



# BUCHAREST UNIVERSITY OF ECONOMIC STUDIES

University's Senate

## INSTITUTIONAL REGULATION FOR THE ORGANIZATION AND CONDUCT OF DOCTORAL STUDIES

2016

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## Chapter 1: Legal framework of references and terminology

Art.1. The current Institutional Regulation (hereinafter referred to as IR) provides the general reference framework for the organisation and conduct of doctoral studies within the Bucharest University of Economic Studies – institution accredited by the Ministry of National Education and Scientific Research as Doctoral Studies Organising Institution (hereinafter referred to as ASE-IOSUD) – and is based on the following regulations: a) National Education Law no. 1/2011, published in the Official Journal of Romania no. 18/10<sup>th</sup> January 2011 and entered into force on 9<sup>th</sup> February 2011, with subsequent additions and changes; b) Doctoral studies Code (hereinafter referred to as Code), approved by Romanian Government Decision no. 681/29<sup>th</sup> June 2011; c) Law no. 49/2013 for amending art.12 in Law no. 288/2004 on university studies organization; d) Law no. 288/2004 on university studies organization, published in the Official Journal of Romania no. 614/7<sup>th</sup> July 2014, with subsequent additions and changes; e) The ASE Charter in effect on the approval date of this Regulation.

Art.2. The specific terms listed below shall have the meaning specified in the legal framework of reference described in art. 1:

- (1) *Doctoral studies* is the third cycle of academic studies, aiming to develop human resources with competence in scientific research, capable of entering the highly qualified labour market. It consists of training, through research, for research, development and innovation and is a research professional experience, completed with a PhD diploma, after the public defence of the doctoral thesis.
- (2) *Doctoral student* (hereinafter referred to as PhD student) is the student enrolled in the doctoral studies programme.
- (3) *Doctoral supervisor* (hereinafter referred to as PhD supervisor) – academics or researcher, with experience in scientific research, who coordinates the PhD student's activity after acquiring this right, in accordance with art. 166 of the National Education Law no. 1/2011, with subsequent additions and changes.
- (4) *Program of doctoral studies* – all the activities involving the PhD student, relevant for the doctoral studies.
- (5) *Doctoral thesis* – original scientific paper developed by a PhD student during the doctoral studies, the legal condition for obtaining the PhD diploma.
- (6) *Council for Doctoral Studies* (hereinafter referred to as CSUD) – functions as a separate

management, administrative and professional structure within ASE.

- (7) *Doctoral school* – organizational and administrative structure established within ASE-IOSUD that provides the necessary support for carrying out doctoral studies in a particular field, disciplinary or interdisciplinary topic.

## Chapter 2: General provisions

Art.3.

- (1) Doctoral studies is the third cycle of academic studies offered by ASE-IOSUD that allow the acquisition of a level 8 qualification within the European Qualifications Framework and the National Qualifications Framework.
- (2) Doctoral studies are performed only within the study programs offered by the doctoral schools, accredited or provisionally authorized of ASE-IOSUD.

Art.4. In ASE-IOSUD, the doctoral studies are conducted on a full time or part time basis, in accordance with the law.

Art. 5. Describing ASE-IOSUD:

- (1) Within ASE, the PhD is a scientific programme and represents an advanced form of learning through research, thus contributing to the development of professional skills in specific areas, as well as transversal competences.
- (2) Scientific doctorate is a prerequisite for careers in higher education and research.
- (3) ASE organises doctoral studies in two branches of science and ten doctoral studies areas:
  - *Economic Sciences*: Business Administration, Cybernetics and Statistics, Accounting, Economics, Economics and International Business, Finance, Economic Informatics, Management, Marketing.
  - *Legal Sciences*: Law.

## Chapter 3: Doctoral studies organisation

### Section 3.1 Council for Doctoral Studies (CSUD)

Art.6. The Council for Doctoral Studies (CSUD) functions as a separate management, administrative and professional structure, according to the Code, the ASE Charter and the present IR.

- (1) CSUD is a deliberative body, consisting of 17 members - academics, researchers and PhD students – that coordinates the doctoral studies in ASE-IOSUD.
- (2) CSUD is managed by a director, who is member of CSUD.
- (3) CSUD Director is appointed through a public competition organized by the Rector, based on a methodology proposed by the Board of Trustees and approved by University's Senate.

- (4) The CSUD Director position is assimilated to the vice-rector position.
- (5) Based on the decision of the competition commission, the Rector signs a management contract for a period of four years with the appointed CSUD director.

Art.7.

- (1) CSUD is composed of:
  - a) the CSUD director;
  - b) 11 academics or researchers, appointed by ASE Rector;
  - c) one member elected through universal, direct, equal, secret and freely expressed vote of the PhD supervisors of ASE-IOSUD;
  - d) 4 PhD students, elected by universal, direct, equal, secret and freely expressed vote of PhD students of all the doctoral schools of ASE-IOSUD.
- (2) Members of CSUD - academics or researchers – must meet minimal and binding standards for granting the habilitation certificate, in force on the date of their appointment as members of CSUD.
- (3) CSUD members' mandate is of 4 years. PhD students - members of CSUD, who complete their doctoral studies during their mandate, lose this quality at the date of doctoral studies completion. Also, CSUD members end their mandate if they cease to be PhD students.
- (4) The vacancies in CSUD will be filled according to section (1) and (2). The mandate of the new member ends when CSUD term expires.
- (5) CSUD is assisted in its work by the Secretariat of the CSUD.
- (6) CSUD meets whenever needed, at the CSUD director request or at least a third of its members' request. All the decisions will be made through a freely expressed vote, with a simple majority of CSUD members (50%+1 of existing members).

Art.8. CSUD has, mainly, the following responsibilities:

- a) establishes ASE-IOSUD strategy;
- b) elaborates the IR, with the Board of Trustees and proposes it for approval to the University's Senate.
- c) elaborates other proposals of regulations or measures regarding the doctoral studies at ASE-IOSUD, in accordance with ASE strategy and the in force regulations, in order to strengthen and improve the competitiveness of doctoral studies;
- d) approves the doctoral schools councils' proposals regarding PhD supervisors that are members of a doctoral school;
- e) approves the doctoral schools councils' proposals regarding the abolition of doctoral schools from ASE-IOSUD;
- f) advances their own proposals and approves the proposals of doctoral schools regarding agreements and partnerships for conducting doctoral study programs and joint supervision doctoral studies;

- g) coordinates the partnerships involving the doctoral schools of ASE, according to partnership agreements;
- h) establishes the criteria for the development of doctoral schools in ASE-IOSUD, according to the in force regulations, and sends them for approval to the Board of Trustees and University's Senate;
- i) validates the elections of doctoral school councils' members;
- j) provides information on research centres and doctoral schools from the country and abroad in which PhD students can benefit from research internships;
- k) establishes minimum criteria for the organization and functioning of doctoral study programs;
- l) establishes minimum criteria for evaluation and public defence of PhD thesis;
- m) prepares a list of institutions in the country from which official reviewers can be selected (higher education institutions, national research institutes or their subsidiaries), and presents it for approval to University's Senate;
- n) proposes the enrolment of PhD students;
- o) approves the transfer of a PhD student of ASE-IOSUD to another doctoral school, in the same area within another IOSUD, or the transfer of a PhD student of another IOSUD to a doctoral school of ASE-IOSUD, of the same area, with the prior consent of the PhD supervisors involved, with the approval of the Councils of the respective Doctoral Schools and in compliance with the in force regulations and submits this request for approval to the ASE Rector;
- p) establishes the criteria and performs internal evaluation of doctoral study programs;
- q) develops promotion activities for the doctoral studies of ASE-IOSUD;
- r) analyses and resolves the requests received from PhD students, PhD supervisors and any other interested party;
- s) performs other specific tasks, established in the present IR, in accordance with the law.

Art. 9. The administrative activities related to the conduct of doctorate in ASE-IOSUD are conducted by the Secretariat of the CSUD.

## Section 3.2 Doctoral School – legal and institutional framework

Art.10.

- (1) Within ASE-IOSUD, the doctoral studies programs are organised in accredited or provisionally authorized doctoral schools, structured based on disciplines or disciplinary and interdisciplinary

topics, based on the legal provisions, the provisions of the Code, the provisions of ASE Charter and the provisions of this Regulation. Likewise, the post-doctoral programs are organised within the doctoral schools.

- (2) A doctoral school is legally established only if it has at least 3 PhD supervisors, at the proposal of CSUD, with the favourable opinion of the Board of Trustees and the approval of the University's Senate.
- (3) The Doctoral school is organised in the fields in which ASE-IOSUD has the capacity to organise doctoral studies and becomes part of the structure of ASE faculties that manage similar fields of bachelor and master studies.
- (4) The faculties are liable for the content of the doctoral studies offered by the subordinated doctoral schools and provide the necessary logistic support for conducting the doctoral programme.
- (5) In the case of doctoral schools with members from more than one ASE faculty, each faculty undertakes the responsibility for its contribution regarding the provided resources and reports the associated PhD supervisors' and their PhD students' performances.

#### Art.11.

- (1) This Regulation applies also for doctoral studies conducted in joint supervision, if the partnership agreement does not indicate otherwise.
- (2) The doctoral school may impose minimal scientific performance standards, which the PhD supervisors should comply with in order to become members of the respective doctoral school, according to the provisions of the legislation in force.

Art.12. In addition to the PhD supervisors, titular academics or researchers within ASE-IOSUD or within other institutions organising doctoral studies, other researchers or academics can be affiliated with the doctoral school, being engaged in researching and/or teaching activities within a doctoral school of ASE-IOSUD or in other institutions or research and development units, inland or abroad.

#### Art.13.

- (1) The doctoral school is managed by a Director and the Doctoral School Council. The Director of the doctoral school becomes by law a member of the Doctoral School Council and is assimilated to the department director, as the Doctoral School Council is assimilated to the Department's Council.
- (2) The Doctoral School Director is appointed by CSUD, based on the proposals made by the Doctoral School Council as subsequent to internal elections.

#### Art.14.

- (1) The Doctoral School Board is composed of:
  - a) the titular PhD supervisors of the respective doctoral school, up to a maximum of 50%;
  - b) PhD students of the respective doctoral school, in a ratio of 20%, which can be rounded up to a whole number;

c) members from outside the doctoral school, selected from scientific personalities with significant international recognition of their research activity and/or significant personalities from the relevant industrial and socio-economic fields.

- (2) The percentage of the internal PhD supervisors within the Doctoral School Council is established by CSUD. The Doctoral School Council has at least 3 members: the doctoral school director, a titular PhD supervisor and a PhD student.
- (3) The Doctoral School Council members, who are also titular academics of the respective doctoral school or researchers, must have obtained the right to conduct doctoral theses in the country or abroad, and have to meet the mandatory minimum standards for obtaining the habilitation certificate, in force on the date of their appointment as members of the Doctoral School Council.
- (4) The Doctoral School Council members are elected by universal, direct, secret and equal vote of the PhD supervisors of the respective doctoral school.
- (5) The Doctoral School Council term is 5 years.
- (6) The PhD students, members of the Doctoral School Council who complete the doctoral studies during the Council's mandate, shall lose the quality of council member at the date of the public defence of the doctoral thesis.
- (7) The Doctoral School Council is headed by the Doctoral School Director and meets at least three times a year, at the request of the Doctoral School Director or of a third of Council's members.
- (8) The responsibilities of the Doctoral School Council are established through article 15 of the Code and by other applicable regulations.

Art.15. Doctoral schools have the obligation to provide exact and complete information regarding the doctoral studies programs to the prospective candidates, to the university's community and to other interested individual or legal persons.

Art.16. With the logistic support of the faculties and CSUD, the doctoral schools will provide online publication of all necessary information regarding the doctoral studies programs, with a special regard to the information categories provided by the Code.

Art.17. ASE-IOSUD guarantees the transparency of organising and conducting the doctoral studies programs within its own doctoral schools.

Art.18. ASE-IOSUD, through the doctoral schools, may offer, subject to available positions and according to the provisions of the in force legislation, financial support of the PhD students for research internships, in the country or abroad, with the PhD supervisor approval.

Art.19. The external evaluation of the doctoral school is conducted every 5 years by ARACIS or another quality evaluation agency, from the country or abroad, based on their methodology.

Art.20. The internal evaluation of the doctoral studies programs is conducted by CSUD, based on its own methodology, approved by University's Senate.

### Section 3.3 The PhD supervisor and the guidance committee

Art.21.

- (1) The quality of PhD supervisor is obtained and maintained according to in force legal provisions.
- (2) A PhD supervisor can assure PhD supervising only in the field for which this right was acquired, when the quality of PhD supervisor was awarded and only in one IOSUD, with the exception of the doctoral studies organized in joint supervision.
- (3) In order to supervise PhD students, teaching staff and researchers that have acquired this right must have an employment contract with ASE-IOSUD and be members of a doctoral school within ASE-IOSUD.
- (4) A person that has been awarded the right to conduct doctoral studies can become a titular of a doctoral school only with the approval of University's Senate.
- (5) If the PhD supervisor wishes to pursue PhD supervising work in another IOSUD, in the same doctoral field, this can be done with the approval of the both universities' senates/ presidium of the Romanian Academy. The request must be addressed to the Rector of the university/the President of the Romanian Academy and approved by the CSUD Director. The consent of the two IOSUD institutions is expressed on the application submitted by the PhD supervisor through the CSUD Director approval and the university Rector/ Romanian Academy president approval.
- (6) The approval for conducting PhD supervision activity in another IOSUD than the one in which the PhD supervision quality was awarded, requires clarification of the PhD students' situation between the two IOSUD involved and the conclusion of an employment contract between the PhD supervisor and the IOSUD where they will conduct his activity.
- (7) The titular academics, PhD supervisors, that have met the retirement age and wish to continue the PhD supervising activity can supervise new PhD students until reaching 70 years old, in compliance with the regulations in force;
- (8) The titular academics, PhD supervisors, that are retiring, can continue the supervision of the PhD students under their current guidance, until the public defence of the doctoral theses.
- (9) If a PhD supervisor does not wish or is unable to continue their supervision activity, at the proposal of the doctoral school, CSUD will approve the relocation of the PhD students under their guidance of other PhD supervisors, in order to complete under optimal conditions the doctoral theses.

Art.22.

- (1) The doctoral studies can be organized in joint supervision, in compliance with the in-force regulation, in which case the PhD student works under simultaneous guidance of two PhD supervisors.
- (2) The appointment of the second PhD supervisor is done after the registration of the PhD student within ASE-IOSUD, with the approval of the first PhD supervisor. The second PhD supervisor can be a titular PhD supervisor from a doctoral school within ASE-IOSUD, in which case the two PhD supervisors must have different specializations/fields of study or a PhD supervisor from any institution organising doctoral studies in the country or abroad.

- (3) If both PhD supervisors conduct their activity in ASE-IOSUD, they will conclude a written joint supervision agreement, which will be approved by the CSUD Director and which will establish the responsibilities of each PhD supervisor.
- (4) If the second PhD supervisor does not conduct their activity in ASE-IOSUD, a written joint supervision agreement will be concluded between ASE and the institution in which the second PhD supervisor guides PhD students. This agreement shall stipulate the conditions for organizing and conducting the doctoral studies in each of the involved institutions, including their financial liabilities, in accordance with their role in the joint supervision and with the specific legislation.
- (5) In the case of joint supervision doctoral studies, it shall be determined which of the two PhD supervisors will be the principal PhD supervisor. The PhD student is fully accounted by the principal supervisor, including the standardization of the teaching and researching activity.

Art.23. An ASE-IOSUD PhD supervisor may conduct simultaneously a maximum of 15 PhD students.

Art.24

- (1) At the motivated request of the PhD student, the Doctoral School Council (CSD) may decide the replacement of the PhD supervisor, if the failure to comply with his legal or contractual obligations is determined, or for other legitimate reasons.
- (2) In the above mentioned case and also if the PhD supervisor is found to be unavailable, CSD shall appoint a new PhD supervisor in maximum 30 days.
- (3) At the appointment of a new PhD supervisor, CSD will take into consideration, as a priority, the necessity for the PhD student to successfully complete the doctoral studies program.
- (4) The new PhD supervisor may maintain the existing guidance committee or may propose a new committee.

Art.25.

- (1) In the doctoral studies program, the PhD student shall be guided by a committee consisting of the PhD supervisor and other 3 members, which may be part of the supervisors' research team, persons affiliated to the doctoral school or teachers that have acquired the PhD title, non-affiliated to the doctoral school.
- (2) CSD may propose criteria that members of the guidance committee must meet.
- (3) The guidance committee structure is determined by the PhD supervisor, following the consultation with the PhD student and with the consent of the involved persons, and shall be mentioned in the Individual plan for PhD studies (PID).
- (4) The guidance committee structure maybe changed during the doctoral studies, under the conditions stipulated at par. (3)

Art.26. The activity of the PhD supervisors, the guidance committee members and the doctoral theses presentation committees are standardized according to a methodology approved by University's Senate.

Art.27. The internal evaluation process of the PhD supervisors will take into account the research and PhD students guidance results, such as:

- a) the individual scientific research results and of the guided PhD students, evaluated through publications and / or other methods for capitalizing the research results;
- b) other indicators of the scientific activity of the PhD supervisors and students such as: participation in research projects, participation in national and international conferences, affiliation to professional organizations.

Art.28. The external evaluation of the PhD supervisors is conducted once every 5 years, according to legislation. The evaluation proceedings are set through Order of National Education Ministry, at the proposal of the National Council for Certification of University Titles, Diplomas and Certificates (CNATDCU). The results of the evaluation are public.

Art.29.

- (1) ASE-IOSUD promotes interdisciplinary doctoral studies. This is accomplished through collaboration within/between the doctoral schools, as well as between the latter and those of other universities or research institutes in the country and abroad.
- (2) In the context of the policies for ensuring university mobility, ASE-IOSUD may employ, on contractual basis, foreign specialists that have obtained the legal right to conduct doctoral studies.

## Chapter 4 Conduct of doctoral studies

### Section 4.1 Selection and admission to doctoral studies programs

Art.30.

- (1) In the ASE -IOSUD, the doctoral studies programs are held in the form of full time or part time programs, with funding from the state budget or based on tuition fee, according to in-force regulations.
- (2) The number of positions and themes included in the admission contest for each PhD supervisor are informed by CSUD and approved by University's Senate for each academic year.
- (3) Admission to doctoral studies is based on a contest, held annually by ASE- IOSUD, through the doctoral schools, for each position proposed by the PhD supervisor and in compliance with internal regulations of ASE-IOSUD.
- (4) Admission contest is organized based on a methodology developed by CSUD, advised by the Board of Trustees and approved by the University's Senate.
- (5) The admission methodology details the conditions for registration, the content of enrolment folders and stages of the contest.
- (6) CSUD publishes the admission methodology on the sites: [www.ase.ro/admitere](http://www.ase.ro/admitere) and [www.doctorat.ase.ro](http://www.doctorat.ase.ro), with at least six months before the admission contest.
- (7) The admission contest consists in two tests: language test together with the evaluation of the candidate based on the enrolment folder and interview with the contest commission.

- (8) The admission contest commission consists of PhD supervisors that have opened positions and candidates in the contest.
- (9) After completing the enrolments in the doctoral studies admission contest, CSUD proposes the Contest Commission, which is advised by the Faculty Council and approved by the Board of Trustees.
- (10) The criteria of evaluation, selection and differentiation of PhD candidates are established by CSUD.
- (11) In order to facilitate the selection of candidates by PhD supervisors, ASE– IOSUD provides an online pre-registration option to the candidates, according to the schedule of activities stipulated in the Admission Methodology available on [www.doctorat.ase.ro](http://www.doctorat.ase.ro).
- (12) Doctoral Schools ensure the transparency of the evaluation and selection procedures of candidates and guarantee access to these information, also through publishing on the website [www.doctorat.ase.ro](http://www.doctorat.ase.ro)
- (13) The doctoral schools directors are responsible for the proper evolution of the admission contest, for respecting the ethical norms and in force legislation. Information related to the admission contest specific to each Doctoral School will be published on the Internet by each doctoral school and displayed on the Doctoral School notice board.

Art.31. Only the graduates with master diploma, or its equivalent, from the country or abroad, regardless of the graduation year of the master program, are entitled to participate to the admission contest for doctoral studies.

## Section 4.2 Doctoral studies contract and PhD students registration

Art.32. After admission results are approved by the University's Senate, the CSUD Secretariat will make sure that each PhD student signs the contract of doctoral studies.

Art.33.

- (1) The doctoral studies contract establishes the rights and obligations for PhD students, PhD supervisors and ASE IOSUD through doctoral schools.
- (2) The framework contract for doctoral studies and the addenda to this contract are issues by the CSUD Secretariat, together with the Legal Service and the Administrative Service of ASE, respecting the provisions of the Code and of the present RI, being approved by CSUD.
- (3) The doctoral studies contract is signed by the PhD student, the PhD supervisor, the doctoral school director, CSUD Director, Legal and Administrative Service, financial director and ASE Rector.
- (4) The doctoral studies contract contains at least the following information:
  - a) identification data of the PhD student and PhD supervisor;
  - b) information about ASE-IOSUD and doctoral school;
  - c) information regarding doctoral studies program;

- d) the thesis is written and sustained;
- e) the language in which the PhD is held;
- f) the deadline for completing the thesis;
- g) the conditions for extending the deadline for thesis completion;
- h) the monthly amount of the scholarship, as appropriate;
- i) the amount of tuition fees and other administrative fees, if applicable;
- j) the conditions for interrupting doctoral studies or extending the deadline for thesis completion.

Art. 34. After the conclusion of doctoral studies contract, PhD students are enrolled in the doctoral school where they were admitted.

Art. 35. The enrolment of the PhD students at ASE IOSUD is made based on the Rector's decision, after fulfilling all legal requirements. After registration's approval, PhD students are enrolled in the school register, under a unique number, valid for the entire period of doctoral studies in the same doctoral field.

Art. 36. After the registration's decision is issued, the person admitted is considered a PhD student during the entire course of the PhD program, from the registration date until the date of public defence of the thesis, excluding the downtime period or until expulsion date, as applicable.

Art. 37. PhD students may be assigned by the ASE-IOSUD as research assistants or assistant professors, for a determined period. PhD students can carry out teaching activities, according to the contract of doctoral studies, up to 4-6 hours per week. Teaching activities that exceed this level will be paid in accordance with the in force legislation, falling under the provisions of the Labour Code, respecting the rights and obligations of the employee and paying the due contributions, based on the law, to the state social security, unemployment insurance, social health insurance and for accidents at work and occupational diseases.

Art. 38.

(1) On PhD student registration, the personal folder shall contain:

- a) master and diploma supplement / transcript in original<sup>1</sup>;
- b) Bachelor and Diploma Supplement / transcript in original;
- c) Baccalaureate diploma or its equivalent in original document;
- d) copy of the identity card;

e) original certificate issued by the first IOSUD to which the candidate has been admitted, showing the form of funding, for PhD students following the second course of doctoral studies in the ASE-IOSUD;

f) legalized copy of birth certificate.

(2) The folder of the PhD student is completed with the original master diploma, in the second year of study.

<sup>1</sup> For PhD students admitted based on tuition fee, the diplomas can be in original or legalized copy.

Art.39. The PhD students' personal folders are filled in every year with eventual contracts or amendments to the study contracts and with eventual documents and decisions concerning academic and social situation (interruption of studies, transfer, social rights, financial obligations etc.).

Art.40. After registration, the PhD student receives a card, used to legitimate for all services and activities of ASE-IOSUD. If the student loses the card, a duplicate can be issued, in exchange of a fee, after the publication in the press, by PhD student, of the notice of its loss.

### Section 4.3 PhD studies duration

Art.41.

- (1) For solid reasons, after completing the 3 years of the doctoral studies program, the duration may be extended by 1-2 years, at the suggestion of PhD supervisor, with the consent of CSUD and the approval of the University's Senate, subject to the funds availability.
- (2) The extension period mentioned in paragraph (1), shall be determined by an addendum to the contract of doctoral studies.
- (3) For the period of extension, the doctoral program can be funded from the state budget or tuition fee, founded by POSDRU or by other sources, according to the law.

Art.42. If the PhD student fulfilled his obligations stipulated in the training program, based on advanced university studies and the individual research program and they fail to complete the thesis within the period specified in the doctoral studies contract and any eventual addenda to it, the doctoral thesis may be sustained no later than 4 years after completion of doctoral studies, with the approval of the PhD supervisor and with the approval of the Senate, according to the law.

Art.43. CSUD can issue, at the request of the PhD student, a certificate that confirms the statue of PhD student and the period of the doctoral studies.

Art.44. The transfer of a PhD student from one IOSUD to another can be done only in the same PhD field, with the consent of the management / rectors of the two institutions, after receiving the consent of the PhD supervisor, the doctoral school director involved and the CSUD Director of the two institutions.

Art.45. The PhD student that benefits of the interruption of studies, transfer or withdrawal from school, shall submit to the Secretariat CSUD, the PhD student ID, and, if applicable, the travel card which was issued at registration.

Art.46.

- (1) The PhD student may be expelled, at the suggestion of PhD supervisor and with the consent of Doctoral School Council, if:
  - a) does not fulfil the research obligations within the established time limits;
  - b) does not conduct the public defence of the thesis within the period established according to the regulations in force;
  - c) at the second public defence of the thesis, the doctoral committee marks again the thesis as 'Unsatisfactory';
  - d) violates the university's or scientific research ethic, according to ASE Charter;
  - e) does not pay the annual tuition fee, until the start of the session for submission of the research progress reports;
  - f) in the situations expressly defined in the current IR and in force regulations.
- (2) The expulsion of the PhD student is done through the decision of ASE Rector, with the CSUD consent.

Art.47. If during an academic semester a PhD student, recipient of a doctoral fellowship, does not have scientific activity and requires the withdrawal from the doctoral studies or is expelled, they are obliged to return the amounts of money charged, according to the methodology regarding the scholarships ASE-IOSUD.

Art.48. PhD students who have been expelled from doctoral studies from ASE can register for a new admission contest in ASE, exception being those who have been expelled on grounds of plagiarism.

Art.49. PhD students who have been expelled receive back their original documents from the personal folder, based on a liquidation note signed by all persons responsible within the ASE.

## Section 4.4 Financing doctoral studies programs

Art.50. Doctoral studies programs are organized with funding from the state budget, based on tuition fee or other legally constituted sources, according to the in-force regulations.

Art.51. PhD students receive grants for doctoral studies in accordance with the applicable regulations.

Art.52. Doctoral Schools may finance doctoral study programs also from research and development projects funded from other sources, public or private.

Art.53.

- (1) The budget funding for a PhD student remains as long as the PhD supervisor and the guidance committee notes progress in the preparation of PhD student at the end of the first two years of study;
- (2) Otherwise, the budgeted place occupied by the PhD student in question is reallocated to the PhD student of the same PhD supervisor with the highest admission average and that pays tuition fee. If the PhD supervisor has no PhD students that pay tuition fee, that place shall be reallocated to

the accepted PhD student with the highest average that pays tuition fee within the Doctoral School of which the PhD supervisor belongs or within other Doctoral Schools, as the case.

## Chapter 5 Doctoral programs: competences, structure and contents

### Section 5.1 Competences provided by the doctoral study programs

Art.54. Doctoral studies programs provide professional skills (content related, cognitive and research related) in specialized fields, as well as, certain transversal competences.

Art.55. For the purpose of this IR, the following are considered as professional competences:

- a) Using and applying advanced knowledge in the field;
- b) Identifying, formulating and solving research issues;
- c) Using advanced research methods and techniques;
- d) Applying the knowledge regarding the management of research projects;
- e) Using new research methods and approaches;
- f) Knowing and using the scientific research methodology in investigating and solving analysed issues, and in the development and capitalization of scientific work;
- g) Mastering language skills and using, at an academic level, an international foreign language necessary to the documentation and the development of scientific works;
- h) Understanding and applying ethical principles and values of scientific research in the field;
- i) Independent discovery of a set of abstract relations between investigated elements, situations and phenomena.

Art.56. For the purpose of this IR, the following are considered as transversal competences:

- a) Developing certain projects focused on creativity, as the basis for self-fulfilment;
- b) Accountability and the capacity of organizing and managing the activities of professional and research groups or certain institutions;
- c) Initiating and developing innovative and complex theoretical and practical projects;
- d) Designing and conducting original research, based on advanced methods that lead to the development of scientific and technological knowledge and / or research methodologies;
- e) Critical-constructive assessment of projects and research results, assessing the state of theoretical and methodological knowledge and identifying knowledge and practical priorities in the field;
- f) Selecting and applying the principles, theories and advanced methods of knowledge transfer of methods from one field to another, interdisciplinary approaches to solve theoretical and practical problems, new and complex;
- g) Using advanced principles and methods for explanation and interpretation, from multiple perspectives, of new and complex theoretical and practical situations / problems specific for the field;

- h) Systematic and advanced knowledge of concepts, research methods, controversies and speculations specific for the field; communication with experts in related fields;
- i) High-level application of information and communication technology in an interactive way;
- j) Using knowledge concerning career management as well as acquiring techniques on searching for a job and creating jobs for others;
- k) Adaption to context and appropriateness of knowledge on risk management, crisis and failure;
- l) Integrating the knowledge on the use of the legislation in the field of intellectual property rights;
- m) Developing strategies on economic, technological and social entrepreneurship.

## Section 5.2 Structure and content of doctoral study programs

Art.57. The doctoral program includes:

- a) a training program based on advanced studies (PSUD);
- b) an individual scientific research program (PICS).

Art.58.

- (1) The training program based on advanced studies (PSUD) and the individual scientific research program (PICS) are specified in the Individual Plan for PhD studies (PID), developed by the PhD student under the guidance of the PhD supervisor, supported by the guidance committee.
- (2) The Individual Plan for PhD studies (PID), validated by the members of the guidance committee and approved by the PhD supervisor, will be submitted online at the CSUD secretariat by the PhD student within 30 days from the date of registration in the first academic year.
- (3) The structure of PID and the obligations of the guidance committee are established by a specific procedure approved by the CSUD.

Art.59.

- (1) The responsibility for the structure, content, conduct and organization of the scientific research program of the PhD student goes to the PhD supervisor.
- (2) ASE-IOSUD, through its Doctoral Schools, facilitates the access to logistical and research resources for PhD students, and encourages them on participating in research projects with national and international relevance.

## Section 5.3 Training program based on advanced studies

Art.60. The training program based on advanced studies is a support tool for the knowledge enrichment of the PhD student, and serves them for a smooth development of their individual scientific research program and for acquiring advanced competences specific to the doctoral studies cycle.

Art.61.

- (1) The training program based on the advanced studies should be relevant to the research topic and should not adversely affect the time available for the PhD student's individual scientific research program.
- (2) The participation of a PhD student in a training program based on advanced studies study and the choice of the study elements that must be followed by the PhD student are established by the PhD supervisor along with the PhD student.
- (3) The cumulative duration of the training program based on advanced university studies must not exceed three months, according to the Code.

Art.62. The training program based on advanced studies may include:

- (1) special programs for advanced academic studies, organized by Doctoral Schools;
- (2) attending 3-5 disciplines from the master programs within ASE or from another IOSUD;
- (3) other activities established by the PhD supervisor.

## Section 5.4 Individual scientific research program

Art.63. The main objectives of the individual scientific research program (PICS) consist in the elaboration of the doctoral thesis, and in forming the competences included in the doctoral qualification fiche of the National Qualifications Register for Higher Education (RNCIS).

Art.64. PICS is followed according to the Individual Plan for PhD studies (PID) under the coordination of the PhD supervisor and of the guidance committee.

Art.65. PICS implies the participation of the PhD student in one or more scientific projects established by the PhD supervisor within the Doctoral School, research centres or departments of ASE-IOSUD.

Art.66. The responsibility for the structure, content, conduct and organization of ISRP goes to the PhD supervisor.

Art.67. Individual scientific research program can be conducted in ASE, in research institutions with national or international recognition.

## Section 5.5 PhD students evaluation within the individual research program

Art.68. The PhD students' activities evaluation is focused on the capitalization of research results respectively publications, participation in conferences, taking into account their performance estimated by integrating the publications in the international flow, citations, awards etc.

Art.69. The procedures and criteria for assessment should allow:

- (1) The correct evaluation of the PhD students' performance and should reflect the performance differences between them;
- (2) The progress analysis of the PhD students in acquiring knowledge and skills associated with targeted professional qualification;

- (3) The transparency and information on evaluation criteria of PhD students;
- (4) Informing PhD students about methods, evaluation criteria and expected performance.

Art.70.

- (1) During the evaluation of PhD students' activities scientific ethics and professional and university deontology will be respected.
- (2) In the event of academic fraud, infringement of academic ethics or other deviations from the good conduct in scientific research, including plagiarism, the PhD student and the PhD supervisor are accountable according to the law.

Art.71. PhD students' research activity within individual scientific research program (PICS) is evaluated by the PhD supervisor and by the guidance committee, taking into account:

- a) *Individual Plan for PhD studies (PID)*, which presents the state of knowledge in the field, the research objectives, the targeted research methodology, the schedule for the planned activities, the expected results, etc., approved by the PhD supervisor and by the Doctoral School Director;
- b) *Progress Reports*, one at the end of each academic year, which shall include: the results of their scientific research, disseminated by the PhD student through articles published in journals or via papers published in proceedings of international conferences. The PhD student presents these reports to the guidance committee, in the presence of the PhD supervisor;
- c) *Participation in at least two scientific debates* organized within ASE-IOSUD or within in other IOSUD;
- d) *A final report on the doctoral thesis*, presented to the guidance committee, to obtain agreement for its public defence.
- e) *Fulfilment of minimum criteria for the public defence of the PhD thesis*. These are set by CSUD and are included in the Evaluation and presentation procedure of the doctoral thesis.
- f) In addition, the Doctoral School Council may establish other specific tools to monitor the activities of PhD students during the academic year.

Art.72. After the PhD student presentation of each progress report it will be proceeded as it follows:

- (1) A minute is drawn up which records the observations and recommendations of the PhD supervisor and of committee guidance members, and the degree given: 'pass' or 'fail'. A copy of the minute signed by the PhD supervisor and the committee guidance members is submitted to the CSUD Secretariat to be included in the PhD student's folder.
- (2) In case of rejection of a research report or final report, the PhD student can restore it and present it once more, following the same procedure.
- (3) The PhD student may appeal the given degree within 48 hours of notification of the results, by a request addressed to the Doctoral School Director. In this case, the Doctoral School Director disposes the formation of a commission consisting of three PhD supervisors, who will conduct a new evaluation of the progress report. The result given by this commission shall be communicated in writing to the CSUD secretariat within 7 days of the formulation of appeal and

represents the final degree to the evaluated test. This will be communicated in writing to the PhD student.

Art.73. The terms for presenting the progress reports are provided in the academic year timetable of activities, during the prescribed period and the reprogramming period.

## Section 5.6 Transferable study credits and the recognition of study period and scientific activity conducted outside ASE-IOSUD

Art.74.

- (1) The number of transferable credits (ECTS) for a doctoral degree program is 180 credits (60 credits / year of study).
- (2) The number of ECTS accumulated by a PhD Student, during the training program based on advanced degree (PSUD) is 30 ECTS.
- (3) The evaluation based on transferable credits of the individual program activities based on the scientific research (PICS) is based on a specific procedure of CSUD.
- (4) The research master's programs, or doctoral studies of previous stages and/ or internships such as scientific research carried out in the country or abroad, in universities or research and development units may be recognized as equivalent to those from a training program based on advanced studies. The equivalence is proposed by the PhD supervisor and approved by the Doctoral School Council.

## Chapter 6. Doctoral studies completion

### Section 6.1. PhD Thesis

Art.75. The PhD thesis must be the result of the student's own research under the guidance of the PhD supervisor and must contain original results in the field of scientific knowledge.

Art.76.

- (1) The PhD thesis may be written in Romanian or in any international language.
- (2) The author of the thesis, the PhD student and the PhD supervisor, must be mentioned on the PhD thesis cover. The members of the doctoral committee will be specified on the thesis inside cover.

Art.77.

- (1) The thesis content is set by the PhD student in consultation with the PhD supervisor.

- (2) The PhD thesis title can be changed at the discretion of the PhD student with the PhD supervisor approval until its completion for the public defence. The new title of the thesis must be consistent with the scientific research conducted by PhD student throughout the PhD program.
- (3) The PhD thesis must be an original work and has to mention the source for any material taken from other sources.

Art.78.

- (1) The PhD student is the author of the PhD thesis and is assuming the correctness of data and information presented in the thesis, opinions expressed and demonstrations.
- (2) The PhD supervisor is responsible for ensuring the quality standards and professional ethics, including the content originality, according to the in-force legal provisions.

Art.79.

- (1) The PhD theses with their annexes are considered public documents and will be issued also in a digital format.
- (2) The protection of intellectual property rights on the thesis will be assured according to the Romanian laws.
- (3) The harnessing of copyright and / or industrial property rights on the thesis that was written through the doctoral studies is carried out in accordance with the national legislation.

Art.80. After the public defence of the PhD thesis, CSUD Secretariat shall issue, at the PhD graduate request, a certificate attesting the graduation the doctoral studies including the period when the PhD student attended the courses of the doctoral school.

## Section 6.2. Evaluation and public defence of the PhD thesis

Art.81. The public defence of the PhD thesis is conducted according to the Procedure for evaluation and public defence of the PhD thesis, available at [www.doctorat.ase.ro](http://www.doctorat.ase.ro).

Art.82. The evaluation criteria of the PhD thesis follows the results presented in the thesis, obtained within the doctoral studies program. They necessarily take into account the work published by PhD student in scientific journals and presented at international conferences in accordance with the minimum criteria defined by the Procedure for evaluation and public defence of the PhD thesis.

Art.83. At least a part of the original scientific results included in the PhD thesis and must have been previously published in outstanding scientific journals indexed in international databases in the interval between the enrolment within the doctoral studies program and the public defence of the PhD thesis.

Art.84.

- (1) The doctoral studies are completed through the public defence of the PhD thesis in front of the public defence of the PhD thesis committee, hereinafter referred to as doctoral committee.
- (2) The public defence of the PhD thesis may take place only after the PhD supervisor and the guidance committee has agreed upon.

- (3) Following the identification of violations of a good conduct in research and development, including results plagiarism or publications of other authors, manufactured results or outcomes replacement with dummy data in the assessment of the PhD thesis by the PhD supervisor and guidance committee, the PhD student will not receive the permission to proceed with the public defence of the PhD thesis.
- (4) The doctoral committee is proposed by the PhD supervisor, approved by the Doctoral School Council and approved by CSUD.
- (5) The doctoral committee consists of at least 5 members: President, representing ASE-IOSUD (Member of the Senate, Board of Trustees or Doctoral School Director), PhD supervisor and at least 3 referees and officials from Romania or from abroad, specialists in the field of the developed PhD thesis, out of which at least 2 working outside ASE IOSUD. Usually, at least one of the members from outside ASE must be part of the Universitaria Consortium. Doctoral committee members must have a PhD degree and must be at least an associate professor, senior researcher or PhD supervisor in the country or abroad.
- (6) If the PhD student benefits from joint supervision, the doctoral committee must be contain both PhD supervisors.
- (7) CSUD and the doctoral schools may impose minimum standards of scientific performance that members of the doctoral committee must meet in order to be part of that committee.
- (8) The public defence of the PhD thesis may take place only after it was evaluated by all members of the doctoral committee and in the presence of at least 4 of them, with mandatory participation of the doctoral committee President and of the PhD supervisor.

Art.85.

- (1) In order to public defend the PhD thesis, the abstract of the thesis, list of publications, the student's and PhD supervisor's statement for taking responsibility must be handed in to CSUD Secretariat, together with the doctoral committee members' reports.
- (2) If the PhD student benefited from joint supervision, the PhD thesis is submitted to the IOSUD from where the main PhD supervisor comes.

Art.86.

- (1) CSUD will transmit to the ASE Central Library, the PhD thesis and it's abstract, at least with 18 days prior to the public defence, in the printed and electronic form, for making it available for consultation to those interested, assuring the procedure for unpublished materials.
- (2) The notifications regarding the public defence of the PhD thesis and its abstract is published on the notice board of the CSUD Secretariat and at [www.doctorat.ase.ro](http://www.doctorat.ase.ro).
- (3) The date and place of the public defence of the PhD thesis are established within a minimum of 15 days and a maximum of three months from the date of issuance of the decision to appoint the doctoral committee and are posted on the CSUD notice board and at [www.doctorat.ase.ro](http://www.doctorat.ase.ro) at least 15 days before the date set for the public defence.

Art.87. The public defence of the PhD thesis includes a mandatory session of questions from members of the doctoral committee.

Art.88.

- (1) Based on the public defence of the PhD thesis and on the official referees' reports, the doctoral committee evaluates and establishes on one of the following qualifiers for the PhD thesis: 'Excellent', 'Very Good', 'Good', 'Fair' and 'Unsatisfactory'.
- (2) The qualifiers that are assigned after the public defence of the PhD thesis are given according to the minimal criteria approved by CSUD.
- (3) If a doctoral committee member identifies in the PhD thesis evaluation serious violations of the conduct in scientific research and academic activities, including plagiarism results or publications of other authors, manufactured or miscellaneous data, they are obliged:
  - a) to notify the other members of the doctoral committee and to propose the qualifier 'Unsatisfactory';
  - b) to notify the Ethics commission of ASE to analyse and solve the case.
- (4) If the PhD student has met all of the requirements of the scientific research program and the thesis assessments allow the assignment of qualification 'Excellent', 'Very Good', 'Good' or 'Satisfactory'; the doctoral committee proposes granting the PhD title.
- (5) If the PhD student has earned the qualifier 'Unsatisfactory' the doctoral committee specifies the elements from the content that have to be restored or completed and calls for a new public defence of the thesis. A second public defence of the thesis takes place in front of the same committee, as with the first public defence. If the second qualifier obtained after the second public defence is 'Unsatisfactory' the PhD student is not given the PhD title and is expelled.

Art.89.

- (1) The proposal to award the PhD title is submitted CNATDCU, for validation.
- (2) The contents of the folder that is submitted to CNATDCU is set through the Procedure for evaluation and public defence of the PhD thesis developed by CSUD.
- (3) After evaluating the folder, CNATDCU proposes to the Ministry of National Education and Scientific Research whether or not award the PhD title.
- (4) If CNATDCU invalidates the PhD thesis, the PhD student, can restore it in maximum 9 months so as to resend the PhD thesis to CNATDCU within no more than one year from the date of invalidation.
- (5) During this process the PhD supervisor and the guidance committee will remain the same.
- (6) If the PhD thesis is invalidated the second time, the PhD title will not be awarded and the PhD student will be expelled.

Art.90. The PhD title will be awarded by the Minister of Education and Scientific Research, after the validation by CNATDCU of the PhD thesis.

Art.91. After completing the PhD courses, ASE - IOSUD offers the diploma and the title of Doctor of Science, with the 'Dr.' acronym. The diploma certifying the acquisition and holding of the title of doctor mentions, specifically, the doctoral field.

## Chapter 7 The PhD supervisor and PhD student status

### Section 7.1 PhD student's rights and obligations

Art.92. The rights and obligations of PhD students, PhD supervisor, as well as ASE-IOSUD, through Doctoral School, are established through the doctoral studies contract.

Art.93. During the doctoral studies program, the PhD student is entitled to:

- (1) to receive support, guidance and coordination from the PhD supervisor and the guidance committee;
- (2) to participate to the seminars or work meetings of the research and development staff, respectively of the research centres from ASE-IOSUD, when topics relevant for doctoral studies are discussed;
- (3) to be represented in decision-making bodies of the Doctoral School, according to this IR;
- (4) to have access to the documentation centres, libraries, and Doctoral School, ASE-IOSUD equipment to develop research reports and PhD thesis;
- (5) to participate in the courses and seminars organized by their /other doctoral schools;
- (6) to work together with teams of researchers from ASE-IOSUD or from other research and development centres with whom ASE-IOSUD concluded agreements and partnerships;
- (7) to benefit from national or international exchange programmes, within available funding options;
- (8) to receive financial support from ASE-IOSUD for participation in national and international conferences and articles publishing; PhD students will receive financial support only for articles and conference participation which are mandatory as established through the doctoral school contract;
- (9) to attend scientific sessions organized by the doctoral school and/or ASE-IOSUD;
- (10) to be informed about the doctoral school curriculum within the doctoral school;
- (11) other legal rights;

Art.94. The PhD student has the following obligations:

- (1) to pay tuition, if their studies are based on tuition fees;
- (2) to comply with the schedule agreed with the PhD supervisor and to fulfil the obligation to present papers and research results;
- (3) to submit annually, to the PhD supervisor and to the guidance committee, research progress reports and possibly other monitored elements stated in this IR;
- (4) to be in permanent contact with the PhD supervisor;

- (5) to respect good conduct principles in scientific research, no plagiarized results or others publications, no counterfeited results or to replace their own results with fictitious data and/or does not use unspecified sources, otherwise being penalized under this IR.
- (6) to only specify the affiliation to The Bucharest University of Economic Studies (the Romanian version will be: Academia de Studii Economice din Bucure ti) on each article or conference participation;
- (7) to respect institutional discipline;
- (8) other applicable legal obligation.

## Section 7.2 PhD supervisor's rights and obligations

Art.95.

- (1) PhD supervisor's rights and obligations result from the National Education Law no. 1/2011, subsequently amended and completed, from this Regulation and from the labour contract.
- (2) The PhD supervisor has, among others, the following rights:
  - a) to be paid for the work they carry out in this capacity, under the law;
  - b) to take part in the doctoral grant competitions;
  - c) to guide and evaluate PhD student under the professional and academic autonomy, following the requirements of the doctoral studies school and respecting the professional interests of the PhD student;
  - d) to propose the guidance committee of the PhD student and the doctoral committee, in consultation with the PhD student;
  - e) to benefit from an impartial internal and external evaluation, in accordance with the specific methodology of evaluation process;
  - f) to know the internal and external evaluation results;
  - g) to propose research topics for doctoral studies programs candidates;
  - h) to refuse the guidance of a PhD student, if they are unwittingly placed in a conflict of interest;
  - i) to request Doctoral School Council, based on solid reasons, to stop the supervising relationship with the PhD student;
  - j) to select the doctoral candidates which are proposed to be put up under their guidance;
  - k) to ask the Doctoral School to organize a contest for each PhD student position under their guidance;
  - l) to decide the study elements within the training program based on advanced studies to whom the PhD student has to participate, with the provision of this

Regulation. Art.98. The PhD supervisor has the following obligations:

- (1) to provide scientific, professional and ethical guidance to each PhD student;
- (2) to ensure the necessities and to stimulate the PhD student progress in their research;
- (3) to conduct an objective monitoring and evaluation for each PhD student;

- (4) to assist PhD student mobility;
- (5) to avoid any conflict of interest in supervising PhD students.

## Chapter 8 Final and transitional provisions

Art.97. PhD students who have begun the doctoral studies program before the entry into force of National Education Law no. 1/2011 at the part-time PhD course may continue their studies in this form of education until their completion.

This Regulation was approved in University's Senate meeting, dated December 9<sup>th</sup>, 2015.

**Rector,**

**President of the University's Senate,**

**Prof. univ. dr. Pavel Năstase**

**Prof. univ. dr. Răzvan Zaharia**