

**„GHEORGHE ASACHI” TECHNICAL UNIVERSITY OF IAȘI**  
**UNIVERSITY DOCTORAL STUDIES COUNCIL**



**PROCEDURE**  
**FOR THE DEVELOPMENT AND DEFENCE OF THE**  
**DOCTORAL THESIS**  
**COD PO.CSUD.01**

**1. LIST OF THOSE RESPONSIBLE FOR DEVELOPMENT, AUTHENTICATION AND APPROVAL OF THE EDITION/REVISION**

DEVELOPED	AUTHENTICATED	ADMITTED		APPROVED	EDITION	REVISION
C.S.U.D.	C.S.U.D./ DEAC	CEAC	administrative council	SENATE		
Eng. Cristina NAGÎȚ	Prof. Liviu GORAȘ, PhD/ Prof. Constantin SĂRMĂȘANU – CHIHAI, PhD eng. Delia TODEREAN	Prof. Neculai SEGHEȚIN, PhD	Prof. Dan CAȘCAVAL, PhD	Prof. Doru Adrian PĂNESCU, PhD	1	0
November 2016	November 2016	06.12.2016	15.11.2016	13.12.2016		

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			<b>Edition 1</b>	<b>Revision 0</b>
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## 2. ACCOUNT OF THE STATE OF EDITIONS AND REVISIONS WITHIN EDITIONS

No. crt.	Revision/ Date of application	Chapter and revised pages number	Content of the alteration	Surname and first name			
				Developed	Authenticated	Admitted	Approved
1.	E1R0/ 14.12.2016	Complete procedure	Elaboration Edition 1	Eng. Cristina NAGÎȚ	Prof. Liviu GORAȘ, PhD/ Prof. Constantin SĂRMĂȘANU – CHIHAÎ, PhD Eng. Delia TODEREAAN	Prof. Neculai SEGHEDEIN PhD/ Prof. Dan CAȘCAVAL, PhD	Prof. Doru Adrian PĂNESCU, PhD

## 3. List of distribution

	Aim of distribution	Ex. no.	Department	Position	Means of distribution
3.1	Archiving	1	DEAC	Secretary	Archiving
3.2	Accounting	2	University Senate – Decisions	Secretariat Senate	Archiving
3.3	Application	3	Rectorate	Rector	Correspondence registry
			Academic Vice-Rectorate and Quality Assurance	Vice-Rector	
			Vice-Rectorate of Resource Management	Vice-Rector	
			Vice-Rectorate of Research, Development and Innovation	Vice-Rector	
			Vice-Rectorate of International Relations	Vice-Rector	
			Vice-Rectorate of Student Relations	Vice-Rector	
			Vice-Rectorate of Computerization and Digital Communications	Vice-Rector	
			Faculty of Computer Engineering and Automatic Control	Dean	
			Faculty of Chemical Engineering and Environmental Protection	Dean	
			Faculty of Civil Engineering and Building Services	Dean	
			Faculty of Machine Manufacturing and Industrial Management	Dean	
			Faculty of Electronics, Telecommunications and Information Technology	Dean	
			Faculty of Electrical Engineering, Energetics and Applied Informatics	Dean	
			Faculty of Hydrotechnical Engineering, Geodesy, Environmental Engineering	Dean	
			Faculty of Mechanical Engineering	Dean	
			Faculty of Material Science and Engineering	Dean	
Faculty of Textiles, Leather and Industrial Management	Dean				
Faculty of Architecture "G.M. Cantacuzino"	Dean				
Teaching Staff Training Department DPPD	Director				
General Administration Department	Director				
Human Resources	Director				
Economic Department	Director				
3.4	Information	4	All	-	www.calitate.tuiasi.ro Procedural Manual

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#### 4. AIM

The aim of this procedure is:

- to clarify the methodology and the responsibilities for both the organizing and progression of development and public defence of the doctoral thesis within “Gheorghe Asachi” Technical University of Iași
- to ensure that proper documentation regarding the process of such activities exists.
- to ensure continuity of activity, even in case of personnel fluctuation
- to support audit and/or other auditing and/or control enabled units and also to aid the Rector in decision making.

#### 5. FIELD OF APPLICATION

This procedure is applicable within “Gheorghe Asachi” Technical University of Iași for the organizing and progression of activities concerning development and public defence of the doctoral thesis.

This is an operational procedure which is applicable within the activities of CSUD, of Doctoral Schools and any and all doctoral students belonging to “Gheorghe Asachi” Technical University of Iași.

##### 5.1. Input data

- legal requirements (laws, government decisions, ministry decrees, University Rectorate decisions etc.) and procedural requirements (standards, applicable law);
- all processes that take place within “Gheorghe Asachi” Technical University of Iași concerning the development and public defence of the doctoral thesis;
- the competence of the staff responsible for the progress of such activities;
- allotted financial resources;
- list of involved departments:
  - CSUD;
  - Doctoral Schools;
  - Administrative Council;
  - University Senate.

##### 5.2. Output data

- Doctoral theses.

**5.3. Performance indicator:** Number of authenticated doctoral theses/total number of publically defended doctoral theses.

#### 6. REFERENCE DOCUMENTS

1. National Education Law no. 1/2011 (with subsequent alterations);
2. Law no.87/ 2006 for the approval of OUG no.75/2005 regarding educational quality;
3. Law no. 288/ 2004 regarding the organizing of university studies (with subsequent alterations and additions);
4. Law no. 441/ 2001 endorsing OUG no. 133/ 2000 regarding paid graduate and postgraduate education;
5. HG 681/ 2011 endorsing the Code of Doctoral University Studies (with subsequent alterations and additions);
6. OMENCS 3482/ 2016 endorsing Regulations of Organization and Function of CNATDCU.
7. OMECS no. 3121/ 2015 regarding organization and progression of attestation of empowerment;

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## 7. PROGRESS AND ORGANIZING OF PUBLIC DEFENCE ACTIVITIES

**Art. 1** The doctoral thesis must demonstrate the existence of a scientific problem or a limitation of knowledge in that field. It must present original or derivative methods which produce scientific progress in the field. It must contain elements of originality validated by the national and international scientific community.

**Art. 2** The title of the doctoral thesis must be concise. It must reflect the contents of the research and be identical to the one established through the Scientific Research Program, otherwise it must be altered on account of a written application, as the case.

**Art. 3** The doctoral thesis must comprise of standard parts/chapters: table of contents, introduction, current state of knowledge, contributions, references, annexes (as the case). The writing of the paper must correspond to international norms, with bibliographical references cited in the text.

**Art. 4** The doctoral thesis may be written and/or defended in an international language, as the doctoral student may request. Regardless of the language in which the thesis is written in, it must be accompanied by a review in the Romanian language which is submitted along with the thesis.

**Art. 5** the cover of the thesis will have a standardized format, in accordance with **Form PO.CSUD.01-F1 – Doctoral Thesis Cover**. The first page of the doctoral thesis will contain the committee of doctoral thesis analysis and it will be written in accordance with **Form PO.CSUD.01-F2- Title page**. On the spine there will be mention of the University and author.

**Art. 6** In order to deploy the formalities of public defence of the doctoral thesis, several steps must be covered:

1. the candidate will submit a written application to the C.S.U.D Secretariat, concerning the procedures of assessment by the Doctoral thesis guidance committee in accordance with **Form PO.CSUD.01-F3**, together with an electronic copy of the thesis.

2. C.S.U.D. analyses similarities using a ministry approved plagiarism program and forwards an electronic report of similarity to the Director of the Doctoral School, who then informs the leader and members of the guidance committee.

3. The candidate will submit to the Doctoral School a written application in order to set a date for the preliminary defence of the doctoral thesis in front of the guidance committee to which he or she will attach the report of similarity (**Form PO.CSUD.01-F4**). The preliminary defence is public and must be announced with at least 7 days in advance to the secretariat of the faculty and on the faculty's website. If after the preliminary public defence there are major objections regarding the quality of the doctoral thesis, the guidance committee suggests executing the necessary alterations and recurrence to the procedure regarding preliminary defence of the thesis. The committee members approval consists of standard form in accordance to **Form PO.CSUD.01-F5**.

4. The Director of the Doctoral School will write a report (**Form PO.CSUD.01-F6**) in which they confirm the fulfilling of every requirement prior to commencing the public defence of the doctoral thesis.

5. The candidate will submit to the Secretariat of C.S.U.D. a written application of approval of the committee for the public defence of the doctoral thesis (**Form PO.CSUD.01-F7**) for the Decision of the

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Rector. Said application shall be accompanied by: guidance committee approval, Doctoral School Director's report, doctoral supervisor acceptance report, the similarity report and two copies of the doctoral thesis in printed form

**Art. 7** The doctoral student's written application through which he solicits the committee's approval is submitted to analysis by the Administrative Council. After the approval of the committee, the C.S.U.D. Secretariat will issue the Rector's decision and the committee appointees which shall be transmitted by the Director of the Doctoral School along with the thesis to the official reviewers.

**Art. 8** The committee for the thesis defence is suggested by the supervisor of the doctorate, approved by the Doctoral School Council and consists of: president, doctoral supervisor and three official reviewers, of which at least two must be from outside the "Gheorghe Asachi" Technical University of Iași. The president of the defence committee may be: Dean or Deputy Dean, if they occupy the position of at least university lecturer, or the Doctoral School Director. The official reviewers are specialists in the field in which the thesis has been developed, they have PhDs and a position of at least university lecturer or primary scientific researcher 2<sup>nd</sup> degree.

**Art. 9** Members of the committee may be foreign specialists who are PhDs and have a position of at least university lecturer or primary scientific researcher 2<sup>nd</sup> degree.

**Art. 10** In cases of joint doctorates, the defence committee shall include the two doctorate supervisors and a minimum number of three reviewers, of which at least two belong to different Universities or research Centres.

**Art. 11** The official reviewers must submit the analysis reports to the C.S.U.D. Secretariat in no more than 30 days from receiving the doctoral thesis. The reports must end in quality assessments of the thesis. If one or more reviewers rightfully assess the thesis as unsatisfactory, it must be rewritten. The rewritten thesis shall be submitted to the Doctoral School leadership with the written approval of the doctoral supervisor and the involved reviewers.

**Art. 12** The written application for the public defence of the doctoral thesis shall be submitted to the C.S.U.D. Secretariat no later than 20 days before the proposed date (**Form PO.CSUD.01-F8**) and shall be accompanied by: printed and signed reports of committee members along with their CVs in PDF format, Doctoral student's signed CV in PDF format and doctoral supervisor's signed CV in PDF format. The first page of the review is detailed in **Form PO.CSUD.01-F9**.

**Art. 13** The announcement regarding the time and place of the public defence is made by the Secretariat C.S.U.D. and will be posted at the centre and on the University and Doctoral School which the student and supervisor pertain to website at least 20 days before the defence but only after the approval of the defence application by the C.S.U.D.

**Art. 14** If one of the official reviewers of the doctoral committee becomes unavailable, they may be replaced by means of written application, at the suggestion of the doctoral supervisor and with the consent

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of the Doctoral School leadership and approval from the University Rector. Setting the date of the public defence requires reports from all members of the committee.

**Art. 15** The doctoral thesis is publically defended in front of the committee. The defence of the thesis will take place in obligatory presence of the president of the committee, the doctoral supervisor or supervisors and at least two of the official reviewers. The official reviewer that cannot take part in the public defence shall submit to the president of the committee a report in which he must state the reason for absence and the mark of the thesis.

**Art. 16** The public defence has the following structure:

- Short presentation of the doctoral student's scientific activity by the president of the committee.
- Announcement of the theme by the doctoral student.
- The presentation of reports from the doctoral supervisor and official reviewers.
- The debate – the president of the committee invites the members of the committee, the doctoral student and the present specialists to a session of questions and answers.
- The committee deliberates on the result obtained after the public defence.
- The president of the committee announces the result of the deliberation and reads the record of the committee.

**Art. 17** On the basis of the presentation of the thesis, of official reports and the debate, after deliberation, the committee grants through simple majority vote (minimum 3 votes) one of these marks: excellent, very good, good, fair or unsatisfactory. The mark is added to the record (**Form PO.CSUD.01-F13**).

**Art. 18** If an unsatisfactory mark is granted, the doctoral committee must specify the content which is to be rewritten or altered and must solicit a fresh defence date. The second public defence takes place in front of the same committee as the first and if the "unsatisfactory" mark is again assigned, the PhD title is not granted and the doctoral student is thus expelled.

**Art. 19** In case of doctoral theses written in an international language, the public defence may be done in said language, per the student's request.

**Art. 20** In accordance with the doctoral supervisor, the doctoral student may send the summary of the thesis, in printed or electronic form, to including foreign field specialists including in order to obtain additional points of view regarding the results of the research. The expenses of multiplication of the thesis summary are supported by the doctoral student.

**Art. 21.** Official reviewers appointed in the committee for doctoral theses analysis and their public defence shall be paid with the equivalent of 10 hours of their position and seniority in education or research. The president of the committee for public defence of doctoral theses shall be paid with the equivalent of 5 hours of their position and seniority in education and the doctoral supervisor with 10 hours. For their payment, there shall be drawn payment reports in accordance with **Form PO.CSUD.01-F10** for reviewers, **Form PO.CSUD.01-F11** for the president and **Form PO.CSUD.01-F12** for the doctoral supervisor,

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respectively. Reviews approved by the faculty administrator and Dean shall be registered with the University registry and shall be submitted to Human Resources for payment.

**Art. 22** Expenses regarding transportation and accommodations for the reviewers outside the University are supported by the Doctoral School on behalf of doctoral students registered to daily, scholarship or not, budgeted form of education. Otherwise, such expenses shall be supported by the student.

**Art. 23** After the public defence, the student shall demand of C.S.U.D. the list of necessary documents that are to be uploaded on the REI platform in order to validate the title of PhD.

The solicited papers will be submitted to C.S.U.D. in **no later than 20 days from the defence** and must comprise the following PDF/WORD documents:

- ID
- Birth certificate;
- Documents that prove the change of name, as the case;
- Signed CV of the doctoral student;
- Educational contract;
- Preliminary defence written application;
- Statement on own responsibility;
- Similarity report;
- The report of the preliminary defence written by the Doctoral School Director;
- The doctoral supervisor's decision regarding the support committee's structure;
- Signed CVs of the doctoral supervisor and of the official reviewers;
- The nomination order for the support committee;
- The written application for fixing the date of the public defence;
- The announcement for the public defence;
- Official reports;
- Doctoral supervisor's report;
- Guidance committee's approval;
- Record of the public defence;
- Summary of the doctoral thesis;
- The doctoral thesis and its annexes in PDF (not scanned)
- A list of publications by the doctoral student and copies of said publications;
- Doctoral student's statement regarding options for publication of the thesis;
- Personal data of the doctoral supervisor (Personal Security Number, phone, email in WORD format);

**Art. 24** The file of the doctoral student which shall remain in the University's archives must contain:

- True copies of personal papers (certificates, diplomas etc.) made by the doctoral student;
- Activity statement in accordance with **Form PO.CSUD.01-F14**;
- List of publications in accordance with **Form PO.CSUD.01-F15**;
- Title of the doctoral thesis translated into English;

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- Doctoral thesis synopsis – one page maximum – shall include the thesis' relation to the scientific field (with emphasis on own contribution and originality). It shall be brought printed and signed and also in electronic format (CD or emailed to doctorat@tuiasi.ro). It must include the title of the thesis, the names of both the supervisor and the doctoral student.
- CD containing the thesis in PDF – 2 copies.

**Art. 25.** The title of PhD shall be granted through Decree from the Ministry of National Education and Scientific Research, after the validation of the doctoral thesis by the CNATDCU. The PhD diploma is drawn at the C.S.U.D. Secretariat in no longer than three months from the reception of the Ministry Decree which confirms the title.

## 8. RECORDS

1. Indicator for approvals and revisions
2. Distribution list
3. Files of doctoral students

## 9. ANNEXES AND FORMS

Form PO.CSUD.01-F1	- Cover model for the doctoral thesis.
Form PO.CSUD.01-F2	- Title page model for the doctoral thesis
Form PO.CSUD.01-F3	- Application for the start-up of doctoral thesis evaluation procedures
Form PO.CSUD.01-F4	- Application for the preliminary defence of the thesis
Form PO.CSUD.01-F5	- Approval from the guidance committee
Form PO.CSUD.01-F6	- Report of the Director of the Doctoral School
Form PO.CSUD.01-F7	- Application for the approval of a doctoral committee
Form PO.CSUD.01-F8	- Application for public defence
Form PO.CSUD.01-F9	- First page summary
Form PO.CSUD.01-F10	- Payment report for the official reviewers
Form PO.CSUD.01-F11	- Payment report for the president of the committee
Form PO.CSUD.01-F12	- Payment report for the doctoral supervisor and the doctoral committee
Form PO.CSUD.01-F13	- Record of the public defence
Form PO.CSUD.01-F14	- Activity Statement
Form PO.CSUD.01-F15	- List of publications

## 10. RESPONSIBILITIES

### 9.1. Process manager – CSUD:

- Draws up/ revises/ withdraws current procedure;
- Manages procedural activities.

### 9.2. TUIASI Senate:

- Approves the procedure.



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- 9.3. TUIASI Rector:**
- Enforces the procedure;
  - Secures the resources for the procedure.
- 9.4. Doctoral School:**
- Applies the procedure.
- 9.5. CEAC:**
- Approves the procedure.
- 9.6. CSCIM**
- approves the procedure;
- 9.7. Doctoral students**
- Applies and complies with the current procedure.

## 11. CONTENTS

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