

“Alexandru Ioan Cuza” University of Iași

FACULTY OF HISTORY  
DOCTORAL SCHOOL

ORGANIZATION AND FUNCTIONING REGULATIONS  
FOR THE DOCTORAL STUDIES  
AT THE FACULTY OF HISTORY

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## I – PREAMBLE

Art. 1 – (1) The institutional regulations on the organization and development of the doctoral studies at the Faculty of History, “Alexandru Ioan Cuza” University of Iași (“UAIC”), as an institution that organizes doctoral studies (“IOSUD-UAIC”), are based on the Law on national education No. 1/2011, with subsequent alterations and annotations (called “Law” in the rest of the text), on the Code of Doctoral Studies (“Code”), approved by GD No. 681/2011, on the Chart of the “Alexandru Ioan Cuza” (“Chart”) and on the Institutional regulations for the organization and functioning of the UAIC (“UAIC” Regulations).

## II – ORGANIZATION OF DOCTORAL STUDIES AT THE FACULTY OF HISTORY

### Doctoral School and Doctoral School Council

Art. 2 – (1) At the “Alexandru Ioan Cuza” University, the doctoral studies are organized in accredited or temporarily authorized doctoral schools. IOSUD-UAIC provides the institutional, administrative and logistic support to the subordinated doctoral schools. The organization and functioning of the IOSUD, as well as of the Council for University Doctoral Studies (“CSUD”), follow the norms within the UAIC Regulations.

Art. 2 – (1) The programs of the doctoral school are organized and developed within the IOSUD-UAIC only in the doctoral schools organized in faculties.

(2) The doctoral school is organized and it functions within the IOSUD-UAIC with at least three doctoral tutors. A third of the doctoral tutors within a doctoral school may belong to foreign academic or research institutions. A doctoral tutor may supervise the doctoral students only within the IOSUD-UAIC, except for joint doctoral theses.

(3) The constitution of a doctoral school is proposed by the UAIC Chancellor, with a license from the UAIC Senate and an approval from the CSUD.

(4) The doctoral school is led by the doctoral school director and by the doctoral school council (“CSD”), with a 5-year mandate. The doctoral school director is assimilated to the head of department and he is a full-right member of the CSD. The doctoral school council is assimilated to the department council.

(5) The election of the CSD members and the appointment of the doctoral school director take place according to the Code.

(6) The CSD meets at least 3 times a year, at the request of the doctoral school director or of at least a third of its members.

(7) The doctoral school director has the following attributions:

(a) he ensures the collaboration between the doctoral school and the departments or collectives of the faculty;

(b) he makes sure that rules are observed in the organization and development of the entire activity within the doctoral school;

(c) he ensures the representation of the doctoral school before the direction of the IOSUD – UAIC;

(d) he elaborates the curriculum for the Advanced University Training Program (PPUA);

(e) he elaborates the organization charts of the doctoral school and he sends them to the CSD and to the faculty council for approval;

(f) he ensures the financial management of the doctoral school, with support from the faculty direction;

(g) he organizes and follows the development of the activities within the training programs of the doctoral students;

(h) he organizes and monitors the PhD admission contest.

Art. 3 – The CSD attributions include the following:

(a) elaborating the regulations of the doctoral school;

(b) decision-making regarding the membership (admission or revocation) in the doctoral school of certain doctoral tutors, as well as setting minimal scientific performance standards for an objective application of these procedures;

(c) approving the enrolment or expelling of doctoral students;

(d) deciding on the organization chart of the teaching and research staff affiliated to the doctoral school;

(e) approving the commissions of advisers;

(f) approving the commissions of public presentations of PhD theses;

(g) deciding on the curricula;

(h) assisting the external evaluators for accreditation/re- accreditation or temporary authorization of the doctoral school.

Art. 4 – (1) The Regulations of the doctoral school determine the organization and progress of its doctoral programs.

(2) The Regulations of the doctoral school are elaborated by the CSD, after consulting all the doctoral tutors, members of the school in question, and by following the Institutional Regulations regarding organization and development of the doctoral programs at the IOSUD-UAIC level;

(3) The Regulations of the doctoral school are decided on by universal, direct, secret, and equal vote of the absolute majority of the doctoral tutors, members of the school in question.

(4) The Regulations of the doctoral school are approved by the CSUD.

(5) The Regulations of the doctoral school determine mandatory criteria, procedures, and standards regarding at least the following aspects:

(6)

(a) regulations on accepting new doctoral tutors, as well as on the way in which a doctoral tutor may lose the membership in the doctoral school;

(b) the structure and content of the Advanced University Training Program;

(c) the doctoral tutor changing procedures for a certain doctoral student and the conflict-mediating procedures;

(d) expelling procedures;

(e) the conditions for interrupting the PhD thesis;

(f) the ways of preventing and sanctioning fraud in scientific research, including plagiarism;

(g) regulations on granting the access to research resources;

(h) regulations on the course attending obligations of the doctoral students;

(i) indicators of monitoring and internal evaluation for the doctoral curricula;

(j) indicators for evaluating the activity and progress of the doctoral students.

Legal rapports of the doctoral school with the doctoral students. Doctoral learning agreement

Art. 5 – (1) The rights and obligations of the doctoral students, of the doctoral tutors, as well as of the IOSUD-UAIC, through the doctoral school, are determined by the PhD learning agreement. The model of the PhD framework agreement is elaborated by the CSUD. The agreement is adjusted to the regulations of the doctoral school, decided on by the CSD, and approved by the management of the IOSUD-UAIC.

(2) The PhD learning agreement is closed with each doctoral student and signed by the said doctoral student, by the doctoral tutor, and by the UAIC Chancellor.

(3) The completed and signed agreements and addenda are to be stored by the doctoral schools, within the file of each doctoral students. A copy will be handed to the doctoral student.

(4) The withdrawal from the PhD program maybe done at the request of the doctoral student, with a license from the CSD and an approval by the direction of the IOSUD-UAIC.

(5) The doctoral student will be expelled in the following situations:

a) the doctoral student exceeds the period determined by the Law, the Code, and the Regulations regarding the presentation of scientific reports;

b) the doctoral student exceeds the period determined by the Law, the Code, and Regulations regarding the presentation of the PhD thesis;

c) the doctoral student does not observe the tasks and obligations stated in the Regulations and in the present Regulations of the Doctoral School of the Faculty of History;

d) the doctoral student commits a scientific fraud incompatible with the status of the Doctoral School;

(6) The expelling is proposed by the doctoral tutor or by the director of the doctoral school and it is approved by the CSD. The expelling decision is signed by the UAIC Chancellor and it is transmitted to the doctoral student.

(7) The doctoral student expelled for grounds of scientific fraud may not apply for admission to the IOSUD-UAIC anymore.

(8) The ongoing agreement ceases on the expelling or withdrawal date.

Status of doctoral students – rights and obligations

Art. 6 – (1) The quality of doctoral student is acquired by admission contest. The same quality when the PhD thesis if finalized, or in cases of expelling or withdrawal. After enrolling, the doctoral student receives a doctoral student grade book, valid

throughout the studies. It offers the owner the right to be lodged or to take meals on university campus, to attend conferences with a discount or to be exempted from certain taxes, etc.

(2) The doctoral student may be enrolled only in one doctoral school, which files all the unpublished materials corresponding to the academic obligations.

(3) Throughout the activity, the doctoral student benefits from accumulated service and from free medical assistance, without paying any contribution to the State, to the Unemployment fund, to Health insurance fund, or to the Workmen's compensation insurance fund.

(4) The operational registration of IOSUD – UAIC students is organized on the level of each doctoral school.

(5) The entire activity related to the management of the activity carried on by doctoral students takes place within the doctoral school, from admission to the public presentation, included.

(6) The Secretariat of the Faculty of History provides the Secretariat of the Office for Doctoral Studies with the necessary information on the number of quality of doctoral students.

Art. 7 – (1) The rights and obligations of the doctoral student are stated in the Law, in the present regulations, and in the regulations of the corresponding doctoral school.

(2) Throughout the doctoral studies, the doctoral student has the right to:

(a) benefit from the support, guidance, and coordination of the doctoral tutor, as well as of the commission of advisers;

(b) attend the seminars or work reunions of the research-development personnel within the UAIC when relevant themes for the doctoral studies are discussed;

(c) be represented in the decision bodies of the doctoral school, according to legal provisions and to the present regulations;

(d) benefit from the logistics, research centres, libraries, and equipments of the Faculty in order to elaborate the research projects and the PhD thesis;

(e) follow the courses and seminars proposed by other doctoral schools;

(f) work together with teams of researchers within the IOSUD-UAIC or within research-development units that closed institutional agreements or partnerships with the IOSUD-UAIC;

(g) benefit from national or international mobilities, based on the existing funds;

(h) benefit from institutional support, based on the finances for doctoral studies, to attend scientific conferences or congresses, workshops, summer or winter schools, national and international seminars in the specialty field of the PhD thesis;

(i) attend the series of scientific events organized by the doctoral school or/and by the IOSUD-UAIC;

(j) be informed on the curriculum of the doctoral studies within the doctoral school.

(3) Throughout the doctoral studies cycle, the doctoral student has the following

obligations:

- (a) to respect the program determined with the doctoral tutor and to meet the obligations stipulated in the PPUA;
- (b) to present research reports according to the individual training plan;
- (c) to communicate permanently with the doctoral tutor and the doctoral school;
- (d) to respect the institutional discipline.

#### Status of the doctoral tutors – rights and obligations

Art. 8 – (1) The quality of doctoral tutor is acquired according to the legal norms. In order to tutor PhDs within the UAIC, the teaching and research staff members who acquired this right have to have signed an agreement with the IOSUD-UAIC and to be members of a doctoral school within the IOSUD-UAIC.

(2) The doctoral tutor may be affiliated only to one doctoral school; in other doctoral school, he may only be part of joint PhDs.

(3) If a specialty does not benefit from a specialist within the Doctoral School of the Faculty of History, an external doctoral tutor may be appointed, provided that the legal conditions for doctoral tutoring be respected, after obtaining a license from the General assembly of the doctoral tutors and an approval from the CSD.

(4) The rights and obligations of the doctoral tutor are stipulated in the Law, in the UAIC regulations, in the Regulations of the Doctoral School within the Faculty of History, and his his/her work agreement.

(5) The doctoral tutors have the following rights:

- (a) to participate to contests for doctoral grants;
- (b) to advise and assess the activity of the doctoral student within the doctoral program, according to professional and academic autonomy, by meeting the requirements of the doctoral program and by respecting the professional interests of the doctoral student;
- (c) to propose the commission of advisers and the commission of public presentation of the PhD thesis;
- (d) the right to an impartial internal and external evaluation, according to the specific methodology of the evaluation process;
- (e) the right to know the methodology by which it is evaluated, for both the internal and the external evaluation;
- (f) the right to know the outcomes of the internal and of the external evaluation of the activity;
- (g) the right to refuse advising a doctoral student if a conflict of interests arises without his knowledge;
- (h) the right to solicit to the CSD, based on good grounds, the interruption of

doctoral tutoring;

(i) the right to solicit to the doctoral school the organization of an admission contest for each doctoral student position under his guidance;

(j) the right to attend the selection of the PhD candidate for a vacant position that he supervises, by admission contest, and to propose the enrolment of the admitted doctoral student;

(k) the right to decide the study elements within the Advanced University Training Program that the doctoral student must attend.

(6) The doctoral tutors have the following obligations:

(a) to ensure the scientific, professional, and deontological guidance of each doctoral student;

(b) to establish the research themes;

(c) to ensure the conditions and to stimulate the progress of the doctoral students in their research;

(d) to monitor and to ensure the objective and rigorous assessment of each doctoral student;

(e) to support the mobility of the doctoral students;

(f) to avoid any conflict of interests in the guidance of the doctoral students.

(7) The membership of the Doctoral School within the Faculty is History can be lost in the following cases:

(a) losing the capacity of tutoring PhDs;

b) violating the principles of ethics and standards, in contradiction with the provisions of the Law, of the UAIC Regulations, and of the Chart.

## Guidance of the doctoral students

Art. 9 – (1) Throughout the doctoral studies, each doctoral student is guided by a doctoral tutor and by a commission of advisers.

(2) The members of the commission of advisers are appointed by the doctoral tutor after consulting the doctoral student and obtaining the approval of the CSD. The members of the commission of advisers may be affiliated to an education and research institution in the country or abroad and they have to have a PhD in history or in a related domain (philology, philosophy, theology, law).

(3) The doctoral tutor may tutor several doctoral students at a time only within the IOSUD-UAIC, except for joint theses.

(4) The doctoral tutor may tutor doctoral students only in the field for which this right was acquired.

(5) The doctoral tutor may guide up to ten doctoral students at a time. The maximal number of doctoral students does not include the doctoral students who interrupted the program, those in the period of grace for the finalization and public presentation of the PhD thesis, the doctoral students who already presented publicly the PhD thesis but have not been validated yet by the CNADTCU, the doctoral students who have to reconsider the thesis following an invalidation, the doctoral students with a joint thesis, if the tutor in question is not a principal doctoral tutor.

(6) The doctoral tutors may take new doctoral students until they retire or until they reach 70.

Art. 10 – (1) The PhD thesis may be organized jointly if the research is interdisciplinary or if it requires activities carried on in several academic institutions.

(2) For a joint thesis, a principal doctoral tutor is determined. The doctoral student is completely accounted for with the principal doctoral tutor, including in the latter's teaching and researching activity.

(3) The joint doctoral thesis is based on a joint agreement, closed as illustrated below:

(a) between the doctoral tutors, if both tutors activate within the IOSUD-UAIC;

(b) between IOSUD-UAIC and other institutions which organize doctoral studies in the country or abroad; in this case, the joint agreement or accord is agreed on by the doctoral tutor and by the director of the doctoral school involved, and approved by the direction of the IOSUD - UAIC. The joint agreement/accord will be stored in the file of the doctoral student.

(4) The joint agreements/accords respect the specific legislation and they have to state explicitly the following:

(a) the scientific and financial responsibilities of the parties;

(b) the responsibilities related to the official presentation of the thesis.

#### Change of the doctoral tutor

Art. 11 – (1) The CSD decides the change of the doctoral tutor under the following circumstances:

(a) the doctoral tutor retires and he does not wish to go on with the doctoral tutoring activity;

(b) at the request of the doctoral tutor, motivated by the impossibility of carrying on with the guidance of the doctoral student;

(c) at the request of the doctoral school, if the doctoral tutor is unavailable for more than a year;

(d) at the motivated request of the doctoral student, for other reasons related to the guidance rapport between the doctoral tutor and the doctoral student;

(e) at the joint request of the doctoral and of the doctoral tutor.

(2) The new doctoral tutor may be proposed by the CSD or by the doctoral student.

(3) The change of the doctoral tutor may be approved only after obtaining a written agreement from the new doctoral tutor. If the new doctoral tutor activates in another institution that organizes doctoral studies, its management must also approve the change.

(4) In case of a scientific or ethical conflict between the doctoral tutor and the doctoral student, the said conflict will be mediated by the CSD. If the mediation has no results, the case will be brought before the CSUD and, depending on the situation, before the Ethics Commission of the University.

### III-PROGRESS OF DOCTORAL STUDIES

#### Selection and admission to the programs of doctoral studies

Art. 12 – (1) The admission procedure for the programs of doctoral studies constitutes the process of selecting the candidates for each vacant position of doctoral student which the doctoral tutors within the doctoral school decide to propose at a certain point.

(2) The CSUD elaborates admission methodologies early, cu at least six months before admission date. They are approved by the UAIC Senate.

(3) The admission to the program of doctoral studies is by early contest, organized for each vacant position proposed by the doctoral tutor. The contest examinations take place before an admission commission proposed by the CSD and approved by the CSUD.

(4) The examinations take place according to the admission methodology determined by the General assembly of the doctoral tutors and proved by the CSD. The themes and bibliography for the tests are proposed by the doctoral tutors with vacant positions, after obtaining the approval the doctoral school council. The grades of the bachelor's degree or of the master degree may be taken into account, but not the means or the grades of the study years. The minimal admission grade is 8 (eight).

5) The admission contest for the doctoral studies will take place as follows:

a) The examinations will be both written and oral.

b) The themes and bibliography for the tests are proposed by the doctoral tutors with vacant positions, after obtaining the approval the doctoral school council.

c) The written examination will contain subjects regarding the themes and bibliography proposed by each doctoral tutor. The written examination will be assessed by each doctoral tutor.

d) The oral examination consists of an interview based on the themes and bibliography proposed by the doctoral tutor. The examination commission will include six members: the Manager of the Doctoral School within the Faculty of History, three doctoral tutors within the Faculty of History, the doctoral tutor of the doctoral student in question and a secretary. The oral examination grade represents the arithmetic mean of the grades proposed by the doctoral tutor and by the other members of the commission, except for the secretary.

e) The final grade of the candidate is constituted by the arithmetic mean between the written and the oral examination. The minimal admission grade is 8 (eight).

f) The tiebreak between the candidates occurs by descending order of the final

grades, depending on the places available for the doctoral tutor in question. If there are candidates with identical grades, the grade of the oral examination will serve as a tiebreaker.

g) The tiebreak between the candidates will also determine the number of doctoral for the Faculty of History.

(6) The admission methodology stipulates the registration conditions, the content of the registration dossier and the phases of the contest.

(7) The candidates admitted based on the admission results are enrolled by a Decision of the UAIC Chancellor.

#### Form and duration of doctoral studies

Art. 13 – (1) The doctoral studies have a full-time basis.

(2) The necessary physical presence of the doctoral student is decided by the doctoral tutor, depending on the scientific objectives determined jointly. If the doctoral student fails to respect this program, the doctoral tutor may propose sanctions, even the expelling of the doctoral student.

Art. 14 - (1) The doctoral program has 3-year duration. It may be delayed by 1-2 years, at the proposition of the doctoral tutor, with a license from the CSD and the approval of the UAIC Senate, based on the available funds; the financing can be ensured from the State budget (by prolonging the doctoral grant) or by a fee.

(2) The doctoral program may only be prolonged for very good reasons, according to the provisions of the Regulations.

(3) The doctoral studies may be interrupted at the request of the doctoral student for good grounds: maternity leave, medical leave (with the approval of the medical unit of the University) and in cases of force majeure. The duration of the doctoral studies is prolonged by the cumulated periods of the approved interruptions.

(4) The interruptions are approved by the CSD, with a license from the doctoral tutor.

(5) The prolongation or the interruption is established by addends to the doctoral learning agreement.

Art. 15 – (1) If the doctoral student fails to finalize the PhD thesis by the end of the learning agreement (3 years) and of the potential addenda, he benefits from a period of

grace of up to 4 years, according to the Law No. 49/2013, to finalize and present the thesis in public; if he fails to do so, he will be automatically expelled.

(2) During the period of grace, specified in the previous point, the doctoral student cannot benefit from a doctoral scholarship or from any kind of financial support from doctoral grants.

(3) During the period of grace, no hours are assigned to the doctoral tutor and to the members of the commission of advisers.

(4) In the first year of the period of grace, the doctoral student has no financial obligations to the doctoral school. If the period of grace exceeds one year, the doctoral student has to pay the fee for the public presentation of the thesis.

(5) During the period of grace, the doctoral studies may not be interrupted or prolonged.

Programs of doctoral studies

Art. 16 – The programs of doctoral studies comprise the Advanced University Training Program (“PPUA”) and the Scientific Research Program (“PCS”).

Art. 17 – (1) The structure and content of the PPUA are illustrated in the table below

(L = Lecture, S = Seminar, E = Examination). In order to obtain the PPUA graduation certificate, 20 credits to the mandatory disciplines and 10 credits to the complementary training module have to be obtained. The doctoral students are divided into two groups, by the specific of their specialization: archaeology, ancient history and medieval history, and modern history and contemporary history, respectively.

Nr. crt.	COMPULSORY DISCIPLINES	Discipline code	1 <sup>st</sup> semester			
			L	S	Form of assessment	No. of cred.
1.	Orientations in contemporary historiography: great themes and methods		2	2	E	10

2.	Methodology of a PhD thesis		2	2	E	10
3.	Complementary training module					10
TOTAL			4	4	2E	30

(2) The completion of the PPUA has to ensure 30 ECTS credits.

(3) The credits obtained during a research master program or the completion of previous PhD/scientific research programs – in the country or abroad, in prestigious universities or research-development units – may be considered as equivalent with the Advanced University Training Program. It is proposed by the doctoral tutor and approved by the CSD.

Art. 18 – (1) In order to ensure the knowledge base necessary for the development of the doctoral studies, the Doctoral School may organize research master study programs, exclusively for the full-time education mode, with a focus on acquiring scientific research skills.

(2) The learning acquired within research master study program may be considered equivalent with the Advanced University Training Program.

Art. 19 – (1) The Scientific Research Program (“PCS”) involves the participation of the doctoral student to one or more scientific projects determined by the doctoral tutor.

(2) The PCS is based on an individual scientific research plan, elaborated by the doctoral tutor and approved by the CSD, guided by the doctoral tutor, with the support of a commission of advisers. The last includes three other members that may be part of the research team of the doctoral tutor, affiliated to the doctoral school, or among non-affiliated teaching or research staff. All the members of the commission of advisers have to possess a PhD.

(3) The composition of the commission of advisers is determined by the doctoral tutor after consulting with the doctoral student and getting the approval of the CSD.

Art. 20 – (1) The research activity of the doctoral student is assessed by four research reports presented before the commission of advisers, as follows:

(a) a report during the first year, after the completion of the PPUA, as a project outlining the future thesis, the state-of-the-art in the field, the study objectives, the research methodology, the graph of proposed activities, etc.

(b) two reports during the second or the third year of the doctoral studies; each doctoral tutor will decide on the content and form of these reports.

(c) the presentation of the thesis before the commission of advisers (for analysis), in order to obtain the agreement for the public presentation (the final report).

(2) Upon each report, the doctoral student has to meet the minimal scientific activity standards. They are determined together with the doctoral tutor and, if they are met, the doctoral tutor will give his accord for the doctoral student to present the report.

Art. 21 – (1) The terms for the presentation of the research reports are stipulated in the individual scientific research plan. The terms for the presentation of the first three reports may be prolonged by up to 3 months, at the request of the doctoral student, with a license from the doctoral tutor and the approval of the doctoral school director. If he fails to present the reports in due time, the doctoral student is proposed for expelling.

(2) The report presentations are assessed as follows: “very good”, “good”, “satisfactory” or “non-satisfactory”. The presentations will be followed by an official report (its model will be determined on the level of each doctoral school, based on a template). The official reports are included in the file of the doctoral student.

(3) If a report is rejected (thus labeled “non-satisfactory”), the doctoral student may elaborate it again and present it just once, following the same procedure, in three months since the data of rejection. If he fails to get the report accepted the second time, the doctoral student is proposed for expelling.

The doctoral thesis (content, presentation, ethics, and intellectual property)

Art. 22 – (1) The finalization of doctoral studies comprises the elaboration and public presentation , before the doctoral commission, of a doctoral thesis. This thesis is elaborated according to the requirements determined by the regulations of the doctoral school.

(2) The title of the doctoral thesis may be modified, with the agreement of the doctoral tutor and the approval of the CSD, until it is handed in.

(3) The elaboration of the doctoral thesis follows the Guideline of Annex 1 integrated in the present regulations.

(4) The author of the doctoral thesis and the doctoral tutor are responsible for the observation of the quality and professional ethics standards, including in regard to content originality.

(5) The doctoral thesis and their annexes are public documents and they are also elaborated in a digital format.

Art. 23 – The doctoral thesis will be assessed by the commission of advisers, in order to be approved for the public presentation.

Art. 24 – (1) The public presentation may take place only after the doctoral tutor and the members of the commission of advisers gave their consent.

(2) If the doctoral tutor or the commission of advisers – during the assessment of the thesis – notices any violation of proper conduct in research-development, including plagiarizing the results or publications of other authors, making up or replacing the outcomes with fictional data, leads to the loss of the right to present the thesis publicly.

Art. 25 – for the public presentation, the doctoral thesis will be handed in to the secretariat of the doctoral school. The thesis will be accompanied by a paper from the doctoral tutor and by the official report of the session when the commission of advisers approved the presentation. The public presentation of the doctoral thesis will take place in up to three months from the approval by the commission. All expenses for the public presentation are provided by the budget of the doctoral school. If the public presentation is delayed beyond the three years from enrolment, all expenses fall into the charge of the doctoral student.

Art. 26 – (1) If the thesis is accepted for presentation, the doctoral tutor (the principal tutor) proposes and the CSD approves the composition of the commission for the presentation of the thesis. The commission requires a license from the IOSUD management.

(2) The doctoral commission includes at least 5 members: the president, as representative of the IOSUD-UAIC; the doctoral tutor (tutors) and at least 3 official national or international referents, specialists in the field of the doctoral thesis. At least two of the members have to carry on their activity outside of the IOSUD-UAIC. The members of the doctoral commissions are at least doctors or they are at least associate professors or second-degree research scientists, or they acquired the quality of doctoral tutor in the country or abroad.

(3) The appointment decision, signed by the UAIC Chancellor, is transmitted to the members of the commission by the secretariat of the doctoral school. They must elaborate the evaluation reports within 30 days from receiving the thesis.

Art. 27 – (1) The date, hour, and place of the public presentation are proposed by the commission president and approved by the faculty direction at least 15 days prior to the presentation.

(2) Meanwhile, the secretariats of the doctoral schools will ensure the possibility of public consultation for the doctoral thesis at the faculty library.

(3) The office of doctoral studies, in collaboration with the secretariat of school, will put on a flyer containing the date, hour, and place of the public presentation of the doctoral thesis. The flyer will be placed on the walls of faculties and in the hall at the entrance to the University (A building).

The electronic version of the flyer will be placed on the *website* of the Faculty and of the Office of doctoral studies.

Art. 28 – The doctoral student will elaborate an abstract of the doctoral thesis, to be sent to specialists in the field or to the research departments of companies interested. If the doctoral thesis is written in an international language, an abstract will be elaborated in Romanian; the exception is the foreign doctoral students who have an approval for elaborating the thesis in another language. The first page of the abstract is the copy of the flyer. The abstracts will be sent right after the approval for the public presentation date of the doctoral thesis.

Art. 29 – If, after the doctoral thesis is handed in view of the public presentation, serious violations of the scientific ethics are noticed (including plagiarism), the ethics commission of the UAIC must be announced in order to analyze the thesis. If the ethics commission of the UAIC determines the plagiarism, the doctoral student will be expelled.

Art. 30 – (1) The presentation of the doctoral thesis may only take place after the assessment by all the members of the doctoral commission and in the presence of at least four of them, with the mandatory participation of the commission president and of the doctoral tutor.

(2) The public presentation must include a session of questions from the members of the doctoral commission and from the public.

(3) Based on the public presentation of the doctoral thesis and of the reports of the official referents, the doctoral commission evaluates and deliberates on the qualification of the doctoral thesis, as follows: “Excellent”, “Very good”, “Good”, “Satisfactory”, and “Non-satisfactory”.

(4) If the doctoral student met all the requirements of the scientific research program and if the evaluations of the doctoral thesis permit the attribution of “Excellent”, “Very good”, “Good”, or “Satisfactory”, the doctoral commission proposes to grant the title of doctor.

(5) If the thesis is labelled “Non-satisfactory”, the doctoral commission details the content elements to be reviewed or completed in the doctoral thesis and it solicits a new public presentation of the thesis. The second public presentation of the thesis takes place

before the same commission as the first, on a date set by the commission. For the organization of the second presentation, the doctoral student will pay the corresponding fee. If the second presentation is also labeled “Non-satisfactory”, the title of doctor will not be granted and the doctoral student will be expelled.

Art. 31 – The secretariat of the doctoral school hands over to the Office of doctoral studies the complete file, in order for it to be sent to the CNATDCU, to confirm the title of doctor.

Art. 32 – If the CNATDCU invalidates the doctoral thesis, it can be retransmitted within a year from the first invalidation. If the doctoral thesis is invalidated the second time, the doctoral student will be expelled.

Art. 33 – (1) If the CNATDCU validates the doctoral thesis, the title of doctor is ascribed by an order of the Minister of Education.

(2) after finalizing the doctoral studies, the IOSUD-UAIC issues a diploma and the title of doctor in sciences, with the correspondent acronym *PhD*.

(3) the Office of doctoral studies has to obligation to inform, the doctoral schools on the confirmation of the doctor title by Ministerial Order or in the invalidation of the theses on the level of the CNATCDU.

#### Observation of the scientific and ethical standards

Art. 34 – (1) The professional ethics and standards are defined in Annex 2 of the present regulations.

(2) The doctoral student is the author of the thesis and he takes full responsibility for the accurateness of the data and information presented in the thesis, as well as for the opinions and demonstrations within the thesis.

(3) The CSD has to right to announce the CSUD regarding the violation of professional ethics and standards of the doctoral students. In such situations, the CSD has to right to propose sanctions to the CSUD, including expelling the doctoral student.

(4) The CNATDCU may be contacted regarding the violation of the quality of professional ethics standards, including in regard to plagiarism within a doctoral thesis, irrespective of the date on which it was presented.

(5) The National Ethics Council for Scientific Research, Technological Development, and Innovation may be contacted in regard to the violation of god conduct standards in research-development by the research-development personnel within the

IOSUD, according to the provisions of Art. 323 in the Law.

Evaluating the programs of doctoral studies, the activity of doctoral students, and of the doctoral tutors

Art. 35 – (1) The quality of doctoral programs, of the results of the doctoral students and of the doctoral tutors benefit from both an internal and an external evaluation.

(2) The external evaluation of the quality of doctoral programs, of the results of the doctoral students and of the doctoral tutors takes place every five years, according to the procedures determined by the Ministry of National Education.

(3) The internal evaluation of the quality of doctoral programs is performed periodically by the CSUD, based on a methodology elaborated by the Council for Quality Assessment and Management.

(4) Indicators for the monitoring and internal evaluation of the activity carried on by the doctoral students:

- a) observing the tasks and obligations stipulated in the PPUA;
- b) observing the minimal and mandatory tasks and obligations stipulated in the PCS;
- c) observing the professional and ethics standards stated in the legislation and in the current regulations.

(5) Indicators for the monitoring and internal evaluation of the activity carried on by the doctoral tutors:

- a) observing the obligations stipulated in the present regulations;
- b) making sure that the doctoral students observe the professional and ethics standards stated in the legislation and in the current regulations.

Financing the programs of doctoral studies

Art. 36 – (1) The financing of the doctoral studies programs follows the art. 160 of the Law, the art. 51 and 52 of the Code, and the institutional financing agreement.

(2) The doctoral studies programs are financed from public funds (doctoral grants) and private funds. The public funds are ensured by the Romanian state or by the EU. The private funds are obtained from taxes received by the doctoral schools within the IOSUD-UAIC or from contributions of private agents, donations or agreements closed with

private economic agents or with foundations.

(3) Each doctoral tutor who meets the criteria stipulated by the law regarding the contest may apply for a doctoral grant.

(4) The financing for the doctoral studies program is multiannual, for a three-year standard duration of doctoral studies. If the program is prolonged, the financed will be ensured by a fee.

(5) The persons who have the necessary financial resources (from personal funds or scholarships offered by physical or legal persons) may be admitted, at their own request, as doctoral students for a tuition fee, under the circumstances of the present regulations.

(6) The tuition fee for the doctoral program at the Faculty of history is 5,000

RON/year.

Norms regarding the activities of the doctoral School

Art. 37– (1) The guidance activities throughout the doctoral program follow the law. The activities within the PPUA and the PCS follow the rules of the organization chart of the doctoral school. The number of teaching hours is the one that results from the curriculum: up to 15 conventional hours per week, 14 weeks, with formations of at least six doctoral students. The doctoral tutor is ascribed 14 physical hours per week (170 physical hours per year), and each member of the commission of advisers is ascribed 10 physical hours per year, for each doctoral student, throughout the financed period.

(2) Annually, the Direction of Human Resources of the UAIC elaborates the methodology for the elaboration of organization chart and for payment for activities; they are approved by the UAIC Chancellor.

#### IV-FINAL DISPOSITIONS

Art. 38 – The provisions of the present Regulation are applied to the doctoral students enrolled registered starting with 1 October 2011, according to articles 73 – 77 of the Code.

Art. 39 – The present Regulation was adopted during the session of the General assembly of doctoral tutors of the Faculty of History, “Alexandru Ioan Cuza” University of Iași, on **2013** and it was approved by the CSD of the Faculty of History.

Doctoral School Director,

PROF. LUCREȚIU BÎRLIBA, PhD

## ANNEX 1. DOCTORAL THESIS GUIDELINE AT THE FACULTY OF HISTORY

### Essential criteria

(1) The PhD thesis is organized starting from a relevant research hypothesis in the field of history and/or it follows relevant themes for the research.

(2) After establishing the research hypothesis, the doctoral student has to determine the subfield, type of approach, and relevant methodology within the research. Within the thesis, the doctoral student has to prove that he knows well the specialized literature specific to the theme and to the approach, as well as the latest evolutions in the specialized literature (historical sources, academic journals, books and other relevant research, etc).

(3) The thesis must include methodologically accurate original research contributions and it has to illustrate the author's ability of coherently explaining and interpreting the research subject through the theoretical model/s chosen.

(4) The research objective assumed by the author is the first and the most important element of the PhD thesis; it constitutes the first criterion in the assessment of the thesis, hence its formulation, justification, and explaining represents the first important step in the organization of the thesis.

(5) The author has to justify the choice of theories and paradigms used by their capacity of providing explanations, predictions, etc on the research subject. After justifying the theoretical options, the author has to prove a good knowledge of these theories by briefly presenting the specialized literature, with an emphasis on the scientific knowledge state-of-art, not on the exhaustive character of successive evolutions within the approach in question.

(6) The choice and justification of the research methodology had to be logically correlated with the research objective and with the theoretical paradigm used; the author has to justify the choice of certain research method and the omissions of others, as well as to illustrate their proper use within the research.

### Formal criteria

(1) The PhD thesis has to contain at least 150 pages of text in A4 format, besides annexes (plates, maps, or photographs).

(2) Font: Times New Roman.

(3) Font size: 12 pt.

(4) Font size for footnotes: 10 pt.

(5) Spacing: 1.5 lines.

#### Citation and bibliography rules

(1) All known citation systems are accepted (with footnotes, Harvard, mixed, etc), but only one system will be used in the entire thesis.

(2) The bibliography will be elaborated by following the rules used in the historical research.

## ANNEX 2. THE CODE OF ETHICS AND STANDARDS OF PROFESSIONAL CONDUCT OF THE DOCTORAL SCHOOL WITHIN THE FACULTY OF HISTORY

The present code was elaborated in agreement with the Law No. 319/8.07.2003 on the Status of the teaching and research personnel, with the principles of the UAIC Chart, and with the UAIC Code of Ethics and Standards of Professional Conduct.

The doctoral students within the Doctoral School and the members of the Doctoral School within the Faculty of History have the following obligations:

- a) to respect the ethics and standards of the research-development activity;
- b) to respect the copyright (plagiarism is forbidden) and the confidentiality agreed on with the collaborators and sponsors of the research;
- c) to refrain from making up new outcomes or from replacing the outcomes with fictional data;
- d) not to introduce false information in their grant or financing applications;
- e) to refrain from creating any conflict of interests or unfair competition in the case of several activities carried on, following the norms;
- f) to participate to the development of young researchers and to transmit their own knowledge and experience in the research-development activity;
- g) to use the technical-scientific patrimony and other resources of the institution or of the unit exclusively for professional activities in the interest of the institution or unit acting as employer;
- h) to use the patrimony of archaeological sites, archives, museums, universities, other research institutions in agreement with the laws of the country and with the existing rules and regulations;
- i) to participate to the assessment of the research-development activity, as well as to that of their own outcomes;
- j) to carry on the scientific, technological, or innovating activity without violating the human rights and freedoms.