



BUCHAREST UNIVERSITY OF ECONOMIC STUDIES

Faculty of Finance and Banking

Doctoral School of Finance

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# **REGULATIONS ON THE ORGANIZATION AND OPERATION OF THE DOCTORAL SCHOOL OF *FINANCE***

## Legal reference framework

This *Regulations on the Organization and Operation of the Doctoral School of Finance* establishes the general reference framework regarding the organization and conduct of doctoral university study programs within the Doctoral School of Finance (hereafter referred to as SDFIN), part of the Bucharest University of Economic Studies, accredited by the Ministry of National Education as an Institute that organizes Doctoral Studies (hereafter ASE–IOSUD), and is based on the provisions set forth in the *Institutional Regulation on the organization and conduct of doctoral university studies*.

## GENERAL PRINCIPLES

### Art. 1

(1) Doctoral studies organized by the Doctoral School of Finance represent the highest form of research within the *Faculty of Finance and Banking* focusing on knowledge acquisition and research in the field of *Finance*.

(2) The Doctoral School of Finance (SDFIN) organizes doctoral university studies within the fundamental field of *Social Sciences*, the branch of *Economic Sciences*, and the doctoral field of *Finance*.

### Art. 2

(1) The training program based on advanced university studies includes one course dedicated to the in-depth study of research methodology and/or statistical data processing, as well as a course on academic ethics and integrity, organized at CSUD level, which are mandatory for all enrolled PhD students.

(2) The Doctoral School of *Finance* provides PhD students with seminars and courses on research methodology, as well as on the analysis of current issues in financial theory and practice.

### Art. 3

*The Regulation on the Organization and Operation of the Doctoral School of Finance* is drafted by the Council of the Doctoral School of Finance, endorsed by the General Assembly of SDFIN members, by the Council of the Faculty of Finance and Banking, by CSUD and by the Administrative Council (CA), and approved by the ASE Senate.

## ORGANIZATION AND OPERATION OF THE DOCTORAL SCHOOL OF FINANCE

### Art. 4

SDFIN members are doctoral supervisors in the field of *Finance* affiliated with SDFIN.

### Art. 5

(1) SDFIN is managed by a director, who is an ex officio member of the SDFIN Council. The Director's office term is 5 years.

(2) The SDFIN Director is responsible for the overall management and operational leadership of the doctoral school. The Director is accountable for the development and implementation of the curricula, for the management of research activities and quality assurance processes and supports the ASE–IOSUD leadership in the financial management of the doctoral school. In the exercise of these duties, the Director is assisted by the Doctoral School Council.

(3) The selection, periodic evaluation, professional development, motivation, and termination of membership within the doctoral school fall under the responsibility of the Doctoral School Director, subject to endorsement by the SDFIN Council.

(4) In order to ensure the proper functioning and sustainability of SDFIN activities, except in cases of force majeure, all SDFIN members are required, upon request by the SDFIN Director, to promptly provide all information deemed necessary.

**Art. 6** The responsibilities of the Doctoral School Director are those stipulated in the *Regulations on the Organization and Operation of the Doctoral School*, the ASE Charter, and the job description.

**A. The Director has the following rights:**

- a) to receive remuneration in accordance with the legal provisions applicable to public higher education institutions;
- b) to benefit from annual leave in accordance with the legal regulations governing public higher education institutions;
- c) the right to daily and weekly rest;
- d) the right to equal opportunities and equal treatment;
- e) the right to occupational health and safety;
- f) the right to professional training and continuous development;
- g) the right to social health insurance and state social security benefits.

**B. The Director has the following obligations:**

- a) to comply with the Rector's managerial program regarding the proper conduct of doctoral studies;
- b) to ensure the management and coordination of doctoral studies within the doctoral school;
- c) to monitor the achievement of the doctoral school's objectives and performance indicators;
- d) to develop and implement specific strategies aimed at ensuring the high-performance operation of doctoral studies in the short and medium term, in accordance with the resolutions of the Senate and the decisions of the Board of Administration;
- e) to define and monitor the fulfillment of the responsibilities of doctoral supervisors affiliated with the doctoral school;

f) to be responsible for the procedures related to the granting and revocation of doctoral school membership;

g) to contribute to the identification of financial resources to support the activities of the doctoral school;

h) to submit, upon request, reports to the CSUD Director, the Board of Administration, and the Rector regarding the achievement of objectives and performance indicators, including measures aimed at improving performance;

i) to ensure the self-evaluation of the doctoral school and to provide support to evaluators in the context of internal and international accreditation processes;

j) to enforce the regulations on organization and operation, as well as the standardized administrative procedures approved by the Senate.

#### **Art. 7**

(1) The Council of the Doctoral School of Finance is composed of:

a) doctoral supervisors affiliated with SDFIN;

b) doctoral students enrolled in SDFIN;

(2) The Council of a doctoral school shall consist of at least three (3) members: the Director of the doctoral school, one affiliated doctoral supervisor, and one doctoral student. The term of office of the SDFIN Council members is five (5) years, except for the doctoral student member, whose mandate may be shorter.

(3) By way of exception from paragraph (1), as of the approval date of the present Regulation, the SDFIN Council is composed of seven (7) members, namely: the SDFIN Director, two doctoral supervisors affiliated with SDFIN, two doctoral students, and two external members selected from among scientific personalities with significant international recognition and/or distinguished representatives of relevant industrial and socio-economic sectors. This composition shall remain in effect until the expiration of the current SDFIN Council's mandate.

(4) The SDFIN Council shall convene in ordinary sessions at least three times per year. Extraordinary sessions may be convened at the request of the SDFIN Director or of at least one third of its members.

(5) Decisions of the SDFIN Council shall be adopted by open vote, by simple majority (50% + 1) of the members present. For the Council's deliberations to be valid, the presence of at least 50% + 1 of the total number of Council members is required.

#### **Art. 8**

(1) At the level of SDFIN, the Director of the doctoral school and the members of the SDFIN Council who are doctoral supervisors are elected by universal, direct, and secret ballot of the doctoral supervisors.

(2) The student representatives in the SDFIN Council are elected in accordance with the *Methodology on the Election of Student Representatives of the Bucharest University of Economic Studies in consultative, deliberative, and executive structures*.

## **Art. 9**

The main responsibilities of the SDFIN Council include:

- a)** Drafting and revising *the Regulations on the Organization and Operation of SDFIN*;
- b)** Establishing the core content of the training program based on advanced university studies and approving the Individual Doctoral Plan (PID);
- c)** Approving the granting or withdrawal of doctoral school membership status, as well as setting minimum scientific performance standards to objectively justify these proposals;
- d)** Approving the enrollment and disenrollment of doctoral students, which will also be approved by the faculty dean and CSUD and finalized by the rector's decision;
- e)** Approving the proposal regarding the composition of the Habilitation Committee, which is subsequently subject to approval by the Faculty Council and CSUD and the Rector's approval, as well as the report on the evaluation of the candidate's dossier, prepared by the specialist committee formed of three members from the doctoral school;
- f)** Approving the composition of the public thesis defense committees, proposed by the doctoral supervisor, approved by the faculty council and by CSUD;
- g)** Assists CSUD in internal evaluation and assists the external evaluator in the process of evaluating the doctoral university studies program;
- h)** Approves requests for interruption of a doctoral student's doctoral program, based on valid reasons (medical causes, professional causes, maternity, postnatal leave etc.), which are approved by CSUD;
- i)** Mediates conflicts arising between doctoral supervisors and doctoral students, and in case of non-resolution thereof requests mediation from CSUD;
- j)** At the motivated request of the doctoral student, the SDFIN Council may decide to change the doctoral supervisor if it is found that the legal or contractual obligations assumed by him have not been fulfilled. Also, the SDFIN Council may decide to change the doctoral supervisor for other reasons concerning the guidance relationship between the doctoral supervisor and the doctoral student, as well as in the case where the unavailability of the doctoral supervisor is found; The doctoral student who requests the change of the doctoral supervisor has the obligation to obtain the acceptance of a new doctoral supervisor. Otherwise, the doctoral school council designates, within a maximum of 30 days, another doctoral supervisor. In designating a new doctoral supervisor, the SDFIN Council will take into account primarily the need for the doctoral student to be able to successfully complete the doctoral studies program. The new doctoral supervisor may maintain the existing guidance and academic integrity committee or may propose another committee. The change of the doctoral supervisor cannot be requested from the SDFIN Council less than 1 year before the completion of the university doctoral studies program or less than 3 months before the defense of progress reports, except in the situation where the unavailability of the doctoral supervisor is found. By exception, the change of the doctoral supervisor may be made at any time during the doctoral program if there is agreement from both

doctoral supervisors (the initial supervisor and the new one), at the request of the doctoral student, for valid reasons or in the case where the doctoral supervisor is no longer a member of the doctoral school (withdraws from the doctoral school, retires and no longer wishes to continue the activity or in the case of death).

- k)** In situations where the doctoral supervisor does not respond within the agreed timeframe to the obligations he has within the doctoral school, the SDFIN Council may substitute for the doctoral supervisor to ensure the continuity of administrative activities within the doctoral school. In these situations, the SDFIN Council will sign, approve or resolve the documents, requests or other requests that are essential for the proper conduct of doctoral studies.
- l)** The SDFIN Council may propose the application of sanctions to doctoral supervisors who fail to comply with the deadlines and obligations arising from their capacity as doctoral supervisors and members of the doctoral school. Such sanctions may refer to the exclusion from proposing doctoral places in the admission competition for the following academic year, the prohibition to carry out teaching activities within the doctoral school, the prohibition to participate in guidance committees or in public defense of doctoral thesis and Habilitation defense committees, as well as the withdrawal of membership in the doctoral school;
- m)** Performing other duties in accordance with *Institutional regulations* and legal requirements.

#### **Art. 10**

- (1)** The General Assembly of SDFIN members shall convene whenever necessary, at the request of the SDFIN director or at least one-third of its members.
- (2)** For the deliberations of the General Assembly to be valid, the presence of at least 50% of the total number of SDFIN members is required. All decisions shall be taken by a freely expressed vote with a simple majority of the SDFIN members (50% + 1 of the members present/participating in the vote). If the General Assembly cannot convene due to the quorum not being met, a second meeting shall be called, which shall be considered legally convened regardless of quorum, and may adopt decisions by a majority of the votes cast.
- (3)** By way of exception, the General Assembly and the voting on its decisions may also be conducted online.

#### **Art. 11**

The resolutions of the SDFIN General Assembly are recorded in the minutes and relate to, but are not limited to, the following matters:

- (1)** Holding the elections for the appointment of the Director and the members of the SDFIN Council;
- (2)** Approval of the *Procedural and Operational Regulations of SDFIN*;
- (3)** Issues the Certification on the appropriateness of granting SDFIN membership, based on consideration of at least the following criteria:
  - a)** The strategic objectives of scientific research provided by The Research Strategy of The Bucharest University of Economic Studies during 2022-2030;

- b) Abiding by moral and professional rules, according to The Code of Ethics of The Bucharest University of Economic Studies;
- c) The provisions of the *Institutional Regulations* regarding the acquisition of membership in a doctoral school of ASE, within the fundamental field of Social Sciences;
- (4) Issues the Certification on the Internal Assessment Reports of the files submitted by candidates for the habilitation accreditation;
- (5) Issues guidelines concerning the opening, structure and content of the training program based on advanced university studies;
- (6) Other specific attributions, in accordance with Institutional Regulations and laws in force.

#### **Art. 12**

To become a member of the SDFIN, the candidate must meet all the following requirements:

- a) Has obtained habilitation in the doctoral field of Finance, and the candidate's publications pertain to this field;
- b) Meets the minimum habilitation criteria in force at the date of submission of the affiliation file;
- c) Meets the supplementary criteria for the fundamental field of Social Sciences issued by CSUD and set out in the *Institutional Regulations* in force at the time of submission of the affiliation file;
- d) Has obtained advisory approval regarding the granting of membership within the General Assembly of SDFIN. The candidates who have not obtained the advisory approval can resubmit their file to receive the approval, not earlier than one calendar year from the date of the first application.

#### **Art. 13**

(1) A doctoral supervisor ceases to be a member of the doctoral school under the following conditions:

- a) at the person's request;
- b) if they have no doctoral students under their supervision for three consecutive years;
- c) upon reaching retirement age, provided they have no doctoral students under their supervision;
- d) if they do not follow the obligations established by the *Institutional Regulations and the Procedural and Operational Regulations of SDFIN* or fail to comply with the deadlines and obligations arising from their status as doctoral supervisor and member of the doctoral school, in accordance with the provisions of Article 9, letter l.

(2) In the cases referred to in paragraph 1, letters b)–e), the director of the doctoral school proposes that the SDFIN Council revoke the membership. The proposal is reviewed and approved by the SDFIN Council and then submitted to the CSUD for approval.

## FINAL PROVISIONS

### **Art. 14**

*The Doctoral School of Finance Regulations on organization and operation* are supplemented, as of right, by the applicable normative acts and may be periodically revised in accordance with the *Institutional Regulations for the Organization and Conduct of Doctoral Programs at ASE* and the legislation in force.

### **Art. 15**

The present regulations were approved during the meeting of the Council of the Doctoral School of Finance, the Council of the *Faculty of Finance and Banking* and the *Council for Doctoral Studies* by Decision No. 261/05.12.2025, and further in the session of the Board of Administration, by HCA No. 940/15.12.2025 as well as in the Senate session held on 17.12.2025.

CSUD Director,

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Director, Doctoral School of Finance

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