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BABEŞ-BOLYAI UNIVERSITÄT
BABEŞ-BOLYAI UNIVERSITY
TRADITIO ET EXCELLENTIA

**Tradiție și Excelență prin
Cultură - Știință - Inovație din 1581**



Facultatea de Chimie și Inginerie Chimică
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**Regulation of the Doctoral School of Chemical Engineering
from the Faculty of Chemistry and Chemical Engineering
Babeş-Bolyai University Cluj Napoca**

Voted by the titular doctoral supervisors at the DSCE meeting, date 25.02.2025

**Voted by the Council of the Faculty of Chemistry and Chemical Engineering,
date 07.05.2025**



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1. Preamble

Legal framework

Art. 1. This regulation is based on the following documents:

- a) Higher Education Law No. 199/2023, published in the Official Gazette of Romania No. 614, dated 5.07.2023 with subsequent amendments and supplements;
- b) Emergency Ordinance No. 95 of 28 June 2024 amending and supplementing the Pre-university Education Law No. 198/2023 and the Higher Education Law No. 199/2023;
- c) Order No. 3020/2024 of 8 January 2024, published in the Official Gazette No. 56 of 22 January 2024 on the Framework Regulation of doctoral university studies;
- d) Order No. 3692/2024 of 1 February 2024 on the list of nationally recognized programs in order to establish the degree of similarity for the completion of studies;
- e) Order No. 3693/2024 of 1 February 2024 for the approval of the Framework Methodology for the organization of admission to higher education in short-term university study cycles, bachelor's, master's and doctoral degrees;
- f) Order No. 3482 of 24 March 2016 for the approval of the Regulation on the organization and functioning of the National Council for the Attestation of University Titles, Diplomas and Certificates and the Regulation on the organization and functioning of the National Council for the Attestation of University Titles, Diplomas and Certificates;
- g) Ministerial Order No. 5110 of 17 September 2018 for the approval of the minimum national standards for the award of the doctorate;
- h) Order no. 3018/2025 on the approval of the minimum national standards necessary and mandatory for the award of the doctoral degree;
- i) Order No. 3131/2018 of January 30, 2018 on the inclusion in the curricula, for all university study programs organized in higher education institutions in the national education system, of courses on ethics and academic integrity;
- j) Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies approved by Senate Decision No. 147/25.11.2024, accessible at:

<https://doctorat.ubbcluj.ro/wp-content/uploads/2024/12/HS-nr.-147-privind-modificarea-Regulamentului-UBB-de-organizare-si-desfasurare-a-studiilor-de-drd.pdf>

In addition to these provisions in the regulation developed at the level of the Organizing Institution of Doctoral Studies (OIDUS-BBU), DSCE introduced some articles specific to it in its own regulation.



2. General provisions

Terms and expressions, abbreviations and acronyms

Art. 2. The terms and expressions used in this regulation of the Doctoral School of Chemical Engineering have the same meaning as those given in OM No. 3020/2024 and in the Framework Regulation on Doctoral Studies at Babeş-Bolyai University (Senate Decision No. 147 of 25.11.2024).

- a) doctoral studies;
- b) doctoral study program;
- c) field of doctoral studies (Chemical Engineering);
- d) the organizing institution of doctoral university studies is Babeş-Bolyai University (OIDUS-BBU);
- e) Council for Doctoral University Studies (CDUS);
- f) Scientific Council of UBB (SC-BBU);
- g) Doctoral School of Chemical Engineering (DSCE);
- h) Faculty of Chemistry and Chemical Engineering (FCCE);
- i) doctoral student;
- j) doctoral supervisor;
- k) doctoral study contract;
- l) academic mobility;
- m) doctoral thesis;
- n) doctoral diploma;
- o) Council of the Doctoral School of Chemical Engineering (CDSCE);
- p) co-author of a publication;
- q) production of results or data;
- r) falsification of results or data;
- s) plagiarism;
- t) self-plagiarism;
- u) joint doctoral studies - the doctoral student carries out his/her activity under the simultaneous guidance of a doctoral supervisor from Romania and a doctoral supervisor from another country or under the simultaneous guidance of two doctoral supervisors from different OIDUSs in Romania, or under the guidance of two supervisors from the same OIDUS, under the conditions provided by law and based on a written agreement between the organizing institutions involved. These aspects will be found in the joint studies contract;
- v) dual higher education - a form of education in which the responsibilities regarding the carrying out of learning, teaching, applied, research and evaluation activities are shared between the accredited higher education institution and the economic operators;
- w) European Qualifications Framework (EQF/CEC);
- x) National Qualifications Framework (CNC).



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y) European Credit Transfer and Accumulation System (ECTS/SECT)

Types of doctorates (scientific, professional, dual doctorate)

Art. 3.

- 1) The doctoral studies in the field of CHEMICAL ENGINEERING are organized by DSCE and constitute the third cycle of the chemical engineering university studies at the Faculty of Chemistry and Chemical Engineering of Babeş-Bolyai University, and aim to develop human resources competent in carrying out scientific research and capable of insertion on the labor market, highly qualified, level 8 academics of EQF/CEC and CNC.
- 2) The doctoral studies within DSCE follow the scientific doctorate and professional doctorate path.
- 3) The scientific doctorate aims to produce original scientific knowledge in the field of chemical engineering, internationally relevant, based on scientific methods, and can be organized in the form of full-time (with scholarship) or part-time (without scholarship) education. The scientific doctorate is the basis for a professional career in higher education and research. Upon completion of the scientific doctoral studies, Babeş-Bolyai University confers the diploma of Doctor of Science, corresponding to the acronym Dr. In the diploma certifying the acquisition and possession of this doctoral title, the disciplinary field (Chemical Engineering) or interdisciplinary field of the doctoral student is expressly mentioned.
- 4) The professional doctorate, including in dual university education, aims to produce original knowledge in the field of chemical engineering based on the application of the scientific method, systematic reflection, or applied research on topics of practical importance and which constitute a basis for a professional career in higher education and research. The professional doctorate can be organized in the form of full-time (with scholarship) or part-time (without scholarship) education. Upon completion of the professional doctoral studies, Babeş-Bolyai University confers the diploma and the title of doctor in a professional field (Chemical Engineering), corresponding to Dr.P. The diploma certifying the acquisition and possession of the title of doctor Dr.P. expressly mentions the professional field of the doctorate (Chemical Engineering).
- 5) DSCE also organizes doctoral studies in a dual regime, based on research topics proposed to the doctoral supervisors in DSCE by private legal entities, relevant to their area of interest and for which they are willing to provide additional funding. Upon the proposal of the doctoral supervisors in DSCE, OIDUS-BBU concludes a partnership contract with the economic operators, which establishes the conditions of collaboration, the rights and obligations of the parties, as well as the costs assumed by the partners. Responsibilities regarding the conduct of learning, research and teaching activities are



shared between OIDUS-BBU and the economic operators. DSCE as a member of OIDUS-BBU organizes learning, teaching and assessment activities, and economic operators organize work-based learning activities and participate in the assessment. Applied and research activities can be carried out both at DSCE and at economic operators. The doctoral student concludes an individual study and practical training/research contract with OIDUS-BBU and the economic operator, which establishes the rights and obligations of the parties. Dual-regime doctoral studies are organized through a professional doctorate, according to a methodology approved by order of the Minister of Education.

Forms of education (full-time, part-time), details

Art. 4.

- 1) The scientific doctoral university study program can be organized as a full-time (with scholarship) or part-time (without scholarship) education program.
- 2) The professional doctoral university study program can be organized as a full-time (with scholarship) or part-time (without scholarship) education program.
- 3) The candidate for scientific or professional doctoral university studies can opt for one of the forms of education when registering for the admission competition, in accordance with the obligations provided by the regulation.
- 4) Part-time education - characterized by educational and/or research activities scheduled for the entire duration of a day, specific to each university study program, respectively university study cycle, approximately evenly distributed weekly/daily throughout the semester and which involves students meeting with teaching and research staff in the university space. The activities of full-time education within the DSCE are carried out in accordance with the DSCE staff list and the schedule of related activities. Some educational and/or research activities within the study programs organized in the full-time education form can be carried out synchronously, by using specific electronic, IT and communication resources.
- 5) Part-time education - characterized by educational and/or research activities specific to the doctoral university study program in the field of chemical engineering, applied training or research internships at companies, industrial units, research institutes, activities scheduled in a compact and periodic manner, assuming the physical presence of students and teaching staff in the university space, complemented by other training means specific to distance learning, such as those carried out through specific electronic, IT and communication resources.
- 6) The obligations regarding the full-time and part-time education forms proposed at the DSCE level are presented in Annex 1.



Forms of financing (budget financing/fee financing/financing from other sources)

Art. 5.

- 1) Grants related to doctoral studies include the amount of individual scholarships for the scientific/professional doctorate, organized in the full-time form of education and do not include the amount of individual scholarships for the scientific/professional doctorate, organized in the part-time form of education.
- 2) A doctoral student can benefit from budget funding for a single doctoral study program.
- 3) Individuals who have the appropriate financial resources, either from their own sources or from scholarships granted by individuals or legal entities, can be admitted as doctoral students in the scientific or professional doctorate track within the DSCE, on a fee-paying basis under the conditions provided for by the regulation on the organization of doctoral studies.
- 4) OIDUS-BBU allocates a minimum of 20% of the funding for doctoral grants for research activities carried out by doctoral students, including for their national and international mobilities.
- 5) Payment of the doctoral student's rights is made according to the law, without excluding other forms of remuneration provided for by the legal provisions in force.

3. Doctoral School of Chemical Engineering

Art. 6. DSCE is composed of:

- 1) Full doctoral supervisors;
- 2) Retired doctoral supervisors who are on extension as emeritus professors, or who still have doctoral students in internship or on extension;
- 3) Affiliated university teaching staff and affiliated scientific researchers;
- 4) Doctoral students;
- 5) Secretary;
- 6) Auxiliary teaching, technical and administrative staff (depending on needs and available funds).

Art.7. Art.7. The general framework for the organization and functioning of the DSCE is established by the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (HS No. 147/25.11.2024) and by the present DSCE Regulation.

Art. 8. The management and operational leadership of the DSCE is ensured by the director of the ȘDIC, in accordance with Art. 8, paragraphs 7 and 8 of the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies. In exercising his function, he is assisted by the CDSCE.



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Mission of the Doctoral School of Chemical Engineering

Art. 9. DSCE organizes doctoral university study programs, carried out within the framework of international university cooperation, under co-tutorship, based on the written agreement between the respective institutions, as well as doctoral university studies, jointly organized by several higher education institutions - also integrated in consortia for dual education, university consortia, formed by higher education institutions and research institutes from the country or abroad.

Art. 10. DSCE will permanently be concerned with increasing the educational and research experience of its doctoral students, through teaching activities, seminars, evaluation, scientific research in foreign languages, technological development, and scientific communication sessions appropriate to the specifics of the chemical engineering field.

Art. 11. DSCE organizes for doctoral students an annual scientific communication session, open to other young researchers from Babeş-Bolyai University or outside it.

Art. 12. DSCE promotes the occupational mobility of doctoral students and cooperates, in the field of doctoral studies, with specialized doctoral schools, research institutes, business and industrial production sectors, in the country and abroad.

Art. 13. DSCE will stimulate the international mobility of doctoral students, so that a larger proportion of doctoral students will carry out a training internship abroad, or another form of mobility. The doctoral supervisor supports the mobility of doctoral students under his/her coordination through the doctoral grant, the ERASMUS+ program and the coordinated research projects on which doctoral students are employed.

Art. 14. The staff list at the level of the DSCE is drawn up at the beginning of each academic year by consulting their members and includes all doctoral supervisor positions and all doctoral student positions under the coordination of the doctoral supervisors, is approved by the DSCE, respectively by the rector of Babeş-Bolyai University, after which it is approved by the University Senate.

Doctoral supervisors

Art. 15. The granting of the title of titular doctoral supervisor in DSCE is in accordance with the Higher Education Law No. 199/2023, and with Senate Decision No. 78/10.06.2024, regarding the Approval of the Babeş-Bolyai University Regulation on the organization and conduct of the habilitation process and the co-optation of doctoral supervisors (Chapter 5, Art. 11, Paragraphs 1-4) and Senate Decision No. 147/25.11.2024 regarding the Approval of the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (Chapter 8, Art. 14, Paragraphs 1-16). In addition to these provisions of the regulations developed at the level of the Institution Organizing Doctoral Studies (OIDUS-BBU), DSCE has introduced some articles specific to it in its own regulations.



Art. 16. In the case of granting the status of titular doctoral supervisor in DSCE, they must meet the additional conditions of DSCE. Thus, DSCE requires candidates who apply for the status of doctoral supervisor and admission to its ranks to meet the qualification conditions at the time of application, approved by CNATDCU in the field of chemical engineering, but also to present a high level of fairness and professional ethics. Doctoral supervisors proven to be responsible for plagiarism or the fabrication of scientific data and their publication are not accepted. The procedure for granting and receiving new doctoral supervisors in DSCE is presented in Annex 2, which is an integral part of the DSCE Regulations.

Art. 17. The procedure for withdrawing the status of doctoral supervisor within DSCE is presented in Annex 2, which is an integral part of the DSCE Regulations.

Art. 18. University teaching staff or researchers affiliated with Babeş-Bolyai University within DSCE are persons who are part of the doctoral students' guidance and academic integrity committees or have teaching activities within the advanced university training program for doctoral students. Affiliated teaching or research staff must hold the status of tenured professors within another higher education institution, research center or institute in Romania. Employment is carried out only with the consent of the Senate, or, as the case may be, the consent of the Board of Directors of the institution of origin. The affiliation of these staff to DSCE must be approved by CDSCE.

Doctoral students

Art. 19. The person admitted to a doctoral university study program has the status of a doctoral student for the entire period of his/her presence in the respective program, from enrollment until the completion of the study program or until expulsion, except during periods of interruption of studies, but including any extensions granted according to the provisions of the doctoral university study contract, based on the OIDUS-BBU's own regulations. The status of a doctoral student is maintained including during the period of internal and international mobility approved by the doctoral school.

Art. 20. Doctoral students may be hired by OIDUS-BBU as research assistants or university assistants, as the case may be, for a fixed period, following a competition. The conditions for participation in the competition are established by CDSCE. The doctoral student hired as a research assistant may also carry out teaching activities on an hourly basis, in accordance with the legislation in force.

Art. 21. The obligations of doctoral students enrolled in the full-time or part-time form of education, proposed by DSCE, presented in *Annex 1*, as an integral part of this regulation of ȘDIC, respect the characteristics of the chemical engineering research field and those of the activities necessary to fulfill the individual program of doctoral studies and to develop the doctoral thesis, being approved by the Council of the Faculty of Chemistry and Chemical



Engineering, to which DSCE is subordinated, by CDUS and by the Board of Directors of BBU and approved by the University Senate.

4. Council of the Doctoral School of Chemical Engineering - Constitution and duties. Director of the DSCE

Art. 22. The DSCE is led by a Council called the Council of the Doctoral School of Chemical Engineering (CDSCE) consisting of 5 members:

- 1) The Director of the DSCE;
- 2) Three full-time doctoral supervisors from the DSCE;
- 3) A doctoral student, as a representative of the doctoral students.

Art. 23. The academic staff or researchers who are members of the CDSCE must have the right to supervise doctoral studies in the country or abroad and must meet the minimum and mandatory standards for granting the habilitation certificate in the field of chemical engineering, approved by order of the Minister of Education, which are in force on the date of elections as members of the CDSCE.

Art. 24. The mandate of the members of the CDSCE is 5 years.

Art. 25. The DSCE Council is headed by the director of the doctoral school, as an ex officio member of the council, who is a teaching staff member with a basic position at Babeş-Bolyai University, having an employment contract with the university for an indefinite period.

Art. 26. The DSCE director and the doctoral supervisors as members of the CDSCE are elected by universal, direct and secret vote of the titular doctoral supervisors in the ȘDIC, according to the present ȘDIC regulation.

Art. 27. The doctoral supervisors who have the status of titular in the DSCE have the right to be elected as members of the CDSCE. Doctoral supervisors who have reached the legal retirement age on the date of the elections, respectively doctoral students who are in the extension period, cannot run for election as members of the CDSCE. Doctoral supervisors lose their membership of the CDSCE on the date of retirement. To fill vacancies in the CDSCE, through retirement or resignation, by-elections are organized no later than 2 months from the date of the vacancy of the CDSCE member position, for which other tenured doctoral supervisors run, according to the provisions in force, and the term of office of the new member ceases upon the expiration of the CDSCE mandate and/or upon the date of retirement.

Art. 28. The representative of doctoral students as a member of the CDSCE is elected by the doctoral students in training by universal, direct, secret and equal vote among the doctoral students in the CDSCE. The doctoral student who is a member of the CDSCE and completes his/her doctoral studies during the mandate of the council for which he/she was elected, loses



his/her membership of the CDSCE on the date of the public defense of the doctoral thesis. To fill the vacant position in the CDSCE, in the event of the completion of doctoral studies or resignation, partial elections are organized to elect another doctoral student, in accordance with the regulations for the election of student representatives of Babeş-Bolyai University, and the mandate of the new member ceases, either upon the defense of the doctoral thesis or upon the expiration of the term of office of the CDSCE. Partial elections will be organized no later than 2 months from the date of the vacancy of the position of doctoral student member in the CȘDIC.

Art. 29. In the event of the unavailability of the DSCE director for a reason that does not justify the suspension or termination of the position, for a period of no more than 2 months, the position of director may be exercised, by delegation, by a person designated by the person concerned, according to the management hierarchies. In the event of a vacancy due to resignation or retirement of the director of the DSCE, partial elections will be organized, within a maximum of 2 months from the date of the vacancy, to elect a new director whose mandate will end at the end of the term of the CDSCE mandate.

Art. 30. The powers of the CDSCE are in accordance with the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (Art. 9, paragraphs a-p).

Art. 31. CDSCE meets at least 3 times a year, called regular meetings, which take place in accordance with the calendar:

- 1) September-October and has on its agenda the validation of individual plans of doctoral students admitted in the July and September sessions;
- 2) February-March and has on its agenda the analysis of the course delivery for doctoral students admitted in the first year;
- 3) April-June to analyze the results of the DSCE and the distribution of doctoral grants/budget places by doctoral supervisors, in accordance with the Criteria for the distribution of grants/budget places by doctoral schools and doctoral supervisors for the doctoral admission competition within BBU updated annually.
- 4) During the ordinary meeting, from the beginning of the academic year and/or before the start of the second semester, the CDSCE analyzes and approves the following documents:
 - a) requests for interruption of the doctoral program by doctoral students, approved by the doctoral supervisor, in accordance with Art. 23, Paragraphs 1-3 of the BBU Regulation, respectively Art. 54 of the present DSCE regulation;
 - b) requests for withdrawal of doctoral students approved by the doctoral supervisor, in accordance with Art. 29, Paragraphs 1 and 2 of the BBU Regulation, respectively Art. 58 of the present DSCE regulation;
 - c) written requests by the doctoral supervisor to expel doctoral students who have not fulfilled their obligations arising from the doctoral university study contract,



- in accordance with Art. 30, Paragraphs 1-4 of the BBU Regulation, respectively Art. 59 of the present DSCE regulation;
- d) requests for change of doctoral supervisor are approved only at the beginning of the academic year, under the conditions provided for in Art. 28, paragraphs 1-4 of the BBU Regulation, respectively Art. 57 of the present DSCE regulation;
 - e) requests for withdrawal of doctoral students approved by the doctoral supervisor, in accordance with Art. 29, Paragraphs 1 and 2 of the BBU Regulation, respectively Art. 58 of the present DSCE regulation;
 - f) written requests from the doctoral supervisor to expel doctoral students who have not fulfilled their obligations arising from the doctoral university study contract, in accordance with Art. 30, Paragraphs 1-4 of the UBB Regulation, respectively Art. 59 of the present DSCE regulation;
 - g) requests for change of doctoral supervisor are approved only at the beginning of the academic year, under the conditions provided for in Art. 28, Paragraphs 1-4 of the UBB Regulation, respectively Art. 57 of the present DSCE regulation;
 - h) applications for recognition/equivalence of disciplines, approved by the doctoral supervisor, previously completed by the doctoral student in an individual university study plan and certificates of equivalence of the disciplines completed with the corresponding ECTS credits are issued, according to the individual doctoral university study plan, to be completed by the doctoral student (according to Art. 55, Paragraphs 1-5 of the present regulation of the DSCE);
 - i) applications for recognition/equivalence of some elements or the entire individual scientific research plan (scientific research project and/or research reports), previously completed by the doctoral student in an individual doctoral university study plan and certificates of recognition/equivalence with the corresponding ECTS credits are issued, according to the individual doctoral university study plan, to be completed by the doctoral student (according to Art. 55, Paragraphs 1-5 of the present regulation of the DSCE).
- 5) Extraordinary meetings of the CDSCE are convened at the request of the director of DSCE, or of at least one third of the number of board members, or whenever necessary, and may have the following activities:
- a) Resolves any conflicts between doctoral students and doctoral supervisors, in accordance with (Art. 15, paragraph 11 of the BBU Regulation);
 - b) Analyzes, within 15 days of receipt, the habilitation files in the field of chemical engineering, to be defended within the DSCE, and proposes to the CDUS the appointment of a Commission of three doctoral supervisors from the DSCE, who are not in situations of incompatibility with the candidate, to verify the fulfillment of the minimum and mandatory CNATDCU conditions for habilitation in the field of chemical engineering;



- c) Proposes the composition of the habilitation Commission in case of a positive opinion of the Commission for verifying the file. The attributions in points (b) and (c) are in accordance with the Babeş-Bolyai University Regulation on the organization and conduct of the habilitation process and co-optation of doctoral supervisors (Art. 5, paragraphs 5-11, adopted by HS No. 78/10.06.2024);
- d) Approves the co-optation of new doctoral supervisors within DSCE, in accordance with Annex 2 of these DSCE regulations;
- e) Decides/approves the withdrawal of the quality of doctoral supervisor within DSCE, respectively the quality of university teacher or affiliated researcher, in accordance with these DSCE regulations and Annex 2;
- f) Nominates the doctoral supervisor within DSCE, who, together with the members of the academic guidance and integrity committee, will analyze the Similarity report on the doctoral theses submitted for defense.

5. Admission to the doctoral program at DSCE

Art. 32. Admission to the doctoral program within the DSCE is carried out according to the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (approved by HS No. 147/25.11.2024), Art. 11, paragraphs 1-27, and the DSCE's own methodology, which is updated each academic year. The own admission methodology is validated by the CDSCE, after consulting the doctoral supervisors, after which it is sent to the IDS at least 2 months before the registration period for admission to the doctoral program. After validation by the CDUS and then by the BBU Senate, the own admission methodology is displayed on the DSCE website.

Art. 33. The DSCE Director is responsible for the proper conduct of the admission competition, in compliance with the quality standards, university ethics and legislation in force.

Art. 34. The distribution of places among doctoral supervisors within the DSCE is in accordance with the Methodology presented in Annex 3 of the present DSCE Regulation, respectively the criteria for the distribution of grants/budgeted places by doctoral schools and doctoral supervisors, for the doctoral admission competition within the BBU, updated annually.

6. Conducting doctoral studies

The doctoral study contract, the rights and obligations of the doctoral supervisor and the doctoral student

Art. 35. The doctorate is carried out on the basis of the doctoral university studies contract concluded through the Institute of Doctoral Studies, between the doctoral student, his/her doctoral supervisor and Babeş-Bolyai University, which establishes the rights and obligations



of the doctoral student, the doctoral supervisor and, through the doctoral school, Babeș-Bolyai University.

Art. 36. The rights of the doctoral supervisor are those mentioned in Art. 14, paragraph 15, paragraphs a-j, and the obligations are those mentioned in Art. 14, paragraph 16, paragraphs a-g of the Babeș-Bolyai University Regulation.

Art. 37. The rights of doctoral students during the course of their doctoral studies are mentioned in Art. 15, paragraphs 1-8 and paragraph 9 with paragraphs a-q, and the obligations are those mentioned in Art. 15, paragraph 10, paragraphs a-h of the Babeș-Bolyai University Regulation.

Art. 38. Conflicts between the doctoral student and the doctoral supervisor during the doctoral studies are mediated by the CDSCE, and in the event of failure to resolve the conflict at this level, mediation is resorted to by the CDUS. Conflicts between the doctoral student and the DSCE are mediated by the CDUS.

Academic Guidance and Integrity Committee

Art. 39. The doctoral supervisor is supported in the work with the doctoral student by a committee for guidance and academic integrity, consisting of 3 other teaching or research staff, who have the title of doctor and at least the position of university lecturer or scientific researcher level III (or equivalent).

- 1) The members of the committee for guidance and academic integrity are established by the doctoral supervisor following consultation with the doctoral student, after the admission is completed, but before the start of the academic year. Subsequent changes to the committee can be made only at the beginning of the academic year (except in cases of death, medical/maternity leave, termination of the employment contract), based on a request approved by the CDSCE and approved by the director of the CDUS.
- 2) The members of the committee for guidance and academic integrity may be part of the doctoral supervisor's research team, may be other persons affiliated with the DSCE or teaching and research staff not affiliated with it. At least one member of this committee is from outside BBU. He/she may be employed as an affiliated teaching staff on an hourly basis based on an invitation from the doctoral school through the director. directorul său.

Duration of doctoral studies

Art. 40. Doctoral studies are conducted for a duration of 4 academic years, each consisting of 2 academic semesters. In special situations, the duration of the doctoral program may be extended by 1-2 years, with the approval of the University Senate, at the proposal of the doctoral supervisor and within the limit of available funds, or reduced by a maximum of one



year, at the request of the doctoral student with the approval of the doctoral supervisor and with the approval of the Senate of Babeş-Bolyai University. The extension and reduction of the duration of doctoral studies are established by an addendum to the doctoral studies contract.

Art. 41. In case of approval of the doctoral student's request to reduce the duration of the doctoral internship by one year, he/she assumes the fulfillment of all obligations from the contract and from the individual plan of doctoral studies, with the approval of the doctoral supervisor, the opinion of the CDUS and the BBU Senate, and the scheduling of the doctoral thesis defense can be carried out assuming the legal consequences in case of invalidation of the thesis and/or failure to obtain the doctoral title, following the defense.

Art. 42. In case the budgeted doctoral student (with or without a scholarship) has not completed his/her individual scientific research program on time or has not defended the doctoral thesis, his/her doctoral supervisor may request, with the opinion of the CDSCE, an extension of 2 or 4 academic semesters of the doctoral studies. The extension period is granted with the obligation to pay the tuition fees for the entire extension period, except in situations where:

- a) the doctoral student has completed his/her individual scientific research/applied research program as the case may be, and has successfully defended the doctoral thesis before the academic guidance and integrity committee
or
- b) the doctoral student is included in national or international projects of strategic interest for the university, defined as such by the BBU Scientific Council and approved by the BBU Administrative Council.
- c) for doctoral students enrolled in fee-paying places, the extension is granted on a fee-paying basis, except for the situations specified in points a) and b) above.

Art. 43. The extension request is submitted by the doctoral supervisor to the IDS secretariat at least 15 calendar days before the start of the academic year and will then be submitted by the CDUS director for approval by the Babeş-Bolyai University Senate. In case of failure to submit this request within the deadline, the doctoral student will be expelled, with the right to enroll under the conditions provided by law.

Art. 44. During the extension period, the following provisions apply:

- 1) The doctoral student does not benefit from scholarships and/or doctoral grants awarded by the Ministry of Education and can no longer request interruption of studies;
- 2) During the extension of the university study program with a fee, the doctoral student will benefit from guidance from the doctoral supervisor and the academic integrity and guidance committee;
- 3) If, at the end of the extension period, the doctoral student has not completed the individual doctoral study program and has not defended the doctoral thesis, he will be



expelled by decision of the Rector of the university at the initiative of the Institute of Doctoral Studies.

Art. 45. The doctoral thesis defense fee will be paid, according to the Fee Regulation in force, only by doctoral students who have entered an extension on a fee-paying place.

Individual plan of doctoral studies

Art. 46. Doctoral studies are conducted within the DSCE in Romanian, in an internationally circulated language or in a minority language, according to the doctoral study program.

Art. 47. The curriculum of the DSCE doctoral study program is congruent with that of the leading institutions in the field, in accordance with certain major national interests and needs. Research topics must be relevant at an international level, and their methodology and approach must be made according to international standards. The result of the DSCE doctoral study programs must enter the international circuit, both in terms of visibility and especially in terms of impact.

Art. 48. In accordance with the principles underlying the European Qualifications Framework and the National Qualifications Framework for Higher Education in Romania, the DSCE program aims at the training and development by doctoral students of content competences and transversal or transferable competences.

- 1) The content competencies acquired by doctoral students within DSCE are:
 - a) development of scientific thinking to identify, formulate and solve research problems;
 - b) mastering advanced research methods and techniques;
 - c) acquiring knowledge regarding the management of research projects;
 - d) assimilating new research procedures and solutions;
 - e) developing skills in documenting, elaborating and capitalizing on scientific works;
 - f) acquiring linguistic skills at an academic level, through the use of internationally circulated languages necessary for documenting and elaborating scientific works;
 - g) assimilating and applying the principles and values of professional ethics.
- 2) The transversal competencies are as follows:
 - a) advanced written and oral expression skills in the field of science and culture;
 - b) advanced communication and linguistic skills;
 - c) interpersonal and teamwork skills;
 - d) knowledge of human, material and financial resource management;
 - e) leadership skills of a research group;
 - f) knowledge of time and career management, including the acquisition of techniques for job searching and job creation for others;



- g) acquisition of knowledge of risk, crisis and failure management;
- h) assimilation of knowledge of the use of legislation in the field of intellectual property rights;
- i) economic, technological and social entrepreneurship skills.

Art. 49. Doctoral studies at DSCE are conducted at scientific standards of excellence, because:

- 1) has the scientific information resources and the necessary facilities to carry out scientific and applied research in the field of chemical engineering in good conditions;
- 2) has financial sustainability ensured from budgetary or extra-budgetary resources;
- 3) has agreements regarding co-supervision doctorates and other national or international programs intended for the training of doctoral students;
- 4) develops links with the scientific, economic, cultural and social environment, which contribute to the achievement of the objectives of the doctoral school and which can ensure additional funding or endowment.

Art. 50. The results of the DSCE must be reflected in the scientific level of the publications and doctoral theses developed by the doctoral students who attended this school.

Art. 51. The doctoral studies of a doctoral student are planned in the individual study plan, for a period of 4 academic years (each consisting of 2 academic semesters) and include:

- 1) a training program based on advanced university studies, completed within the doctoral school and consisting of activities carried out in institutionalized study formations;
- 2) an individual program of scientific research and/or applied research.

Doctoral student's advanced university studies program

Art. 52. The training program based on advanced university studies within the DSCE ensures the training of the doctoral student through didactic and scientific activities (courses, seminars, laboratories and the like) and

- 1) is carried out in the first year of doctoral studies, semester I;
- 2) the doctoral student must choose and participate in the respective activities within a minimum of 3 disciplines chosen from the curriculum developed annually and offered at the DSCE level, or from the curriculum offered by other doctoral schools within Babeş-Bolyai University;
- 3) the chosen disciplines must be relevant to the topic of the doctoral thesis and are established together with the doctoral supervisor(s), taking into account the content of the subject sheets displayed on the DSCE website. For each discipline, the doctoral student is required to meet the requirements and forms of evaluation in accordance with the subject sheet, drawn up by its holder;
- 4) the doctoral student must choose a mandatory discipline of ethics and academic integrity, including ethics of scientific research;



- 5) the doctoral student may choose other disciplines in the training program based on advanced university studies, optionally. If he/she has followed a form of assessment in the disciplines chosen optionally and obtained credits, these cannot replace the credits related to the mandatory disciplines and cannot be counted instead of the activities in the individual program of scientific research or applied research;
- 6) completing the mandatory disciplines chosen in the training program based on advanced university studies ends with a form of assessment established by the holder of the discipline and leads to obtaining a number of 30 ECTS (10 ECTS for each discipline);
- 7) for the evaluation, the holder of the discipline proposes two exam dates and one of arrears; the doctoral student may participate in one of the exam dates, or on the arrears date, in case he/she did not appear on the exam dates;
- 8) if the doctoral student has not accumulated the minimum 30 mandatory credits for the mandatory subjects in the study program, the doctoral supervisor prepares the expulsion proposal and requests the CDSCE's approval for expulsion. This request, signed by the doctoral supervisor and approved by CDSCE, will be submitted for the approval of the CDUS director within 10 days from the end of the advanced training year.

Individual scientific or applied research program of the doctoral student

Art. 53. The individual scientific or applied research program has as its main objective the development of the doctoral thesis by the doctoral student. The responsibility for the structure, content, development and organization of this program lies with the doctoral supervisor.

- 1) Through the DSCE, Babeş-Bolyai University provides doctoral students with the research, logistical and financial infrastructure for carrying out research activities within the doctoral study program.
- 2) In order to ensure a coherent scientific path for the doctoral student, the individual scientific research program is planned for the entire period of doctoral studies in accordance with the research topic of the doctoral thesis.
- 3) Within the individual scientific research program, the following activities are established, respectively the following distribution of ECTS credits for a total of 240 credits over the 4 years:
 - a) in the first year of doctoral studies, the doctoral student presents the scientific research project or applied research in order to complete the doctoral thesis. Awarding the grade "Admitted" for this activity leads to the accumulation of 30 ECTS, to which are added the 30 credits obtained following the exams for the compulsory subjects chosen from the study program;
 - b) in the second, third and fourth years of doctoral studies, usually during September, the doctoral student delivers an oral presentation of the research report in the presence of the doctoral supervisor and the academic guidance and integrity committee regarding his/her progress in scientific or applied



- research and the results of this activity in the last 12 months. For each of the research reports presented, marked with the grade "*Admitted*", 60 ECTS are awarded;
- c) the doctoral student is obliged to additionally submit interim activity reports to the doctoral supervisor and the academic guidance and integrity committee, whenever requested (the request being made at least 7 days in advance). No ECTS credits are awarded for these interim reports.
 - 4) the time interval between the defense of the research project and the first research report, respectively between the 3 research reports, for which ECTS credits are awarded, must not exceed 12 months. The date, time, place and room are established by the doctoral supervisor, together with the doctoral student, at least 15 days in advance and are sent to the members of the academic guidance and integrity committee by email at least 5 days in advance, together with the documents related to the presentation (accepted/published articles, participation in conferences, etc.);
 - 5) the presentations usually take place face to face between the doctoral student and the doctoral supervisor, who cannot be absent from any presentation, to which at least two members of the academic guidance and integrity committee are added;
 - 6) the presentation of the project and research reports can also be carried out via videoconference, in which the doctoral student, the doctoral supervisor and two members of the academic guidance and integrity committee physically participate, with the third member of the committee also being invited to participate in the videoconference, who for well-founded reasons could not participate in the face-to-face presentation. In this case, the doctoral supervisor is obliged to create an access link on the platforms approved by BBU (Microsoft Teams, Zoom, etc.), to send the respective member by email the documents related to the presentation (accepted/published articles, participation in conferences, etc.), the access code - in order to be able to access the link and obtain the handwritten signature of all members of the academic guidance and integrity committee present.
 - 7) in exceptional circumstances (state of emergency, state of alert, when face-to-face teaching activities are suspended), the lecture may take place entirely via videoconference, when the doctoral supervisor is responsible for organizing the lecture and creating an access link on the platforms approved by BBU (Microsoft Teams, Zoom, etc.), which is brought to the attention of all members of the academic guidance and integrity committee by email together with the documents related to the presentation (accepted/published articles, conference participations, etc.), at least 5 days before the lecture. The recording of the videoconference is mandatory and will be handed over by the doctoral supervisor to the DSCE secretariat, where it is kept in the archive.
 - 8) regardless of the method of conduct, after each presentation, a report is drawn up, which records the grade "*Admitted*" or "*Rejected*", and the main observations and



- recommendations made by the doctoral supervisor and members of the academic guidance and integrity committee, including the date set for the second presentation of the project, if the grade "Admitted" was not obtained. The report will be handwritten signed by the doctoral supervisor and by all members of the academic guidance and integrity committee present. The signed reports will be submitted to the DSCE secretariat and will be kept in the archive;
- 9) if the oral presentation is rejected, the doctoral student is obliged to redo and resubmit the research project or research report within the same academic year, on the date established in common agreement with the doctoral supervisor and the academic integrity and guidance committee;
 - 10) if, upon resubmitting the project or research report, the doctoral student again obtains the grade "Rejected", or the project/report is not resubmitted within the stipulated period, the doctoral supervisor draws up the expulsion proposal and requests the CDSCE's approval for expulsion. The request will be submitted to the CDUS's approval (director) within 10 days of the resubmission of the report/project marked "Rejected", or if the resubmission has not taken place;
 - 11) if the doctoral thesis defense takes place earlier than the 4th year of studies, the presentation of the 3 research projects remains mandatory in order to obtain the 240 credits. Their defense will be brought forward accordingly, until the start of the procedures for the defense of the doctoral thesis;
 - 12) the individual scientific or applied research program must be materialized by the doctoral student through the minimum number of publications in accordance with the signed doctoral studies contract. If, after the conclusion of the doctoral studies contract, the Ministry of Education issues new regulations regarding the obtaining of the doctoral title, applicable to admitted doctoral students, these will be stipulated by an addendum to the doctoral studies contract.

Interruption of doctoral studies

Art. 54. Doctoral studies may be interrupted, with the consent of the doctoral supervisor and the CDSCE, based on a request in accordance with the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (Art. 23, paragraphs 1-8). The study period is extended by the cumulative periods of approved interruptions, which is a maximum of 4 academic semesters. Any interruption must begin on the first day of the academic semester and end on the last day of an academic semester. Applications for granting interruption of the doctoral program and return from the interruption period shall be submitted to the IDS secretariat at least 15 days before the start of the academic semester/year. During the extension of doctoral studies (2 or 4 semesters), applications for interruption of doctoral studies cannot be submitted.



Equivalence of previous doctoral internships or scientific research internships

Art. 55. DSCE recognizes and equates a doctoral internship or scientific research internships, carried out in the country or abroad, in higher education institutions, in recognized research institutes or research centers, as well as the completion of courses within university study programs, only according to the OIDUS-BBU Regulation (Art. 24) and under the terms of the law, it being necessary to meet the following cumulative conditions:

- 1) the previous internship is in the same field as the current one;
- 2) the research topic is retained from the previous internship;
- 3) the subjects in the current curriculum coincide with those taken, or at least the topics are approached similarly;
- 4) starting with the 2024-2025 academic year, equivalence from a previous curriculum can be carried out:
 - a. Directly based on an equivalence request, if ECTS have been accumulated for the disciplines in the previous plan. This is certified by the issuance by the IDS of a school statement regarding the previous doctoral course;
 - b. By the DSCE, based on the recognition mechanism presented in Annex 4, which issues a certificate of equivalence endorsed by the CDSCE. This will be submitted to the ISD, together with the request for recognition, signed by the doctoral supervisor. The documents will be submitted to the ISD no later than the first week of the academic year, in which the doctoral student was admitted to the new doctoral study program.
- 5) The recognition of some elements, or of an individual scientific research plan (research project and/or research reports), can only be done if the topic of the thesis has remained unchanged, and under the conditions in which credits were obtained in previous activities, or if no credits were obtained, according to the recognition mechanism at the DSCE level (Annex 4).

Academic mobility of doctoral students during doctoral studies

Art. 56. DSCE supports the definitive or temporary academic mobility (in the sense of transfer) of the doctoral student during the doctoral studies in accordance with the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (Art. 25, paragraphs 1-8, Art. 26 and 27, paragraphs 1-4). Mobility can usually be achieved with the initially chosen research topic, or in exceptional situations with a change of research topic, which is motivated and decided in agreement with the new doctoral supervisor. Mobility can only take place at the beginning of the academic year, except in exceptional cases, death of the supervisor, illness, other valid reasons. Mobility can only be achieved during the doctoral internship. Permanent mobility from OIDUS-BBU to another OIDUS can only be achieved during the doctoral internship, except in exceptional cases (retirement, death, etc.).



Change of doctoral supervisor

Art. 57. The change of the doctoral supervisor of a doctoral student may be decided by the CDSCE, in situations consistent with the procedure presented in the BBU Regulation on the organization and conduct of doctoral studies (Art. 28, paragraphs 1-4). The new doctoral supervisor may be proposed either by the CDSCE or by the doctoral student. The change of the doctoral supervisor may only take place at the beginning of the academic year, except in cases of force majeure (e.g. death, the doctoral supervisor has reached the age of 65 and does not wish to continue his/her doctoral activity, the unavailability of the doctoral supervisor for a period longer than one year, ascertained by the director of the DSCE, the resignation of the doctoral supervisor, or his/her transfer to another doctoral school). The motivated request, either from the doctoral supervisor or from the doctoral student, must be submitted at least 15 days before the start of the new academic year. Within 15 days from the date of approval of the change of doctoral supervisor, the new doctoral supervisor establishes a new doctoral student's supervision committee, which may also include members of the old supervision committee, with their consent.

Withdrawal of the doctoral student from doctoral studies

Art. 58. The withdrawal of the doctoral student can be done by submitting a request to the director of CDUS, previously approved by the doctoral supervisor and endorsed by CDSCE, a request accompanied by the liquidation form, endorsed by all departments. Withdrawal takes place at the beginning of the academic year or semester, except in exceptional cases that require withdrawal.

Expulsion of a doctoral student from doctoral studies

Art. 59. Expulsion from doctoral studies is made based on a written request from the doctoral supervisor and approved by the CDSCE, in accordance with the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (Art. 30, paragraphs 1-4). Expulsion due to a violation of academic ethics and integrity must be supported by supporting documents. The expulsion request will be subject to analysis by the CDUS, and in the case of a proposal to expel the doctoral student, this is done by a decision of the BBU rector.

7. Completion of the doctoral university study program

Elaboration of the doctoral thesis

Art. 60. The completion of doctoral studies, regardless of the type of doctoral study program completed, is achieved by publicly defending the doctoral thesis before the doctoral thesis public defense committee, hereinafter referred to as the doctoral committee.



Art. 61. The doctoral thesis is an original work, and it is mandatory to mention the source for any material taken over. The doctoral student is the author of the doctoral thesis and assumes the correctness of the data and information presented in the thesis, as well as the opinions and demonstrations expressed in the thesis, together with the doctoral supervisor(s).

Art. 62. The content of the doctoral thesis is established by the doctoral student in consultation with the doctoral supervisor and will respect the framework structure and limitations imposed by the DSCE regulation, according to Annex 5, which includes the formal structure of the thesis, the minimum number of pages, references to bibliographic references, citation rules, technical editing requirements, ethical standards, co-authorship conditions, etc. The title of the doctoral thesis may be modified with the approval of the doctoral supervisor until its completion for public defense.

Art. 63. The doctoral thesis is a public document, together with the surname and first name of the doctoral student, of the doctoral supervisor, of the members of the guidance and academic integrity committee, of the doctoral committee before which the defense takes place, as well as the identification data of OIDUS-BBU and the co-supervisory institution.

8. Procedure for defending the doctoral thesis

Art. 64. The defense procedure follows the stages and conditions provided for in the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies (Art. 33, paragraph 1, letters a-l and Art. 34, paragraphs 1-20) and in the Methodology for the defense of doctoral theses available at <https://doctorat.ubbcluj.ro/ro/sustinerea-publica-a-tezelor/>:

- 1) verification of the similarity of the doctoral thesis;
- 2) public defense of the doctoral thesis;
- 3) public transparency of the doctoral thesis on the national platform managed by UEFISCDI;
- 4) public defense of the doctoral thesis..

Checking the similarity of the doctoral thesis

Art. 65. The verification of the similarity of the doctoral thesis is carried out at the level of the DSCE. The Secretary of the Doctoral School carries out the similarity analysis using a program provided for in the order of the Minister;

Art. 66. The verification is carried out based on the standards contained in the National guide on the writing of doctoral theses, developed by the CNATDCU, and the recommendations of the Guide on the analysis of similarity developed at the level of the DSCE. The procedure for verifying the similarities of doctoral theses is described in Annex 6, as an integral part of the present regulation of the DSCE.



Pre-defense of the doctoral thesis

Art. 67. After the internal verification of similarity, the doctoral thesis is publicly defended before the academic guidance and integrity committee and the doctoral supervisor, in the presence of all members of the academic guidance and integrity committee, in compliance with the specifications in Art. 53, paragraphs 6 and 7 of this regulation. A pre-defense report (Notice, P_Annex 5, <https://doctorat.ubbcluj.ro/ro/sustinerea-publica-a-tezelor/>) is drawn up, printed, dated and signed in handwriting by the doctoral supervisor and the members of the academic guidance and integrity committee present at the pre-defense, stating the recommendation for submission or not recommending the official submission of the doctoral thesis.

Art. 68. The doctoral supervisor, in accordance with the recommendation of the guidance and academic integrity committee after the pre-defense and the results of the analysis of the similarity report (whether or not the similarity coefficient is accepted for the public defense of the thesis, whether or not all the CNATDCU minimum criteria in the field of chemical engineering for the defense of the doctoral thesis are met), decides on the official submission of the doctoral thesis and the organization of the public defense through a document called Notice (P_Annex 5, <https://doctorat.ubbcluj.ro/ro/sustinerea-publica-a-tezelor/>).

Art. 69. The doctoral student and the doctoral supervisor will submit to the ȘDIC secretariat, in printed format, the doctoral thesis and the documents necessary for the public transparency stage on the national platform managed by UEFISCDI signed and provided for in the Babeş-Bolyai University Regulations (Art. 33, paragraph g, list of documents 1-8), respectively in the doctoral thesis defense procedure, developed by CDUS (<https://doctorat.ubbcluj.ro/ro/sustinerea-publica-a-tezelor/>). The doctoral thesis and the abstract will be submitted in electronic format (on CD/DVD). The doctoral student completes the Declaration of Acknowledgement regarding the publication of the doctoral thesis for review on the UEFISCDI platform (P_Annex 6, <https://doctorat.ubbcluj.ro/ro/sustinerea-publica-a-tezelor/>), which is submitted to the secretariat of the Doctoral School of Chemical Engineering, printed, dated and signed.

Public transparency of the doctoral thesis on the national platform managed by UEFISCDI

Art. 70. The doctoral thesis, with the documents in public transparency, will be submitted to the IDS by the doctoral student. The doctoral thesis with the necessary documents will be uploaded to the national public transparency platform managed by UEFISCDI and will be available for public consultation for 90 calendar days, in accordance with the legal provisions in force in the field of copyright. The IDS Secretariat will send the DSCE Secretariat, the doctoral supervisor and the doctoral student, by email, a notification communicating the fact that the doctoral thesis has been uploaded to the platform for public consultation, and the registration number generated by the platform.



- a) During the period in which the thesis is public on the national platform, any natural or legal person may make observations regarding the existence of deviations from the standards of ethics and deontology, including from the perspective of the existence of plagiarism. Observations can be submitted online to the DSCE secretariat, at the email address sdic.chem@ubbcluj.ro, or to the BBU registry for the Faculty of Chemistry and Chemical Engineering in Cluj-Napoca, Doctoral School of Chemical Engineering.
- b) Only observations submitted and assumed by a natural or legal person by communicating identification data, specifying professional qualifications, and observations clearly and unequivocally in the form of: *In chapter ... Page ... Paragraph... Text ..., Image/Figure/Table etc. present deviations from ethical and deontological standards due to the fact that ...;*
- c) If there are no observations, the doctoral school will complete a report with no registration form DSCE (SP_Annex 1, <https://doctorat.ubbcluj.ro/ro/sustinerea-publica-a-tezelor/>), signed by the doctoral supervisor and the director of DSCE, which will only record the fact that there are no observations submitted during the public consultation period, the document being submitted to the IDS, together with the rest of the documents to be part of the doctoral file. In this case, the director of CDUS may make the decision to validate the defense and start the public defense procedure without convening CDUS;
- d) If, at the end of the 90 days, there are observations, these are recorded in a report drawn up by the doctoral school (registration number, content, confirmation of observations), signed by the doctoral supervisor and the director of ȘDIC, which will be sent to CDUS. The report will be part of the doctoral file. The respective report, together with the link where the doctoral thesis is located and the report of similarities with active links, is presented at the CDUS meeting for analysis and decision in order to validate or not the initiation of the public defense procedure of the doctoral thesis. CDUS issues a decision, which will be transmitted to the Doctoral School, to be put into practice, as follows:
 - CDUS decision to validate the defense - the public defense procedure of the doctoral thesis is initiated by establishing the doctoral committee and continuing the defense procedure;
 - CDUS decision to invalidate the defense - the doctoral school receives recommendations regarding the rewriting of the doctoral thesis and the elimination of situations not in accordance with the standards of ethics and deontology. The doctoral student is obliged to remedy the content of the thesis within a maximum of 3 months from the communication of the decision to invalidate the defense, with the resumption of the entire procedure for organizing the public defense.



Art. 71. In order to start the public defense of the doctoral thesis, the doctoral thesis and its annexes in print format (two printed and bound copies), the documents in print format (one copy each), with signatures, dated and chronologically registered at DSCE and the documents in electronic format (only on CD/DVD support), listed in the BBU Regulations and the Procedure for the public defense of theses (<https://doctorat.ubbcluj.ro/ro/sustinerea-publica-atezelor/>) will be submitted to the IDS at least 30 calendar days before the date set for the public defense.

Art. 72. In order to defend, a committee of specialists is established, called the doctoral committee. It is proposed by the doctoral supervisor, approved by CDSCE and validated by the director of CDUS.

The doctoral committee is made up of at least 5 members as follows:

- a. the chairman of the committee, as a representative of Babeş-Bolyai University;
 - b. the doctoral supervisor(s);
 - c. at least three official referees from the country or abroad, specialists in the field in which the doctoral thesis was developed, selected in such a way that at least two of them work outside Babeş-Bolyai University. It is recommended that external members be part of the universities participating in the “*Universitaria*” Consortium, the Union of Cluj Universities, the EUTOPIA alliance, The Guild consortium, consortia legally established in fields/specializations of which the faculties within BBU are part, or from prestigious universities abroad. The list of institutions in the country that do not belong to the “*Universitaria*” consortium (higher education institutions, national research institutes or their subsidiaries), from which official referees can be selected is included in Annex 6. The participation in the Commission of a member who does not come from such institutions must be motivated in writing;
 - d. a number of referees greater than 3 may be chosen, but the respective referees must be from renowned higher education or research institutions in the country or abroad. At most one of them may be from Babeş-Bolyai University.
 - e. Members of the academic guidance and integrity committee cannot be nominated as members of the public defense committee of the doctoral thesis..
- 1) All members of the doctoral committee must meet the following two conditions:
 - a) to have a doctorate degree;
 - b) to have at least the position of associate professor or scientific researcher level II, or the quality of doctoral supervisor, in the country or abroad.
 - 2) In the case of a joint doctorate with a doctoral supervisor from outside Babeş-Bolyai University, the doctoral committee will include representatives of both institutions, and the co-supervisory agreement will expressly specify how the committee will be



composed (the number of members from Babeş-Bolyai University, from the partner university and the number of members from outside the two universities).

- 3) If, after the validation of the doctoral committee, the chair of the committee or one of the official referees becomes unavailable, the director of CDUS may approve, upon the proposal of the doctoral supervisor and with the approval of the director of the doctoral school, the change of that member of the doctoral committee.

Art. 73. The doctoral thesis together with the last similarity report analyzed by the academic guidance and integrity committee and the doctoral supervisor designated as a member of the similarity analysis committee, following which it was found that no changes to the doctoral thesis are necessary, will be sent by email to the members of the doctoral committee by the doctoral thesis supervisor.

Art. 74. The evaluation reports of the doctoral thesis written by the referees will be submitted at least 25 days before the thesis defense (one dated and signed copy each).

Art. 75. The public defense of the doctoral thesis may take place in the presence of at least 4 of the members of the doctoral committee, with the mandatory physical participation of the committee chair and the doctoral supervisor, the other members of the committee being able to participate also via online videoconference. In this case, the chair of the doctoral committee is required to create an access link on the platforms approved by BBU (Microsoft Teams, Zoom, etc.), and to send the access code via email to the respective member, in order to access the link. In this case, the mandatory recording of the defense and the related discussions is required, which will be submitted by the chair of the doctoral committee to the DSCE secretariat, where it is kept in the archive. In exceptional conditions (state of emergency, state of alert, when face-to-face teaching activities are suspended), the defense may take place entirely via videoconference, when the chair of the doctoral committee is responsible for organizing the public defense and creating an access link on the platforms approved by BBU (Microsoft Teams, Zoom, etc.), which is made known to all members of the doctoral committee at least 5 days before the lecture. The recording of the videoconference is mandatory and will be handed over by the chair of the doctoral committee to the DSCE secretariat, where it is kept in the archive.

Art. 76. Based on the public defense of the doctoral thesis, the referees' reports, the statement on the originality of the work, and the analysis of the degree of similarities, the doctoral committee evaluates and deliberates on the award of the doctoral degree, in compliance with the minimum standards developed by CNATDCU for the award of the doctoral degree in the field of chemical engineering. In the event of failure to meet the minimum standards necessary for the award of the doctoral degree, the doctoral committee will specify the elements that will be redone or completed in the doctoral thesis and will request a new public defense of the thesis, and the defense will take place before the same doctoral committee. If the minimum



standards are not met even at the second public defense, the doctoral degree will not be awarded, and the doctoral student will be expelled.

Art. 77. A doctoral student is considered to have completed his/her doctoral studies if he/she publicly defended the doctoral thesis and, following the public defense, it was awarded at least the qualification/distinction "*Satisfactory*" by all members of the defense committee, in accordance with the minimum CNATDCU criteria, included in the doctoral studies contract, signed between Babeş-Bolyai University, the Institute of Doctoral Studies, the Doctoral School of Chemical Engineering, the doctoral student and the doctoral supervisor. The qualifications of the ȘDIC, valid at the date of the thesis defense, for the award of the PhD degree in chemical engineering and the distinctions satisfactory, good, very good and excellent are presented in Annex 7. If, after the conclusion of the doctoral study contract, the Ministry of Education through CNATDCU issues new regulations regarding the obtaining of the PhD degree and distinctions, applicable to admitted doctoral students, these will be introduced by an addendum to the doctoral study contract. Also, Annex 7 will be updated whenever necessary.

9. Ensuring the quality of the doctoral university study program in the field of chemical engineering

Internal and external evaluation of DSCE

Art. 78. The doctoral study program in chemical engineering organized by DSCE is periodically subjected, on dates established by CDUS, to an internal quality assessment process, carried out by DSCE based on procedures developed by CDUS in collaboration with other BBU entities responsible for quality assurance.

1) Internal evaluation procedures will follow:

- a) the mission and objectives of the doctoral university study program;
- b) the content and curriculum of the doctoral study program;
- c) the compatibility of the doctoral study program with the description of the qualification registered in the RNCIS;
- d) the results of the research undertaken by the doctoral students and their doctoral supervisors, materialized through publications, patents, participation in scientific events;
- e) the presentation on the Internet of the results of the doctoral students' research activity;
- f) the cooperation relations with other institutions;
- g) the specific requirements of the different teaching modalities and forms of implementation;
- h) the existence of documentation, learning and research means, as well as the logistics that doctoral students benefit from;
- i) the staff involved in the implementation of the doctoral study program;



- j) the methods of assessing the knowledge and testing the abilities of doctoral students, as well as monitoring progress during training;
 - k) the degree of involvement of doctoral students in ensuring the quality of the doctoral university study program;
 - l) the existence of a code of ethics with clear provisions regarding the definition and sanctioning of various academic and professional frauds, including plagiarism;
 - m) the fulfillment of the specific requirements of the external evaluation indicators of doctoral university study programs..
- 2) Internal quality assessment procedures for a doctoral university study program will be based on multiple sources of information, including:
- a) evaluation from doctoral students, obtained through anonymous questionnaires, subject to confidentiality of the information provided and statistically processed;
 - b) collegial confidential evaluation of the research activity of the titular doctoral supervisors. It will be carried out based on information provided by reviewers from Babeş-Bolyai University and reviewers from other institutions with research activities.

Art. 79. DSCE is subject to external evaluations under the law (e.g., by ARACIS or by another quality assurance agency, from the country or abroad).

Evaluation of doctoral student activity

Art. 80. The evaluation of the activity of doctoral students is predominantly oriented towards the quality of the results of the research activity. Quantifiable results such as publications, participation in conferences, patents, as well as their quality, estimated including by the integration of publications into the international flow, by citations, awards, etc. are taken into account. Also, the evaluation of the activity of doctoral students explicitly pursues all the competencies that the doctoral student must develop within the doctoral university study program, according to the Level 8 Qualification of the European Qualifications Framework and the National Qualifications Framework, listed in this regulation in Art. 48, paragraph 1, letters a-g and paragraph 2 letters a-i.

Art. 81. The periodic evaluation of the activity of doctoral students is carried out based on the decision of the CDSCE, by a committee of evaluators consisting of 3 doctoral supervisors, appointed and voted by the CDSCE. The evaluation procedures and criteria are established by CDSCE and must allow:

- 1) correctly measuring the performance of doctoral students and reflecting the differences in performance between them;
- 2) analysis of the progress of doctoral students in acquiring the knowledge and skills associated with the targeted professional qualification;



- 3) administrative and academic verification to ensure the correctness of the procedures;
- 4) transparency and information regarding the criteria for assessing doctoral students;
- 5) information to doctoral students about the evaluation strategy, methods, evaluation criteria and expected performances;
- 6) compliance with scientific, professional and academic ethics is an explicit criterion for the continuous and final evaluation of the doctoral student's activity;
- 7) the evaluation of the doctoral student's activity will be carried out with maximum transparency, with the evaluators informing the doctoral students of the grades awarded.

Art. 82. Metodologia de evaluare a activității studenților-doctoranzi în cadrul DSCE este descrisă în Anexa 8.

Evaluation of the activity of doctoral supervisors

Art. 83. DSCE periodically evaluates, at intervals of 5 years, the activity of the titular doctoral supervisors, based on procedures developed by CDUS, based on self-evaluation and internal and external peer evaluation.

Art. 84. The internal evaluation of the titular doctoral supervisors is carried out in the spirit of the Coalition for Advancing Research Assessment (CoARA) and the evaluation criteria of the Scientific Council of Babeş-Bolyai University (SC-BBU), centered on bibliometrically informed peer-review. It will take into account in particular the quality of the results obtained by them in research and in the supervision of doctoral students, such as:

- 1) the results of the doctoral supervisor's scientific research (publications, patents and other ways of capitalizing on their own research activity);
- 2) the results of the scientific research of the doctoral students supervised by the doctoral supervisor (publications, patents and other ways of capitalizing on the research activity of the doctoral students);
- 3) other indicators of the doctoral supervisor's scientific activity (participation in research projects, participation in national and international conferences, membership in professional organizations);
- 4) other indicators of the scientific activity of doctoral students led by the doctoral supervisor (participation in research projects, participation in national and international conferences, membership in professional organizations).

Art. 85. According to the law, doctoral supervisors are subject to external evaluations. The results of this evaluation are public.

Art. 86. Following internal or external evaluations, DSCE may decide to extend or withdraw the right of a doctoral supervisor to supervise doctoral studies within DSCE, according to the DSCE regulation (Annex 2).



Art. 87. Within DSCE, in accordance with the Higher Education Law No. 199/2023 (Art. 170) and the BBU Regulation (Art. 39, paragraphs 1-4), the incompatibilities of management positions specified in these regulations are valid.

10. Transitional provisions

Transitional provisions for doctoral students

Art. 88. At the DSCE level, doctoral students who began their doctoral studies before the entry into force of the Higher Education Law 199/2023 shall be subject to the transitional provisions regarding the defense of doctoral theses and the continuation of doctoral studies, under the conditions of the BBU Regulation on the organization and conduct of doctoral studies in Art. 41, paragraphs 1-8.

Art. 89. At the DSCE level, doctoral students enrolled in a fee-paying regime before October 1, 2024 shall be subject to the provisions of Art. 43, paragraphs 1-4 of the BBU Regulation on the organization and conduct of doctoral studies.

Art. 90. For doctoral students who have completed a previous doctoral internship and for whom full or partial equivalence was requested and approved after enrollment, the duration of the new doctoral internship may be reduced. At the request of the doctoral student, provided that all obligations in the contract and the individual doctoral study plan are fulfilled, with the approval of the doctoral supervisor, the opinion of the CDUS and the BBU Senate, the scheduling of the doctoral thesis defense can be carried out, assuming the legal consequences in the event of invalidation of the thesis and/or failure to obtain the doctoral degree, following the defense.

Art. 91. For doctoral students enrolled prior to the entry into force of the new standards for obtaining the doctoral degree, those from the date of enrollment remain valid and apply for evaluation.

Transitional provisions for doctoral supervisors

Art. 92. In the case of doctoral supervisors, the following transitional provisions apply:

- 1) If a doctoral supervisor simultaneously supervises more than 8 doctoral students, who started the doctoral university study program before the date of entry into force of the Higher Education Law 199/2023, the respective doctoral students may continue their studies with the same doctoral supervisor until their completion;
- 2) By the beginning of the 2026-2027 academic year, doctoral supervisors at Babeş-Bolyai University will progressively fall within the norm of doctoral students per supervisor, of a maximum of 8 doctoral students, according to Art. 14, paragraph 5 of the BBU regulations, or by exception up to a maximum of 12 doctoral students only with the



- approval of the university senate, but no more than 20% of the doctoral supervisors within the DSCE;
- 3) Doctoral supervisors who were supervising doctoral students on the date of entry into force of the Higher Education Law 199/2023 and who either reached the age of 70 before the entry into force of this law or will reach this age after its entry into force, may continue, by right, to supervise the respective doctoral students until the completion of the respective doctoral studies (BBU Regulations, Art. 42, paragraph 3).

11. Final provisions

Art. 93. Obligations within the DSCE for full-time and part-time doctoral studies (Annex 1), Methodology regarding the granting or withdrawal of the quality of member/doctoral supervisor of the DSCE (Annex 2), Methodology for distributing places for the admission exam by doctoral supervisors (Annex 3), Mechanism for partial or full recognition of an individual plan of previously completed doctoral studies (Annex 4), Guide for writing the doctoral thesis (Annex 5), Methodology for analyzing similarity in the case of doctoral theses developed in the field of chemical engineering (Annex 6), Conditions of the CNADTCU and DSCE for granting the doctoral title and the distinctions satisfactory, good, very good and excellent (Annex 7), Methodology for periodic evaluation of the activity of doctoral students within DSCE (Annex 8), as approved by the general assembly of the members of the DSCE and the Council of the Faculty of Chemistry and Chemical Engineering, are part of the current regulation and are public on the DSCE website, together with the regulation.

Art. 94. The present DSCE regulation and its annexes enter into force on the date of adoption by the Senate of Babeş-Bolyai University.



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ANNEX 1

to the Regulation of the Doctoral School of Chemical Engineering Obligations within the DSCE for full-time and part-time doctoral studies

Obligations in the case of full-time doctoral studies (with scholarship) within the DSCE

1. Doctoral students admitted to full-time doctoral studies (with a scholarship) carry out their learning and research activity throughout the day.
2. The activities established in common agreement with the doctoral supervisor will be approximately evenly distributed daily/weekly during a semester, in accordance with the schedule of activities established for each semester and in accordance with the staff list at the DSCE level.
3. The activities within the advanced university studies program of doctoral students (courses, seminars and laboratories), respectively the research activity of doctoral students within the individual scientific research program, established based on the topic of the doctoral thesis, are thus carried out directly in the university space, through face-to-face activities of doctoral students with doctoral supervisors and members of the academic guidance and integrity committee.
4. The teaching activities of courses and seminars by the doctoral supervisors in which the doctoral students must participate will be carried out mainly face-to-face, and the laboratory work will be carried out exclusively face-to-face, in accordance with the course syllabus chosen by the doctoral students, using the existing material base within the Faculty of Chemistry and Chemical Engineering (classrooms, laboratories, equipment/apparatus, book and journal libraries, electronic and information resources, such as computer networks), and other modern teaching and learning means.
5. The evaluation activities of the doctoral students, within the courses (paper submission, written or oral exams, mid-term checks, etc.), in accordance with the course syllabus, will be carried out only face-to-face.
6. The defense of the research project, of the research reports by the doctoral students, during the 4 years of doctoral studies, the pre-defense and public defense of the doctoral thesis are

carried out face to face at the headquarters of the Faculty of Chemistry and Chemical Engineering, to which DSCE belongs. In cases of extreme urgency, in which face-to-face teaching activities are suspended, the evaluation of the doctoral students and their lectures can be scheduled in a videoconference system.

7. The doctoral student is obliged to develop and implement the work plan (experimental design and/or software) together with the doctoral supervisor and the academic integrity and guidance committee within the individual scientific research program, so that the objectives of the doctoral thesis are achieved. Periodically (*e.g.* weekly or monthly, depending on the stages of the work plan) at least one meeting of the doctoral student with the doctoral supervisor and the academic integrity and guidance committee is scheduled, on which occasion the progress within the individual research program is evaluated and the necessary corrective measures are established.
8. The doctoral student is obliged to develop experimental methodologies (hardware and/or software), for processing and interpreting data, as appropriate using specific software, respectively has the obligation to conceptualize scientific works, graphic and primary editing and correcting them, respectively presentations for conferences, conceptualize, edit and correct the doctoral thesis, through consultation with the doctoral supervisor and members of the academic integrity and guidance committee or with other collaborators as appropriate and depending on the specifics of the subfield.
9. The research activity within the thesis may be carried out in projects and research initiatives with the UBB endorsement (*e.g.*, including co-tutorships), coordinated or not by the doctoral supervisor. The doctoral student may be employed as a research assistant within the research projects, using the logistical and financial resources of the project, in addition to those from the doctoral grant, for the development of the thesis.
10. The activities in the individual plan of doctoral studies must be scheduled and monitored, so that the doctoral thesis can be defended within the 4 years of doctoral studies, and the doctoral student accumulates the content and transversal competencies listed in the DSCE regulation.
11. Doctoral students admitted to the full-time form of education (with scholarship) are supported by the doctoral supervisor and in general by DSCE, through the doctoral grant, the ERASMUS+ program or research projects on which they are employed, to carry out research mobilities/internships, especially international ones, to participate in conferences including oral presentations, closely related to the topic of the doctoral thesis.



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12. Doctoral students admitted to the full-time doctoral education form (with scholarship) carry out 2 to 6 hours/week of teaching activity at the bachelor's level (seminars and laboratories), respecting the area of competence of each one, or other activities documentable through a monthly activity report for the benefit of the departments and/or DSCE (e.g. participation in promoting the faculty during Open Days, respectively within pre-university education units, activities related to the Open Science concept, preparation of the activity in the research laboratory, preparation of olympic students within the faculty, guidance of the practical activity of students in the bachelor's theses together with the teaching staff, participation in the supervision of exams together with the teaching staff). The number of teaching hours carried out is correlated with the number of hours in the vacant positions in the staff lists of the FCCE departments.

Obligations in the case of part-time doctoral studies (without scholarship) within DSCE

1. Part-time education has common characteristics with traditional full-time education, part-time education and distance learning. Part-time doctoral studies are addressed to doctoral students who cannot fit into the full-time form of education, because they cannot participate in the daily schedule established for the full-time form of education, if the doctoral student opts for the part-time form of education. Also, the results of admission to doctoral studies within DSCE are taken into account, depending on the number of full-time and part-time places received by DSCE, the distribution of full-time and part-time places between doctoral supervisors at DSCE level, respectively the sliding of places, carried out at DSCE or OIDUS-BBU level, after the September admission session. The scheduling of activities in part-time doctoral studies is much more flexible, as it offers the doctoral student the opportunity to organize his/her own program of activities, in consultation with the doctoral supervisor and the academic integrity and guidance committee, so that the learning and scientific research activities follow a modular/combined program, within the Faculty of Chemistry and Chemical Engineering or/and in companies, industrial or research units that carry out activities in support of the doctoral program. The modular program must ensure that the doctoral student has the conditions to assimilate the knowledge and skills provided by the doctoral study program curriculum. They are not required to work 8 hours a day in the university.
2. The activities within the advanced university studies program for doctoral students are organized as follows:



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- a) The teaching hours related to the courses chosen by the doctoral student are converted into individual study hours based on the course support, which can be made available to the doctoral student by the course holder, at least in electronic format, on an agreed platform, for example Microsoft Teams;
 - b) The seminar hours can be held either weekly face-to-face, together with the doctoral students from the full-time education form, or as the case may be, modularly face-to-face in the university space, or in a modular online regime (for example monthly) on the Microsoft Teams platform, a schedule established by mutual agreement by the holder of the respective activity with all the doctoral students who have chosen the respective course. Regardless of the form of delivery, the same number of hours must be allocated as those from the full-time education form, as provided for in the subject sheet;
 - c) The hours of practical activities (laboratory) related to a discipline are carried out directly face to face in the university space, either weekly together with the doctoral students from the full-time education form, or modularly (for example monthly), in common agreement with all the doctoral students who have chosen the respective course. Regardless of the distribution of hours, the same number of hours must be allocated for the applied activity from the subject sheet offered to the full-time doctoral students. The holder of the laboratory activity provides the doctoral students with the necessary materials (description of the procedure, instrumentation and its operation, development of software applications and interpretation of experimental data).
3. The Doctoral School of Chemical Engineering, as part of the Faculty of Chemistry and Chemical Engineering, is obliged to provide doctoral students from the part-time form of education with the existing material base (classrooms, laboratories, equipment/devices, book and journal libraries, electronic and information resources, such as computer networks and software applications), and other modern means of teaching, learning and research, similar to the part-time form of education.
 4. The assessment activities of the part-time doctoral students, within the courses (paper submission, written or oral exams, mid-term checks, etc.), in accordance with the subject syllabi, are carried out predominantly face-to-face.
 5. The research activity in the individual research program of the part-time doctoral student is usually carried out face-to-face in the university space, in a modular regime, or if possible and the necessary equipment exists in the institution where the doctoral student is employed or in companies, industrial and/or research units that carry out activities in support of the

doctoral program. The Doctoral School of Chemical Engineering through the Faculty of Chemistry and Chemical Engineering provides the necessary logistical support (research laboratories, equipment, software, etc.), based on the doctoral grant.

6. The doctoral supervisor, the academic guidance and integrity committee, the holders of the courses chosen by the part-time doctoral students, are obliged to plan in advance the research, teaching, learning, and evaluation activities, to closely monitor these activities of the part-time doctoral students, to provide consultations and tutorials whenever they are requested by the doctoral student(s), so that all activities of the doctoral study program are carried out and the objectives of the doctoral thesis are achieved in a timely manner.
7. The secretary of the doctoral school supports the obtaining of information necessary for the administrative activity of the doctoral students enrolled in the part-time education form.
8. The defense of the research project, of the research reports by the doctoral students with reduced attendance during the 4 years of doctoral university studies, the pre-defense and public defense of the doctoral thesis are carried out face to face at the headquarters of the Faculty of Chemistry and Chemical Engineering, to which DSCE belongs. In cases of extreme urgency, in which face-to-face teaching activities are suspended, the evaluation of the doctoral students from this form of education and their lectures can be scheduled in a videoconference system.
9. The doctoral student has the same obligations as those from the full-time form of education, namely:
 - a) to develop and implement the experimental design (hardware and/or software) together with the doctoral supervisor and the academic integrity and guidance committee, so that the objectives of the doctoral thesis are achieved;
 - b) to develop experimental methodologies (hardware and/or software), for data processing and interpretation;
 - c) to conceptualize scientific works, to ensure their editing and correction, of presentations for conferences, to conceptualize, edit and correct the doctoral thesis, in consultation with the doctoral supervisor and members of the academic guidance and integrity committee or with other collaborators as the case may be and depending on the specifics of the subfield. Some of these activities do not require mandatory presence in the university space;
 - d) To participate periodically (weekly or at least monthly) in meetings scheduled in advance with the doctoral supervisor and the academic guidance and integrity committee, on which the progress within the individual research program is evaluated and the necessary corrective measures are established;



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10. The research activity of doctoral students with reduced attendance can be supported logistically and financially, through research projects coordinated or not by the doctoral supervisor. This activity is carried out with physical presence, in accordance with the degree of load of the research norm per project.
11. Doctoral students admitted to the part-time form of education (without a scholarship) are also supported by the doctoral supervisor and by DSCE, through the doctoral grant, the ERASMUS+ program or research projects on which they are employed, to carry out research mobilities/internships, especially international ones, to participate in conferences including oral presentations, in close connection with the topic of the doctoral thesis.
12. Doctoral students admitted to the part-time form of education may carry out teaching hours (seminars and laboratories at the undergraduate level), on an hourly basis, if there are hours available in the positions.



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ANNEX 2

to the Regulation of the Doctoral School of Chemical Engineering

Methodology regarding the granting or withdrawal of the status of member/doctoral supervisor of the DSCE in accordance with HS 78/10.06.2024 regarding the organization and conduct of the process of habilitation and co-optation of doctoral supervisors within Babeş-Bolyai University, HS 147/25.11.2024 regarding the approval of the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies

Conditions and procedure for granting (co-opting) the position of doctoral supervisor in DSCE

1. The admission of new doctoral supervisors is made upon request. Any teaching staff or researcher who has obtained the right to supervise doctoral studies in chemical engineering in accordance with the laws in force at the time of requesting admission to the DSCE may be a member/doctoral supervisor of the DSCE.
2. The DSCE imposes the following specific conditions on candidates to obtain the status of doctoral supervisor of DSCE:
 - a) Fulfillment of the qualification conditions in chemical engineering, valid at the time of requesting admission to DSCE;
 - b) Non-involvement in actions that are related to non-compliance with professional ethics and deontology (*e.g.* plagiarism, self-plagiarism through multiple publication of the same data in scientific articles, fabrication of data and their publication, etc.);
3. The procedure for accepting a new doctoral supervisor follows the following steps:
 - a) Submitting an application to the CDSCE through the DSCE secretariat, in electronic format, in which the candidate requests co-optation as a doctoral supervisor in DSCE. The application mentions the teaching/scientific degree, the institution where he/she is employed, respectively the OIDUS where the habilitation was defended. In the respective application, the candidate declares on his/her own responsibility that he/she has not been and is not involved in actions that are related to non-compliance with professional ethics and deontology, respectively that he/she will commit to comply with the UBB Code of Ethics.



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- b) Submitting a file in electronic format, containing the following documents:
- A copy of the habilitation certificate or, as the case may be, proof of the quality of doctoral supervisor in another OIDUS;
 - The form of fulfillment of the minimum CNATDCU standards for habilitation in the field of chemical engineering, together with the list of works that formed the basis for the preparation of the form;
 - The CV and a presentation of the results obtained in the research field in which he/she has carried out his/her activity
 - Presentation of the laboratory/laboratories and the experimental/pilot/industrial facilities (hardware and/or software) that he/she coordinates, or to which he/she has access, either within BBU or in other universities, research centers, research divisions of companies, or research institutes, which will be used to carry out the proposed research program;
 - A brief description of the laboratory and the experimental/pilot facilities (hardware and/or software) that he/she intends to develop within BBU for the development of the proposed research program;
 - Presentation of the research topics on which the doctoral theses will be developed, if the candidate obtains the status of doctoral supervisor in the DSCE. Presentation of at least two such research topics in summary;
 - For candidates from other universities or institutes in Romania, the agreement of the university Senate, respectively of the Scientific Council of the institution in which they are holders, is required to supervise doctoral theses in BBU.
4. The candidate's application and the submitted file are analyzed by the CDSCE, which approves or rejects the candidate's application for co-optation as a member/doctoral supervisor in the DSCE. Acceptance as a member/doctoral supervisor of the DSCE is decided by the CDSCE by simple majority vote (3 votes out of 5 possible) after consulting all DSCE members. Acceptance or rejection of the application will be accompanied by a minutes of the CDSCE meeting and will take place within 30 days of submitting the application and is communicated by email to the candidate at the address from which the application was submitted.
5. In case of rejection of the application, the CDSCE resolution must provide clear and concrete arguments. The candidate may file an appeal with the OIDUS secretariat, within 7 days of receiving the decision, presenting counterarguments related to the evaluation and/or procedure.
6. The Director of the DSCE sends the minutes, together with the documents listed above, to the Institute of Doctoral Studies (IDS) of BBU through the DSCE secretariat, which results in the decision to grant membership in the DSCE as a doctoral supervisor.



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7. IDS submits the file to CDSCE for approval. CDSCE's opinion on the co-optation will be submitted to the BUB Board of Directors and then to the BBU Senate for validation.
8. By becoming a member of the DSCE, candidates who hold a basic position in other institutions become members of the BBU community. In the scientific publications they will produce through the DSCE research program, they will be required to mention their affiliation with the BBU. This affiliation must also be mentioned by candidates from the BBU who become members of the DSCE. Where applicable, the dual affiliation will be mentioned.
9. The affiliation of the co-opted doctoral supervisor to BBU is necessary, because scientific publications will be taken into account in evaluation processes such as:
 - a) periodic internal and external evaluation of the activity of the titular doctoral supervisors within the DSCE, based on procedures developed by CDUS, which are based on self-evaluation and internal and external peer evaluation;
 - b) periodic evaluation of the DSCE in the event of re-accreditation of the doctoral school by ARACIS, or by another quality assurance agency, from the country or abroad;
 - c) periodic evaluation of the research activity of coordinated doctoral students.

Withdrawal of membership/doctoral supervisor of DSCE

The withdrawal of the membership/doctoral supervisor of DSCE is decided by the CDSCE by vote, the decision being validated by a simple majority (3 votes out of 5 possible), and then being subject to approval by the CDUS and the BBU Senate. The withdrawal of the membership of DSCE can be decided in the following situations:

- a) Involvement in actions that are related to non-compliance with professional ethics and deontology (*e.g.* plagiarism, self-plagiarism through multiple publication of the same data in scientific articles, fabrication of data published in scientific articles);
- b) Lack of visible activity within the DSCE for a period longer than 6 years (*e.g.* poor scientific activity, failure to fulfill tasks received from the CDSCE);
- c) At the request of the person concerned or in the event of death.



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ANNEX 3

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Methodology for allocating places for the admission exam by doctoral supervisor

The distribution of places for the doctoral entrance exam is made fairly, taking into account the criteria for the distribution of grants/budget places by doctoral schools and doctoral supervisors for the doctoral admission competition within BBU, updated annually.

As a general rule, each doctoral supervisor who is a full member of the DSCE, who has requested places, receives a doctoral scholarship place each year, if the number of scholarship places distributed by the DSCE is equal to the number of places requested. If the number of scholarship places requested is higher than the number of available places, a tie is made between the doctoral supervisors according to the following rules:

1. Carrying out joint doctoral programs within the EUTOPIA consortium;
2. The score obtained by the doctoral supervisor according to the methodology approved by the CDUS regarding the allocation of doctoral positions within OIDUS-BBU;
3. For the same score, places are awarded in descending order of the scientific performances of the supervisors. The scientific performance of the supervisors is measured in the order mentioned by:
 - a) the number of Web of Science articles in the first quartile (based on impact factor or AIS, choosing the most favorable option) published as corresponding author in the last 3 calendar years;
 - b) through the cumulative impact factor of scientific publications from the last three calendar years (in year n, the activity from the period n-3 – n-1 is considered, and the quartiles are calculated in the year in which the ranking is made).
4. The allocation of places will take into account the support of teaching staff - doctoral supervisors from UBB, who are at the beginning of their coordination activity (qualification in the last 2 years), in compliance with the tie-breaking rules above.



Annex 4

Mechanism for partial or full recognition of a previously completed individual doctoral university study plan, in accordance with the BBU Regulation and the Higher Education Law 199/2023 (Art. 51, paragraphs 1-3 and Art. 62, paragraph 4)

The mechanism of equivalence of disciplines

1. The doctoral supervisor submits a request for equivalence of the subject/subjects from the individual study plan previously completed by the doctoral student, to the Doctoral School secretariat at least 20 days before the start of the academic year, which should indicate that the doctoral student has been admitted to the new doctoral study program. The request will be registered by the secretary of the Doctoral School of Chemical Engineering.
2. The application for equivalence must be accompanied by the following documents, submitted in electronic format:
 - a. The doctoral study plan previously completed by the doctoral student, which shows that the name of the discipline/disciplines is/are identical to those in the curriculum proposed by DSCE in the current academic year;
 - b. The doctoral study plan proposed by DSCE in the current academic year;
 - c. The file of the discipline/disciplines completed within the previous doctoral study plan;
 - d. The file of the discipline/disciplines from the doctoral study plan proposed by DSCE in the current academic year;
 - e. The certificate/certificates of participation of the doctoral student chosen from the previously completed doctoral study plan.
3. The documents will be submitted by the DSCE secretariat to CDSCE within 3 days of receipt.
4. Within 5 days of receipt of the documents, the Council of the Doctoral School of Chemical Engineering, through the DSCE director, communicates the request directly or electronically to the holder(s) of the discipline(s) for whom equivalence was requested, informing them that they are requested to attend the CDSCE meeting for the purpose of equivalence.
5. Within 7 days of informing the holders of the discipline(s) to be equivalent, CDSCE organizes a meeting attended by at least 3 members of CDSCE (mandatory the Director of DSCE and at least 2 doctoral supervisors who are members of DSCE), in which the curriculum previously completed by the doctoral student and the one proposed in the new doctoral study program will be analyzed together with the holder(s) of the disciplines..
6. The CDSCE decides, upon the recommendation of the discipline holder, the equivalence and award of ECTS credits in accordance with the new doctoral study plan, by vote (simple majority).



7. Following the equivalence meeting, CDSCE will draw up a report stating the completion of the equivalence process and the recognition of the disciplines from the previous individual plan. If the doctoral student has not completed the discipline of ethics and academic integrity, including the ethics of scientific research, the report shall state that the doctoral student must complete this discipline in the new doctoral study plan.
8. DSCE issues a certificate of equivalence of disciplines with ECTS credits, endorsed by CDSCE.
9. The report and the certificate of equivalence, endorsed by CDSCE through the director of DSCE, will be submitted to the DSCE secretariat. The equivalence certificate, together with the request for recognition of disciplines, signed by the doctoral supervisor, will be submitted to the IDS no later than the first week of the new academic year, in which the doctoral student was admitted to the new doctoral study program..

Mechanism for equivalence of the project and/or research reports

1. The doctoral supervisor submits to the Doctoral School secretariat at least 20 days before the start of the academic year, a request for equivalence of the research project and/or research report(s) from the study plan previously completed by the doctoral student, which should result in the doctoral student being admitted to the new doctoral study program.
2. The application for equivalence must be accompanied by the following documents, submitted in electronic format:
 - a. The plan of the doctoral studies previously completed by the doctoral student, which should include the scientific research project and/or the research reports defended and the date of their presentation;
 - b. An electronic document (.pdf, .ppt, or .pptx) which should include the content of the scientific research project and/or the research report(s) defended;
 - c. The minutes of approval of the scientific research project and/or the research report(s), drawn up and signed by the doctoral supervisor and the academic guidance and integrity committee at the time of the defense.
3. The documents will be submitted by the DSCE secretariat to CDSCE within 7 days of receipt.
4. The Doctoral School Council summons the doctoral supervisor, who requested the equivalence, by email, within 5 days of receipt of the documents, to participate in the CDSCE meeting for the purpose of equivalence.
5. Within 7 days of informing the doctoral supervisor, CDSCE organizes a meeting attended by at least 3 of the CDSCE members (mandatory the DSCE Director, and at least 2 doctoral supervisors who are members of DSCE), together with the doctoral supervisor, in which the content of the scientific research project and/or scientific research reports, supported by the doctoral student, will be analyzed;
6. If the content of the research project and/or research reports for which equivalence was requested is consistent with the topic of the doctoral thesis, which is to be carried out in the



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- new doctoral study plan, upon the recommendation of the doctoral supervisor, CDSCE decides by vote (simple majority) on the equivalence and award of ECTS credits;
7. Following the equivalence meeting, CDSCE will draw up a report, which will result in the recognition and equivalence of the scientific research project and/or the scientific research reports previously completed, and the number of ECTS credits awarded. If the doctoral student has not defended three research reports, in accordance with the Higher Education Law 199/2023, the minutes will stipulate the obligation to defend additional research reports, in order to obtain the difference in ECTS credits up to 240.
 8. DSCE issues a certificate of equivalence of the scientific research project and/or scientific research reports previously completed with ECTS credits, endorsed by CDSCE.
 9. The minutes and the certificate of equivalence endorsed by CDSCE through the director of DSCE will be submitted to the DSCE secretariat. The certificate of equivalence, together with the request for recognition of the scientific research project and/or scientific research reports, signed by the doctoral supervisor, will be submitted to the IDS no later than the first week of the new academic year, in which the doctoral student was admitted to the new doctoral study program.doctorale.



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ANNEX 5

to the Regulation of the Doctoral School of Chemical Engineering Chimică

Doctoral thesis writing guide

1. General information

- a) When writing the doctoral thesis, the recommendations of SC-UBB regarding the use of research results in final studies will be taken into account (https://cercetare.ubbcluj.ro/wp-content/uploads/2023/11/final_rezolutie_CS-UBB_partajare-date.pdf);
- b) The doctoral thesis is an expression of the personality of the doctoral student, the doctoral supervisor and the academic integrity and guidance committee;
- c) The doctoral thesis can be written in Romanian or English, according to the doctoral study plan signed by the doctoral student;
- d) The doctoral thesis will be written in A4 format, using Times New Roman 12, Calibri 11 or Cambria 11 fonts with 1.5 line spacing and mandatory page numbering;
- e) There is no minimum recommended number of pages;
- f) The data processed from the literature (recommended 25-30% of the number of pages) and the original contributions of the doctoral student (recommended 70-75%) must be clearly delimited, in compliance with the requirements of IDS and CNADTCU, transmitted to the doctoral supervisors;
- g) For data taken and processed from the literature, it is mandatory to associate it with bibliographical references (it is only accepted in well-justified cases to take over data without processing them, and then this must be mentioned);
- h) Use of a unified way of presenting bibliographical references; the styles from Elsevier publications are recommended; all bibliographical references from the list included in the doctoral thesis must be cited at least once in the text; it is not acceptable for an identical order of certain citations or a similar block of bibliographical references to appear in the list of bibliographical references, with that of the articles/literature works cited in the thesis or not, this being signaled by the plagiarism checking programs used at DSCE;



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- i) If a doctoral thesis is a continuation of one or more previous theses, it must be specified, either in the motivation part or in the personal contributions part, what are the significant differences and the elements of novelty and originality; must be specified in the personal thesis, the title of the previous doctoral thesis(es), the name of the doctoral student and the web page where it is/are available; the previous theses referred to must also be included in the list of references;
- j) For the takeovers of texts (paragraphs) from articles, in which, in addition to the doctoral student author of the thesis, there are other doctoral students as co-authors, in addition to the provisions of article 2.2 of the Guide for the analysis of the similarity of doctoral theses (Annex 6), doctoral supervisors are obliged to ensure that in the chapter “Results and discussions” (or equivalent) there are no inconsistent overlaps between the texts of the two or more doctoral students who contributed to the article;
- k) The copies submitted to the IDS secretariat will be bound in hardcover covers, together with the electronic version saved on a CD/DVD, in pdf format, with the “search” function active.

2. Recommended content for the doctoral thesis

- a) **Cover:** (i) Name of the university, faculty and doctoral school; in the case of co-supervised doctorates, the name of the partner institution is also included; (ii) Title of the thesis; (iii) Type of doctorate (scientific or professional); (iv) Name and surname of the doctoral student; (v) University or scientific degree, name and surname of the doctoral supervisor or supervisors for co-supervised doctorates; (vi) year of defense and location;
- b) **Title page of the thesis:** (i) Name of the university, faculty and doctoral school; in the case of co-supervised doctorates, the name of the partner institution is also given; (ii) Doctoral thesis and thesis title; (iii) Type of doctorate (scientific or professional); (iv) Name and surname of the doctoral student; (v) University or scientific degree, name and surname of the doctoral supervisor or supervisors for co-supervised doctorates; (vi) Year of defense and location;
- c) **First written page:** provides the information on the cover; must also contain the composition of the doctoral committee (chairman, doctoral supervisor, referees, with teaching or research degrees and the institutional affiliation for each);



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- d) **Next page:** mentions the sources of funding (if applicable), in addition to the doctoral grant;
- e) **Table of contents;**
- f) **Keywords:** no more than 10 keywords;
- g) **List of abbreviations;**
- h) **Acknowledgements** (optional);
- i) **Summary of the doctoral thesis in Romanian and English:** maximum 1700 characters. Part of the summary can also be reproduced on the back cover;
- j) **One or more introductory chapters that develop the motivation of the research topic with objectives and research methodology, justified by the analysis of the current state of knowledge** (literature study);
- k) **Personal contributions:** can be structured as a sequence of chapters with its own introduction, research methodology, results and discussions, experimental part, conclusions, or structured in a single data block, with a single section of materials/methods/experimental, results and discussions, conclusions - in which case the introduction is covered by point j;
- l) **General conclusions and elements of novelty and originality;**
- m) **Bibliographic references:** in accordance with the general information in this annex;
- n) **Annexes:** each annex in the doctoral thesis will be assigned a distinct number (e.g. Annex 1, ..., Annex n). References to annexes are made in the written part of the thesis;
- o) **List of works.**



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ANNEX 6

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Methodology for analyzing similarity in the case of doctoral theses developed in the field of chemical engineering

1. The doctoral student submits the doctoral thesis to the ȘDIC secretariat in electronic format, with the pdf extension, with the "search" function active, together with the summary of the doctoral thesis. The doctoral student also submits to the ȘDIC secretariat one copy of the following documents in print format, with signatures, dated to be registered with ȘDIC (The forms of the annexes can be downloaded from <https://doctorat.ubbcluj.ro/ro/sustinerea-publica-a-tezelor/>):
 - a. Request for analysis of similarities and evaluation of the doctoral thesis, signed by the doctoral student, endorsed by the doctoral supervisor and the director of the doctoral school (P_AS_Annex 1);
 - b. Verification sheet of the fulfillment of the minimum CNATDCU standards, specific to the field of chemical engineering, in order to grant the doctoral degree (P_AS_Annex 2), signed by the doctoral supervisor and the doctoral student;
 - c. Declaration on one's own responsibility by the doctoral student and the doctoral supervisor regarding the originality of the doctoral thesis and the fulfillment of the minimum standards and all obligations in the study plan and contract (P_AS_Annex 3, Annex P_AS_Annex 3.1 and P_AS_Annex 3.2)
2. Verification of the analysis of the originality of the doctoral thesis and the preparation of the Resolution regarding the similarity report (P_AS_Annex 4) is carried out before the doctoral student defends the doctoral thesis before the academic guidance and integrity committee and the doctoral supervisor.
3. The Council for Doctoral University Studies appoints by decision a doctoral supervisor, who, together with the members of the academic guidance and integrity committee, will analyze the originality of the doctoral thesis and will draw up the Resolution regarding the similarity report. The doctoral supervisor appointed as a member must not be in situations of conflict of interest, as provided for in Art. 170 of the Higher Education Law 199/2023, completing a Declaration of Acceptance and Compatibility. If a doctoral supervisor is not available in DSCE, who meets the requirements mentioned above, CDSCE appoints as a member to verify the similarity of the doctoral thesis a doctoral supervisor from another doctoral school in the field of chemical engineering coming from universities in the "Universitaria" Consortium, other prestigious universities in the country that have doctoral schools in the field of chemical engineering or from



universities in other countries, ranked in the top 500 in international rankings. The list of prestigious universities in the country that have doctoral schools in the field of chemical engineering and that do not belong to the "Universitaria" consortium, from which members of the doctoral thesis similarity verification committee can be selected is detailed in this document. CDSCE may designate as a member for verifying the similarity of the doctoral thesis a doctoral supervisor from another doctoral school in the same faculty or related field. CDSCE notifies the DSCE secretariat by email of the doctoral supervisor who has been designated, with contact details (email address), within 5 days at most from the signing by the DSCE director of the Request for analysis of similarities of the doctoral thesis.

4. The secretary of the DSCE generates the similarity report using a program provided in the ministerial order (made available by the IDS), based on the standards contained in the national guide on writing doctoral theses, developed by CNATDCU, and confirms the performance of the similarity analysis of the doctoral thesis by completing P_AS_Annex 3.2, submitted by the doctoral student.
5. The report of text-related similarities will be prepared by the DSCE secretary, within a maximum of 5 working days from the receipt of the doctoral thesis. The DSCE secretary uploads the PDF or Word file of the thesis to the platform. Cases of similarity are taken into account (and the platform settings for generating the report are adjusted accordingly) only for sequences of more than 20 words. DSCE members are obliged to explain to each mentored/guided doctoral student that the value of the similarity percentage is a quantity that is irrelevant in absolute value.
6. The DSCE secretary sends the generated Similarity report by email to the members of the doctoral student's academic integrity and guidance committee, as well as to the doctoral supervisor, designated by CDSCE for verification, within 5 working days of receiving the doctoral thesis.
7. The members of the Academic Guidance and Integrity Committee and the designated doctoral supervisor verify the originality of the doctoral thesis and complete the Resolution regarding the similarity report (P_AS_Annex 4), within 10 calendar days of receiving the documents.
8. The Academic Guidance and Integrity Committee and the doctoral supervisor designated as a member of the committee for the analysis and preparation of the Resolution of the similarity report will analyze and interpret the following aspects based on the generated Similarity report:
 - a. originality of the results by using text-related similarity search engines (through the Turnitin program, or others made available by the ISD of UBB), but also platforms that allow verification of the scientific originality of the research



- presented within the doctoral thesis (preferably WoS, ScienceDirect, Scopus, Reaxys or SciFinder), or others relevant to the sub-field;
- b. cases of similarities in accordance with the recommendations of the Guide developed at the level of DSCE, which is an integral part of this regulation and this annex.
9. The Similarity report resolution (P_AS_Annex 4) indicates whether or not the doctoral thesis contains unauthorized data takeovers, the percentage of similarity and whether or not it is accepted for the public defense of the thesis, respectively the need or not to make changes to the doctoral thesis, clearly argued under the signature of the member designated by the Council of the Doctoral School of Chemical Engineering and the members of the guidance and academic integrity committee. It will be clearly specified which elements do not indicate the need to make changes, respectively which elements are detected in the Similarity report, which require the need to make changes to the doctoral thesis, with a clear indication of the chapters, paragraphs, tables, figures, etc., which must be made by the doctoral supervisor and the doctoral student, before the defense of the doctoral thesis. If there are any overlaps between parts of the thesis and other published research (including other doctoral theses), or unauthorized takeovers of texts (information), according to the similarity analysis guide, in the Resolution of the similarity report it is recommended to the doctoral supervisor and the doctoral student, depending on the specifics of the situation, either to eliminate the redundant parts from the thesis, or to explicitly rewrite the overlaps and appropriately cite the works in which similar research was carried out, or even to rewrite the thesis with the elimination of incompatibilities. In the event that several doctoral students have worked on a research topic, overlaps between the data presented as original, in two or more theses, are not allowed. The results described/presented in other theses are identified as such, including by clear bibliographic reference (citation of the thesis or/and the corresponding works) preferably in the "Introduction" or "Results and Discussion" (or equivalent) part.
 10. The Similarity report resolution signed by the members of the academic guidance and integrity committee and the doctoral supervisor designated by CDSCE will be submitted to the DSCE secretariat.
 11. Within a maximum of 3 working days, the DSCE secretary sends the Similarity report and the Similarity report resolution by email, officially notifying the DSCE director, the doctoral supervisor and the doctoral student of the results of the similarity of the doctoral thesis and the content of the Similarity report resolution.
 12. If the Similarity report and the Similarity report resolution do not indicate the need for changes in the doctoral thesis, the thesis may be defended before the Academic Guidance and Integrity Committee and the doctoral supervisor. The doctoral supervisor together with the doctoral student may make changes to the doctoral thesis, if they



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consider them necessary, even if this aspect is not indicated in the Similarity report resolution, but with the resumption of the entire procedure for verifying the similarity of the doctoral thesis at the DSCE level.

13. In the event that the Similarity report resolution indicates the need to make changes to the doctoral thesis, the doctoral supervisor and the doctoral student must remedy the elements notified and the similarity analysis procedure described above will be resumed, until the suspicions of similarities (plagiarism) are eliminated. The doctoral supervisor and the doctoral student complete a Response report in which they clearly state the responses to the committee that analyzed the Similarity report and prepared the Similarity report resolution, mentioning each necessary change, by indicating the pages, lines, figures, tables in the corrected doctoral thesis. This Response report will be approved by the committee that analyzed the Similarity report and completed the Similarity report resolution. In the Response report, the doctoral supervisor of the thesis and the doctoral student also complete a declaration on their own responsibility, in which they certify that they have made the necessary changes to the doctoral thesis and that they agree to the resumption of the doctoral thesis similarity analysis procedure within the DSCE. The Response report will be archived in electronic format by the ȘDIC secretary.
14. The last Similarity report and the last Similarity report resolution, prepared by the Academic Guidance and Integrity Committee and the doctoral supervisor designated for analysis, stating that no changes are needed to the doctoral thesis, will be made available to the doctoral supervisor and the doctoral student by DSCE.
15. The pre-defense of the doctoral thesis before the academic guidance and integrity committee and the doctoral supervisor can take place only after the doctoral supervisor and the doctoral student have made the changes to the doctoral thesis, in the event that the Resolution regarding the similarity report indicates this, respectively only after the last Similarity report does not indicate suspicions of similarities (plagiarism), and the Similarity report resolution clearly specifies that no changes are necessary from the point of view of the generated Similarity report.
16. In case of disagreement between the doctoral thesis supervisor and the doctoral student, on the one hand, and members of the academic guidance and integrity committee and the doctoral supervisor as a member of the similarity verification committee, on the other hand, the conflict is resolved by the CDSCE. If the disagreement persists, mediation is requested from the CDUS director.
17. If, following the analysis of the Similarity report and the Similarity report resolution, prepared by the members of the Academic Guidance and Integrity Committee, and the doctoral supervisor designated by CDSCE, severe ethical violations are found, the



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committee that analyzed the Similarity report and completed the Similarity Report Resolution shall inform CDSCE, the FCIC Ethics Committee, or, as the case may be, the UBB Ethics Committee, or the UBB Ombudsman, in addition to the doctoral supervisor of the thesis and the doctoral student.



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Guide to analyzing similarities in the case of doctoral theses developed in the field of chemical engineering within DSCE

1. When analyzing the Report of Similarities related to the text, the following will be taken into account:
 - 1.1. The analysis starts from the Similarity report developed in the dedicated platform made available by the IDS of BBU (e.g. Turnitin). Where there are indications, it can be completed by analysis in other platforms and/or individual examination of the documents;
 - 1.2. All cases in which the electronic platform (e.g. Turnitin) identified similarity of more than 20 words are analyzed, including where there are insertions without obvious content of substance between those words (e.g. "also", "or", "and others");
 - 1.3. In order to determine the similarity coefficient considered in the analysis, scientific works published by the author of the thesis, associated with the topic of the doctoral thesis, will be excluded;
 - 1.4. To determine the similarity coefficient considered in the analysis, the bibliography/references chapter of the doctoral thesis as well as the common terminology specific to the research field addressed will be excluded. Reference blocks (a series of several references cited in the same order as in other publications) may constitute a reason for a more detailed verification of the originality of the text;
 - 1.5. To determine the similarity coefficient considered in the analysis, scientific works published by other authors that have partially taken over content from the works published by the author of the doctoral thesis will be excluded (works by other authors published after the publication of the works of the author of the thesis);
 - 1.6. The alert threshold for the similarity coefficient taken into account in the analysis will be adapted depending on factors such as the extension of illegitimate takings, their location in the architecture of the work, the voluntary or involuntary nature of the acts of plagiarism;
 - 1.7. The alert threshold for the similarity coefficient taken into account in the analysis will be adapted in severity, with chapters/subchapters of original contributions or conclusions being assigned a lower threshold than the other chapters;
 - 1.8. Similarities regarding definitions, theories and standardized methods related to general procedures for performing experiments or measurements, collecting, processing or presenting data, obtaining or characterizing compounds, using software or mathematical tools, describing equipment, etc., may be acceptable only if their presentation is relevant;
 - 1.9. Whenever texts (websites, books, scientific articles, reports, etc.) are used or ideas are expressed from another source, it is necessary to cite it. In this case, the citation is



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added at the end of the text in question and not at the end of the section in which the text appears. Even if a text from a bibliographic source is paraphrased, but an idea or concept from that source is referred to, it must be cited. Citing a source requires providing complete information about that source, so that it can be identified by third parties;

- 1.10. Similarities related to general definitions are acceptable only if they are indispensable, but must be kept to the strict minimum necessary and, if they exceed 20 words, will be marked with references and quotation marks. Similarities related to the names of institutions, the presentation of addresses, headers, acknowledgements are not taken into account;
- 1.11. When analyzing the takeovers of texts (paragraphs) from articles in which the doctoral student is the author, the following is taken into account: the consent of the copyright holder is required (if applicable) and only those parts of the articles to which the doctoral student contributed will be included;
- 1.12. Any conclusions/verdicts based on the percentage of similarity are excluded. A thesis based entirely on articles already published by the doctoral student may be accepted, but at the same time a thesis containing a single plagiarized paragraph will receive a negative opinion.



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Response to the Resolution of the similarity report prepared by the Academic Guidance and Integrity Committee and the doctoral supervisor appointed by CDSCE in the similarity verification committee

The undersigned (s), as doctoral supervisor(s) of the thesis entitled, carried out by the doctoral student, enrolled in the year at the Doctoral School of Chemical Engineering, Faculty of Chemistry and Chemical Engineering, declare on our own responsibility that we have taken note of the Similarity Report generated by the plagiarism detection system **Turnitin** and the **Similarity Report Resolution**, drawn up by the Academic Guidance and Integrity Committee, and the doctoral supervisor designated as a member of the Similarity Verification Committee:

Nr. Crt.	Requested change	Modification made in the doctoral thesis indicating the chapter, pages and lines, figures, tables

We agree with the resumption of the similarity analysis of the doctoral thesis within the ȘDIC.

Date:

Doctoral supervisor(s) of the thesis:

Name, First name, Signature

Doctoral student:

Name, First name, Signature

Approval

Members of the Academic Guidance and Integrity Committee:

Name, First name, Signature

Doctoral supervisor appointed by CDSCE for similarity analysis:

Name, First name, Signature



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Decision of the Council of the Doctoral School of Chemical Engineering

Pursuant to Art. 33, paragraph 1 (c) of the Babeş-Bolyai University Regulation on the organization and conduct of doctoral studies, the Council of the Doctoral School of Chemical Engineering decides as a member of the committee for analyzing the similarities of the doctoral thesis with the title, developed by the doctoral student, doctoral supervisor, within the Doctoral School of Chemical Engineering, within the Babeş-Bolyai University Cluj-Napoca. This decision was issued following the meeting of the Council of the Doctoral School of Chemical Engineering on and is brought to the attention of the designated member.

Date:

On behalf of the Council of the Doctoral School of Chemical Engineering,
Director of the Doctoral School of Chemical Engineering

Name, First name, Signature



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Declaration on my own responsibility

Acceptance regarding participation in the committee for verifying the similarity of doctoral theses

The undersigned (teaching or scientific degree) at the University ofof....., and doctoral supervisor at the Doctoral School, within, agree to be a member of the evaluation committee for the similarity of the doctoral thesis with the title....., developed by the doctoral student....., under the supervision of, as doctoral supervisor, within the Doctoral School of Chemical Engineering, member of OIUS-BBU Cluj-Napoca.

As a member of the committee for verifying the similarity of the doctoral thesis with the aforementioned title, I declare the following:

- ✓ I am not in any of the situations of conflict of interest, as provided for in Art. 170 of the Higher Education Law 199/2023*;
- ✓ In relation to the doctoral supervisor and the doctoral student, I am not a spouse, in-law or relative up to the third degree inclusive;
- ✓ I have not benefited in the last 3 years prior to the evaluation nor currently from benefits of any kind from the doctoral supervisor and the doctoral student.

Date

Signature

* From Art. 170 •

(l) For the purposes of this law, the following situations constitute a conflict of interest:

- a) the simultaneous holding of positions by persons who are in a relationship of spouses, relatives and relatives up to the third degree inclusive, so that each is in a direct position of management, control, authority or institutional evaluation at any level in the same higher education institution;
- b) participation as a member in doctoral committees, evaluation committees or competition committees, in the event that the decision affects spouses, relatives or relatives up to the third degree inclusive;
- c) participation in the same committee, established according to the law, of persons who have the status of relative or relative up to the third degree inclusive;
- d) participation of a person, who has the status of member in committees of the Ministry of Education, in the analysis of a situation related to the institution of which he/she is a member of the university community.



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**List of institutions not belonging to the "*Universitaria*" consortium, from which
official referees can be selected**

1. National University of Science and Technology POLITEHNICA Bucharest;
2. "Gheorghe Asachi" Technical University of Iași;
3. Politehnica University of Timișoara;
4. Technical University of Cluj-Napoca;
5. "Iuliu Hațieganu" University of Medicine and Pharmacy Cluj-Napoca;
6. "George Emil Palade" University of Medicine, Pharmacy, Sciences and Technology Târgu-Mureș;
7. National Research and Development Institute for Isotopic and Molecular Technologies Cluj-Napoca (INCDTIM);
8. Research Institute for Analytical Instrumentation Cluj – Napoca (INCDO-INOE 2000 ICIA).



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List of prestigious universities in the country that have doctoral schools in the field of chemical engineering and that do not belong to the "*Universitaria*" consortium, from which members of the Doctoral Thesis Similarity Verification Committee can be selected

1. National University of Science and Technology POLITEHNICA Bucharest;
2. "Gheorghe Asachi" Technical University of Iași;
3. Politehnica University Timișoara.

ANNEX 7

to the Regulation of the Doctoral School of Chemical Engineering

CNATDCU and DSCE conditions for granting the doctoral degree and the distinctions *satisfactory, good, very good and excellent*

For the award of the doctoral degree, the criteria established by the CNATDCU specialized committee for "Chemical Engineering, Medical Engineering, Materials Science and Nanomaterials" (according to OM No. 5110/2018) will be taken into account. For the award of the doctorate in chemical engineering with a *satisfactory* grade, the following conditions must be met simultaneously:

- 1) publication of at least two scientific articles in ISI-rated journals that simultaneously satisfy the following conditions:
 - a) the sum of the impact factors of the journals in which it was published (considered at the date of publication) must be $FI \geq 1.5$;
 - b) the articles must include data presented in the doctoral thesis;
 - c) in at least one article the doctoral student must be the first author;
 - d) in at least one article the doctoral supervisor must be a co-author;
- 2) the recognized conferences indexed in international databases (BDI) are the following: ISI Thomson Reuters Web of Knowledge, SCOPUS, Chemical Abstracts, ProQuest/CSA Cambridge Scientific, EBSCO (Academic Search Premier, Elsevier Bibliographic Database), Metals Abstracts CSA/METADEX, Compendex, INSPEC, Science Direct Database Elsevier, Engineering Index, IEEEExplore, Scientific. Net (Materials Science and Engineering), Springerlink, Engineering Village, Emerald and the Romanian journals specific to the field of Materials Engineering recognized by CNCSIS in categories A and B+.

To be awarded the distinctions of *good*, *very good* and *excellent*, the candidate is expected to additionally meet the following conditions imposed by ȘDIC:

1. For the "*good*" grade, the doctoral student must present publications whose sum of the impact factors of the journals in which they have published is $FI > 0.5$ and on at least one of these they must be the first author;



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2. For the *"very good"* grade, the doctoral student must present publications whose sum of the impact factors of the journals in which they have published is $FI > 1.5$ and on at least one of these they must be the first author;
3. For the *"excellent"* grade, the doctoral student must present publications whose sum of the impact factors of the journals in which they have published is $FI > 3$ and on at least one of these they must be the first author.

The above conditions are subject to deliberation by the doctoral committee in the spirit of the Coalition for Advancing Research Assessment (CoARA) and the evaluation criteria of the Scientific Council of Babeş-Bolyai University (SC-BBU), which require bibliometrically informed peer-review evaluation. Thus, the above criteria are indicative and applied depending on the intrinsic quality of the articles, the exact contribution of the doctoral student to those articles, respectively the overall quality of the thesis.



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ANNEX 8

to the Regulation of the Doctoral School of Chemical Engineering

Methodology for periodic evaluation of the activity of doctoral students within DSCE

Principles and stages of evaluation

1. Each doctoral student is required to create a public profile on Google Scholar with an institutional email address, the link of which will be included on the ȘDIC website.
2. The evaluation of the periodic activity of doctoral students within ȘDIC is annual and is carried out at the end of each academic year, usually in September.
3. Each doctoral student assumes responsibility for the correctness of the information they complete in the self-evaluation form.
4. The information included in the self-evaluation form, completed by the doctoral student, will be verified and validated by his doctoral supervisor.
5. The self-evaluation sheet mainly contains items related to the activity of doctoral students, such as published articles, participation in conferences, patents and patents in which the doctoral student is a co-author, member of research projects, integration of publications into the international flow through the number of citations, mobilities through participation in training courses especially abroad, but also in the country, workshops, summer schools, or any other activities specific to the scientific field. Published articles are considered those that are visible on WoS, Scopus or Google Scholar.
6. The evaluation of the periodic activity of doctoral students is based on the development of the research program established together with his/her doctoral supervisor and the Academic guidance and integrity committee.
7. The evaluation of the periodic scientific activity of doctoral students is carried out by the evaluation committee, consisting of 2 doctoral supervisors from DSCE, proposed and validated by CDSCE, under conditions of transparency and information regarding the criteria and results of the evaluation of each doctoral student.
8. The stages of data collection are as follows:
 - a. Doctoral students are invited to the email address regarding the initiation of the periodic evaluation and the invitation to participate in this activity. In the email, doctoral students will receive either the form to be completed directly or the link with the completion instructions.



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- b. Doctoral students complete the appropriate form by the indicated date.
- c. After completion, the forms will be placed in a directory accessible to the DSCE plenum.
- d. The members of the doctoral student evaluation committee will verify the correctness of the data by comparing it with the WoS, Scopus database and the profile created by the doctoral student on Google Scholar, accessible on the DSCE webpage. The progress of the doctoral students' research activity is assessed by the committee members by comparing the results with the minimum conditions required for the public defense of doctoral theses within the DSCE and included in the doctoral university study contract and the additional documents, signed by the doctoral student after admission.
- e. The members of the evaluation committee will assess the quality of the scientific research activity of each doctoral student with a grade from 1 to 5, corresponding to the grades unsatisfactory, satisfactory, good, very good and excellent, taking into account the results of the research activity of the evaluated doctoral students and after consulting the guidance and academic integrity committee regarding the qualitative aspects of the results to the extent that they are not yet available in the deliverables in the evaluation form.
- f. The members of the evaluation committee shall notify the doctoral student and his/her doctoral supervisor of the grade obtained following the evaluation of the research activity and shall issue recommendations regarding the improvement of the quality of the research activity for the following year, if necessary.
- g. The doctoral supervisor, together with the doctoral student and the academic guidance and integrity committee shall take the necessary decisions and measures to improve the quality of the future scientific research activity of the doctoral students.
- h. The scientific activity of the doctoral students resulting from the evaluation stage by the committee designated at the level of the DSCE shall be discussed and approved within the DSCE, which shall propose the necessary measures to improve the future research activity of the doctoral students. The results of the evaluation shall then be discussed with the doctoral supervisors during a general meeting.



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SELF-ASSESSMENT FORM

SCIENTIFIC RESEARCH ACTIVITY DOCTORAL STUDENTS

Doctoral School of Chemical Engineering

Doctoral field: Chemical Engineering

Doctoral student:

Date of enrollment/year of study:

Doctoral supervisor:

Evaluated period:.....

Items to be completed by doctoral students in the self-evaluation form in Excel format:

1. Published articles

- 1.1. Publications in WoS and Scopus-listed journals
- 1.2. Publications in volumes indexed in ISI Proceedings
- 1.3. Publications in WoS /ISI Proceedings indexed volumes in ERIH + indexed journals
- 1.4. Publications in BDI indexed journals including full-length published papers (more than one page) in conference volumes
- 1.5. The recognized conferences indexed in international databases (BDI) are the following: ISI Thomson Reuters Web of Knowledge, SCOPUS, Chemical Abstracts, ProQuest/CSA Cambridge Scientific, EBSCO (Academic Search Premier, Elsevier Bibliographic Database), Metals Abstracts CSA/METADEX, Compendex, INSPEC, Science Direct Database Elsevier, Engineering Index, IEEEExplore, Scientific. Net (Materials Science and Engineering), Springerlink, Engineering Village, Emerald.
- 1.6. Publications in Romanian journals specific to the field of Materials Engineering recognized by CNCSIS in categories A and B+.

2. Conference participation

- 2.1. Participation in international conferences in the country or abroad
- 2.2. Participation in national conferences in the country



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3. Recognition of research results: Awards, citations in WoS, Scopus and BDI articles, without self-citations

3.1. Awards for participation in international and national conferences with scanned proof.

3.2. Integration of publications into the international flow through citation

The cited work and the citing work/works are specified, with all identification data.

4. Mobilities abroad

4.1. Research internships within or outside of co-supervision doctorates (*period, institution, activities carried out and results obtained*)

4.2. Participation in summer schools, workshops (*specify the summer school, workshop, organizer, date of holding*)

5. Mobilities within the country

5.1. Research internships (*period, institution, activities performed and results obtained*)

5.2. Participation in summer schools, workshops (*specify the summer school, workshop, organizer, date of the event*)

6. Participation in research and development project teams

6.1. Participation in internationally funded projects

6.2. Participation in nationally funded projects

7. Valorization of research results within the doctoral program

7.1. National patents

7.2. International patents internaționale

Date:

Doctoral student signature:

.....

Doctoral supervisor signature:

.....