DOCTORAL REGULATIONS
HUNGARIAN ACCREDITED DOCTORAL SCHOOL

OCTOBER 8, 2007
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1 These regulations comply with the CEU Doctoral Regulations the latest amendment of which was approved by the Senate on May 23, 2013. As a result, they also comply with the requirements from Doctoral Schools accredited in Hungary, specifically: the Hungarian article (“törvény”) CCIV. of 2011 about higher education; and the Hungarian governmental decree (“kormányrendelet”) of 387/2012. XII.19. on doctoral schools. The concepts in these regulations are defined by the CEU Doctoral Regulations.
1. Overview of the program

1.1 Probationary period

The first year and part of the second year in the program are spent taking courses. Students must complete 40 credits worth of PhD courses in Economics. 13 credits are earned in mandatory core courses covering the basic tools needed to carry out advanced individual research in Economics. Core courses are offered in three areas of study: microeconomics (4 credits), macroeconomics (3 credits) and econometrics (6 credits). Each of them ends with a comprehensive examination (see below). The remaining credits are earned through taking optional PhD courses. Students must complete the requirements for two fields, and possibly a final field exam in the fields they choose. The remaining credits can be taken by registering for any other PhD courses in Economics.

During this period, before completing the credit requirements and passing all comprehensive examinations, PhD Students are “Probationary Doctoral Candidates”. After having fulfilled all those requirements and have their main advisor appointed (by the end of their second year), they become “Doctoral Candidates”. Doctoral Candidates intending to earn a Hungarian degree should initiate a doctoral procedure, after which they are called Doctoral Nominees. The Rigorosum must take place within two years of the start of the Doctoral Nominee status.

1.2 Assessment test

Upon arrival at CEU, PhD students are required to take an assessment test in Macroeconomics. Based on the results of the test, students might be required to enroll in MA level classes in Macroeconomics. MA level Microeconomics 1 is a mandatory course for students, who do not possess an MA in Economics degree from CEU. In these classes no credits are earned but the exams are mandatory, and taken for grade. The results do not count toward the GPA.

1.3 Comprehensive examinations

After completing the relevant courses, PhD Students take a comprehensive examination in each core area: microeconomics, macroeconomics, and econometrics. The comprehensive examinations cover all core, including PhD and MA level material in the particular area. The aim is to ensure that all PhD Students have working knowledge of the tools and concepts covered in the main areas of Economics. Each comprehensive examination can be retaken only once. A three month interval should pass between the two exams. A second failure leads to an automatic discontinuation of the enrollment status.

PhD Students who previously successfully completed advanced (PhD level) courses in the MA in Economics program at CEU get credit for those courses for up to 25 out of the required 40 credits. They can also pass the comprehensive examinations during their MA studies with the agreement of the Economics Doctoral Committee. PhD Students coming from outside CEU can apply for such credit waiver up to 25 credits to the Economics Doctoral Committee.

1.4 Candidacy and MPhil degree

The latest by the beginning of their third year, students must submit (see details in section 3.2) and present a first draft of their second year paper. The presentations take place at the annual PhD Student Jamboree. Students must have their main advisor appointed before the submission of the first draft.
During their candidacy, PhD Students take part in the academic life of the department and the university. Students on scholarship, having finished the first year of studies and yet to complete the pre-defence, are required to attend regularly and present their work in the Research Workshop at least twice a year, attend regularly the departmental seminar, and present their work at the annual PhD Student Jamboree. It is necessary to fulfill these requirements in order to remain in good standing in the program.

Towards the end of their studies, Doctoral Candidates must hold a pre-defense meeting with the participation of resident members and at least an external member of their Thesis Committee (see later for definition). The purpose of this meeting is to outline a detailed plan and time-line for the thesis. The pre-defense meeting is accompanied by the Rigorosum. The Rigorosum, required by Hungarian accreditation, is an oral examination, with the purpose of ensuring that the doctoral Candidate has a thorough knowledge of the field in which the dissertation is to be submitted. The pre-defense meeting and the Rigorosum, whether successful for the first time or not, must precede the submission of the thesis by no more than two years.

A PhD Student who successfully completes the coursework, passes the comprehensive examination, submits the second-year paper but does not complete the thesis, or the pre-defense meeting, may apply for and be awarded an MPhil degree, in accordance with the relevant University policy regarding MPhil degrees.

1.5 Thesis submission and defense

Within two years of successfully passing the pre-defense meeting and the Rigorosum, Students must submit their thesis. The thesis is then defended in an oral defense. (see Section 5 for further details). After the successful defense of the thesis, the Thesis Committee will propose to the University Doctoral Committee that the Student is awarded a doctoral degree.

1.6 Duration of the program

PhD Students must submit their thesis within six years of their enrollment to the program. Students can apply for an extension of maximum one year to the Rector of the University. Students can also apply for a withdrawal from the program, up to two years, anytime during their studies. On top of those, one (additional) year of parental leave is granted automatically if applied for.

1.7 The Economics Doctoral Committee

The administrative and decision-making body of the Economics Doctoral School is the Economics Doctoral Committee. It has five members: four faculty members and one Student representative. The chair of the Committee is the Director of the Economics Doctoral School. He is appointed for a maximum of five years from the core members of the Economics Doctoral School by the University Doctoral Committee based on the recommendation of the above core members. Three faculty members are elected for two years by the members of the Economics Doctoral School from the permanent faculty members and appointed or released from duty by the University Doctoral Committee. The Committee includes one Student representative who is elected by the PhD Students in Economics.

The Doctoral Committee's responsibilities include:

(1) steering the Doctoral School;
passing special regulations, specific to the particular Doctoral School, consistent with the University Doctoral Regulations, and publishing the Regulations on the Program’s website;

(3) enforcing these regulations of the Program;

(4) publishing information regarding the Doctoral School on the Hungarian Doctoral Committee’s (ODT) central website;

(5) defining the subjects of the comprehensive exams

(6) making recommendations to the University Doctoral Committee for the members of the Admission, Rigorosum and Thesis Committees;

(7) appointing advisors and members of the Comprehensive Examination;

(8) reporting to the University Doctoral Committee on the appointment and change of thesis advisors, and reporting on the progress of PhD Students and the status of the Doctoral School once a year.

All applications and requests should be first submitted to the Economics Doctoral Committee (including applications for withdrawal, extension, etc.). It is the duty of the Economics 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 Admission Committee and the Comprehensive Exam Committee of the Economics Doctoral School are formed by the faculty members of the Economics Doctoral Committee. The Admission Committee is responsible for conducting the admission process. The Doctoral Committee informs the University Doctoral Committee of the planned date of the comprehensive examination and of the members of the Comprehensive Examination Committee.

2. Admission

Students seeking admission to the Economics PhD program must meet the general CEU application requirements for Doctoral Schools.

Successful applicants must hold a Master's degree, or equivalent. CEU Master's Students wishing to enter CEU Doctoral Schools 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
A PhD student enrolled in another institution’s doctoral program can request to be transferred to the CEU Doctoral School. In this case the Doctoral Committee may accept this if the student completes parts of the coursework at CEU specified by the program’s Doctoral Committee, and the student passes the comprehensive examination.

3. 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.

3.1 PhD Students’ rights

PhD Students are entitled to the rights and benefits for full time university Students in Hungary (‘nappali tagozatos hallgato’) specified in the 2012 Hungarian Higher Education Act, for three years from the date of their enrollment (not including periods of withdrawal, but including the period of the Doctoral Research Support Scheme).

Each Doctoral School 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 (in certain cases the Doctoral Program Committee can grant an exemption). 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 School.

3.2 PhD Students’ responsibilities

Probationary Doctoral Candidates must reside in Budapest. They are expected to remain in contact with campus academic life and respond to any communication from their department according to their department’s regulation. 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 GPA of 3.00 or above in advanced courses at the end of each semester. Failure to meet the GPA requirements leads to an automatic termination of the PhD Student status.

Probationary Doctoral Candidates should prepare a second year paper till the end of the Winter semester of the second year. Students with a heavy course load may request extension for submitting the second year paper during the first year of their studies. The paper is evaluated by the Doctoral Committee based on the Advisor’s written report on a pass-fail basis.

Doctoral Candidates must also reside in Budapest during their candidacy period and attend the university on a regular basis. 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.

Doctoral students wishing to earn a Hungarian degree are required to fulfill the additional credit requirements specified in the table below. These credits will be recognized year by year in their transcript once their coursework is over.

<table>
<thead>
<tr>
<th>Coursework credits:</th>
<th>mand/opt</th>
<th>CEU credit/minimum</th>
<th>CEU credit/maximum</th>
<th>ECTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>core</td>
<td>mandatory</td>
<td>13</td>
<td>13</td>
<td>26</td>
</tr>
<tr>
<td>optional</td>
<td>mandatory</td>
<td>27</td>
<td>27</td>
<td>54</td>
</tr>
<tr>
<td>additional course credit</td>
<td></td>
<td>4</td>
<td>4</td>
<td>8</td>
</tr>
</tbody>
</table>

**Research related credits**

- PhD seminar attendance: mandatory 2/year 8 16
- Annual research presentation: mandatory 3/year 9 18
- Annual progress: mandatory 2-4/year 12 24
- Conference paper presentation: optional min 2 10 20
- Publication (4 credits for an Int'l publication): optional min 4 20 40
- Research assistantship: optional 10 20

**Teaching practice:**

- 2 credits for each of the 4 credits taught: mandatory 8 8 16
- Extra credits (2 credits for each credit taught): optional 0 4 8

**Minimum graduation requirement**: 90 CEU / 180 ECTS credits

The responsibilities of Doctoral Candidates are as follows:

1. initiating discussions with the advisor(s) on guidance and comments, and agreeing to a schedule of meetings ensuring regular contact;
2. submit their second-year paper; Probationary Doctoral Candidates should prepare a second year paper till the end of the Winter semester of the second year. Students with a heavy course load may request extension for submitting the second year paper during the first year of their studies.
3. submit their research plan till September 15;
4. present the result of their work at the end-of-the-year PhD Student Jamboree every year, but at least three occasions (regular department seminar presentation may substitute for these) during their studies;
5. attend the Research Workshop during the first three years of their studies. Exceptions from this requirement can be granted on an individual basis. Students past their third year are strongly encouraged to participate in the Research Workshop, as well.
6. attend regularly the department research seminar,
7. provide a written report to the Doctoral Committee at the end of each academic year, documenting the progress of the work/research as agreed with the advisor;
8. prepare the thesis for examination according to the schedule agreed upon with the advisor(s); prepare a thesis booklet before the defense; send a written answer to the comments of the examiners after the Rigorosum and also before the final defense, and prepare a road-map and time table for the finalization of the dissertation
9. ensure that original data and any other original research results are stored properly and made available if necessary; (an electronic version of the dissertation shall be provided to the
3.3 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 Economics Doctoral School.

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.”

3.4 Extension, withdrawal and re-enrollment, termination, stopping the stipend

Extension
(a) Doctoral Students are required to submit their dissertation within six 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 Program Committee. Beyond that period, extension can be granted by the University Doctoral Committee. The maximum time that can be granted beyond the regular enrolment 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 supervisor. Programs may require that the Doctoral Program Committee also supports the request. Students are asked to make sure that the appropriate supporting letters (by the supervisor, and if required, by the DPC), are sent to the University Doctoral Committee by the time the extension request is submitted.

Withdrawal
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. The Candidate needs to include a list of specific steps he/she intends to take to finish three acceptable chapters. 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 6-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 second-year paper, unsatisfactory research progress, unsatisfactory report on progress; or failure to comply with the University and Doctoral School regulations. Students should be warned two months before such an action is to be taken and may present their case to the Doctoral Committee before it is carried out.

If the Doctoral Committee finds the progress 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 Program 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.

3.5. 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.

4. Advising

4.1. Early advising

The Doctoral Committee appoints a resident faculty by the end of the first term to each incoming PhD student in order to provide early advising and guidance. The duty of the early advisor is to provide general guidance through the probationary period and provide occasional counseling.

4.2. Advisor, associate advisor, external advisor

During their second year, PhD Students must approach faculty members and, if endorsed, make proposals about their 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. Upon appointment, the Doctoral Committee forwards the name to the University Doctoral Committee for approval.
The Doctoral Committee may appoint an *associate advisor* in cases in which 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 advisors or associate advisors. Every effort should be made to appoint a supervisor primarily from the program, or from within CEU. A person external to CEU should serve as supervisor only in exceptional cases. These cases will have to be indicated and justified separately when submitting the list of supervisors for approval to the UDC.

CEU faculty members teaching a full load may supervise a *maximum of 6 PhD Students* simultaneously. Other CEU faculty members teaching more than 3 credits per academic year may supervise less than 6 Students (pro-rated in accordance with their teaching load). In case of doubt, the University Doctoral Committee shall decide on the ratio. The associate advisor position counts as a 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, and forwards its decision on any change in the advisor's status to the University Doctoral Committee for approval. Under special circumstances, the Doctoral Committee can also propose a change in advisor to the University Doctoral Committee.

4.3 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 (each year by September 30) 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.

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

*External supervisor 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 supervisor, in cooperation with the Doctoral Program Committee, will help to identify a contact scholar in the host institution who would be ready to serve as an external supervisor. The duties of the external supervisor normally cease once the period of Doctoral Research Support Scheme lapses

5. Pre-defense meeting, Rigorosum, thesis submission, thesis defense

5.1 Thesis Committee

The Thesis Committee is responsible for the examination of the doctoral thesis. It is also responsible for the pre-defense meeting and the Rigorosum. Formally, the Thesis Committee is appointed by the University Doctoral Committee, based on the recommendation of the Economics Doctoral Committee. The Thesis Committee consists of at least five members, including the Chair. One of the examiners must be external to CEU. The external examiner can only be part of the Thesis Committee if he/she is present at the pre-defense or defense meeting. The chair of the Thesis Committee is an ‘egyetemi tanar’ or professor emeritus of CEU. The Dissertation Committee has at least three voting members, and at least one third of the voting members must be external to CEU (that is, have no contractual relation with CEU at the time of the submission of the dissertation and the defense).

In practice, the PhD Candidate and his/her advisor(s) should find the members of the Thesis Committee, with the consent of the Doctoral Committee, which then forwards the names to the University Doctoral Committee. In case no such agreement is achieved, the Doctoral Committee can appoint the members of the Thesis Committee on its own. In that case, the PhD Candidate can name individuals whom he/she does not wish to be appointed by submitting a signed “Statement of objection” (see Appendix 1 of the University Doctoral Regulations). If the Doctoral Program Committee does not take the relevant suggestions into account, the candidate may appeal against the decision to the University Doctoral Committee.

5.2 Pre-defense meeting and Rigorosum

Towards the end of their studies, Doctoral Candidates must hold a pre-defense meeting with the participation of resident and external members of their Thesis Committee. The pre-defense meeting should be advertised and is open to any CEU student and Faculty member. It is chaired by the Chair of the Thesis Committee. The Chair may decide (if needed) that part of the meeting is held under closed doors. The Chair must ensure that proper minutes are taken and filed. The examiners should provide a preliminary written report on the thesis focusing on how it should be improved in order to get to the required level. They should also express an opinion on the time-table of the work to be done. The results of this meeting should be communicated to, and approved by the other member(s) of the Thesis Committee. The purpose of this meeting is to outline a plan of work and a time-table for the thesis. Typically, this meeting takes place when some chapters of the thesis are close to be finished, and the rest have enough results to predict their merits. The result of a successful meeting is a detailed plan for the submission of the thesis, including the date of the submission. If the Committee and the Student cannot agree on a feasible plan, the pre-defense meeting is unsuccessful and should be repeated. It can be held one more time.

The pre-defense meeting is accompanied by the Rigorosum. The Rigorosum, comprising one main subject and two additional subjects, is required by Hungarian accreditation. It is an oral examination,
with the purpose of ensuring that the doctoral Candidate has a thorough knowledge of the field and related broader subjects in which the dissertation is to be submitted. The Rigorosum Committee is appointed by the University Doctoral Committee, based on the recommendation of the Doctoral Program Committee. The Rigorosum Committee has at least three members, all of them answering the criteria for core membership in a doctoral school. If the Rigorosum Committee consists of fewer than five members, a maximum of one may be external to CEU. The chair of the Rigorosum Committee must be an ‘egyetemi tanár’ or a habilitated ‘egyetemi docens’.

Unless otherwise specified, the Rigorosum Committee can fully or partially overlap with the Thesis Committee. The Rigorosum Committee evaluates both the viability of the Candidate's research, and the candidate's skills and background knowledge necessary for the completion of the dissertation. The Rigorosum must take place within two years of the start of the Doctoral Nominee status. Successful passing of the pre-defense meeting and the Rigorosum must precede the submission of the thesis by no more than two years.

Doctoral Students who intend to earn a degree accredited in Hungary, must initiate a Doctoral Procedure, and during this procedure, they are called “Doctoral Nominees” (“doktorjelölt”).\(^\text{2}\) This is equivalent to the initiation of the “doktori eljárás” required by Hungarian regulations. On initiating a doctoral procedure, Doctoral Students must sign the following statement:

“I am currently not involved in another doctoral procedure in Economics, I did not fail at a doctoral defense, nor was an application of mine for a doctoral procedure rejected during the last two years.”

\section*{5.3 Thesis submission}

When ready, PhD Students \textit{submit their thesis electronically} to the Doctoral Committee and send it to each member of the Thesis Committee.

When the thesis is approved by the Thesis Committee (more details later), Students should submit the final version of their thesis. Three hard copies should be submitted to the Doctoral Committee (one going 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 Doctoral Committee can allow a restricted access to the thesis as specified in the university Doctoral Regulations.

\section*{5.4 Thesis requirements}

The thesis is acceptable only if the Thesis Committee decides that the thesis satisfies the necessary \textit{substantive requirements} (see later for decision rules). Those requirements are the following:

\begin{itemize}
  \item \textbf{(1)} the thesis makes a significant contribution to the knowledge and to the understanding of the subject in economics;
  \item \textbf{(2)} the thesis demonstrates the Candidates’ capacity to carry out quality independent research;
  \item \textbf{(3)} the thesis contains material worthy for publication;
  \item \textbf{(4)} state of the art knowledge in the specific subject is demonstrated;
  \item \textbf{(5)} the format and literary presentation is satisfactory.
\end{itemize}

\(^{2}\) Clarification: all Doctoral Nominees are Doctoral Candidates.
The format of the submitted thesis should satisfy the CEU doctoral regulations. The Doctoral Committee should make sure that the final version of the thesis meets the format requirements. Those include the following:

1. a title page including the authors name, date of submission, advisor's name;
2. a table of contents;
3. an abstract of maximum 500 words;
4. a signed statement that the thesis contains no materials accepted for any other degrees in any other institutions;
5. a 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.;
6. a statement signed by each member of the Thesis Committee;
7. where the work is based on joint research, a disclosure of the respective contribution of the authors.

A typical PhD thesis in economics consists of three publishable papers in the form of three chapters. These chapters may or may not be closely connected. At least one chapter should be single-authored by the PhD Student. If only one chapter is single-authored, that chapter should in itself satisfy all substantive requirements.

5.5 Examiners' reports

Two members of the Thesis Committee are examiners (see section 5.1). The examiners provide a written report of the thesis within three months (during term time) of the submission of the thesis. Each examiner is asked to indicate in writing whether the thesis satisfies the substantive requirements as listed above. Each report can result in three possible outcomes: accepting, accepting conditional on modifications, and rejecting. The thesis can be submitted for defense only if both examiners accept it with or without modifications. The examiner has the right to request to be presented with the modifications required.

In case the examiners accept the thesis (conditionally or unconditionally), the written reports should be sent to the PhD Students at least 2 weeks before the oral defense.

In case of one acceptance (conditional or unconditional) and one rejection, the Doctoral Committee should appoint an additional examiner. 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 the thesis.

In case the thesis is rejected, the submission should be withdrawn and a new pre-defense meeting should be held under the rules outlined in section 5.2. The meeting should outline a new plan for the dissertation. In case no such feasible plan can be agreed upon, the Thesis Committee proposes, to the Doctoral Committee, the termination the Doctoral Candidacy of the Student.

5.6 Thesis defense

The thesis is defended in an oral defense, within three months of the receipt of a sufficient number of positive examiners' reports. The Candidate receives the reports at least two weeks in advance, and prepares a written reply for the oral defense. As a rule, dissertation defenses do not take place in the holiday periods (exceptions can be granted by the Doctoral Program Committees).
The oral defense is structured the following way. In the first 30-60 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 about 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 5.2. The meeting should outline a new plan for the dissertation 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 reject.

The doctoral degree is awarded by the University.

### 5.7 Language requirements

Doctoral Candidates who intend to earn a degree accredited in Hungary must produce evidence of appropriate command of two languages other than Hungarian / foreign languages as specified in the University Doctoral Regulations.

### 6. 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, the Rigorosum, 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.

### 7. 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 dissertation 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: a step-by-step guideline for students**

This Appendix aims at helping students navigate through the PhD program. This is an appendix to the regulations: there are no new rules here, only a different structuring of the rules outlined above. In what follows, EDC stands for the Economics Doctoral Committee. When students have to write to or make contact with EDC in a formal way, they should do that by contacting the PhD program coordinator.

a. The first year is about coursework. Students typically take the core courses, then the comprehensive exams, and elective courses if they fulfill their prerequisites. Students who successfully waived some of the core courses may start taking electives if they fulfill their prerequisites.

b. All PhD students are strongly advised to attend the CEU seminars series on a regularly basis. After the end of their first term, the EDC appoints an early advisor to each student. The early advisor’s role is that of counseling; there are no formal obligations for either part.

c. During their second year, before the end of its Winter semester, PhD Students must approach faculty members and, if endorsed, make proposals about their advisor. If an agreement is reached, students must submit the name of the proposed advisor to the EDC for approval. If no such agreement is reached, the EDC can appoint an advisor without the consent of the PhD Student but taking into account his/her research interests. Student may have an additional co-advisor, possibly external to CEU. Appointment of the co-advisor can take place any time and should follow the procedure laid out for the appointment of the main advisor.

d. Students typically start working on their second year paper in the first half of their second year, with the help of their advisor(s) or early advisor. Probationary Doctoral Candidates should prepare a second year paper till the end of the Winter semester of the second year. Students with a heavy course load may request extension for submitting the second year paper during the first year of their studies. A short presentation is required at the annual PhD Student Jamboree. A final draft must be submitted to the EDC by November 30 in the third year. The advisor(s) must evaluate the paper in writing and propose acceptance or rejection to the EDC, which makes the final decision. Rejection invokes suspension of the students’ stipend until an accepted version is presented.

e. PhD students continue their thesis work. They present in the regular PhD Workshop twice a year, present in the PhD Student Jamboree once a year, and submit a yearly progress report written together with their advisor.
f. PhD students must observe the residency requirements and should actively participate in the department’s academic life. They can spend more than 2 week intervals out of campus only with the prior approval Economics Doctoral Committee.

g. When the thesis is starting to come together but some significant questions may still be open, PhD students and their advisor(s) have to propose a Thesis Committee, subject to the approval of the EDC and seek their early opinions. The form of this early check is the pre-defense meeting. The formal steps are the following.

h. Students and their advisor(s) submit the names of possible thesis committee members to the EDC. The EDC selects the (at least two) examiners (at least one of whom is external to CEU) and possibly other members of the committee. The student or the advisor(s) then approach these people, typically by sending them a detailed outline of their future thesis. Note that examiners’ duties include writing a detailed report on the outline, participation at the pre-defense meeting, a report on the final thesis, and possible participation at the oral defense (if they are on or near campus). If agreement is reached, the EDC must be notified so it can go ahead with formally appointing the committee members. If agreement is reached, the process starts again.

i. If the Thesis Committee is approved, they set up a date for the pre-defense meeting. This is also the date for the Rigorosum. When everything is set up, students must formally initiate the doctoral procedure by submitting a signed statement to the UDC. Then the EDC selects the Rigorosum Committee, which typically overlaps with the Thesis Committee and has it endorsed by the UDC.

j. Examiners and the advisor(s) must submit the reports to the EDC before the pre-defense meeting and the Rigorosum take place. The Rigorosum is an oral examination in the field of the student’s thesis research. Then the pre-defense meeting and the Rigorosum take place. The external member of the committee has to be present at the meeting. The result of the meeting is a roadmap for the completion of the thesis, including substantive elements and a timeline, which must be summarized by the student and submitted to the EDC for approval. The result of the Rigorosum is a formal report to the EDC.

k. After the pre-defense meeting, students complete their thesis in accordance with the pre-defense meeting roadmap. When ready (but within two years from the pre-defense meeting), they must submit their thesis to the members Thesis Committee and, formally, to the EDC. Members of the Thesis Committee must also set up the time of the oral defense, and the student has to report that to the EDC, which seeks the approval of the UDC.

l. The examiner members of the Thesis Committee have to write a detailed report on the submitted thesis. These reports must arrive at least two weeks before the defense.

m. At the defense, student and the members of the committee discuss the reports, the students’ answers, and further issues are settled. Details of the defense are in section 5.6.

Appendix 2. An overview of the structure of Doctoral Schools

1. The **Probationary Period** is between the date of enrolment and the successful passing of the Comprehensive Examination and finishing of the coursework.

2. Doctoral Students who (a) have successfully completed their coursework and comprehensive examinations, (b) have their advisors(s) accepted become Doctoral Candidates
3. Doctoral Students who intend to earn a degree accredited in Hungary, must initiate a doctoral procedure not more than two years before the submission of their dissertation, and during this procedure they are called Doctoral Nominees (“doktorjelölt”).

4. Doctoral Nominees must pass the Rigorosum (szigorlat) before their Dissertation Examination.

5. After they have fulfilled all requirements as prescribed by the regulations of their programs, Doctoral Candidates submit their dissertation.

6. The submitted dissertation is presented and defended at a public Dissertation Examination.

7. After the successful defense of the dissertation, the Dissertation Committee will propose to the University Doctoral Committee that the student is awarded a doctoral degree.