



INSTRUCTION IS-8

The completion and public defence of doctoral theses

This instruction is issued according to:

- The Law no. 1/2011 on National Education, with subsequent amendments and additions;
- Government Decision (HG) no. 681/2011 on the approval of the Code of doctoral studies;
- Government Decision (HG) no. 134/2016 on the amendment and completion of the Code of doctoral studies;
- Order no. 5229/2020 issued by the Minister of Education and Research (OMEC 5229/2020) for the approval of the methodologies concerning the granting of the habilitation title, the doctoral title, as well as the settlement of the complaints referring to the failure to observe the standards of quality or professional ethics, including the issue of plagiarism within a doctoral thesis;
- The Methodology of August 17, 2020 for the evaluation of doctoral theses, approved by Order 5229/2020 issued by the Minister of Education and Research (OMEC 5229/2020);
- Decision no. 13/8.12.2016 issued by CSUD-UNITBV;
- Decision HCA no. 61 of 9.07.2019/point 1 of the Executive Board of UNITBV.

I. General provisions:

1. The doctoral thesis is an original work; it is mandatory to specify the source for any material used in the text.
2. The doctoral student is the author of the doctoral thesis and shall bear the responsibility for the validity of the data and information presented in the thesis, as well as for the opinions and demonstrations included in the thesis.
3. The doctoral supervisor shall bear the responsibility, along with the author of the thesis, for complying with the standards of quality or professional ethics, and also for the originality of the content, according to the provisions of Art. 170 of Law 1/2011, with subsequent amendments and additions.

II. Stages and statutory due dates for the defence of the doctoral thesis

For the defence of the doctoral thesis the following stages are obligatory:

A. Preliminary stage before starting the official procedure for the completion / submission of the thesis to the Interdisciplinary Doctoral School (SDI)

1. In order for doctoral theses to enter the evaluation and public defence procedure, defined according to the legal provisions in force, a committee made up of the doctoral supervisor, the members of the advisory committee and other experts in the field from the faculty/department/research centre must perform a **preliminary analysis (presentation)** of the theses.

The observations and suggestions of all those present concerning the structure – content of the thesis shall be mentioned in a **preliminary analysis report** signed by all the members of the advisory committee and by the doctoral supervisor, and archived by the latter in the file of the doctoral student, and **the appropriate necessary amendments/additions shall be inserted in the doctoral thesis prior to the start of the similarity analysis procedure, and of the assessment of the thesis by the advisory committee.**

2. **The similarity analysis** (for the thesis which includes the amendments/additions recorded in the preliminary analysis) shall be performed by the doctoral student, using the Turnitin software available on the e-learning platform of UNITBV (<https://elearning.unitbv.ro/login/index.php>).

As a result of this analysis, the following documents generated by Turnitin shall be downloaded and saved:

- the proof of uploading/checking the doctoral thesis (Receipt_Name of doctoral student, in pdf form);
- the full report (Full report Turnitin_Name of doctoral student, in pdf form – is downloaded in the current view mode – feed-back studio, with the following settings: exclude the bibliography, exclude the citations, exclude similar fragments of under 6 words);
- the short-version similarity report (Short-version report Turnitin_Name of doctoral student, in pdf form – generated from the full report, out of which the first 2 pages are kept to identify the document and the last pages, starting with the results of the feed-back studio concerning similarity clues expressed as percentages – global values and classified according to their source, as well as the list of identified sources and their individual percentages).

3. **The analysis of the similarity report by the doctoral supervisor**, who shall write a **resolution** ([Appendix 1a-Doctoral supervisor resolution](#)) concerning the originality of the thesis, and its acceptance for pre-defence. The procedure shall continue with the official stages of SDI only for the theses which receive a positive resolution from the doctoral supervisor concerning their originality, and which were accepted for pre-defence before the advisory committee.

The similarity report (reports) and the resolution of the doctoral supervisor shall be included in the Doctoral file (which is uploaded electronically on the REI platform).

B. Official stages for the completion of the doctoral thesis carried out by SDI

1. **The doctoral student submits to the SDI secretary's office the doctoral thesis in electronic form and the application for starting the procedure for the assessment of the thesis** by the advisory committee ([Appendix 2a](#)). The application shall be accompanied by:

- the list of published scientific papers (pdf form and accessible links) signed by the doctoral student and approved by the doctoral supervisor who has to state explicitly that the doctoral student complied with their obligations to publish;
- the proof of uploading/checking the doctoral thesis in the Turnitin system (signed printed form and electronic form – pdf),
- the full Turnitin report (PDF), the short-version Turnitin report in signed printed form and in electronic form – pdf)
- the **resolution of the doctoral supervisor** on the originality of the thesis.

SDI issues a supporting document, recorded in the SDI register (record number/date), confirming the fact that the thesis was submitted electronically along with the accompanying documents ([Appendix 2b](#)).

2. **The SDI secretary's office verifies and certifies if the doctoral student complied with all obligations assumed** in the training programme, in the contract of doctoral studies, and in the minimal national standards for the award of the title of doctor according to OM 5110/2018 (for the doctoral students enrolled as of 2018), as well as the existence of the supporting documents for possible changes to the title of the doctoral thesis; the title of the thesis accepted for pre-defence before the advisory committee shall be the final title of the thesis which CANNOT be changed; this title must coincide with the title of the thesis for which the similarity analysis was performed and for which the doctoral supervisor issued their positive resolution on its originality.
3. **A control similarity analysis** shall be performed by SDI in similar conditions to the ones mentioned in the similarity analysis performed by the doctoral student (II.A.2).
4. **SDI issues the approval for the pre-defence of the doctoral thesis before the advisory committee** (for the theses accepted in the stages II.A.3, II. B.3, if the SDI secretary's office issues the approval on the fulfilment in full of the training programme and of the requirements concerning the documentation for the change of the thesis title (II.B.2); any changes with respect to the title of the thesis during the doctoral studies shall be done on the basis of a justified request from the doctoral supervisor and approved by C-SDI; The cumulated verification stages 2 and 3 at the level of SDI cannot exceed 30 days; in planning the procedural stages, a minimum processing time of 10 working days shall be taken into consideration.
Note: If, upon submitting the doctoral thesis for the start of the public defence procedure, the doctoral student fails to meet the conditions stipulated in the contract of doctoral studies and in the minimal national standards for the award of the title of doctor (as appropriate) concerning the minimal number of articles published in the field of the thesis during the doctoral studies, SDI shall perform stages II.B.2 and II.B.3, but the approval for the pre-defence of the thesis before the advisory committee shall be issued only after the contractual terms and conditions are fulfilled (the articles accepted for publication shall also be taken into consideration based on the proof of the publication acceptance received from the publishing house/editors).*
5. **The pre-defence of the thesis before the advisory committee;** after this pre-defence, which can be public (by inviting professors/experts from the faculty/department/research centre, as the case may be), the doctoral supervisor and the advisory committee shall decide on the official submission of the doctoral thesis and on the organization of the public defence. The acceptance report of the doctoral supervisor

and the approval of the members of the advisory committee, which are recorded in the meeting minutes ([Appendix 3](#)), registered at the faculty/department, shall be submitted to SDI and included in the Doctoral file. The members of the advisory committee that come from other institutions in the country or abroad may attend the pre-defence using a conference call system, reason for which they shall sign the minutes electronically. The maximum duration of the assessment of the doctoral thesis by the advisory committee is of 30 days and can be extended by a maximum of another 30 days for justified reasons.

6. The doctoral supervisor shall submit to SDI, around 45 days prior to the public defence, **the proposal for the members of the public defence committee*** ([Appendix 7](#)), accompanied by the following documents necessary to issue the Order of the Rector concerning the appointment of the doctoral committee:
- the pre-defence minutes (which includes the accord of the members of the advisory committee), recorded at the faculty/department where the pre-defence took place;
 - the analysis report of the doctoral supervisor and their approval of the thesis;
 - the statement of originality signed by the doctoral student and the doctoral supervisor ([Appendix 4](#));
 - the signed curriculum vitae of each of the members of the public defence committee
 - the affidavits on the inexistence of conflicts of interest between the doctoral student, namely their doctoral supervisor and the members of the public defence committee (if these affidavits were not sent previously) ([Appendix 10](#));
 - the affidavit on the inexistence of a conflict of interest between the doctoral student and their doctoral supervisor (if this affidavit was not sent previously) ([Appendix 11](#));

*Note**:* The doctoral committee is usually made up of 5 members: the head of the committee, as representative of IOSUD-UNITBV, the doctoral supervisor and 3 official advisors from Romania or abroad, of which, at least 2 of them must not be part of IOSUD-UNITBV. The advisors shall be experts in the field of the doctoral thesis, they shall speak the language in which the thesis is written and it is recommended these advisors not to have been members in the doctoral student's advisory committee. The members of the doctoral committee hold the title of doctor and at least the position of associate professors or 2nd degree scientific researchers or they are doctoral supervisors in Romania or abroad. The doctoral supervisor can request the addition of 1-2 other members to the doctoral committee for justified reasons (ex. joint supervision of the doctoral thesis).

If the thesis is written in Romanian and it is considered beneficial to include in the doctoral committee one (several) expert(s) from abroad (who do not speak Romanian), the entire text of the doctoral thesis shall be translated in an international language accessible to the experts in question so that they can analyse the doctoral thesis.

7. **The official submission of the doctoral thesis at the SDI secretary's office, at least 30 days prior to the estimated date of the public defence**, which implies the submission of the following documents:
- a. in printed form:**
- the doctoral thesis (including the appendices – if applicable), compiled based on the model ([Appendix 5](#)); the statement of authenticity is attached at the end of the thesis, originally signed; the thesis shall be printed in full (including the appendices and the statement of authenticity signed in original, attached at the end as an integral part thereof), in hardcover form – 1 copy
 - the resolution of the doctoral supervisor on the similarity report, originally signed – 1 copy;
 - the curriculum vitae of the doctoral student, with no personal data, originally signed – 1 copy;

- the list of scientific papers published during the doctoral studies programme (complete references, including links to the publications, as the case may be), connected to the doctoral thesis (published or accepted for publication), originally signed by the doctoral student and approved by the doctoral supervisor who has to state explicitly that the doctoral student complied with their obligations to publish – 1 copy;
- the proof that the doctoral thesis was submitted to the UNITBV Library (In order to obtain this proof, 1 printed copy of the thesis, in hardcover form, shall be submitted to the Library, in final form. The thesis shall include the appendices (if applicable) + the statement of authenticity originally signed, attached at the end as an integral part thereof. The thesis submitted to the library shall be accompanied by the related DVD (containing a pdf secured against printing and copying of the entire text of the thesis with appendices and the statement of authenticity – scanned document with original signatures).

b. in digital form (2 DVDs)

1 DVD containing:

- the doctoral thesis (including the appendices and the statement of authenticity, scan of the originally signed document) in **secure pdf form**;
- the summary of the doctoral thesis (unsecured pdf) / (in Romanian and in an international language ([Appendix 6](#)));
- the curriculum vitae of the doctoral student, without personal data, signed and scanned;
- the list of scientific papers published during the doctoral studies programme (complete references, including links to the publications), connected to the doctoral thesis (published or accepted for publication), signed by the doctoral student and approved by the doctoral supervisor who has to state explicitly that the doctoral student complied with their obligations to publish, in pdf form with accessible links;
- scanned copies of the scientific papers published during the doctoral studies programme, named and numbered according to the list of publications;
- the curriculum vitae of each member of the public defence committee, a scan of the originally signed document.

Note***: in what concerns doctoral theses written in an international language, the summary of the doctoral thesis shall be drafted also in Romanian and the doctoral theses written in Romanian shall be accompanied by a summary in English.

1 DVD including:

- the full text of the thesis with the appendices and the statement of authenticity – scans of the originally signed documents, in **pdf form secured against printing and copying** (similar to the one submitted to the library of UNITBV); Note: According to the regulations in force, this DVD along with the printed thesis officially submitted to SDI (7a) shall be conveyed by SDI to the National Library of Romania, after the doctoral title is confirmed.

8. SDI shall certify that the doctoral student fulfilled the obligations assumed in the training programme and the legal stages in the procedure for the completion of the doctoral thesis through a **Preliminary report of the public defence**, which is part of the Doctoral file.
9. The decision **for the appointment of the committee for the public defence of the doctoral thesis shall be issued** (Order of the Rector).
10. The doctoral student shall submit to SDI the application for setting the date for the public defence of the doctoral thesis, approved by the doctoral supervisor and the head of the committee ([Appendix 8](#)). The application shall be submitted at least 24 days prior to the date of the defence (in order to be able to comply with the statutory deadline concerning the publication of the announcement for the public defence which is at least 20 days in advance).
11. SDI shall draw-up the **Announcement for the public defence of the doctoral thesis and post it**, including on the UNITBV website, at least 20 days prior to the public defence. The announcement shall include the date, place and time of the defence, the doctoral supervisor, as well as the place where the full text of the thesis can be consulted in printed form (UNITBV Library). The announcement for the public defence, the summary of the thesis in digital form, the CV of the doctoral student and the CVs of the members of the public defence committee (or a link to them) are made public on the IOSUD- UNITBV website, stating the date on which they were posted.
12. **The defence of the doctoral thesis** can take place only after it was assessed by all the members of the doctoral committee who give their approval for the public defence of the thesis (positive reports). The public defence can take place only in the presence of at least 4 of the committee members, while the participation of the head of the committee and of the doctoral supervisor is compulsory. If an official advisor cannot be present in person at the public defence, they can attend using a videoconference call system (case in which they shall execute the minutes electronically before the other members sign them personally), having the obligation to convey in due time their analysis report (electronic form to secretariat-sdi@unitbv.ro and signed printed form to the doctoral supervisor/head of the committee). If the advisor cannot participate in a videoconference call either, they shall have the obligation to send to the head of the committee or the doctoral supervisor (i) the signed affidavit, stating the reason for which they could not attend the meeting and mentioning the grade awarded to the doctoral thesis and (ii) the assessment report hand-signed. The online defence of doctoral theses, as stipulated by the law (for ex. state of emergency or lockdown), shall take place according to the PS 7.6-04 specific procedure. **Note: Should the doctoral committee members require that amendments be made to the doctoral thesis, it shall be once again submitted to SDI, with the amendments requested, accompanied by the proof of submitting it to the UNITBV Library, a new similarity analysis and the doctoral supervisor's resolution.**
13. Based on the content of the doctoral thesis and of its public defence, the committee shall analyse and deliberate on the grade to be awarded. The grades are the following: "Excellent", "Very good", "Good", "Satisfactory", "Unsatisfactory".
14. If the doctoral student met all the requirements in the scientific research programme and the assessment of the doctoral thesis allows the award of the grade "Excellent", "Very good", "Good" or "Satisfactory", the doctoral committee shall propose that the student be granted the doctoral degree. The proposal is submitted to CNADTCU for evaluation and validation. CNADTCU, following the evaluation of the doctoral file, proposes to the Minister of Education to grant or not to grant the doctoral degree.

15. If the grade "Unsatisfactory" is awarded, the committee shall compile a list of the content elements to be redone or completed in the doctoral thesis, and shall request a new public defence of the thesis which will take place before of the same doctoral committee. In case the second public defence is also awarded the grade "Unsatisfactory", the doctoral degree shall not be granted, and the doctoral student shall be expelled.
16. The doctoral supervisor or any other member appointed by the head of the committee shall submit to SDI the **public defence documents** (Meeting minutes comprising an appendix containing questions and answers, the report on the resolution of the doctoral committee, other documents, if applicable).
17. The doctoral student shall complete the Doctoral file with all the necessary documents, including the **Affidavit on the options for the publication of the thesis** ([Appendix 9](#)) – 2 copies.
18. The complete file of the candidates (for whom the doctoral committee proposed the award of the doctoral title) shall be sent electronically (uploaded on the REI platform) by IOSUD-UNITBV through SDI to MEN/CNADTCU for validation of the proposal to grant the doctoral title.
19. The title of doctor shall be awarded based on an order issued by the Minister of Education after the doctoral thesis is validated by CNATDCU. Should the thesis be invalidated by CNATDCU, the decision may be contested within 15 days from its receipt by the doctoral student (according to Articles 29-30 of the Order no. 5229/2020 issued by the Minister of Education – [Appendix 2a](#)). Also, the doctoral student has the possibility to rewrite and resend the doctoral thesis within one year from the date of the first invalidation (according to Article 68(5) of the Government Decision no. 681/2011). For the purposes of resending the remade doctoral thesis to CNATDCU, the doctoral student must present the proof of submitting the doctoral thesis to the UNITBV Library, the application for starting the procedure ([Appendix 2a](#)), the similarity analysis, the doctoral supervisor's resolution ([Appendix 1a](#) – Supervisor's resolution) on the originality of the thesis and the reasoning on the remaking of the thesis signed by the doctoral student and by the doctoral supervisor.

Note: For all the theses under joint supervision, the previously mentioned documents (where applicable) must be issued/approved by both doctoral supervisors.

The reports for the public defence shall be retrieved from the SDI secretary's office during the (working) day prior to the day of the public defence.

All the documents related to the public defence are submitted/sent to the SDI secretary's office within 1 week from the date of the public defence, at the most.

According to the provisions of the contract of doctoral studies, the public defence depends on the payment of certain fees, as the case may be (e.g. defence fee, tuition fee balance).

The title of the thesis must correspond in all documents (summaries, doctoral thesis, etc.) to the title of the thesis on the Order for the appointment of the doctoral committee.

The DVDs should be marked as follows:

- Transilvania University of Braşov;
- Last and first name of the doctoral student (as in the Order for the appointment of the doctoral committee);
- The doctoral field
- The date of the public defence of the doctoral thesis

**DOCUMENTS NECESSARY TO COMPILE
THE DOCTORAL FILE**

The doctoral file is compiled in printed and electronic (pdf) form and is archived by the IOSUD-UNITBV permanently.

The digital form, containing the doctoral thesis and all of the other documents, as pdf documents certified by SDI through legal electronic signature, shall be uploaded on the national digital platform for the verification of theses and for uploading files.

The doctoral file (in print and electronic form) shall contain the following documents (according to Appendix 2 of OMEC 5229/17.08.2020, published in the Official Gazette 783/27.08.2020):

- a) scanned copy of the doctoral student's ID;
- b) scanned copy of the doctoral student's birth certificate;
- c) scanned copy of the marriage certificate, if applicable;
- d) the doctoral student's CV;
- e) the decision of enrolment in the doctoral studies programme;
- f) the contract of doctoral studies and all the addenda, as the case may be; the contract of doctoral studies contains provisions on the publication of the doctoral thesis under the law, the doctoral student's and the doctoral supervisor's surname and first name; personal data, with the exception of the name shall not be made public; This point also refers to, if applicable, the following: applications/approvals for changing the title of the doctoral thesis, extending or interrupting the doctoral studies, granting a period of grace, changing the doctoral supervisor, the joint supervision, etc.;
- g) the application signed by the doctoral student, recorded by the doctoral school, on starting the procedures for the assessment of the thesis by the advisory committee, approved by the doctoral supervisor (both doctoral supervisors in case of joint supervision) for pre-defence;
- h) a scanned copy of the statement of originality signed by the doctoral student and the doctoral supervisor(s) concerning the responsibility undertaken to ensure the originality of the thesis, as well as the compliance with the standards of quality and professional ethics, according to Art. 143 paragraph (4) and Art. 170 of Law no. 1/2011 on National Education, with subsequent amendments and additions, and to art. 65 paragraphs (5) – (7) of the Code of doctoral studies approved by Government Decision HG no. 681/2011, with subsequent amendments and additions.
- i) at least one similarity report which shall include the resolution of the doctoral supervisor(s) and, if applicable, of other people who analysed the report;
- j) the report drawn-up by the doctoral school, prior to the public defence, and the documents attesting the progress of the doctoral studies (the individual doctoral programme which includes the results obtained, any change in the structure of the advisory committee, etc.);
- k) the list of the proposed members of the public defence committee, drafted by the doctoral supervisor and approved by CSUD;
- l) the CVs of the members of the public defence committee (without personal data), originally signed by them and then scanned;

- m) the decision on the appointment of the doctoral committee (Order of the Rector);
- n) the application for setting the date of the public defence of the doctoral thesis, approved by the doctoral supervisor and the head of the doctoral committee;
- o) the announcement for the public defence, drafted by the doctoral school at least 20 calendar days prior to the date set for the public defence;
- p) a certificate on the submission to the university library of a printed copy of the doctoral thesis;
- q) the reports of the official advisors, members of the doctoral committee, signed by them, as scanned copies or electronically signed documents;
- r) the acceptance report from the doctoral supervisor/supervisors (in case of joined supervision);
- s) the approval of the advisory committee on the acceptance of the thesis (Pre-defence statement) in view of the official submission of the doctoral thesis to the secretary's office of the doctoral school;
- t) the minutes of the public defence of the doctoral thesis and the appendix with questions and answers, which contains the proposal to grant the doctoral title, signed by all of the members of the doctoral committee, as scanned copies or electronically signed documents;
- u) the summary of the doctoral thesis; the theses written in a foreign language shall include both the foreign language summary and the Romanian language one, and the theses written in Romanian shall include the summary in English;
- v) the doctoral thesis and its appendices (pdf form, no scan); the translation of the doctoral thesis – if applicable;
- w) the list of publications developed as a result of the scientific research performed during the doctoral studies programme, articles published or accepted for publication, as the case may be, and scanned copies of those publications;
- x) the affidavit of the doctoral student on their options for the publication of the doctoral thesis on the national platform, according to the provisions of Government Decision HG no. 681/2011 on the approval of the Code of doctoral studies, with subsequent amendments and additions;
- y) the request of IOSUD to start the assessment procedure of the doctoral thesis at the level of CNATDCU, recorded at UNITBV.