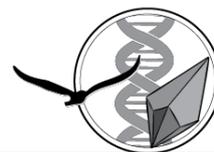




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REGULATION

for organizing and conducting PhD studies at
the Doctoral School of Integrative Biology (ȘDBI)

2018

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I. General provisions

Art. 1

This Regulation is based on the following documents:

- National Education Law (LEN) no. 1/2011 (1);
- Code of PhD studies, as approved by Decision of the Romanian Government no. 681/2011 (2);
- Regulation of Babeş-Bolyai University no. 7622 / 08.05.2017 for organising and conducting PhD studies (3);
- CSUD decision on recruiting PhD supervisors, UBB, no. 20837-18.10.2017 (4);
- Regulation of Babeş-Bolyai University of Cluj-Napoca regarding the public defence of habilitation theses and the recruitment of PhD supervisors, adopted by Senate Decision no. 4665 / 09.03.2015, as subsequently supplemented;
- Law no. 288/2004 regarding the organization of university studies, as amended by Law no. 49/2013;
- Order no. 3482 of March 24, 2016 (OMENCŞ No. 3482/2016) on the approval of the Regulation on the organization and operation of the National Council for Attestation of University Titles, Diplomas and Certificates and the Regulation on the organization and operation of the National Council for Attestation of University Titles, Diplomas and Certificates.

Art. 2

(1). The Doctoral School of Integrative Biology, hereinafter referred to as “ŞDBI”, is part of the Faculty of Biology and Geology, has a rank equal to that of a department and is guided and coordinated by the Institute for Doctoral Studies (abbreviated here as ISD) of Babeş-Bolyai University (hereinafter abbreviated as UBB) (Art. 24 of (3)).

(2). ŞDBI organizes PhD studies in the field of Biology, and the PhD program represents the third cycle of university studies at UBB and is completed by a scientific PhD and the award of the title of Doctor of Biology (3).

Art. 3

ŞDBI has a rank equal to that of a UBB department and can organize research centres or laboratories that function as revenue and expenditure units within the higher education institution, according to the provisions of Art. 131, Art. 133 Para. (3) and Art. 134 of Law no. 1/2011 (2, Art. 12 / Pt. 6).

Art. 4

(1). The PhD university studies, called for short PhD, represent the third cycle of university studies offered at Babeş-Bolyai University, whose purpose is to develop human resources who are competent in conducting scientific research and are able to enter the highly skilled labour market. They consist of training, through research, for research, development and innovation (3).

(2). PhD studies allow the acquisition of a level 8 qualification as per the European Qualifications Framework (EQF) and the National Qualifications Framework (3).

(3). **The specificity of the doctoral school.** Under the name “Integrative Biology”, the doctoral school brings together various branches / disciplines within biology, both from those considered traditional (botany, zoology, microbiology, ecology, etc.) and modern ones (cellular and molecular biology, molecular genetics, biotechnology, etc.). ŞDBI’s interdisciplinarity is based on the fruitful nature of the integrated approach to living systems.

Art. 5

The space assigned as headquarters for ŞDBI is located in the building of the UBB Faculty of Biology and Geology Dean's Office (str. Republicii, nr. 44, et. 1) and is equipped with the necessary infrastructure (computers, internet link, video projector, printer, photocopier, etc.) for carrying out specific activities of PhD students and / or teachers supervising PhDs. The ŞDBI secretary carries out specific activities in this space.

Art. 6

The internal evaluation of the activity at ŞDBI is carried out in September of each academic year, by presenting a report, by the ŞDBI council, regarding: the PhD theses completed at the end of the PhD grant; publications made by PhD students (scientific articles with an Impact Factor – abbreviated as IF, scientific articles without an IF from international databases – abbreviated as IDB, presentations at scientific paper sessions and symposia, etc.); the ability of PhD students to use the PhD grant; reassignment of financial resources from unused grants to the infrastructure development and endowment of an interdisciplinary research laboratory.

Art. 7

In order to ensure the necessary knowledge base to conduct PhD studies, ŞDBI may organize master's degree research programs, exclusively in the form of full-time education and mainly oriented towards the development of scientific research skills (see Article 41 of (3)).

II. PhD studies

Art. 8

(1). At ŞDBI, PhD studies are carried out on a full-time, part-time and tuition fee basis, according to the UBB regulations (3).

(2). The financing of PhD studies organized by ŞDBI is ensured through scholarships / grants from public funds of the Ministry of Education, through the tuition fee program or from other legal sources, in accordance with UBB regulations (2, 3).

(3). A PhD student can benefit from state budget funding for a single PhD program (Art. 142 of (1); (3));

(4). The candidate admitted to a PhD study program retains the status of PhD student throughout his / her participation in the program in question, from enrolment to the final exam or expulsion, except during the PhD interruption periods (3).

(5) Admittance to PhD studies is based on a competition organized by Babeş-Bolyai University through the Institute for Doctoral Studies, in accordance with the established methodology (3).

(6) Only graduates of university studies with 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 (3).

(7) When applying for the admittance competition, the candidate for PhD studies chooses a research topic proposed by a PhD supervisor - among the tenured PhD supervisors at the ŞDBI, who offer PhD student positions for the admittance competition in question - and competes for such a position. If the applicant is successful, the PhD supervisor they have previously selected shall coordinate their PhD studies at the doctoral school (3).

(8) During their PhD studies, the PhD student is also supported by a guidance committee, consisting of 3 other teachers or researchers at UBB 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 at the most from the day of his / her enrolment (3, 4).

(9). The PhD is carried out on the basis of a PhD studies contract, concluded by the Institute for Doctoral Studies, between the PhD student, his / her PhD supervisor and Babeş-Bolyai University; the contract

stipulates the rights and obligations of the PhD student, the PhD supervisor and, through the doctoral school, Babeş-Bolyai University (3).

Art. 9

(1). The PhD studies of a PhD student are planned for a period of 3 academic years (each consisting of 2 academic semesters) and include: a training program based on postgraduate studies, completed within the doctoral school and consisting of activities carried out in institutionalized study settings; and an individual scientific research program (3).

(2). The PhD studies are completed with the public defence of an original paper, called the PhD thesis, which is the result of the research activity carried out by the PhD student during his / her PhD studies, under the supervision of the scientific PhD supervisor and the guidance committee.

(3). 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 (4). (4). In case of extension of the PhD studies of a PhD student who has received a scholarship from a PhD grant offered by the Ministry of Education, the doctoral school and the PhD supervisor may suggest the extension of the PhD grant according to the regulations in force (2, 3).

(5). The PhD thesis must comply with the requirements established by the legislation in force and the regulations of UBB, ISD and ŞDBI. The decision to grant or not to grant the title of doctor is based on the public defence of the thesis (3).

(6). A PhD student is considered to have completed his / her PhD studies if he / she has publicly defended the PhD thesis and, following this defence, has received at least a *Satisfactory* rating (3).

Art. 10

(1). The training program based on postgraduate studies ensures the training of the PhD student through didactic-scientific activities (courses, seminars, laboratories and others) and is carried out in one of the two university semesters of the first year of the PhD. It lasts 12 weeks and cannot be extended.

(2). The individual scientific research program is organized in the field of research in which the PhD supervisor has established himself / herself. It is planned for the entire period of PhD studies (3 years), and in special cases, when the thesis topic requires a longer duration, the program can be extended, in accordance with the provisions of this Regulation (Art. 2, Para. 3). In view of the extension, an additional document to the PhD studies contract is concluded (3).

Art. 11

(1). The PhD program may be interrupted: for medical reasons; for the purpose of taking leave for pregnancy and childbirth or leave for raising and caring for the child, or for other substantive reasons (3). (2). 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 (3);

(3). The cumulative duration of the interruption periods granted to a PhD student is of maximum 6 academic semesters (3).

(4). The applications for interruption of the PhD submitted by PhD students must be approved by the director of the PhD studies council (CSUD) of Babeş-Bolyai University and by the director of ŞDBI. For each interruption, an additional document to the PhD studies contract is concluded (3).

Art. 12

(1). PhD study programs are organized for full-time and part-time education (1, 3).

- (2). The actual attendance of the PhD student in the PhD activities and the manner of its development are decided by the PhD supervisor according to the specifics of the PhD study program and in compliance with the provisions of the ŞDBI regulation (3).
- (3). The PhD student can carry out didactic activities (laboratory work and seminars, bachelor's or master's level), for a maximum of 4-6 teaching hours per week, within the first and second cycles of university studies, according to the PhD studies contract (Art. 23, Point 6 of (3)).
- (4) The didactic tasks are determined by mutual agreement between the PhD supervisor of the PhD student and the director of the department in which the didactic activity is performed and regulated, with the approval of the ŞDBI Council.
- (5). The teaching activities that exceed the level mentioned in (1) will be remunerated in hourly payment, in compliance with the Labour Code, following the remuneration model applied at UBB (Faculty of Biology and Geology) for associated teachers.
- (6). Upon a well-founded request submitted by the PhD student, the PhD supervisor can issue written proof - as the teacher responsible for the discipline in question - regarding the performance by the PhD student of the didactic activities with the students.

Art. 13

- (1). The status of PhD student in ŞDBI can be obtained only by competition - within the limits of the places allocated by CSUD - completed by signing the study contract with the Institute for Doctoral Studies (ISD) of UBB (3).
- (2). Enrolment in the competition is not conditioned by the field in which the candidate obtained the bachelor's and master's degree diplomas, nor by citizenship, provided that the legal provisions in force regarding the equivalence of studies are observed (3).
- (3). The framework template of the PhD studies contract and that of the additional documents to this contract shall be drafted by the ISD secretariat, in accordance with the legislation and regulations in force (3).

Art. 14

- (1). **The members of the** committees evaluating the public defence of PhD theses are nationally and internationally recognized experts in the field and subdomain to which the research topic of the PhD thesis pertains, are appointed by order of the CSUD director of UBB, are remunerated for their work in an hourly payment system and according to the level of their didactic / scientific degree [according to the methodologies in force], as follows: the president - 2 conventional hours, the PhD supervisor - 12 conventional hours, the reviewers - 10 conventional hours (3).
- (2). ŞDBI promotes interdisciplinarity in PhD university studies through collaboration between research teams from the Faculty of Biology and Geology of UBB, through collaborations with other doctoral schools from UBB and other universities or research institutes in Romania and abroad (3) – according to UBB regulations in force.

Art. 15

PhD in co-supervision

- (1). PhD studies can also be organized in co-supervision, in which case the PhD student at UBB carries out his / her activity under the simultaneous guidance of two PhD supervisors.
- (2). The selection of the second supervisor is made after the enrolment of the PhD student in Babeş-Bolyai University, with the consent of the first PhD supervisor and according to UBB regulations (3).
- (3). The second PhD supervisor may be a tenured PhD supervisor at a doctoral school from Babeş-Bolyai University or a PhD supervisor from any other institution organizing PhD studies in Romania or abroad (3).
- (4). If the second PhD supervisor is from Babeş-Bolyai University, the PhD field in which he / she is certified to supervise PhDs must be different from that of the first supervisor, except when the first PhD supervisor has reached the age of 65 (3).
- (5). If both PhD supervisors work at Babeş-Bolyai University, they conclude a written co-supervision agreement, which shall be approved by the director of the council for PhD studies and which establishes the

responsibilities of each PhD supervisor.

(6). If the second supervisor does not work for Babeş-Bolyai University, a co-supervision agreement is concluded in writing between Babeş-Bolyai University and the institution where the second supervisor guides PhD students. This agreement stipulates the requirements for organizing and conducting the PhD in each of the two institutions involved, including their financial obligations, in accordance with their role in the co-supervision and the relevant legislation.

(7). In the case of a co-supervised PhD, the agreement must specify which of the two supervisors is the main PhD supervisor. The PhD student's activity is fully accounted for with the main PhD supervisor, contributing to the quantitative evaluation of the teaching and research activity of this supervisor (3).

III. PhD supervisors

Art. 16

(1). The status of PhD supervisor is granted by order of the Minister of Education, at the proposal of the National Council for Attestation of University Degrees, Diplomas and Certificates (hereinafter CNATDCU) for granting the habilitation certificate (see Art. 166 of (1);) (3)).

(2). A PhD supervisor may supervise PhDs only in the field for which he / she has obtained this right when he / she was awarded the status of PhD supervisor.

(3). A PhD supervisor from Babeş-Bolyai University who supervises PhDs at this university does not have the right to simultaneously supervise PhDs at other institutions organizing PhD studies, with the exception of PhDs conducted in co-supervision.

(4). The maximum number of funded / active PhD students that can be guided simultaneously by a PhD supervisor is 4. The total number of PhD students on a supervisor's roster is 16 at the most at any one time. PhD supervisors who exceed any of these limits cannot accept new PhD students.

Art. 17

(1). A PhD supervisor is tenured at ŞDBI within Babeş-Bolyai University if he / she meets the following conditions:

- had the status of PhD supervisor at Babeş-Bolyai University at the time of the entry into force of LEN no. 1/2011 or acquired the status of PhD supervisor under Art. 166 of LEN no. 1/2011;
- has an employment contract with Babeş-Bolyai University;
- by decision of the ŞDBI, was granted the right to supervise PhDs in a PhD study program offered by the doctoral school in the field for which he / she has the right to supervise PhDs (4).

(2). A PhD supervisor who is tenured at UBB cannot be simultaneously tenured at another UBB doctoral school; however, he / she may also work as an affiliated university lecturer or affiliated researcher in other doctoral schools (3).

(3). Professors or researchers who supervise PhDs and who retire at the age of 65 may continue to supervise the PhDs in progress on the date of retirement until they reach the age of 70. PhD supervisors who continue their activity as tenured staff by extending the activity under the Regulation for extension of activity at UBB after reaching the age of 65 may supervise PhDs until the age of 70, provided they are granted the extension of activity as tenured professors up to this age. After retirement, they may supervise any PhDs in progress until their completion.

(4). **The distribution of PhD grants** among PhD supervisors is decided annually, by a committee established by ŞDBI, based on the specific ŞDBI criteria specified in **Annex 1** of this regulation.

(5). The teaching and research staff who obtained this status before the adoption of the National Education Law no. 1/2011, as well as those who have obtained the habilitation certificate and apply to become members in writing, in accordance with the regulations in force, may become ŞDBI members in the position of PhD supervisors.

(6). In addition to the PhD supervisors, other researchers or teachers can become affiliated to ŞDBI, involved in research and / or teaching activities within the doctoral school, within the component institutions of IOSUD or within other institutions or research and development bodies in Romania or abroad (Art. 13, Point 4 of (2)).

(7). The doctoral school may establish minimum standards of scientific performance that PhD supervisors must meet in order to become members of the doctoral school in question (2. Art. 13, Point 2 and 3; 5).

(8). Applicants who have obtained habilitation within various doctoral schools belonging to other IOSUDs and who request the recognition of their PhD supervisor status within Babeş-Bolyai University, and their inclusion in a UBB doctoral school must meet the habilitation standards in force at the time of their application. These applicants may be admitted to the doctoral school as PhD supervisors in compliance with the regulations and standards of the doctoral school in question (5). These provisions apply to PhD supervisors from IOSUD who are part of the Consorțiu Universitaria (Universitaria Consortium) and the Uniunea Universităților Clujene (Union of Cluj Universities) (5).

(9). All PhD supervisors from other IOSUDs than the Universitaria Consortium and Union of Cluj Universities' IOSUD must also meet the criteria provided for in Para. 2 of Chapter II of the Annex to the Decision of the Board of Directors no. 9233 / 23.05.2016 (5).

(10). PhD supervisors from outside Romania whose value is recognized internationally and who wish to be admitted to ȘDBI must meet the minimum mandatory performance standards for granting the habilitation certificate established by the Biology and Biochemistry Commission within CNATDCU, as well as the specific performance standards of UBB and ȘDBI in force at the time of the application.

Art. 18

(1). **The recruitment of new PhD supervisors in ȘDBI** is done in accordance with the national and UBB regulations in force (6), based on a written application (Annex 2 of this Regulation) of the candidate together with the following documents:

- proof of holding the status of PhD supervisor;
- proof of compliance with the minimum standards for granting the habilitation certificate established by the Biology and Biochemistry Commission of CNATDCU, in force at the time of application;
- proof of compliance with the additional scientific performance standards of the ȘDBI (see Paragraph 2 below) in force at the time of the application;
- A list of 1-3 proposed interdisciplinary research topics (included in the recruitment application according to **Annex 2** to this Regulation).

(2). The additional scientific performance standards of the ȘDBI are:

a) **Quantitative criterion (cumulative):**

- a score of at least 100% above the minimum for **the international recognition criterion** (Σ_{1-2}) in table 2 (Minimum standards) for granting the habilitation certificate established by the Biology and Biochemistry Commission within CNATDCU, in force at the time of the application;

- at least three scientific articles published in the last 3 years as lead author (first author, correspondent or last author) in ISI journals that at the time of publication had an AIS of at least 0.5, or (alternatively) lead author of two scientific articles published in the last 3 years in ISI journals with an IF in the top 25% (Q1 according to Journal Citation Report) by field, or (alternatively) main author of a scientific article in ISI journals ranked among the top 3 in the field (according to the Journal Citation Report).

The following terms are defined:

ISI journals: journals listed in InCites Journal Citation Reports (Clarivate Analytics)

IF: Impact Factor of journals listed in InCites Journal Citation Reports (Clarivate Analytics)

AIS: Article Influence® Score (<http://www.eigenfactor.org/projects/journalRank/journalsearch.php>)

b) Qualitative criterion: proposing 1-3 interdisciplinary research topics to be supported by scientific publications with international visibility (with IF) in the last 3 years.

(3). At ŞDBI, PhD supervision is carried out on research topics chosen by the PhD supervisors in accordance with the expertise demonstrated by scientific publications with international visibility (in ISI journals with an IF).

(4). The candidate's file is accepted or rejected by universal, direct, secret and equal vote of **an absolute majority (number of votes equal to at least half plus one of the total)** of the PhD supervisors who are part of the doctoral school, following discussions on the candidates' files. All PhD supervisors who are habilitated to supervise PhDs within ŞDBI have the right and obligation to evaluate the applications for recruitment in ŞDBI. Votes can also be casted digitally and sent to the ŞDBI Secretary, in well-justified cases.

Art. 19

(1). **The rights and obligations of the PhD supervisor** derive from LEN no. 1/2011, CSUD Regulation, Regulation on organizing and conducting PhD studies at Babeş-Bolyai University no. 7622 / 8.05.2017, annex to the Charter of Babeş-Bolyai University, this Regulation of ŞDBI, as well as the PhD supervisor's employment contract (3).

(2). 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 if this places the supervisor in a conflict of interests;
- l) the right to request from the doctoral school council, based on substantive reasons, the interruption of the supervision or guidance relationship with a PhD student;
- m) the right to nominate ŞDBI members, to elect and to be elected to the ŞDBI Council in accordance with the law and the UBB regulations in force;
- n) the right to be informed of the content of recruitment applications to the ŞDBI, to express an opinion on the recruitment file and to vote on the recruitment of new PhD supervisors;
- o) the right to ask the ŞDBI Council and / or the members of the ŞDBI team for a mediation in conflict situations of a subjective nature with the PhD student so that the conflict can be resolved amicably.

- (3). 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;
 - i. to avoid conflict situations for subjective reasons with the PhD student, and, in case such conflicts arise, to inform the ŞDBI council and the ŞDBI team about this situation;
 - j. to attend the ŞDBI meetings, except for well-founded reasons.

IV. Doctoral school

Art. 20

(1). **The Doctoral School of Integrative Biology** consists of:

- a) tenured PhD supervisors;
- b) affiliated university teachers and affiliated researchers who are involved in carrying out the teaching / research activities provided in the PhD university study programs of the doctoral school;
- c) PhD students (3).

(2). The PhD student is part of the doctoral school in which his / her PhD supervisor, or his / her main PhD supervisor, has tenure.

(3). Tenured PhD supervisors, affiliated university teachers, affiliated researchers and PhD students working in the doctoral school are included in the staff of the ŞDBI.

(4). The supervision / guiding of PhD students, as well as the teaching activities provided in the PhD study programs of the doctoral school are quantitatively evaluated and remunerated (after their provision) in accordance with the legislation in force.

(5). The doctoral school may employ auxiliary teaching staff, research staff and non-teaching staff, if the funding of such positions is available (4).

(6). The Faculty of Biology and Geology is responsible for the content of all PhD study programs offered by ŞDBI.

(7). The entire activity of the doctoral schools is guided and coordinated by the Institute for Doctoral Studies (3).

Art. 21

(1). In order to train a new generation of researchers, ŞDBI's mission is to ensure the improvement and development of training, attested by the diploma obtained at the completion of master's university studies, by teaching, seminar, evaluation, scientific research, capitalization of scientific research, according to the specifics of the PhD field.

(2). The results obtained by ŞDBI must be reflected in the scientific level of the publications and PhD theses drafted by the PhD students who attended the school in question.

(3). Each academic year, ŞDBI organizes at least one scientific paper session for PhD students, also open to other young researchers from Babeş-Bolyai University or other such institutions (3).

V. Doctoral school council

Art. 22

(1). ŞDBI is led by the **Doctoral School Council**. The doctoral school council is chaired by the director of the doctoral school, who is a full member of the doctoral school council. The doctoral school council is equivalent to the council of a department, and the position of director of the doctoral school is equivalent to the position of department director.

(2). The doctoral school council is made up of:

- a) tenured PhD supervisors who are member of the doctoral school, in a proportion of maximum 50%;
- b) PhD students of the doctoral school in proportion of 20%, rounded by addition if it is not an integer;
- c) the rest consists of members from outside the doctoral school, selected among scientists whose scientific activity is supported by significant international recognition and / or prominent personalities from the relevant industrial and socio-economic sectors.

(3). The share of tenured PhD supervisors coming from the doctoral school in question in the doctoral school council is determined by CSUD. The ŞDBI council has at least 4 members: the director of the doctoral school, another tenured PhD supervisor, a PhD student and a member from outside the doctoral school (3).

(4). 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 directors of doctoral schools are elected among the teachers 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 are elected by universal, direct, secret and equal vote of the tenured PhD supervisors within the doctoral school in question.

(5). University teachers or researchers who become members of the doctoral school council must be habilitated to supervise PhDs, in Romania or abroad, and meet the minimum and mandatory standards for the award of the habilitation certificate, as approved by order of the Minister of Education, which are in force on the day of their election / appointment as members of the doctoral school council.

(6). The term of office of the ŞDBI council is 5 years. The PhD students who are members of the doctoral school council and complete their PhD studies during the council's term lose the status of member of the council on the day of the public defence of their PhD thesis.

(7). The places that have become vacant within the doctoral school council are filled according to the provisions of Paragraph (4), and the mandate of any new member ends at the expiration of the mandate of the doctoral school council.

(8). The doctoral school council meets at least 3 times a year. The doctoral school council shall meet at the request of the director of the doctoral school or at least one third of the members of the council. Council meetings are chaired by the director of the doctoral school (3). If the head of the ŞDBI cannot be present, he / she may delegate another member of the council, who is a tenured PhD supervisor at ŞDBI, to chair the meeting of the council.

Art. 23

The doctoral school council has the following duties:

- a) drafts and updates the doctoral school regulation;
- b) may propose to the doctoral school to analyse and vote the granting / withdrawal of the status of tenured PhD supervisor, or of the status of affiliated university teacher or affiliated researcher at ŞDBI, taking into account the provisions of the doctoral school regulation;
- c) decides, based on proposals from the tenured PhD supervisors, on the enrolment in the PhD programs of the applicants selected through the admittance competition;
- d) as the case may be, decides, at the proposal of the tenured PhD supervisors, to expel PhD students;
- e) reassigns the supervision of an ongoing PhD to another PhD supervisor when the PhD supervisor has reached the age of 65 and does not wish to continue his / her PhD supervision activity;
- f) approves the list of positions of the doctoral school;

- g) proposes to the doctoral school the approval of the content of each PhD study program (disciplines taught in the PhD program, number of hours allocated to the course, seminar and practical work within a discipline, number of transferable credits allocated to the disciplines and the list of teachers who teach in the program), including the share of individual activities, activities in study teams and research activities carried out under the coordination of PhD supervisors;
- h) approves the individual PhD study plans of PhD students;
- i) implements procedures for highlighting the results of the PhD research in order to evaluate the PhD theses and to approve them for public defence;
- j) implements and follows the strict observance of the structure of the PhD study programs;
- k) ensures the internal evaluation of the PhD study programs, based on which the doctoral school will review, modify and adapt the structure of the PhD study programs;
- l) ensures the correct and full provision of information to the candidates for PhD studies on the evaluation and selection criteria for the admittance competition, on the content of the PhD study programs and on the criteria for evaluating the research results, as well as on the ways to capitalize on PhD studies;
- m) defines and implements the rules according to which the collaboration between the PhD supervisors and the PhD students will be established;
- n) defines the scientific performance standards that the members of the PhD committees must meet and draws up a list of institutions in Romania that do not belong to the Universitaria Consortium and from which official reviewers can be selected (higher education institutions, national research institutes or their branches);
- o) approves the PhD committees;
- p) assists the external evaluator in the evaluation process in order to provisionally authorize or accredit / re-accredit the doctoral school.

VI. Doctoral school regulation

Art. 24

- (1). The ŞDBI regulation is drafted by the ŞDBI council by consulting all the tenured PhD supervisors at ŞDBI, in compliance with the legislation and the UBB and CSUD regulations in force.
- (2). The ŞDBI regulation is endorsed by universal, direct, secret and equal vote of the tenured PhD supervisors in the doctoral school in question. It is approved by the CSUD (3).
- (3). The ŞDBI regulation is supplemented, whenever necessary, with new provisions regarding various aspects of the doctoral school's activity.
- (4). The ŞDBI Regulation establishes, for each of the PhD study programs it offers, mandatory criteria, procedures and standards concerning at least the following aspects:
 - a) granting / withdrawing the status of tenured PhD supervisor, or the status of affiliated university teacher or affiliated researcher;
 - b) selection and admittance of PhD students;
 - c) the preliminary performances of the PhD candidates and the study requirements;
 - d) the attendance obligations of PhD students, according to the methodology developed by the Ministry of Education;
 - e) activities for the PhD students' training program based on postgraduate studies;
 - f) research activities of PhD students according to the research topic;
 - g) participation in research teams and ensuring access to research resources; guiding PhD students in terms of the relationship between PhD students and PhD supervisors, the procedures for replacing the PhD supervisor and, in general, the formal criteria involved in guiding PhD students;
 - h) ways to prevent and sanction fraud in scientific research, including plagiarism;
 - i) evaluation of PhD students, especially regarding the way of capitalizing the PhD research through publications, participation in scientific conventions, etc.;

- j) periodic evaluation of tenured PhD supervisors, mainly oriented towards their scientific results, such as: their personal performances in research, scientific performances of the PhD students they supervise, etc.;
- k) drafting and implementing indicators for monitoring and internal evaluation of PhD study programs;
- l) the organization and functioning of bodies that are competent to solve complaints concerning the application of the provisions of this regulation (3).

VII. ŞDBI teaching activities

Art. 25

(1). The curriculum of the PhD studies program at ŞDBI must be correlated with that of the leading universities in the field, in accordance with national interests and needs; research topics must be relevant at an international level or, if they are of national interest, their methodology and approach must observe international standards; the result of PhD study programs must enter the international circuit, both in terms of visibility and especially in terms of impact (3).

(2). The PhD university study programs at ŞDBI represent continuations, at a higher level, of the undergraduate and master's degree programs at Babeş-Bolyai University. It is forbidden to include in the ŞDBI curriculum subjects or modules of knowledge / course chapters within the existing bachelor's or master's degree programs at Babeş-Bolyai University (3).

(3). The specialized disciplines must include the latest scientific results in the field achieved by PhD supervisors from Babeş-Bolyai University and international institutions, in order to ensure that the PhD students achieve valuable original results through their studies. (4). Courses, seminars or practical work specific to a certain discipline can be carried out jointly for several PhD study programs, promoting interdisciplinary training as a way to foster scientific research.

(5). Each discipline taught in the doctoral school is ensured a maximum of 4 hours' face-to-face teaching per week. (6). The thematic content of a discipline is set by the teacher who is responsible for the course. During seminars, PhD students can present the results of their own research (4).

Art. 26

(1). The teachers responsible for the courses taught at ŞDBI are PhD supervisors or university professors with relevant didactic and scientific performances, who are well-regarded nationally and even internationally.

(2). Seminar activities and practical / research work can be performed by PhD supervisors, but also by university teachers or researchers who are not habilitated to supervise PhD students, but hold at least the position of associate professor or second degree scientific researcher.

Art. 27

(1). The teaching activities within ŞDBI take place during 12 weeks of one of the 2 semesters of the academic year (either the first semester or the second semester); the ŞDBI Council decides on the actual period (3).

(2). The teaching languages in doctoral schools can be: Romanian, Hungarian, German or another world language. Emphasis will be placed on teaching as many subjects as possible in English.

(3). Each discipline taught is completed by an exam. If the PhD student wishes to be examined, he / she submits a request in writing to the director of the doctoral school, asking for an exam date to be set and for an examination committee to be appointed, within the examination period established by the faculty. The examination committee will include the teacher who is responsible for the course and another member holding at least the position of associate professor or second degree scientific researcher.

II. It is recommended that, for any PhD student from Babeş-Bolyai University, one of the examiners be his / her PhD supervisor from Babeş-Bolyai University. The result of the examination is assessed by granting one of the following grades: *Very good*, *Good*, *Satisfactory* or *Insufficient*. The result of the examination cannot condition the trajectory of the PhD student within the PhD study program nor the financing of the PhD student (3).

Art. 28

- (1). The university teachers or researchers at ŞDBI have the obligation to inform the PhD students about the scientific, professional and university ethics and to check its observance, including the observance of the deontological provisions, during the PhD studies (3).
- (2). ŞDBI takes steps to prevent and sanction deviations from the rules of scientific, professional and university ethics, according to the code of ethics and professional deontology of Babeş-Bolyai University.
- (3). In case of potential academic fraud, violations of university ethics or deviations from good conduct in scientific research, including plagiarism, the PhD student and / or his / her PhD supervisor are liable under the law (3).

VIII. Admittance to the PhD program

Art. 29

- (1). Applications for the PhD admittance competition are open to any candidate who has obtained a bachelor's degree and a master's degree, irrespective of the field of their previous studies.
- (2). By consultation with the ŞDBI 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 by the most varied and accessible means, including the internet.
- (3). It is forbidden, under sanction of the law, to promote any form of direct or indirect discrimination between candidates for PhD studies through the criteria of evaluation and selection of candidates.
- (4). Citizens of the Member States of the European Union, of the states belonging to the European Economic Area or of the Swiss Confederation have access to PhD studies under the same conditions as those provided by law for Romanian citizens, including those regarding fees (admittance fee, tuition fees, PhD thesis defence fee).
- (5). **The PhD admittance competition** consists of at least two exams:
 - **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;
 - **an interview** in which the scientific interests of the candidate, his / her research skills and the proposed topic for the PhD thesis are evaluated.Other tests may also be included in the PhD admittance competition (even eliminatory ones), at the request of the tenured PhD supervisors and upon consent of the ŞDBI council.
- (6). The admittance exams 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.
- (7). The chairman of the admittance committee is the tenured PhD supervisor from ŞDBI. The admittance committees are suggested by the ŞDBI council, and approved by the CSUD director.
- (8). 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 can only be enrolled in the position he / she seeks upon approval of the ŞDBI council, where the PhD supervisor has tenure.
- (9). ŞDBI ensures the transparency of the evaluation and selection procedures of applicants for PhD admittance to the positions offered by the tenured PhD supervisors and guarantees access to this information through publication on the web and through other means of information (brochures, posters, etc.) (3).
- (10). The director of the doctoral school is responsible for the smooth running of the online admittance competition: complying with quality requirements, university ethics and the legislation in force (3).

IX. PhD students training program

Art. 30

The training program for a PhD student in the field of Biology includes:

- a) a program based on postgraduate studies, completed within the ŞDBI in institutionalized study settings and
- b) an individual scientific research program.

Art. 31

(1). The training program based on postgraduate studies is organized by ŞDBI in accordance with the UBB Regulation no. 7622 / 8.05.2017 for organizing and conducting PhD studies (4). (2). This program has a duration of 12 weeks, takes place in the first semester of the PhD program and cannot be extended.

(3). The training program based on postgraduate studies in Biology consists of didactic-scientific activities (courses, laboratory work, seminars, debates, consultations) and activities performed individually, related / specific to the disciplines, determined by the teachers responsible for the courses.

(4). The PhD student must participate in the activities assigned to him / her for at least 3 disciplines in the postgraduate study program (3-4 face-to-face teaching hours / week, or 36-48 hours / semester). These disciplines are determined by the PhD supervisor and the PhD student and are subject to the approval of the ŞDBI council. The thematic content of the disciplines is determined by the teachers responsible for those disciplines.

(5). The activities related to each discipline in the postgraduate studies program can be carried out based on a weekly schedule or an intensive one (modular system) following a timetable approved by the ŞDBI Council, according to the amount of face-to-face teaching hours allocated to the discipline.

(6). The disciplines that a PhD student can attend in the framework of the training program based on postgraduate studies in Biology can be chosen, as a rule, from the annual offer of the ŞDBI, in accordance with its curriculum, with the following exceptions, where one of the three disciplines can be chosen from the programs of:

a. another doctoral school at UBB, if the PhD student and his / her PhD supervisor decide, by mutual agreement, that this discipline is more useful for the fulfilment of the objectives of the PhD research program,

b. another doctoral school outside UBB, in case of co-supervision of the PhD student, in accordance with the agreement concluded between UBB and the partner institution,

c. a research master's specialization of the Faculty of Biology and Geology, if the discipline has not been attended by the PhD student and if the PhD student's supervisor agrees that this discipline is necessary for his / her training and fulfilment of the PhD program objectives (see Article 41 of (3)).

(7). Completion of the training in the disciplines included in the program based on postgraduate studies may lead to the granting of a number of transferable credits as set by the doctoral school (Art. 42 of (3)). ŞDBI recommends that the PhD student achieve at least 60 transferable credits as a result of attending ŞDBI's program based on postgraduate studies. The credits achieved within other PhD programs in Romania or abroad can be considered equivalent, at the proposal of the PhD supervisor and with the approval of the ŞDBI council.

(8). Under the terms specified by the UBB Regulation for organizing and conducting PhD studies (3), the PhD student receives a certificate for each discipline attended within the training program based on postgraduate studies. The certificates are issued by the teacher who is responsible for the discipline, countersigned by the PhD supervisor and endorsed by the director of ŞDBI. If the PhD student requested to take the exam related to a discipline, the certificate will mention the grade (*Very good, Good, Satisfactory* or *Insufficient*) achieved upon examination. The certificates are proof of the fulfilment by the PhD student of his / her contractual obligations. These certificates are submitted by the PhD student to the ŞDBI secretary who will include them in a summary file and send them to ISD together with the summary document.

Art. 32

(1). The main objective of PhD students individual scientific research programs is to draft their PhD theses. The program is carried out under the guidance of the PhD supervisor or of the two supervisors, in the case of co-supervision. Except for co-supervision, the scientific activity of each PhD student at ŞDBI is carried out within the departments, institutes, centres and laboratories of the Faculty of Biology and Geology.

(2). The PhD student is part of the research team of the PhD supervisor and effectively participates in the research projects of this team. The PhD supervisor is responsible for the structure, contents, implementing and organization of this program.

(3). 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.

(4). 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). The evaluation of the PhD student's research project is finalized by awarding an *Accepted* or *Rejected* grade. The *Accepted* grade allows the inclusion of the PhD student in the research program. If the student has been declared *Rejected*, he / she must redo the research project, taking into account the suggestions made by the PhD supervisor and the guidance committee. The presentation of the revised research project will take place within a maximum of 30 days from the communication of the grade. If, once again, the *Rejected* grade is awarded, at the proposal of the PhD supervisor, with the approval of the ŞDBI Council, the PhD student is expelled from the cycle of PhD university studies. In this case, the PhD student receives a certificate of graduation from the postgraduate training program.

(6). In accordance with the UBB Regulation for organizing and conducting PhD studies, the actual date of each presentation is set by the PhD supervisor, following a written request from the PhD student. 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.

(7). After each presentation made by the PhD student, 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 the members of the guidance committee who attended the presentation, shall be submitted to the ISD secretariat.

(8). The individual research program of each PhD student must lead to the communication of their results at 2 scientific events (as a minimum) in Romania or abroad and to publishing of these results as specialized articles in journals that are indexed in international databases. The PhD student's research program is considered fulfilled if the PhD student has fulfilled these criteria.

(9). The PhD supervisor and the director of ŞDBI have the obligation to inform the PhD student of the standard requirements for the validation of PhD theses based on publications - as defined by the Biology and Biochemistry Commission of CNATDCU.

X. Drafting and public defence of the PhD thesis

Art. 33

The PhD thesis is a scientific paper resulting from field and / or 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 publishable in the mainstream publications in the field of life sciences.

Art. 34

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 mention the source for any material used in the thesis. 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.

Art. 35

The thesis must be written during the last two semesters. 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” developed by ŞDBI (**Annex 3** of this regulation).

Art. 36

A PhD student who has completed his / her thesis can begin the procedure for defending it publicly. These procedures are standardized at ISD level within UBB and are detailed in the *UBB Regulation for organizing and conducting PhD studies* in force on the day of commencement of the procedures.

- a. The PhD student submits a copy of the thesis to his / her 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 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.

Art. 37

The PhD studies in the field of Biology are completed by defending the PhD thesis in a public setting, in front of the specialized committee. This process is achieved through collaboration between ŞDBI, CSUD 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 UBB Regulation for organizing and conducting PhD studies.

XI. PhD students

Art. 38

The legal status, rights and obligations of the PhD student enrolled at ŞDBI are regulated and defined in detail by GD 681/2011 on the approval of the code of PhD studies, the Charter of Babeş-Bolyai University, the UBB Regulation for organizing and conducting PhD studies and this regulation.

Art. 39

- (1). The details defining the training program based on postgraduate studies and those defining the individual scientific research program are recorded in an individual PhD studies plan, prepared by the PhD supervisor and the PhD student.
- (2). The plan is approved by the ŞDBI Council.

(3). The individual PhD studies plan must be submitted to the Institute for Doctoral Studies within 30 days from the date set by the Senate of Babeş-Bolyai University as the enrolment date of PhD students admitted following the admittance competition.

Art. 40

(1). The individual PhD studies plan is an integral part of the PhD studies contract.

(2). The PhD studies contract is signed by the PhD student, the PhD supervisor, the director of ŞDBI, the legal advisor and the rector of Babeş-Bolyai University.

(3). For each period of interruption or extension granted under this regulation, an additional document to the contract of PhD studies is concluded.

(4). The template for the PhD studies contract and the additional documents to this contract are drafted by the secretariat of the Institute for Doctoral Studies in accordance with the provisions of the Code of PhD studies and with the *UBB Regulation for organizing and conducting PhD studies*. It is endorsed by the ŞDBI council and approved by the CSUD.

(5). The information included in the PhD studies contract is defined by the *UBB Regulation for organizing and conducting PhD studies*.

XII. Ensuring the quality of PhD study programs

Art. 41

The internal evaluation of the quality of the PhD study program (results of PhD students, of PhD supervisors, of the council and director of ŞDBI) takes place periodically (usually annually) and is performed by the ŞDBI council, based on procedures and criteria developed by CSUD-UBB.

Art. 42

ŞDBI is evaluated externally, at 5-year intervals, by ARACIS or another quality assurance agency in Romania or abroad, based on a system of criteria and a methodology approved by the Ministry of National Education. The result of the evaluation is made public, and the consequences of a negative evaluation are specified in the *UBB Regulation for organizing and conducting PhD studies*.

Art. 43

(1). The evaluation of the activity of PhD students is mainly focused on the results of their research activity. Results are the main focus - such as publications, participation in scientific conventions, patents and licenses registered - as well as their quality, evaluated based on their inclusion in the international stream of publications, citations, awards, etc. (2). The evaluation of the activity of PhD students explicitly follows all the competencies that the PhD student must develop during the PhD study program, according to the Level 8 Qualification from the European Qualifications Framework and from the National Qualifications Framework.

(3). The evaluation of the activity of PhD students is carried out periodically, based on the decision of the ŞDBI council, by the evaluation committees approved by the doctoral school council.

(4). The procedures and criteria for evaluation of PhD students are set by the ŞDBI council, upon approval by the tenured members of ŞDBI, and are brought to the attention of those evaluated.

Art. 44

(1). ŞDBI periodically evaluates, at 5-year intervals, the activity of tenured PhD supervisors, based on procedures developed by CSUD and consisting of self-evaluation and internal and external peer evaluation.

(2). This internal evaluation of tenured PhD supervisors will especially take into account the quality of the results they achieved in research and in the supervision of PhD students.

(3). Once every 5 years, PhD supervisors are subject to an external evaluation based on established procedures, at the recommendation of CNATDCU, by order of the Minister of Education. The results of this evaluation are public.

(4). Following any internal or external evaluations, ŞDBI may decide to extend or withdraw the right of a PhD supervisor to supervise PhDs within a PhD study program of ŞDBI, according to the ŞDBI regulation.

Art. 45

In accordance with LEN no. 1/2011 and the UBB Regulation for organizing and conducting PhD studies, the following situations are considered incompatible (prohibited):

(a) 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.

(b) 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.

(c) 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.

Art. 46

The circumstances leading to the loss of PhD student status, the expulsion procedure, as well as the procedure for replacing the PhD supervisor with another PhD supervisor are stipulated in the *UBB Regulation for organizing and conducting PhD studies*.

XIII. Final provisions

Art. 47

(1). The ŞDBI regulation is drafted by the ŞDBI council by consulting all the tenured PhD supervisors of this doctoral school. The regulation is endorsed by universal, direct, secret and equal vote of the tenured PhD supervisors in the doctoral school, acting by an absolute majority, and it is subsequently approved by CSUD-UBB.

(2). The ŞDBI regulation is supplemented, whenever necessary, with new provisions regarding various aspects of ŞDBI's activity.

(3). The provisions of this regulation apply to all PhD students who fall within the scope of LEN no. 1/2011 and the Code of PhD studies. The exceptions are stipulated in the *UBB Regulation for organizing and conducting PhD studies*.

As approved by the members of the Doctoral School of Integrative Biology, according to the minutes drawn up in the meeting held on 18.05.2018.

Prof. Marcel Pârvu,
Director of ŞDBI

18.05.2018

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