

# DOCTORAL REGULATIONS<sup>1</sup>

FOR STUDENTS STARTING IN/AFTER AY 2016/17  
HUNGARIAN ACCREDITED DOCTORAL SCHOOL

JULY 10, 2018

## Basic Information

Hungarian accreditation: 2005 (U.S. accreditation: 2000)

Program director: Prof. László Mátyás

### Aims:

In this US-style PhD program students go through coursework in core and field courses. Students work closely with faculty on their thesis in research areas covered by the department. The educational goal of the program is to prepare graduates for a career in research and teaching.

### Learning outcomes:

The program is designed to ensure that students acquire rigorous and state of the art knowledge of core areas of economic theory, quantitative methods, several applied fields and research methodology and to offer research opportunities under close supervision of excellent international and local faculty.

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<sup>1</sup> These regulations comply with the CEU Doctoral Regulations the latest amendment of which was approved by the Senate on Oct 12, 2016. 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.

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## **1. Overview of the program**

### *1.1 Coursework period*

The first and second years in the program are spent taking courses. Students must complete 44 CEU (88 ECTS) credits worth of PhD courses in Economics out of which 4 credits are earned as additional Hungarian credits for *Intermediate Econometrics*. 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. The remaining credits can be taken by registering for other PhD courses in Economics. Coursework ends with a Complex examination. (see below)

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<sup>2</sup> Advisor in this document is used as the synonym of Supervisor featured in the University Doctoral Regulations

<sup>3</sup> Thesis Committee is used as the synonym of Dissertation Committee featured in the University Doctoral Regulations

<sup>4</sup> Thesis is used as a synonym of Dissertation featured in the University Doctoral regulations

## 1.2 Assessment test

Upon arrival at CEU, PhD students are required to take an assessment test in Macroeconomics and may take the test in Microeconomics, as well. Based on the results, students might be required to enroll in MA level classes in Macroeconomics (1-2) and Microeconomics 1. Microeconomics 1 is a core course for students who do not hold an MA in Economics degree from CEU and cannot pass the assessment test. 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, typically during the first year of studies, 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 (referred to as EDC). PhD Students coming from outside CEU can apply for such credit waiver up to 25 credits to the EDC.

## 1.4 Fields in the PhD program

The Department of Economics and Business offers 4-5 fields in the Economics PhD program. Students have to finish two fields during their coursework. The fields that will be available to take for a cohort of doctoral students are announced in the Fall semester of the first year. One field is considered completed if at least 8 credits are taken. Altogether, a student takes at least 16 credits' worth of field courses. Each student designates one main field out of the two and takes the Complex exam of the chosen field. Upon approval of the Field Coordinator, other courses can be counted towards field credits.

## 1.5 Complex Exam

The Complex exam takes place at the end of the 2<sup>nd</sup> year after having fulfilled the coursework requirements. This is an oral exam, covering the *main* field completed by the students out of the fields offered by the department. A student becomes eligible for the field exam after completing coursework in two fields. The purpose of this oral examination is to ensure that the PhD Student has a thorough knowledge and research-ready skills of the field and related broader subjects in which the dissertation is to be finished. The exam is graded on a Pass/Fail basis.

A final advisor is to be selected till May 1<sup>st</sup> of the second year. A research plan (approved by the advisor prior to submission) has to be handed in till May 31<sup>st</sup> of the second year. It is to be discussed during the dissertation part of the exam.

The Complex Exam Committee is appointed by the University Doctoral Committee, based on the recommendation of the Doctoral Program Committee. The Complex Exam Committee has at least three members, all of them should have a PhD degree. The advisor can also be present, but cannot be

part of the Committee or vote. One member should be external. The chair must be an ‘egyetemi tanár’ or a habilitated ‘egyetemi docens’ or professor emeritus.

The Complex Exam 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. By successfully passing the Complex Exam Doctoral Students enter in the research period.

The Doctoral Student may request in writing the Economics Doctoral Committee to defer the Complex Exam once, only for well documented personal reasons.

In case of failing the theoretical part of the exam, the Doctoral Student can retake the exam once in no later than one month. If failing the dissertation part of the Complex exam, there is no possibility for a retake, the Doctoral Student fails the program.

### *1.6 Candidacy and Absolutorium*

During their candidacy, PhD Students *take part in the academic life* of the department and the university. *During the first three years of their studies* students are required to attend regularly and present their work in the Research Workshop at least twice a year, attend regularly the departmental seminars, and present their work annually at the *Brownbag seminar from the start of their 4<sup>th</sup> year*. 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 minimum three members (chair, two examiners, one of them is external to CEU) of their Thesis Committee (see later for definition). The purpose of this meeting is to outline a detailed plan and timeline for the thesis.

A PhD Student, who successfully completes the coursework, passes the comprehensive and Complex examinations, gathers the necessary 120 CEU/ 240 ECTS credits receives an absolutorium (végbizonyítvány).

### *1.7 Third year paper and Annual PhD Presentations*

The third-year paper is due the latest on April 30 of the student's third year. One faculty member, who is not his/her advisor reads the paper and gives feedback.

Students must present in the Annual PhD Presentation series starting in their fourth year. A full draft of the paper must be handed in before the event. One paper can be used for only one presentation. For fourth-year students, it can be the same as the third-year paper. Each student gets one slot during the course of the year (ideally, in the Fall semester). The event will consist of a one-hour presentation of each student with interruptions for questions. A faculty member reads each student's paper and discusses it one on one with the student in detail after the presentation. Other faculty members may also set up individual meetings with the presenter. Students are encouraged to present in their third year if ready.

### *1.8 Thesis submission and defense*

Within three years of successfully passing the Complex exam, PhD Students must *submit their thesis*. The thesis is defended in an oral defense (see Section 7 for further details). After the successful defense of the thesis, the Thesis Committee will propose to the University Doctoral Committee that the Student be awarded a US/Hungarian doctoral degree.

## 1.9 Duration of the program

PhD Students must take the Complex exam after two years of their enrollment to the program and submit their thesis within *three years after completing the Complex exam*. Students can apply for a leave of absence from the program, up to one year before and after the Complex exam. Leave of absence requests should be initiated *no later* than October 15 for the Fall, and till March 15 for the Winter and Spring terms. The minimum such period is half a year. PhD students seeking for a leave of absence should submit their appeal both to the Pro-Rector of Hungarian affairs and the EDC. Doctoral students financed through Hungarian state scholarship may not apply for stopping the stipend.

## 2. 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/she 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;
- (2) 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 the 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 and Complex exams
- (6) making recommendations to the University Doctoral Committee for the members of the Admission and Thesis Committees;
- (7) appointing advisors and members of the Comprehensive and Complex Examination Committees;
- (8) 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 Economics Doctoral Committee (including applications for leave of absence, withdrawal, individual study plan, 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 student representative in the EDC is not to be involved in decisions concerning the evaluation or academic progress of individual doctoral students.

The *Admission Committee* of the Economics Doctoral School is 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 members of the Complex Examination Committee. Also, the Economics Doctoral Committee makes suggestions to the University Doctoral Committee regarding the members of the Thesis Committee of a doctoral student getting ready for defense.

### **3. 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 in a related field. 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
- (2) GRE 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

### **4. Student status, rights and responsibilities**

PhD Students enjoy all the rights and bear all responsibilities of CEU Students as outlined in the Student Rights, Rules, and Academic Regulations.

#### **4.1 PhD Students' rights**

PhD Students are entitled to the rights and benefits for full time university Students in Hungary ('nappali tagozatos hallgató') specified in the 2011 Hungarian Higher Education Act, for four years from the date of their enrollment (not including periods of leave of absence, 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.

#### *4.2 PhD Students' responsibilities*

PhD students must reside in Budapest during term time for the entire duration of their stipend. 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.

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

Doctoral Students 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 Hungarian Doctoral Students are as follows:

1. finding and Advisor during the Winter term of the second year, till May 1 at the latest;
2. attending consultations with the advisor and submitting their research plan till May 31 of the second year ;
3. initiating discussions with the advisor(s) on guidance and comments, and agreeing to a schedule of meetings ensuring regular contact;
4. fulfilling the coursework and credit requirements (45 CEU/90 ECTS credits) and pass the Complex Examination till the end of the second year;
5. attending the PhD 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. present the results of their work at the Annual PhD Presentation series every year, starting in the 4<sup>th</sup> year of their studies. A full draft of the paper must be handed in before the event. One paper can be used for one Brownbag seminar presentation only.
7. attend regularly the department seminar series,
8. 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;
9. prepare the thesis for examination according to the schedule agreed upon with the advisor(s);
10. participate in the pre-defense, prepare a road-map and time table for the finalization of the dissertation;
11. prepare a thesis booklet for the defense; send a written answer to the comments of the examiners before the final defense,
12. 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 electronic database of Magyar Tudományok Múveinek Tára by indicating a DOI identification No. in line with the international practices)
13. provide teaching assistantship for 4 credits (up to 2 credits during an academic year) while receiving scholarship, as required by the Head of Department (from the 2<sup>nd</sup> year and above);

14. 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;
15. fulfill 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 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.”

#### *4.4 Extension, leave of absence, re-enrollment, termination*

##### *Extension*

The submission of the thesis can be extended for a maximum of one year based on strong personal reasons (childbirth, illness, accident or other unexpected circumstances). The appeal in this regard should be addressed to the University Doctoral Committee.

##### *Leave of absence*

A PhD student may request permission both from the Pro-Rector for Hungarian affairs and the Economics Doctoral Committee to withdraw from the Doctoral Program for a period of up to 1 year before and after the Complex exam. The request should be supplemented with a supporting letter from the advisor. Leave of absence requests should be initiated *no later* than October 15 for the Fall, and till March 15 for the Winter and Spring terms. The shortest time of leave is half a year.

Furthermore, the PhD student should submit a plan on how he/she intends to finish the PhD. The Student 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 Student granted leave may seek re-enrolment within a maximum of 1 year period from the Doctoral Committee. The time spent prior to the leave is counted towards the given time frame within which a thesis may be submitted.

##### *Termination*

The Doctoral Committee may terminate the doctoral candidacy on the grounds of unsatisfactory coursework grades, failure to pass the Comprehensive/Complex examinations, unsatisfactory research 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 Economics Doctoral Committee before it is carried out.

If the EDC 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 Economics Doctoral Committee at the University Doctoral Committee.

#### 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. Credit requirements towards the Hungarian degree

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. The minimum credit requirement for the graduation is 120 CEU / 240 ECTS credits

<b>Credit requirements/allocation in the Hungarian PhD program</b>					
<b>Coursework credits:</b>	<b>mand/opt</b>	<b>CEU credit/ minimum</b>	<b>CEU credit/ maximum</b>	<b>ECTS/ minimum</b>	<b>ECTS/ maximum</b>
core	mandatory	13	13	26	26
optional	mandatory	27	27	54	54
additional course credit	mandatory	4	4	8	8
					88
<b>Research related credits</b>					
Research proposal and research plan	mandatory	2	2	4	4
Complex Exam	mandatory	4	4	8	8
PhD seminar attendance (2x2 credits /year)	mandatory	12	12	24	24
Annual research presentation	mandatroy	3/year	3	6	6
Annual progress	mandatory	1/yr	4/yr	4	16
Conference paper presentation	optional	2	8	4	16
Publication (4 credits for an int'l publication)	optional	4	10	8	20
Research assistantship	optional	0	5	0	10
Consultation with advisor	mandatory	22	22	44	44
Research seminar series attendance	mandatory		16	32	32
<b>Teaching practice:</b>					
2 credits for each of the 4 credits taught	mandatory	8	8	8	16
Extra credits (2 credits for each credit taught)	optional	0	4	0	8
				8	24
<b>Minimum graduation requirement : 120 CEU / 240 ECTS credits</b>				238	292

## 6. Advising

### 6.1. 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 coursework period and provide occasional counseling.

### 6.2. Advisor, associate advisor, external advisor

During their second year, PhD Students must approach faculty members and, if endorsed, make a proposal on their *advisor till May 1, at the latest*. 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 Economics faculty.

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 full time faculty members of CEU having a doctoral degree or equivalent (including professors emeriti) are eligible to act as advisors. For every paper in the dissertation, the advisor or a full-time Economics 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 supervise 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 EDC can also propose a change in advisor to a PhD Student.

### 6.3 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, 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 and in their efforts towards going to the job market
- (9) monitor student progress and report it to the Doctoral Committee

The advisors' 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 Program 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.

## **7. Pre-defense meeting, thesis submission, thesis defense**

### *7.1 Thesis Committee*

The *Thesis Committee* is responsible for the examination of the doctoral thesis. 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 three 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 Advisor(s) cannot be a member of the Thesis Committee. The chair of the Thesis Committee is an 'egyetemi tanár', a 'habilitált egyetemi docens' or professor emeritus of CEU. The Thesis 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.

### *7.2 Pre-defense meeting*

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.

### 7.3 Thesis submission

When ready, PhD Students *submit their thesis electronically* and send it to each member of the Thesis Committee. Following a successful defense during which the thesis is approved 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. Furthermore an electronic version of the dissertation should be provided to the electronic database of Magyar Tudományos Művek Tára by indicating a DOI identification No.

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.

The submission of the thesis may be extended for a maximum of one year based on strong personal reasons (childbirth, illness, accident or other unexpected circumstances). The appeal in this regard should be addressed to the University Doctoral Committee.

### 7.4 Thesis requirements

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

- (1) the thesis makes a significant contribution to the knowledge and to the understanding of the subject in economics;
- (2) the thesis demonstrates the PhD Student's capacity to carry out quality independent research;
- (3) the thesis contains material worthy for publication;
- (4) state of the art knowledge in the specific subject is demonstrated;
- (5) the format and literary presentation is satisfactory.

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.

## 7.5 Examiners' reports

The examiners provide a written report of the thesis within two 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 it 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 7.2. 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 of the Doctoral Candidacy of the Student.

## 7.6 Thesis defense

The thesis is defended in an oral defense, within two 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 EDC).

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 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 7.2. 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.

### *7.7 Language requirements*

Doctoral Candidates who intend to earn a degree accredited in Hungary must produce evidence of appropriate command of two languages other than their mother tongue. Foreign languages are specified in the University Doctoral Regulations. The entry requirement to the Hungarian doctoral program is the command of a foreign language. (10.10. Supplement to 2.1. on "Language" in the UDR).

## **8. 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.

## **9. 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 the prerequisites. Students who successfully waived some of the core courses may start taking electives if they fulfill their prerequisites.
- b. Students have to finish two fields in the program, 8 credits each, no overlap in the courses. They have to pass a Complex Exam at the end of their second year, after finishing all coursework

requirements and gathering 45 CEU / 90 ECTS credits. This is an oral exam, consisting of a theoretical and a dissertation part. The theoretical part comprises the main field the student had finished during his/her coursework and chose as the main research area. The research plan is to be discussed during the dissertation part of the Complex Exam.

- c. All PhD students should attend the CEU seminars series on a regular basis.
- d. All PhD students are to attend the PhD Research Workshop during the first three years of their studies and present twice a year.
- e. The EDC appoints an early advisor to each student till the end of their first term. The early advisor's role is that of counseling; there are no formal obligations for either part.
- f. During their second year, before the end of the Winter semester, PhD Students must approach faculty members and, if endorsed, make proposals on advising. If an agreement is reached, students must submit the name of the proposed advisor to the EDC for approval no later than May 1. 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. Students may have an additional co-advisor, possibly internal, rarely external to CEU. Appointment of the co-advisor can take place anytime and should follow the procedure laid out for the appointment of the main advisor.
- g. Following consultations with the newly appointed supervisor Students are to submit a research plan until May 31 of the second year.
- h. PhD students continue their thesis work and submit a yearly progress report written together with their advisor.
- i. PhD students are required to submit a third year paper. The third-year paper is due on April 30th of the student's third year at the latest. One faculty member, who is not his/her advisor reads the paper and gives feedback.
- j. PhD students are to participate in the Annual PhD Presentation series starting from their fourth year.
- k. 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.
- l. Students get into absolutorium once they have gathered 120 CEU/240 ECTS credits.
- m. 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. A pre-defense meeting is to be organized to give appropriate feedback to the Student on the dissertation before the final defense. The formal steps leading to it are the following:
- n. 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 the 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 not reached, the process starts again.
- o. If the Thesis Committee is approved, they set up a date for the pre-defense meeting. The Thesis Committee has to be endorsed by the UDC.

- p. Examiners must submit the reports to the Thesis Committee before the pre-defense meeting. Then the pre-defense meeting takes place. 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 Thesis Committee for approval.
- q. After the pre-defense meeting, students complete their thesis in accordance with the pre-defense meeting roadmap. When ready, they must submit their thesis to the members of the 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.
- r. The examiners 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.
- s. At the defense, the Student and the members of the committee discuss the reports, the Students' comments, and further issues are settled. Details of the defense are in section 7.6.

## **Appendix 2: An overview of the structure of Doctoral Schools**

1. The coursework period is between the date of enrolment and the successful passing of the Comprehensive and Complex examinations.
2. Doctoral Students, who (a) have successfully completed their coursework and comprehensive plus Complex examinations, (b) have their advisors(s) appointed, start their research period.
3. Doctoral Students must go through the pre-defense before their Dissertation Examination.
4. After having fulfilled all requirements as prescribed by the regulations of their programs, Doctoral Candidates submit their dissertation.
5. The submitted dissertation is presented and defended at a public defense.
6. After the successful defense of the dissertation, the Thesis Committee will propose to the University Doctoral Committee that the student be awarded a doctoral degree.