

# DOCTORAL REGULATIONS<sup>1</sup>

## US AND HUNGARIAN<sup>2</sup> (FOR STUDENTS ENROLLED BEFORE 2015/16) ACCREDITED DOCTORAL PROGRAM

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### Basic Information

U.S. accreditation: 2000

Hungarian accreditation: 2005

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, October 12, 2016. The concepts in these regulations are defined by the CEU Doctoral Regulations.

<sup>2</sup> 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.

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## 1. Overview of the program

### 1.1 Coursework period

Students must complete 40 credits worth of PhD courses in Economics. They spend the first year and part, or whole of the second year in the program taking courses. 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 worth). 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*”.

### 1.2 Assessment test

Upon arrival at the 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 enrol 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, 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 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 (for PhD students enrolled in or after 2016)*

The Complex exam takes place at the end of the 2<sup>nd</sup> year after having fulfilled the coursework requirements. Complex exams are organized only once a year, in June. 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 before the submission) has to be handed in till May 31<sup>st</sup> prior to the Complex exam. It is to be discussed during the dissertation part of the exam.

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.

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.

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 MPhil degree*

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 seminars 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 time-line for the thesis. A PhD Student who successfully completes the coursework, passes the comprehensive and Complex examinations, 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.

### *1.7 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 two years of successfully passing the pre-defense meeting, students must submit their thesis. The thesis is then defended in an oral defense (see Section 6 for further details). After the successful defense of the thesis, the Student is awarded the doctoral degree.

### *1.9 Duration of the program*

PhD Students must submit their thesis within *six years* of their enrollment to the program. There is a possibility of extending the length of the studies in cases of serious and unforeseeable interference with their studies. 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.

## 2. The Economics Doctoral Committee

The administrative and decision-making body of the Economics Doctoral Program 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 Program appointed for a maximum of five years by the University Doctoral Committee. The Head of Department is also an ex officio member. Two faculty members are elected for two years from among and by the permanent departmental faculty members and those who teach at least 6 credits and are present for 16 weeks. Members should hold a doctoral degree or equivalent. 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 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 and Complex exams;
- (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 and Complex Examination;
- (7) the Ph.D. committee's responsibility is to monitor student progress through advisors (from third year and above).
- (8) each year the PhD Committee awards the Best Job Market Paper Award(s) to the Candidate(s) with the most outstanding paper in his/her field, which is presented at the relevant European or American job market forums.

All applications and requests should be first submitted to the Economics Doctoral Committee (including applications for leave of absence, 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 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 Program is formed by the faculty members of the Economics Doctoral Committee. The Admission Committee is responsible for conducting the admission process.

## 3. Admission

Students seeking admission to the Economics 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 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 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 (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 program.

##### *4.2 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 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.

As a general rule class attendance is mandatory. The specific attendance requirement for each course is set by the instructor and should be explained in the syllabus.

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, till May 1 at the latest;
2. attend consultations with the advisor and submit their research plan till May 31 prior to the Complex exam ;
3. initiate discussions with the advisor(s) on guidance and comments, and agree to a schedule of meetings ensuring regular contact;
4. pass the Complex Examination latest by the end of the third year;
5. attend 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. ensure that original data and any other original research results are stored properly and made available if necessary;
12. 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);
13. 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;
14. 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 Economics 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 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 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 Program Committee. Students are asked to make sure that the appropriate supporting letters (by the advisor, and if required, by the DPC), 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. 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 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 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.

## *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

### 5.1 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.

### 5.2 Advisor, associate advisor, external advisor

During their second year, PhD Students must approach faculty members and, if endorsed, make proposals about their *main 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 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 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 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.

### 5.3 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 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 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.

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

### *6.1 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 two examiners and a Chair. The Chair of the Thesis Committee should be a professor of CEU. At least one of the examiners must be external to CEU. At least one third of the voting members must be external to CEU.

In practice, the PhD Candidate and his/her *advisor(s)* 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. 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.

### *6.2 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.

### 6.3 Thesis submission

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

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.

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.

### 6.4 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 Candidates' 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.

### 6.5 Examiners' reports

Two members of the Thesis Committee are examiners (see section 6.1). 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 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 6.2. 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.

## 6.6 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. The written reply should be submitted to the Thesis Committee before the 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 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 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.

## **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 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.

## **9. Requirements for earning a Hungarian accredited doctoral degree (for students enrolled before 2016/17)**

PhD students in the Hungarian accredited doctoral school 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 three years from the date of their enrollment (not including periods of withdrawal, but including the period of the Doctoral Research Support Scheme).

### ***9.1 Credit requirements towards the Hungarian degree***

In order to earn a Hungarian degree doctoral students must fulfil a set of additional requirements. Students are to earn additional credits in three categories, Coursework, Research and Teaching activities. These credits will be recognized year by year in their transcript once their coursework is over. Students have to earn a minimum of 90 CEU/180 ECTS credits in order to be awarded the Hungarian doctoral degree.

Credit requirements/allocation in the Hungarian PhD program					
Coursework credits:	mand/opt	CEU credit/ minimum	CEU credit/ maximum	ECTS/ minimum	ECTS/ maximum
core	mandatory	13	13	26	26
optional	mandatory	27	27	54	54
additional course credit		4	4	8	8
<b>Research related credits</b>					
Research proposal and research plan:	mandatory	4	4	8	8
PhD seminar attendance	mandatory	2/year	8	12	16
Annual research presentation	mandatroy	3/year	9	12	18
Annual progress	mandatory	1-4/year	12	6	24
Conference paper presentation	optional	min 2	10	4	20
Publication (4crdts for an int'l publication)	optional	min 4	20	8	40
Research assistantship	optional		10		20
PhD Jamboree discussant (2nd - 5th yr)	mandatory	1/yr	4	8	8
<b>Teaching practice:</b>					
2 crdts for each of the 4 credits taught	mandatory	8	8	16	16
Extra credits (2 crdts for each credit taught)	optional	0	4	0	8
<b>Minimum graduation requirement : 90 CEU / 180 ECTS credits</b>				<b>162</b>	<b>266</b>

## 9.2 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. The entry requirement to the Hungarian doctoral program is the command of a foreign language (see 10,10 Supplement of the UDR). The proof of language knowledge (other than their mother tongue) is to be provided in a certified copy of the original document.

## 9.3 Procedure leading to graduation

### Initiating the doctoral procedure

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”).<sup>3</sup> This is equivalent to the initiation of the “doktori eljárás” required by Hungarian regulations. Upon 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.”

### The Rigorosum

The Rigorosum must take place within two years of the start of the Doctoral Nominee status.

<sup>3</sup> Clarification: all Doctoral Nominees are Doctoral Candidates.

The *Rigorosum* meeting is accompanying the pre-defense. 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. Successful passing of the pre-defense meeting and the *Rigorosum* must precede the submission of the thesis by no more than two years.

### Dissertation and defense

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 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).

Preceding the defense meeting the Nominee is required to prepare a thesis booklet containing his/her CV, the abstract of the thesis, the Thesis Committee and the time and place of the defense.

An electronic version of the dissertation will be submitted to the database of Magyar Tudományos Művek Tára by indicating a DOI identification number in line with international practices.

The Hungarian doctoral degree is awarded by the University Doctoral Committee upon the recommendation of the Economics Doctoral Committee.

### **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 preferably at the end of their second year or latest by the end of their third year, after finishing all coursework requirements. 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 Students are to attend the PhD Research Workshop during the first three years of their studies and present twice a year.
- e. 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.
- f. During their second year, before the end of its 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. 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.
- g. Following consultations with the newly appointed supervisor Students are to submit a research plan until May 31, prior to the Complex exam ;
- 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 their 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. When the thesis is starting to come together but some significant questions may still be open, PhD students and their advisor(s) propose a Thesis Committee, subject to the approval of the EDC and seek their early opinions. A pre-defense meeting (Rigorosum for the Hungarian diploma) is to be organized to give appropriate feedback to the Student on the dissertation before the final defense. The formal steps are the following:
- m. 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 reached, the process starts again.
- n. If the Thesis Committee is approved, they set up a date for the pre-defense (Rigorosum) meeting.

- o. Examiners and the advisor(s) must submit the reports to the EDC before the pre-defense (Rigorosum) 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 EDC for approval.
- p. After the pre-defense meeting, students complete their thesis in accordance with the roadmap. When ready (but within two years from the pre-defense or Rigorosum 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.
- q. 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 oral defense. The student has to have written answers to these reports by the time of the oral defense.
- r. At the oral defense, the 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 6.6.

## **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 (Rigorosum for the Hungarian diploma) 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 for a Hungarian degree, the Thesis Committee will propose to the University Doctoral Committee that the student be awarded a Hungarian doctoral degree.