1. General information

The PhD thesis will be presented in the form of a volume in A4 format, which will include the main text and any annexes. The recommended number of pages is between 100 and 200, but these limits may vary depending on the topic.

The copies submitted to the secretariat of the Institute for Doctoral Studies in view of the defence will be bound in cardboard covers. A CD-ROM or DVD-ROM containing all the materials that make up the thesis, in PDF format, will be attached to each copy.

Page numbering is mandatory and starts with 1 on the first page of the actual text (excluding the cover page and table of contents).

A separate number will be assigned to each annex (e.g. Annex 1, ... Annex n).

2. Thesis title page

The title page of the thesis will include:

- a) The name of the institution (university, faculty) and of the doctoral school where the PhD student is enrolled. In the case of a co-supervised PhD, the names of both institutions will be written in parallel columns;
- b) The title of the thesis;
- c) First name and surname of the PhD student;
- d) University degree, followed by the first name and surname of the scientific supervisor;
- e) Year and place of defence;
- e) Other information requested by the partner institution if the thesis is co-supervised.

3. Rules for writing the thesis

The PhD thesis can be written in Romanian or English, according to the PhD study plan signed by the PhD student.

The table of contents will be inserted at the beginning of the thesis, after the title page. The list of thesis annexes will be added at the end of the table of contents.

It is recommended that each page contains the title of the chapter (which may be abbreviated) in a *header*. It is also recommended to use size 12 Times New Roman or Calibri fonts and a 1.5 line spacing.

The structure of the PhD thesis is determined by the PhD supervisor and the PhD student by mutual agreement. As a general rule, the thesis should include an introduction, a brief history of previous research on the topic, general data on the geology of the studied area (or general facts related to the topic), materials and methods used in the study, results (which include analysis data, their interpretation and possible discussions), conclusions, bibliographical references, and any annexes (drawings, maps, diagrams, data tables, etc.).

The approach to writing the thesis will be monitored by the PhD supervisor, and the writing rules must observe the template used by leading international scientific publications in the field.

Theses studying a paleontological topic must follow the drafting rules defined by the International Code of Botanical / Zoological Nomenclature and the template used by leading international publications. Theses studying a stratigraphic topic will take into account the rules defined by the International Stratigraphic Guide. In mineralogical papers, only the names and chemical formulas approved by the International Mineralogical Association (IMA) will be used for minerals.

4. Bibliographical references

All works cited in the text must be included in the list of bibliographic references. Vice versa, all works included in the reference list must be cited at least once in the text.

Bibliographic references must be arranged alphabetically and chronologically. When several works published by the same author in the same year are quoted, the year of publication must be followed by a, b, c (both in the text and in the reference list).

Quotations in the text should observe the following template:

Rögl (1979); (Genot, 1987; Granier, 2012); Lazăr (2010a, 2010b); Berger & Kaefer (1992).

If one work has three or more authors, the citation is made as follows:

Rasser et al. (2008) or (Saint Martin et al., 2007; Vasile et al., 2011).

In the list of bibliographic references, the titles of journals and books must be written in full (without abbreviations) and in italics. The bibliography should be written in the same font used in the text of the thesis, but with a character size of 11. The Indentation / Hanging (0.5 cm) option should be used.

Example:

Articles

Antonescu, E., 1973. Asociații palinologice caracteristice unor formațiuni cretaceice din Munții Metaliferi. *Dări de Seamă ale Institutului de Geologie*, 59(3): 115-169.

Bălc, R., Silye, L. & Zaharia, L., 2012. Calcareous nanofossils and sedimentary facies in the Upper Cretaceous Bozeș Formation (Southern Apuseni Mountains, Romania). *Studia UBB Geologia*, 57(1): 23-32. <http://dx.doi.org/10.5038/1937-8602.57.1.3>.

Books

Ianovici, V., Borcoș, M., Bleahu, M., Patrulius, D., Lupu, M., Dimitrescu, R. & Savu, H., 1976. *Geologia Munților Apuseni*. Ed. Acad. R.S.R., Bucharest, 631 pp.

Chapters / articles in published books

Roth, P.H. & Bowdler, J., 1981. Middle Cretaceous calcareous nanoplankton biogeography and oceanography of the Atlantic Ocean. In: Warme, J.E., Douglas, R.G. & Winterer, E.L. (eds.) - *The Deep Sea Drilling Project: a Decade of Progress*. Society of Economic Paleontologists and Mineralogists Special Publication 32, pp. 517-546. [http://dx.doi.org/10.1016/0377-8398\(86\)90031-9](http://dx.doi.org/10.1016/0377-8398(86)90031-9)

Bachelor's and Master's dissertations and PhD theses

Neacșu, M.V., 2008. *Studiul depozitelor carbonatice din Formațiunea de Valea Măgurii din arealul văii Poiana Peșterii*. Dissertation, Babeș-Bolyai University, Cluj-Napoca, 50 pp.

Grădinaru, D.M., 2011. *Geneza hardgroundurilor jurasice din Munții Bucegi (versantul vestic) și din Munții Almăjului (Svinița)*. PhD Thesis, University of Bucharest, 213 pp.

Geological maps

Patrulius, D., Domitrescu. R. & Popescu, I., 1971. Geological map of Romania, scale 1:50,000, sheet 110d-Moeciu, Geological Institute of Romania, Bucharest.

Illustrations

Illustrations can be interspersed in the text of the paper as figures (maps, diagrams, drawings, photographs) or can be grouped in the annexes part as drawings with (micro)photographs.

In the case of composite figures and drawings, each of the component illustrations must be marked separately (e.g. Figure 4 a, b, c, d; or Drawing 8 A, B, C, D, E, E, F; Drawing I, Fig. 1, ... n, etc.). All figures and drawings must have clear and detailed explanations in their immediate vicinity, and the text of the thesis must include references to all existing figures and drawings.

The figures will be cited in the text in the order in which they appear.

Illustrations that do not belong to the PhD student (photographs, drawings, maps, etc.) must include the author's name in their caption. If the illustrations are taken from copyrighted papers, the PhD student must obtain the right to reproduce the materials beforehand and the source will be cited in the figure caption. Examples:

Fig. 2. Ocurența de gips de pe Valea Caselor, Sălaj (photo credit: Y. Xulescu)

or

Fig. 3. Formation of sulphur sinkholes (as per White, 1988, courtesy of Oxford University Press Inc.)