

# **PhD Program in Business Administration**

## **Department of Economics and Business**

### **PhD Handbook 2020/21**

This regulation is valid both for students enrolled in the US-accredited program of CEU and Austrian accredited program of CEU-PU.

## **1 Overview of the program**

The PhD Program in Business Administration comprises 62 US (124 ECTS) credits to earn a US degree, while 240 ECTS credits are needed to earn an Austrian degree. The program is divided into three main phases: 1) The First Phase (Terms 1-6) concerns the acquisition of fundamental knowledge in theory and methodological applications and fundamental scholarship in the core fields of business administration, 2) Second Phase, development of the PhD candidates' specific scholarly interests and competences in academic teaching and research paper writing, and 3) Third Phase, or PhD Thesis, milestones involving in-depth research formulation, implementation and publication on a research topic. The standard duration of the program is four years. The coursework is structured into the following modules: Methods, Foundations I-II, Electives I-II,

See Appendix 1 and 2 for the curriculum structure for each year and list of mandatory courses.

### **1.1 Probationary period**

The curriculum in Years 1-2 (terms 1-6) of the PhD Program is designed to provide a strong foundation for developing the PhD candidate's knowledge of core literature in business scholarship as well as in qualitative and quantitative research methods. During their first year of

study students must complete course credits in key areas of business administration and research methods. Some of these courses may be provided by or in collaboration with other programs of the department.

During Year 2, after having accomplished all required credits (31 credits in the US program, 78 ECTS in the AUT program), students will take a comprehensive examination at the end of the second term of Year 2 (Winter term).

PhD students are required to obtain an aggregate GPA score of 3.0 or above each academic year.

*Supplementary Coursework:* Additional courses may be taken as electives only after consultation with the program director, or advice by the Doctoral Committee (as below).

*During this period, before completing the credit requirements and before successfully defending their Prospectus, PhD Students are “Probationary Doctoral Candidates”. After having fulfilled all requirements in terms of course related credit load, GPA, and successful defense of the Prospectus they become “Doctoral Candidates”.*

## 1.2 Comprehensive examination

After having completed all coursework credits the Probationary Candidates will be admitted to the Comprehensive Exam, at the end of the Winter semester in Year 2. The exam will take place by April 30<sup>th</sup>.

The Comprehensive Examination is intended to assess the PhD preparation, on the groundings of the coursework of the first four terms. There will be three committee members drawn for the exam from the Economics and Business Faculty. After a successful comprehensive defense, students present a scientifically sound and coherent research proposal in line with the fields and topics covered during the first four terms of the program. The Candidate will seek to prepare for the exam through an advisor, one member of the faculty who has taught one of the courses taken in the initial period of the program. This advisor can be different from the Research Plan advisor. The Comprehensive Examination can be retaken only once. A three months' interval should pass between the two exams. A second failure leads to an automatic discontinuation of the enrolment status.

After successfully passing the Comprehensive Examination the selection of the advisor needs to occur. The student will propose his/her potential main advisor from those full-time faculty members who teach in the business concentration. Proposal of the PhD advisor needs to be accepted by the program's Doctoral Committee, as well as the proposal of an associate and/or external advisor (up to a maximum of three in cases where need is well documented). The

decision about the main advisor will be made in Year 2 and finalized after successful completion of the Thesis Research Proposal Defense, scheduled to occur by the end of June of Year 2.

### 1.3 PhD Seminar and Teaching Activities in Year 2

During the second half of Year 2, following their Comprehensive exam, PhD Candidates are expected to acquire relevant scholarly knowledge. Improving research skills will be further achieved through mandatory participation in the department's PhD *research seminars* that relate to the Business Administration PhD program. The list of these mandatory seminars will be produced by the Doctoral Committee.

Also, in Year 2 PhD Candidates usually teach part of a course and take part in the related curriculum development under supervision. Indeed, teaching is an especially important part of this doctoral Program. The *Teaching Assistantship* specifically aims to build the professional capacities of PhD Candidates for a career involving teaching and/or research by providing opportunities to assist in such activities. To enhance teaching competencies PhD Candidates are required in Year 2 and 3 to allocate 2 US/4 ECTS credits for each year's teaching by assisting professors in designing or redesigning course(s), participating in guest teaching, grading papers or exams, etc. In addition, enrolling in the PhD course, *Foundations in Teaching in Higher Education*, will count as 3 US/6 ECTS credits.

### 1.4 Thesis Research Proposal

After successfully passing the Comprehensive Exam, the student will, for the first time present his/her draft of the research proposal to all the members of the Doctoral Committee. In preparing for the research proposal defense, the choice of the supervisor and Research Proposal Committee members is made during the Winter and Spring Term.

Before the final research presentation, a *draft* research proposal is due April 15th of the second year. The proposal is handed in to the selected supervisor who provides feedback. The *final* research plan needs to be submitted to the full Research Proposal Committee by June 1. In order to defend the proposal, a Research Proposal Committee comprised of the Supervisor, an Internal Committee Member and a Chair should be in place by May 31st.

The proposal should be defended by June 30th of the second year. Students may agree with their committees to submit a final version and hold a defense prior to this date. A re-defense or a late defense due to retaking the comprehensive exam must be completed by September 30<sup>th</sup> (see regulations below).

The research proposal is defended before the Research Proposal Committee in public during a PhD Faculty/Student Seminar. The entire PhD student body and the faculty of the Department

are invited to the Research Proposal Defense. One week before the scheduled defense at the latest, the student must receive confirmation by email from all the committee members that the student is ready for a defense (with the condition they successfully pass the Comprehensive Exam). These emails must be forwarded to the program coordinators before a defense will be confirmed. The Committee Members must submit written comments on the final research proposal two to four working days before the final defense. The student will have access to these comments and be able to consider them before the defense.

The Thesis Research Proposal defense may result in any of the following outcomes:

- pass without amendments;
- pass with minor amendments;
- pass with major amendments to satisfaction of committee;
- re-defend.

In case of the need for revisions or a new defense, students will be informed by the Committee of the timeframe in which the changes need to be made or the new defense scheduled.

Students unable to comply with the above defense schedule should submit a request for extension, approved by the supervisor, to the DPC no later than July 15 explaining the reasons for the delay and proposing a schedule for completion and defense of the prospectus. Students who do not defend, or re-defend, the research plan by September 30 of the start of the third year may have their stipends stopped until they do, at the discretion of the DPC

In case of successfully passing the defense the student will reach the status of “PhD Candidate”. The PhD Candidate then will have the choice to maintain or change the PhD advisor from the Research Proposal Committee.

## 1.5 Thesis Research

Students will be monitored in their progress towards learning the basic to advanced research skills throughout the entire program. Thesis Research starts in the first year of the program and is supervised by one or more members of the Doctoral Committee. After the selection of the advisor (in Year 2) student development will be monitored by the advisor. Thesis Research consists of the annual research load that the Student is expected to produce and it will be assessed by a formal discussion with the advisor and selected faculty members, when the student comes forward with concrete details of the progress already made towards the work.

## 1.6 Years 3-4

During Years 3-4, PhD candidates are expected to work on a publishable research paper and their Thesis. Progress will be monitored, apart from the work of advisors, through two presentations to be held in front of all the management faculty staff and through the Department seminar presentations in the Fall of Year 3 and Year 4. These presentations, if successful will satisfy the credit for *Thesis Proposal Discussion*.

By the end of Year 4 at latest, before enrollment terminates, PhD candidates are expected to submit a final draft of their PhD Thesis, which is followed by the defense and thus by the completion of the PhD Program. The submission of a final *PhD Thesis Draft* will constitute the last step in obtaining credits before the *Defense*.

A more detailed overview of selected activities during Years 3-4 include the following:

### Research Paper Publication

The purpose of this activity is to provide PhD candidates with opportunities to:

- Increase their research competencies
- Gain concrete and relevant experience in producing a research-based paper
- Present their research in a public forum thereby generating feedback, comments, reviews, etc.
- Develop scientific writing experience; including co-authorship of papers
- Improve their positioning in the scholarly job market

The PhD candidate and the main advisor, the faculty member with whom the PhD candidate is working at this stage of the PhD Program will agree on the specific requirements to fulfill this part of the Program, with the additional approval of the PhD Program Director.

The output of this work includes:

- an article in a peer-reviewed journal or a chapter in a book, or
- a paper accepted for a conference presentation, or
- co-authorship on any of the above.

### Annual Progress

Based on the PhD candidate's research proposal from a selected field, the PhD candidate will develop his or her PhD Thesis research topic from the end of Year Two and throughout Year 3-4 by: a) consulting with his/her PhD Advisor and the program director, and b) conducting the presentations in the Thesis Proposal Discussions. Based on this and any additional required work, the PhD candidate will prepare an updated and detailed description of each year's progress

towards the thesis. This progress description is received by the supervisor, who discusses it with the program director.

### Research Internship or exchange programs (elective)

In Year 3 PhD candidates may be involved in a research internship program at companies, public institutions or non-governmental organizations. Internship experiences are usually developed through cooperation networks established by the Department, as well as through its alumni networks. The PhD candidate may take the optional activity of an internship to be completed during the course of his second year and gain extra credits for this activity. However, authorization from the advisor is needed in order to start the intern program and work out its timing and duration. The internship experience may generate empirical data on which a PhD candidate may develop a research project.

### Conference Participation and Seminar Presentation

These two activities pursue the goal of providing the student with the skills and the content for a presentation at an academic conference, as well as at the departmental research seminars. Both activities will help the student gaining confidence on discussing and elaborating theoretical models that can be presented to a wider public.

## 1.7 Thesis

The PhD thesis is an academic work that provides original contribution to the knowledge in areas of Business Administration and is publishable in quality by international standards. The thesis can be comprised of published papers of related research material.

### 1.7.1 Length and format

The thesis is normally 50,000 to 80,000 words long, but shall not exceed 80,000 words (including tables, graphs and footnotes; excluding bibliography) without prior permission of the Doctoral Committee. The thesis is a coherent and original work structured in chapters and cannot be a collection of articles or papers (both published and unpublished).

The submitted PhD Thesis shall include:

- title page including the authors name, date of submission, main advisor's name
- table of contents
- abstract of maximum 500 words
- signed statement that the thesis contains no materials accepted for any other degrees in any other institutions
- signed statement that the thesis contains no materials previously written and/or

- published by another person, except where appropriate acknowledgment is made in the form of bibliographical reference, etc.
- where the work is based on joint research, disclosure of the respective contribution of the authors

### 1.7.2 PhD Thesis Draft

PhD Thesis Draft consists of the first draft the PhD student produces and submits to his/her supervisor. Doctoral Defense Preparation is the step in which the Thesis Draft is prepared to be submitted to the discussants before the Doctoral Defense and the student gets ready for presenting the thesis to the public. The Doctoral Defense constitutes the final step of the PhD program in which the student defends his research thesis, see below.

### 1.7.3 Submission

Two hard copies of the thesis shall be submitted to the program coordinator, who forwards these to the Doctoral Committee. After the thesis is approved by the Thesis Committee and the required modifications, if any, are introduced, an additional hard copy shall be submitted to the CEU library, and an electronic version of the thesis shall be uploaded to the CEU electronic thesis database. If the Doctoral Student plans to publish the doctoral thesis, he/she may request an exemption from the requirement of uploading the doctoral thesis to the CEU database. The request shall be submitted to the Doctoral Committee and the Pro-Rector for Social Sciences and Humanities. [↓](#)

## 1.8 Duration of the program

The standard duration of the program is 4 years that can be extended up to a maximum of 6 years with the approval of the *University Doctoral Committee* only in cases of serious and unforeseeable interference with the studies. However, the duration of the PhD scholarship is three years, which can be extended according to CEU Doctoral Regulations with the write-up grant only.

## 1.9 Demonstration of Progress in the Program

Assessment of students' progress and performance is undertaken through evaluating core course work, the comprehensive exam, and practicum achievements; evaluating class attendance and

participation; and monitoring the progress of students' research through evaluations communicated by the advisor (and, in some cases, an internal doctoral committee member) and student reporting.

## 1.10 Reporting

Advisors give students feedback on milestone documents no later than 1 month after they are submitted. Feedback or a final "grade" on any revisions is also one month (excluding July and/or August).

The Doctoral Program Committee monitors the progress, work and attendance of all students. This is for the benefit of the students and helps to ensure that students are maintaining a satisfactory grade level and managing to make sufficient progress toward completion of the dissertation milestones (i.e. Comprehensive Exams, Prospectus Defense, and Dissertation Pre-Defense). The Doctoral Program Committee discusses opportunities (and identifies barriers, if applicable) that may impact a student's ability to make progress towards successfully completing the program and achieving their doctorate. Students should feel free to consult their supervisors or others in the Department on ways to overcome the expected challenges associated with getting a Ph.D. Additionally, seminars can be organized to discuss and address particular challenges common to all PhD students.

## 1.11 Requirements

Doctoral Candidates must update their status with the Doctoral Program Coordinator (cc'ing their Supervisor and the Doctoral Program Director) October 1<sup>st</sup> of each year. New Doctoral Candidates in their second year of study should submit their first status report October 1<sup>st</sup> of the following year. Failure to submit a status report on time can be considered a violation of CEU PU Doctoral Regulations. Further, if the Doctoral Program Committee finds the report unsatisfactory, it will recommend appropriate action.

## 1.12 Failure to Demonstrate Progress and Mitigating Circumstances

In the event that the Doctoral Program Committee determines that a student is not making adequate progress, it may consider the particular circumstances of the student and make specific recommendations. Possible grounds for mitigation are considered generally as follows:

- Significant illness or injury
- The death or critical illness of a close family member
- Family crises or major financial problems leading to acute stress
- Absence for jury service or maternity, paternity or adoption leave

Note: While pregnancy is not in itself grounds for mitigation, issues may arise during a pregnancy which might constitute mitigating circumstances and will need to be judged on an individual basis.

Mitigating circumstances aside, the Doctoral Program Committee may suggest, for example, that:

- 1) the student engages their colleagues in a PhD Faculty/Student Seminar to work through complex and difficult theoretical, methodological or empirical issues;
- 2) the student acquires other assistance or targeted mentorship;
- 3) the student withdraws temporarily from the program or “stop the clock;”
- 4) the student’s financial aid be suspended; or
- 5) enrolment be terminated.

Students who fail to demonstrate progress jeopardize support (e.g., CEU PU-based scholarships and tuition waivers), and/or their enrolment status.

A student’s enrolment in the Program may be terminated for any of the following reasons:

- unsatisfactory coursework grades;
- unsatisfactory research progress;
- enrolment period is past the four-year deadline and no withdrawal or extension has been granted; or
- failure to comply with the University and Doctoral Program regulations.

## 1.13 Withdrawal

In the event that unforeseen circumstances prevent a student from making progress, the student (with the support of their supervisor) should request a withdrawal from the Program for a definite period of time, but no more than two years. This request should be sent to the Doctoral Program Director and Coordinator. Final approval for a withdrawal is granted by the Doctoral Program Committee. Withdrawals are usually granted in cases in which the student experiences new and pressing family circumstances or incurs other full-time obligations that prevent the student from making progress on their dissertation. Note that the period of the withdrawal is NOT counted toward the four-year completion time.

## 1.14 Attendance

The Attendance Policy is as follows:

1. Attendance requirements. Attendance is **mandatory** for all parts of all courses for which Doctoral students are registered, unless the Program Director or a course instructor explicitly state that certain elements of the course are optional.

2. Exemptions from attendance requirements. The only grounds for absence which are usually automatically accepted are (1) illness documented by a doctor's note and (2) bereavement. In all other cases, students must request permission for absence **in advance** from their advisor/supervisor, the lecturer(s) whose class(es) they would be missing, and the Doctoral Program Director explaining why they are making the request. Note that other work obligations not related to the student's studies are NOT an excuse for missing class. Explanations for absence which are given after the event will not normally be considered.

3. Sanctions for unauthorized absence. Students who absent themselves from required classes without permission according to the terms of section (2) above can expect to face one or more of the following sanctions:

- i. *Failure of individual courses*. Individual professors may determine their own sanctions policy for the Doctoral courses they run, which should be set out in writing at the start of the course. This may mean deducting a certain percentage of the overall course grade for missed classes or even **automatic failure** of the course. In the latter case the Doctoral Program Committee will decide whether to terminate the student's Doctoral status or allow him/her to continue given certain conditions (e.g. retaking the course or taking an extra course or courses in lieu). Whether or not individual professors take their own sanctions for non-attendance, the Doctoral Committee will act under point iii) below if the student's overall record shows poor attendance.
- ii. *Enrolment Termination*. Poor attendance may result in termination of program enrolment.

## 2 The Doctoral Committee

The administrative and decision-making body of the Business Administration Doctoral Program is the *Business Administration Doctoral Committee (hereafter Doctoral Committee)*. It has three faculty members. The chair of the Committee is the Director of the Doctoral Program appointed for a maximum of five years by the University Doctoral Committee. The Head of Department is also an ex officio member. Members should hold a doctoral degree or equivalent. The Committee includes one Student representative who is elected by the PhD Students in Business Administration.

The Doctoral Committee's responsibilities include:

- (1) steering the Doctoral Program;

- (2) passing special regulations, specific to the particular Doctoral Program, consistent with the University Doctoral Regulations, and publishing the Regulations on the Program's website;
- (3) enforcing these regulations of the Program;
- (4) defining the subjects of the Comprehensive exam;
- (5) making recommendations to the University Doctoral Committee for the members of the Admission, and Thesis Committees;
- (6) appointing advisors and members of the Comprehensive Examination;
- (7) the Ph.D. committee's responsibility is to monitor student progress through advisors (from third year and above).

All applications and requests should be first submitted to the Doctoral Committee (including applications for leave of absence, withdrawal, extension, etc.). It is the duty of the Doctoral Committee to forward those to the University Doctoral Committee if necessary.

The *Student member* of the Doctoral Committee does not vote on matters that directly affect him/her or personally involve faculty or staff members. During the discussion of such issues, the Student representative may be asked not to participate at the meeting. The student representative in the DC is not to be involved in decisions concerning the evaluation or academic progress of individual doctoral students.

The *Admission Committee* of the Business Administration Doctoral Program is formed by the faculty members of the Doctoral Committee. The Admission Committee is responsible for conducting the admission process.

### 3 Admission

Students seeking admission to the Business Administration PhD program must meet the general CEU application requirements for doctoral programs.

Successful applicants must hold a Master's degree, or equivalent. CEU Master's students wishing to enter CEU Doctoral Programs must have a GPA of 3.3 or higher in their Master's coursework. The Doctoral Committee will determine the GPA adequacy of any non-CEU degree on a case-by-case basis.

Successful applicants must meet the CEU language requirements for as follows:

TOEFL (computer based)	250
TOEFL (paper version)	600
ITOEFL (internet version)	100

IELTS	7
Pearson Test of English (Academic)	76
Cambridge Proficiency Examination	C
Cambridge Advanced English Test	A

Exemptions from the language requirements are spelled out by the CEU Doctoral Regulations.

Applicants should submit the following (or have them sent by the testing companies):

- (1) TOEFL or equivalent test score, or other proof of English proficiency,
- (2) GRE or GMAT test scores,
- (3) Curriculum Vitae,
- (4) an application form,
- (5) three confidential letters of recommendation,
- (6) relevant undergraduate and graduate transcripts and diplomas,
- (7) statement of purpose. Because of the significant load of mathematics-based exercises in the quantitative methodology modules of the program during the selection process priority will be attributed to those applicants with higher scores in GRE or GMAT tests.

## 4 Student status, rights and responsibilities

PhD students enjoy all the rights and bear all responsibilities of CEU students as outlined in the

### Students' Rights, Rules, and Academic Regulations. 4.1 PhD Students' rights

Each Doctoral Program determines its own coursework requirement for its Doctoral Students. Only faculty members holding a doctoral degree or equivalent may teach courses offered to Doctoral Students. At least 70% of the classes, while permitting the presence of Master's students in limited numbers, should be planned and tailored according to the needs of the doctoral program.

**4.2 PhD Students' responsibilities** Probationary Doctoral Candidates must reside in Vienna. They are expected to remain in contact with campus academic life and respond to any communication from their department according to their department's regulations. Any exceptions to the residency rule must be approved in advance by the Doctoral Committee. Any unjustified absence may lead to the suspension of the doctoral stipend.

Probationary Doctoral Candidates should maintain a cumulative GPA of 3.00 or above each year in advanced courses. Failure to meet the GPA requirements leads to an automatic termination of the PhD Student status.

Doctoral Candidates should participate in the academic life of the Doctoral School as described below. With the prior approval of the Doctoral Committee, a Doctoral Candidate may spend specified periods during the doctoral candidacy period out of residence in Budapest.

The responsibilities of Doctoral Candidates are as follows:

1. find an Advisor during the Winter term of the second year;
  2. initiate discussions with the advisor(s) on guidance and comments, and agree to a schedule of meetings ensuring regular contact following completion of the Comprehensive Exam;
  3. pass the Comprehensive Examination latest by the end of the second year;
  4. attend the Department Management Seminars (students receive credit; therefore, attendance is mandatory).
  5. provide a written report to the Doctoral Committee by June 30th, documenting the progress of the work/research as agreed with the advisor;
  6. prepare the thesis for the pre-defense and defense meetings according to the schedule agreed upon with the advisor(s);
  7. ensure that original data and any other original research results are stored properly and made available if necessary;
  8. provide teaching assistantship for 8 ECTS credits (up to 4 ECTS credits during an academic year) while receiving scholarship, as required by the Head of Department (from the 2<sup>nd</sup> year and above);
  9. may be required to provide research or administrative assistantship for at most 4 hours per week while receiving scholarship (except for the first two years) as required by the Head of Department;
  10. gather 240 ECTS credits / 62 US credits for graduation from the AUT and the US PhD in Business Administration programs
11. fulfil any other obligations prescribed by the Doctoral School's regulations and guidelines.

### **4.3 Employment of Students and enrollment in other programs**

Students must *report all part-time and full-time employment* to the Doctoral Committee and keep those reports updated. Full-time employees cannot receive CEU scholarships in the Business Administration Doctoral Program.

As required by the CEU Doctoral Regulations, PhD Students must sign the following statement on their enrolment:

“Hereby I state that I am presently not and will not be in the future either enrolled part time or full time, funded or not funded, regardless of the level or subject matter, in another higher education institution while studying at CEU as an enrolled regular Student, with or without

financial assistance. I understand that acting contrary to this statement of responsibility may result in immediate expulsion from CEU.”4.4 *Extension, leave of absence and re-enrolment, termination, stopping the stipend*

### Extension

(a) Doctoral Students are required to submit their thesis within four years from the original date of enrolment. There is a possibility of extending the length of the studies in cases of serious and unforeseeable interference with their studies (for example for medical reasons or unexpected changes in family circumstances). In case a foreseeable event prevents the student from making reasonable progress, he or she is advised to apply for a temporary withdrawal from the program (see below).

(b) Up to two months, the extensions can be granted by the Doctoral Committee. Beyond that period, extension can be granted by the University Doctoral Committee. The maximum time that can be granted beyond the regular enrollment is 2 years.

(c) Students need to apply for an extension at least two months before their enrolment expires, stating clearly the reason for the extension and its requested length. A request for extension always has to be supported by the student's advisor and the Doctoral Committee. Students are asked to make sure that the appropriate supporting letters (by the advisor, and if required, by the DC), are sent to the University Doctoral Committee by the time the extension request is submitted.

### Leave of Absence

A Candidate may request permission from the Doctoral Committee to withdraw from the Doctoral Program for a period of up to 2 years. The request should be supplemented with a supporting letter from the advisor. Furthermore, the Candidate should submit a plan on how he/she intends to finish the PhD by listing the specific steps he/she intends to take. The steps should convey a sense to the committee that the plan is executable.

A Candidate granted leave may seek re-enrolment within the 2 years period from the Doctoral Committee. The time spent prior to withdrawal is counted towards the 4-year period within which a thesis may be submitted.

### Termination

The Doctoral Committee may terminate doctoral candidacy or probationary doctoral candidacy on the grounds of unsatisfactory coursework grades, failure to pass the comprehensive examinations, unsatisfactory thesis proposal, unsatisfactory research progress, unsatisfactory report on progress; or failure to comply with the University and Doctoral Program regulations.

If the Doctoral Committee finds the report unsatisfactory, it has to issue a formal written warning, and the situation should be addressed within 3 months, otherwise the stipend payments will be stopped and the candidacy may be terminated.

PhD Students can appeal against the decisions of the Doctoral Committee with the University Doctoral Committee.

#### Stopping the stipend

During the period in which the student receives the stipend, s/he can request to have the stipend transfer stopped for a certain period of time, while remaining enrolled in the program. Requests must be submitted to the Doctoral Committee, with adequate supporting reasons for the request and a clear indication of the period for which the stipend is to be stopped (dd/mm/yy – dd/mm/yy). The transfer of the remaining part of the stipend will be resumed once this period expires.

### ***4.5. Changing course registration***

Once a student is admitted to a course, and the registration period is over, s/he can change the registration (from grade to audit, from audit to grade, or drop) until the day when the course is halfway over. Late fee applies. No changes are allowed past that date.

## **5 Advising**

The incoming PhD student will receive early advising by the PhD program director and program coordinator concerning general guidance through the probationary period and occasional counseling.

### **5.1 Advisor, associate advisor, external advisor**

During their second year, PhD Students must approach faculty members and, if endorsed, make proposals about their *main advisor*. If no such agreement is made with any eligible faculty (see later), the Doctoral Committee should appoint an advisor without the consent of the PhD Student but taking into account his/her research interests. Advisors must be full-time faculty members of the Department of Economics and Business, CEU.

The Doctoral Committee may appoint an *associate advisor* in cases, when the complexity of the studied field requires so, or if the advisor is absent for a substantial time. CEU encourages its Doctoral Candidates to spend substantial time at another university during the research period.

To allow the Students to take maximum benefit from such periods abroad, the advisor, in cooperation with the Doctoral Committee, will help to identify a contact scholar in the host institution who would be ready to serve as an *external advisor*. Only faculty members having a doctoral degree or equivalent (including professors emeriti) are eligible to act as advisor or associate advisor. For every paper in the thesis, the advisor or a full-time co-advisor must be an expert on the paper. Co-advisors can be external faculty, but the previous point still applies.

CEU faculty members teaching a full load may advise a *maximum of 6 PhD Students* simultaneously. The associate advisor position counts as regular advising when calculating the maximum number of PhD students, a faculty member may advise.

Candidates may request in writing a *change of their advisor* or associate advisor. The Doctoral Committee addresses the request in 15 days. Under special circumstances, the Doctoral Committee can also propose a change in advisor to the PhD Student.

## 5.2 Detailed responsibilities of the advisor(s)

Responsibility of the *advisor* and the associate *advisor* includes

- (1) giving guidance about the nature of research and standards expected, about the choice of research topic, about the planning of the research program and about relevant literature and resources;
- (2) giving detailed advice in order to ensure that the whole research project and thesis writing is completed within the scheduled time;
- (3) regularly requesting pieces of written work and/or research results and return such work (including thesis drafts) with constructive criticism within a reasonable time;
- (4) informing the Student about the satisfactory or unsatisfactory progress of his/her work;
- (5) reporting once a year in writing to the Doctoral Committee on the Candidate's progress; the content of this report must be communicated to the Student except for confidential parts if approved by the Doctoral Committee;
- (6) mentoring Students in their preparation for an academic career;
- (7) encouraging Students to play a full and active role in the intellectual life of the department and the university;
- (8) assisting Students in finding suitable host universities for study/research abroad under the Doctoral Research Support Scheme and in their efforts towards going to the job market;
- (9) monitor student progress and report it to the Doctoral Committee.

The advisor's duties remain unaltered even when they are on sabbatical or unpaid leave.

## External advisor and research abroad under the Doctoral Research Support Scheme

CEU encourages its Doctoral Candidates to spend a period (usually a term) at another university during the research period. To allow the students to take maximum benefit from such periods abroad, the principal advisor, in cooperation with the Doctoral Committee, will help to identify a contact scholar in the host institution who would be ready to serve as an external advisor. The duties of the external advisor normally cease once the period of Doctoral Research Support Scheme lapses.

# 6 Thesis submission, thesis defense

## 6. 1 Thesis defense procedures

### Pre-Defense:

Once the Doctoral Candidate has completed the thesis, the supervisor has judged that it is ready for pre-defense, and all committee members have sent a confirmation email to the program coordinator that the pre-defense can be scheduled; the student gives an oral presentation of the thesis (in max. ½ hour) to his/her Thesis Committee members (comprising of the internal members and the external, who can submit written opinion and also can join on by an internet platform). The internal members of the Committee are defined as the advisor, the internal examiner (CEU faculty member), and the chosen external examiner who holds a PhD but has no or limited involvement with the PhD thesis work. A Chair is also appointed and acts as the moderator of proceedings and has no voting rights.

Members raise questions and make comments with the intent of assessing and strengthening the preparedness of the student for a final public defense. The Thesis Committee then recommends that the student:

- 1) proceeds to a public final defense without changes to their thesis; OR
- 2) proceeds to a public final defense with minor or major amendments; OR
- 3) prepares for a second pre-defense after significant revisions to the thesis are made and approved by their supervisor. A student may not pre-defend their thesis more than twice and consequently will be unenrolled from the Program.

After completion of the pre-defense and committee approval the PhD Student *submits the thesis electronically* to the Doctoral Committee and send it to each member of the Thesis Committee.

### Final Public Defense:

The thesis is defended in an oral defense, within three months of the receipt of a passing the pre-defense procedure which is confirmed by one external and one internal member of the student's Thesis Committee (preferably not the supervisor). This approval must be submitted in writing. These written statements should be sent to the supervisor and the Chair of the defense and may be sent to the student.

The defense is open to the public and it is advertised at least a month before it takes place. The Candidate receives the reports at least two weeks in advance, and prepares a written reply for the oral defense. The written reply should be submitted to the Thesis Committee before the defense. As a rule, thesis defenses do not take place in the holiday periods (exceptions can be granted by the DC).

The oral defense is structured the following way. In the first 30-45 minutes the Candidate summarizes the main points of the thesis and responds to the examiners' questions and comments. The next 30-60 minutes are devoted to an open discussion of those issues, with the participation of the examiners, other members of the Thesis Committee, and the audience. After the debate, the Committee decides on the acceptance of the thesis and the oral performance of the student behind closed doors. The chair of the Committee announces the decision of the Committee.

The Thesis Committee's decision is based on the *majority voting* principle.

The Thesis Committee can make one of the following three decisions.

- (1) *Accept the thesis in its current format and accept the oral performance* of the Candidate. In this case, after the format requirements are satisfied, the final version of the thesis can be submitted without further deliberation. Members of the Thesis Committee sign the acceptance sheet at the end of the oral defense.
- (2) *Accept the thesis with modifications, and accept the oral performance* of the Candidate. In this case, the final version of the thesis should include all the modifications, and should be first sent to each member of the Thesis Committee. If each member is satisfied with the modifications, they should sign the acceptance sheet. The final version of the thesis can be submitted after the format requirements are satisfied.
- (3) *Reject the thesis altogether or fail the Student based on his/her oral performance.* In this case a new pre-defense meeting should be held under the rules outlined in section 6.2. The meeting should outline a new plan for the thesis or result in the proposal, to the Doctoral Committee, to terminate the doctoral candidacy of the Student. In case of substantial differences in the examiners' recommendations, the Doctoral Committee must appoint additional examiner(s). The rules for this appointment are identical to the rules of the appointment of the original examiners. The new

examiner's report will decide whether the overall outcome is accepting (conditional or unconditional) or rejecting..

Following a successful defense during which the thesis gains final approval by the Thesis Committee Students should submit the final version of their thesis. Three hard copies should be submitted to the Doctoral Committee (including one unbound copy, which is forwarded to the CEU library), and an electronic version should be uploaded to the CEU electronic thesis database (ETD) and the website.

If the thesis contains confidential information the University Doctoral Committee can allow a restricted access to the thesis as specified in the University Doctoral Regulations.

## 7 Appeals

Students can lodge an appeal against any decision made by the Doctoral Committee or other committees to the University Doctoral Committee. These include decisions concerning withdrawal, re-enrolment and termination of student status, and decisions concerning the outcome of the Comprehensive and Complex exams, and the Thesis Defense. Any other grievances should be addressed to the Disciplinary Committee, according to the rules specified in the CEU Code of Ethics. See, also, CEU University Doctoral Regulations for more details.

## 8 Revoking a doctoral degree

(a) The departmental Academic Dishonesty Committee can recommend revoking a doctoral degree to the University Doctoral Committee if serious fraud or academic dishonesty is shown in the thesis or other parts of the performance that earned the degree.

(b) Based on the recommendation of the departmental Academic Dishonesty Committee and any further fact that may be relevant, the UDC may decide to revoke a doctoral degree. The decision has to be endorsed by the Rector.

(c) An appeal against the decision to revoke a degree can be made within two weeks after such a decision is communicated. The ground for appeal should refer to some procedural error. The appeal is to be addressed to the Disciplinary Committee and then to the Grievance Committee as a last instance.

## Appendix 1. US Curriculum Structure

## **REQUIREMENTS TOWARD THE US DEGREE**

### **Course requirements before the Comprehensive Exam**

#### **Core courses 25.0**

Microeconomics for Economic Policy 4.0

Data Analysis 1: Exploration 2.0

Data Analysis 2: Finding Patterns with Regressions 2.0

Advanced Consumer Research 2.0

Organizational Behavior 2.0

Studying and Improving Institutional Environments 2.0

Entrepreneurship 2.0

Strategy 2.0

Qualitative Research Methods 2.0

Foundations in Teaching in Higher Education 3.0

Seminar Series on Management 2.0

#### **Elective courses 6.0**

#### **Total 31 credits**

### **Credit requirements after the Comprehensive Exam**

#### **Year 2**

Comprehensive Exam 2.0

Teaching 2.0

Seminar Series on Management 2.0

Elective course (optional) 0 – 2.0

### **Year 3-4**

Teaching 2.0

Seminar Series on Management 2.0

Research paper(s) 4.0

Thesis proposal discussion 2.0+2.0

Internship (optional) 2.0

PhD Dissertation Research 5.0

PhD Dissertation Draft 6.0

**Total required 31 credits**

## **Appendix 2. Austrian Curriculum Structure**

### **REQUIREMENTS TOWARD THE AUSTRIAN DEGREE**

#### **Course requirements before the Comprehensive Exam**

##### **Core courses 50.0 ECTS**

Microeconomics for Economic Policy 8.0

Data Analysis 1: Exploration 4.0

Data Analysis 2: Finding Patterns with Regressions 4.0

Advanced Consumer Research 4.0

Organizational Behavior 4.0

Studying and Improving Institutional Environments 4.0

Entrepreneurship 4.0

Strategy 4.0

Qualitative Research Methods 4.0

Foundations in Teaching in Higher Education 6.0

Seminar Series on Management 4.0

##### **Elective courses 12.0**

##### **Thesis Research 16.0**

#### **Credit requirements after the Comprehensive Exam**

##### **Year 2**

Comprehensive Exam 8.0

Teaching 4.0  
Seminar Series on Management 4.0  
Research Proposal 6.0  
Thesis research 16.0  
Elective 4.0  
**Total credits 120 ECTS (60 per year)**

### **Year 3**

Teaching 4.0  
Internship 8.0  
Seminar presentation 6.0  
Thesis Proposal Discussion 6.0  
Seminar Series on Management 4.0  
Research Publication 10.0  
Thesis Research 16.0  
Annual Progress 6.0

**Total credit 60 ECTS**

### **Year 4**

Seminar presentation 6.0  
Conference Participation 4.0  
Thesis Proposal Discussion 6.0  
Seminar Series on Management 2.0  
Thesis Research 16.0  
Annual Progress 6.0  
PhD Thesis Draft 8.0  
Doctoral Defense Preparation 4.0  
PhD Defense 8.0

**Total credit 60 ECTS**