



CEU Doctoral Regulations

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Appendix 1. *An overview of the structure of Doctoral Programs*

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Preamble

- (a) The following regulations are addressed to all Doctoral Students of the Central European University. The more general regulations, CEU Student Rights, Rules and Academic Regulations (ref. number R0709-1), refer to all CEU students and should be always consulted when reading this document. In case of a conflict between these two documents, the Student Rights, Rules and Academic Regulations shall prevail.
- (b) Each Doctoral Program will have its own regulations which may control matters that do not figure in these Regulations. The regulations specific to programs should conform to the present Regulations, and in case of conflict, the present Regulations prevail.

1. Status, committees, definitions

For the purposes of these Regulations, it is understood that:

1.1. Doctoral Program

The **“Doctoral Program”** is a CEU academic program consisting of advanced studies in an academic discipline. Doctoral Programs shall include serious in-depth research that prepares Doctoral Students for a life of scholarship in an academic discipline. Satisfactory completion of all Doctoral Program requirements results in the awarding of a doctoral degree.

1.2. Doctoral Students

“Doctoral Students” are students enrolled in one of the CEU programs offering doctoral (PhD, SJD, etc.) degrees. Before their passing the comprehensive examination, students’ rank is **“Probationary Doctoral Candidate.”** After passing the Comprehensive, they are ranked as a **“Doctoral Candidate”** (in their regulations, programs might include additional conditions required for obtaining the status of a Doctoral Candidate).

1.3. Doctoral Program Committee (DPC) and the Director of the Doctoral Program

- (a) The **“Doctoral Program Committee”** oversees the operation of the doctoral program. The DPC’s responsibilities include:
 - designing and updating the general aims and objectives of the Doctoral Program;
 - passing regulations specific to a particular Doctoral Program, consistent with the University Doctoral Regulations, and publishing the regulations on the Program’s website.
 - enforcing program and university doctoral regulations at the Program;
 - making recommendations for the University Doctoral Committee for the members of the Admission, Rigorousum, and Dissertation Committees;
 - appointing supervisors, subject to approval by the UDC, and appoint the members of the Comprehensive Examination Committees;
 - reporting to the University Doctoral Committee on the appointment and change of supervisors, and reporting on the progress of Doctoral Students and the status of the Doctoral Program once a year.

- (b) The composition of the DPC is as follows:
- The DPC is chaired by the Director of the Doctoral Program, appointed by the Head of Department (or relevant Heads of Departments) usually for three years. The appointment is subject to approval by the head of the University Doctoral Committee.
 - The DPC has at least two further faculty members, who are appointed, usually for three years, by the Head of Department/Unit in consultation with the Doctoral Program Director, from among the resident faculty members of the department (or relevant departments) (Resident Faculty in this document means an appointed faculty member who has full time appointment *or* teaches at least 6 credits (half of the full time equivalency) and is present for at least 16 weeks during the academic year.)
 - The DPC has a student representative who is elected by the doctoral students of the program each academic year.
- (c) The student representative in the DPC is not to be involved in decisions concerning the evaluation or academic progress of individual doctoral students.
- (d) If a student is presenting his or her case before the DPC, they can ask to have the student representative present during the relevant part of the meeting.

1.4. University Doctoral Committee (UDC)

- (a) The **“University Doctoral Committee”** is a Senate standing committee, charged with supervising the development of the Doctoral Programs and enforcing University Regulations on this matter. Its responsibilities include:
- proposing to the Senate the adoption and amendment of these Regulations or make technical amendments of the existing regulations on its own;
 - exercising quality control over the Doctoral Programs;
 - appointing the members of the Admission and Dissertation Committees (incl. examiners), based on the recommendations of the Doctoral Program Committees. In the case of US accredited programs, the University Doctoral Committee can delegate this task to the Head of the University Doctoral Committee;
 - approving the appointment of supervisors and the list of faculty teaching in the Doctoral Programs;
 - awarding a doctoral degree, based on the decision of a Dissertation Committee;
 - revoke a doctoral degree in case the student proves to be undeserving of the degree.
- (b) The UDC has nine members, all of whom – with the exception of the student representative – must answer the criteria for core membership in a Hungarian-accredited doctoral school. The members are appointed by the Senate usually for three years, and are constituted as follows: five resident faculty members (maximum one from each Doctoral program), two external members (the external members are not in employment relationship with CEU), the Provost/Pro-Rector as an *ex officio* member, and chair, and a student representative elected by the doctoral students of CEU. Quorum is simple majority; voting is done by simple majority; in case of equal number of votes, the vote of the Provost/Pro-Rector decides.
- (c) The University Doctoral Committee meets at least three times a year. When the nature of the case allows (for example, a decision has to be made with simple voting), decisions

can be made through emails. In case of appeals or complaints the Committee should start proceedings in 15 working days from the receipt of the complaint.

- (d) Although the Regulations leave it to the discretion of the UDC to discuss matters in the presence of the student representative or in his/her absence, members of the UDC are called upon to exercise their discretionary power in a way that the student representative is regularly invited and is provided with the opportunity to participate.

1.5. Admission Committee

The “**Admission Committee**” is responsible for conducting the admission process in a particular Doctoral Program. The Admission Committee is appointed by the University Doctoral Committee, based on the recommendation of the Doctoral Program Committee.

1.6. Comprehensive Exam Committee

The “**Comprehensive Exam Committee**” is responsible for conducting the comprehensive examinations according to the rules specified in each Doctoral Program. The Comprehensive Exam Committee is appointed by the University Doctoral Committee, based on the recommendation of the Doctoral Program Committee.

1.7. Dissertation Committee

The “**Dissertation Committee**” is responsible for the examination of the doctoral dissertation. About the constitution of the Dissertation Committee, see 7.2.

2. Admission and Eligibility

Note: The University Doctoral regulation specifies only the minimal requirements that successful candidates for any CEU Doctoral Program must meet. In addition to these requirements, the Doctoral Program Committee of any Doctoral Program has the right to set out further admission requirements.

2.1. Language

- (a) Students seeking admission to a Doctoral Program offered by any CEU department must demonstrate proficiency in English by submitting standardized English language test scores, e.g., the Test of English as a Foreign Language (TOEFL) or other substitute tests listed below, with the following minimum scores:

– TOEFL (Computer-based)	250
– TOEFL (Paper-based)	600
– TOEFL (Internet-based)	100
– CEU-administered TOEFL (Paper-based)	600
– International English Language Test (IELTS)	7
– Pearson Test of English (Academic)	76
– Cambridge Proficiency Examination	C
– Cambridge Advanced English Test	A

- (b) Doctoral Program Committees may set additional criteria for admission such as tests (GRE, LSAT, etc.). In this case, those committees shall determine those criteria and submit them to the University Doctoral Committee for approval.

2.2 Exemptions

- (a) Categories of applicants who may request exemption from these requirements are:
- native speakers of English,
 - current CEU students and graduates and
 - those students who have earned a Bachelor's or a Master's degree taught exclusively in English.
- (b) Doctoral Program Committees may set additional language admission criteria or more stringent ones than those specified above.

2.3. Previous degrees

Successful applicants are expected to hold a Master's degree or equivalent in a related field, unless otherwise specified in the accreditation of the respective Doctoral Program. The Doctoral Program Committee may decide to have an additional degree as an admission requirement. CEU Master's students wishing to enter a Doctoral Programs shall have a GPA of 3.3 or higher in their Master's coursework. The Doctoral Program Committee reviewing the application will determine the GPA adequacy of a non- CEU Master's degree.

2.4. Application

The applicant shall submit:

- Completed online CEU Application Form,
- Letters of recommendation,
- Academic records,
- A full curriculum vitae or resume, including a list of publications, if any,
- Department- and program-specific requirements (statements of purpose, research proposal, etc.), and
- Proof of English proficiency.

2.5. Statement of responsibility

- (a) While being enrolled at CEU, Doctoral Students cannot be enrolled in a degree program in another higher education institution. To confirm this commitment, the following statement is to be signed by each Doctoral Student 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.”

These statements are collected and stored by coordinators of the Doctoral Programs.

- (b) Students can apply for exemption from this rule to the Doctoral Program Committee. A permission to be enrolled at two programs does not exempt the student from the requirements concerning the dissertation (see 7.1: the dissertation submission should include a signed statement that the dissertation contains no materials accepted for any other degree in any other institution.)

2.6. Employment and stipend

- (a) Students employed full time cannot receive full CEU scholarship¹. Exemption to this rule can be granted by the Doctoral Program Committee.
- (b) While receiving the doctoral stipend, Doctoral Students should seek the permission of their Head of Department in case of taking up other paid employment.
- (c) Doctoral Students should consult the Policy on Student Employment for regulations concerning employment.

3. Residence, attendance and other duties

3.1. Status, duration

If successful, applicants will be admitted by the Admission Committee to the first year of doctoral studies as Probationary Doctoral Candidates. After passing of the comprehensive examination, they become Doctoral Candidates. The conditions for entering and passing the comprehensive examination must be specified by each program's regulations. Students are required to submit their dissertation within six years from the date of the original enrolment.

3.2. Residence and general duties

- (a) During term time, Doctoral Students must reside in Budapest or the vicinity for the entire duration of the doctoral stipend². They are expected to remain in contact with campus academic life and respond to any communication from their department and program according to their program's regulation.
- (b) Exemption from the residency requirement can be granted by the Doctoral Program Committee, for example for purposes of fieldwork, field trips or conference visits, or, in exceptional cases, for urgent family or medical reasons. Any absence of a week or longer should be reported to the Doctoral Program Committee and permission should be asked.
- (c) In case of unreported or unjustified absence, the Doctoral Program Committee can initiate the suspension of the doctoral stipend. The student should be notified before such a measure is taken. Prolonged unjustified absence can lead to the termination of the student status. In this case, the usual procedure concerning termination of status should be followed (see 4.5 below).

3.3. Coursework

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.

3.4. Duties and activities of Doctoral Candidates

¹ With the exception of modular doctoral students who as a rule should be employed at a teaching or research institution in their home country and may be on a paid or non-paid leave during their residence at CEU

² Modular doctoral students are normally present only for a part of an academic year as they need to fulfil their teaching duties at their home institution. They are only paid stipend when in residence at CEU

- (a) Once promoted to the rank of Doctoral Candidates, students' responsibilities will be as follows:
- ensuring that original data and any other original research results are stored properly and made available if necessary;
 - initiating discussions with their supervisors on the type of guidance and comments considered helpful, and agreeing to a schedule of meetings which will ensure regular contact;
 - providing a written report to the Doctoral Program Committee at least once a year, documenting the progress of the work/research as agreed with the principal supervisor. If the Doctoral Program Committee finds the report unsatisfactory, it has to issue a formal written warning. The situation should be addressed by the student within 3 months, otherwise the stipend payments will be stopped and the candidacy may be terminated;
 - presenting his/her research output in public on at least two occasions during the candidature;
 - preparing the dissertation for examination according to the schedule agreed upon with the principal supervisor;
 - fulfilling any other obligations prescribed by the Doctoral Program's regulations and guidelines
- (b) Doctoral Programs are responsible for organizing events where their doctoral students can present their work (versions of their prospectus or chapters of their dissertation) to the department or a wider professional audience.
- (c) Doctoral Programs should make every effort to provide teaching opportunity to their Doctoral Candidates. In case CEU cannot provide this possibility, Doctoral Program Committees should encourage Candidates to find such opportunity at other accredited universities.
- (d) All Doctoral Students, whether residing in Budapest or not, should remain in regular contact with their department and program, respond to emails in a timely manner and update their contact information.
- (e) In case Doctoral Candidates do not fulfill the above listed duties, their candidacy status may be revoked by the Doctoral Program Committee. In this case they will not be eligible for an MPhil (item 6.5).

4. Extension, withdrawal, stopping the stipend and termination

4.1 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 5.3 below).
- (b) Up to two months, the extensions can be granted by the Doctoral Program Committee. Beyond that period, extension can be granted by the University Doctoral Committee. The maximum time that can be granted beyond the regular enrolment is 2 years.

- (c) Students need to apply for an extension at least two months before their enrolment expires, stating clearly the reason for the extension and its requested length. A request for extension always has to be supported by the student's supervisor. Programs may require that the Doctoral Program Committee also supports the request. Students are asked to make sure that the appropriate supporting letters (by the supervisor, and if required, by the DPC), are sent to the University Doctoral Committee by the time the extension request is submitted. Students may request that the student representative in the UDC has no access to materials disclosed in the extension request.

4.2. Submission beyond the enrolment period

- (a) Students whose enrolment (including possible extensions) runs out and who fulfilled all requirements for the doctoral degree, with the exception of submitting their dissertation, can apply for re-enrolment at a later date in order to submit their dissertation. These students are not entitled to supervision for the period after their enrolment expires.
- (b) If a former student wishes to re-enroll for submitting a dissertation, he or she needs to send the completed dissertation to the Doctoral Program Committee. The DPC should decide, through a procedure devised by them, whether the dissertation can indeed be submitted for a defense. There is no obligation to justify a negative decision, nor is there a possibility of appeal. No resubmission is possible, regardless of whether the decision was positive or negative. Doctoral Programs will keep a record of all cases of submissions under this article.
- (c) If the decision is positive, the student can re-enroll for the purpose of submitting a dissertation. The special re-enrolment fee that applies in this case is twice the amount of the yearly enrolment fee for Doctoral Students in their first three years. From the point of re-enrolment, the usual rules for dissertations apply.

4.3 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.

4.4. Withdrawal & re-enrolment

- (a) A candidate may request permission from the Doctoral Program Committee to temporarily withdraw from the Doctoral Program for a period of up to 2 years. Such request should be properly justified, and the period of withdrawal clearly indicated (dd/mm/yy - dd/mm/yy). Some of the reasons that entitle to a withdrawal include parental duties, pressing family circumstances and other full-time obligations that prevent the student from making progress with their dissertation.
- (b) A candidate granted leave must request re-enrolment with the Doctoral Program Committee when the withdrawal period lapses. It is also possible to request re-enrolment before that time. The time of enrolment prior to withdrawal is counted towards the 6-year period within which a dissertation can be submitted.

4.5. Termination

- (a) The Doctoral Program Committee may terminate doctoral candidacy or probationary doctoral candidacy on the grounds of:
- unsatisfactory coursework grades;
 - irredeemable failure to satisfy one of the conditions to advance from the Probationary Doctoral Candidate status to the Doctoral Candidate status;
 - unsatisfactory research progress;
 - failure to comply with the University and Program Doctoral Program regulations.
- (b) If a Probationary Doctoral Candidate exhausted all opportunities to fulfill the conditions to become a Doctoral Candidate (specified by the University and Program Doctoral Regulations) and still fails to satisfy all conditions, the Doctoral Program Committee can suspend or terminate his or her enrolment according to the following guidelines. The DPC can suspend the enrolment from the date the student is notified of the circumstance that entails that he or she exhausted all opportunities to progress to the Doctoral Candidate status (e.g. not passing an exam, including allowed retakes, with a sufficiently high grade). When the status of the student changes to “suspended enrolment”, the stipend is stopped. The earliest date the enrolment can be terminated by the DPC is two weeks from the date the student is notified that she or he cannot progress to the Doctoral Candidate status. If the student lodges an appeal, his or her enrolment cannot be terminated before the final outcome of the appeal is determined.
- (c) Doctoral Candidates shall be warned in writing by the Doctoral Program Committee at least two months before the termination of doctoral candidacy. Doctoral Candidates shall have a right to present their case to the Doctoral Program Committee before such termination takes effect.

5. Supervision

5.1. Early supervision

Doctoral Program Committees can appoint early supervisors to students for the duration of their probationary period in order to oversee their progress and give early mentoring.

5.2. Principal supervisor and associate supervisor

- (a) Taking into account the research topic and based on faculty availability, the Doctoral Program Committee shall appoint a principal supervisor to a Doctoral Student and forwards the name to the University Doctoral Committee for approval. Every effort should be made to appoint a supervisor primarily from the program, or from within CEU. A person external to CEU should serve as supervisor only in exceptional cases. These cases will have to be indicated and justified separately when submitting the list of supervisors for approval to the UDC.
- (b) The Doctoral Program Committee may appoint an associate supervisor in cases in which the complexity of the studied field requires so, or if the principal supervisor is absent for a substantial time.

- (c) Doctoral Students may make a proposal of who, among CEU academic staff, should serve as their principal supervisors (and associate supervisor) to the Doctoral Program Committees.

5.3. Eligibility

- (a) Only faculty members having a doctoral degree or equivalent are eligible to act as principal supervisors, unless an exception is granted by the Provost (which, however, is not a possibility in the Hungarian/accredited programs). All eligibility criteria are also applicable to associate supervisors.
- (b) CEU faculty members teaching a full load may supervise a maximum of 6 Doctoral Students (enrolled at CEU) simultaneously. Other CEU faculty members teaching more than 3 credits per academic year may supervise less than 6 such students (pro-rated in accordance with their teaching load). Professors holding the Emeritus title, but currently not employed by the University, can also supervise doctoral students. In case of doubt, the University Doctoral Committee shall decide on the ratio. The associate supervisor position counts as a regular supervision when calculating the maximum number of Doctoral Students a faculty member may supervise.

5.4. Changing the supervisor

Candidates may request in writing a change of their principal supervisors or associate supervisors (substantiating such a request). The Doctoral Program Committee is required to address the request within 15 days, and forward their decision on any change in the supervisor's status to the University Doctoral Committee for approval. Under special circumstances, the Doctoral Program Committee can also propose a change in supervisor to the University Doctoral Committee.

5.5. Detailed responsibilities of the principal supervisor & the associate supervisor

- (a) Responsibilities of the principal supervisor and the associate supervisor include:
- 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;
 - giving detailed advice in order to ensure that the whole research project and dissertation writing is completed within the scheduled time;
 - regularly requesting pieces of written work and/or research results and return such work (including dissertation drafts) with constructive criticism within a reasonable time;
 - informing the student about the satisfactory or unsatisfactory progress of his/her work;
 - reporting once a year in writing to the Doctoral Program Committee on the candidate's progress; the content of this report must be communicated to the student according to the regulations of the Doctoral Program;
 - mentoring students in their preparation for an academic career;
 - encouraging students to play a full and active role in the intellectual life of the department and the university;
 - assisting students in finding suitable host universities for study/research abroad under the Doctoral Research Support Scheme;
 - and other responsibilities specified by the Doctoral Program regulations.

- (b) Supervisors' duties remain unaltered even when they are on sabbatical or unpaid leave.

5.6. External supervisor and research abroad under the Doctoral Research Support Scheme

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

6. Examinations

6.1. Comprehensive examination

Probationary Doctoral Candidates take a comprehensive examination after they successfully fulfilled the requirements prescribed in the regulations of their Doctoral Programs. Programs should also specify, in their regulations, the grading system, and the timing of the comprehensive examinations. The regulations of a program may specify circumstances under which a comprehensive examination can be retaken; if such provisions are made, comprehensive examinations may be retaken only once. If the doctoral program regulations do not specifically address the possibility of a retake for the Comprehensive exam, the default option, in harmony with the general Student Rights, Rules and Regulations, is the possibility of one retake. The composition of the retake Comprehensive Exam committee has to be approved by the UDC.

6.2. Prospectus defense

Doctoral Programs may require that a Doctoral Student presents a Prospectus, which is a document outlining the student's research according to the regulations of the Programs. The timing and evaluation of the Prospectus is also specified in each Doctoral Program's regulations. A prospectus can only be resubmitted once.

6.3. MPhil

- (a) The Master of Philosophy (MPhil) is an intermediate degree between the other academic master's degrees and the Doctor of Philosophy. It is awarded to candidates in CEU's Ph.D. programs after completion of all requirements for the Ph.D. except the dissertation.
- (b) A doctoral student who maintains a candidacy status throughout his or her enrollment and has fulfilled all requirements except for the dissertation in a CEU Ph.D. program may apply for an MPhil. The application is submitted to the DPC. After verifying that the conditions for an MPhil have been fulfilled, the DPC asks the Students Record office to register the award of MPhil.
- (c) Award of MPhil means automatic termination of the student's enrollment in the doctoral program. If the student awarded an MPhil subsequently submits his or her dissertation and receives a PhD in the same program, his/her MPhil degree is revoked (as only one degree can be awarded for the same curriculum).

- (d) Those CEU doctoral programs that do not award the Doctor of Philosophy degree (e.g. SJD) may opt not to award an MPhil.

7. Dissertation submission and defense

7.1. Dissertation format and submission

- (a) Doctoral Programs may specify the minimum and maximum length of the doctoral dissertation. Students cannot depart from the specified length without prior permission of the Doctoral Program Committee. The program regulations also specify under what conditions a dissertation can be submitted for defense (e.g. the supervisors' approval, report by the supervisor, etc.).
- (b) The submitted dissertation shall include:
 1. title page including the authors name, date of submission, supervisor's name;
 2. table of contents;
 3. abstract of maximum 500 words;
 4. signed statement that the dissertation contains no materials accepted for any other degrees in any other institutions;
 5. signed statement that the dissertation 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. where the work is based on joint research, disclosure of the respective contribution of the authors;
- (c) When submitting their dissertation for defense, the student has to attach the signed "Statement of objection" (see 7.2 below, the form is attached as *Appendix 2*).
- (d) Two hard copies of the dissertation shall be submitted to the Doctoral Program Committee, an additional hard copy shall be submitted to the CEU library, and an electronic version of the dissertation shall be uploaded to the CEU electronic thesis database (ETD) The final version of the dissertation, after possible modifications following the defense, should be uploaded to the ETD after the defense. All dissertations in the ETD are available on the web through the CEU library catalogue.
- (e) CEU may - as an exception - decide not to make available in electronic form the doctoral dissertation for a period of not exceeding two academic years - or not to publish such dissertation in integral, rather in a redacted form if (1) there are well documented and convincing reasons to believe that such publication would actually or potentially result in threatening the life, health or well-being of the author or another individual or (2) if the author proves to the satisfaction of the Provost that the availability of the dissertation in the ETD would prevent its publication with a leading academic publisher. Redaction shall be preferred in the first of the above two cases over non-publication. The author of the dissertation shall submit a written application for non-publication or redaction of the dissertation to the Provost setting out reasons for the non-publication. The Provost shall decide on the question of the (non-) publication/redaction based on a written recommendation of the dissertation's principal supervisor and of the Doctoral

Program Committee. Restricting electronic publication of a doctoral dissertation in excess of two years is not possible.

7.2. Dissertation Committee

- (a) The Dissertation Committee is responsible for the evaluation of the doctoral dissertation. It is appointed by the University Doctoral Committee, based on the recommendation of the Doctoral Program Committee.
- (b) The Dissertation Committee has the following composition:
 - the Dissertation Committee has at least three voting members, and at least one third of the voting members must be external to CEU (that is, have no contractual relation with CEU at the time of the submission of the dissertation and the defense)
 - the Committee includes at least two examiners, who are asked to write a written report of the dissertation prior to the defense. At least one of the examiners must be external to CEU (in the above sense). In the exceptional case that the supervisor (principal or associate) is external to CEU in this sense, another external examiner has to be appointed.
 - supervisors can be asked to be examiners (depending on the program's practice), but in that case there have to be at least another two examiners.
 - the Dissertation Committee may not include close relatives of the Candidate and individuals who may not be presumed to provide an unbiased evaluation about the dissertation
- (c) A "Statement of Objection" form has to be submitted together with the dissertation (the form is attached to the Doctoral Regulations as Appendix 2). On this form, the Doctoral Candidate whose dissertation is examined has an opportunity to name individuals whom he/she does not wish appointed as examiners of the dissertation. The Candidate should give precise reasons for doing so. If the Doctoral Candidate has no such objections, this has to be indicated on the form. 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.

7.3. Dissertation examination

- (a) The examiners are asked to provide a written report of the dissertation within two months (during term time) of their appointment. Each examiner is asked to indicate in writing whether the dissertation can be submitted for defense. In case one of the reports is negative, a further examiner shall be appointed. Shall the report of the further examiner be negative as well, the dissertation will be rejected. Doctoral Programs must offer guidelines for the evaluation of the dissertation in their specific regulations.
- (b) The dissertation can be defended in the form of a written defense or an oral defense. In case of awarding a doctoral degree accredited in Hungary, an oral defense must be chosen.
- (c) If the dissertation is defended in an oral defense, the defense takes place within three months of the receipt of a sufficient number of positive examiners' reports. Upon request by the candidate and support by the Dissertation Committee, the defense may be closed to the public if the dissertation contains information subject to patent regulations of data sensitive from the point of view of security. Final decision on closed

defenses rests with the UDC. As a rule, dissertation defenses do not take place in the holiday periods (exceptions can be granted by the Doctoral Program Committees). The Candidate receives the reports in advance, and prepares a reply for the oral defense. At the oral defense, the Candidate summarizes the main points of the dissertation, and responds to the questions and comments by the members of the Dissertation Committee and the audience. After the debate, the Committee decides about the acceptance of the dissertation behind closed doors (see 7.3. below on acceptance). The chair of the Committee announces the decision of the Committee.

- (d) If the dissertation is defended in a written defense the Examiners and the Principal Supervisor shall prepare a detailed written evaluation of the dissertation. This should contain eventual questions the Candidate should answer in writing, suggestions and proposal for the modifications of the dissertation, and any other comments that they consider relevant. The Candidate then must prepare a written answer to the questions, carry out the changes and modifications suggested in the reports or argue in details why the suggested changes or modifications are not executed. The Examiners and the Principal Supervisor can accept this or suggest one additional, final, round of questions, clarifications and/or modifications. Then the Examiners and the Principal Supervisor must declare in writing that the dissertation is fully adequate in originality, scope, depth and quality as to be awarded the doctoral degree or state that in its present form the degree should not be awarded.
- (e) Doctoral Programs should have detailed regulations with regard to both written and oral defense. These regulations and the changes therein, should be approved by the University Doctoral Committee.

7.4. Acceptance

- (a) To satisfy the degree requirements, the dissertation must make a significant and original contribution to the knowledge and understanding of the subject and must demonstrate the capacity of the candidate to carry out independent quality research. Whether the dissertation is defended in an oral or written defense, two members of the Dissertation Committee are asked to indicate in writing whether:
 - the dissertation makes a significant contribution to the knowledge and to the understanding of the subject with which it deals;
 - the dissertation demonstrates the candidates' capacity to carry out quality independent research;
 - the dissertation contains material worthy for publication;
 - knowledge of the state of the art in the specific subject is demonstrated;
 - the format and literary presentation is satisfactory.
- (b) The Doctoral Program regulates the acceptance process in details. The process may include requests for modifications before or after the defense. The Committee needs to decide, in harmony with the Program regulations, which members of the Dissertation Committee should certify in a written report that the required modifications were implemented.

- (c) The Dissertation Committee decides about the acceptance of the dissertation based on the majority voting principle, and accordingly may recommend the candidate to be awarded/not to be awarded the doctoral degree. In case of substantial differences in the examiners' recommendations, the Doctoral Program Committee must appoint additional examiners. The doctoral degree is awarded by the University.
- (d) The degree process has to be finished within one year following the submission of the dissertation.

8. Appeals

8.1 Lodging an appeal

- (a) Students can lodge an appeal against decisions made by the Doctoral Program Committee or one of the Examination 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, Prospectus and the Dissertation Examination. Other grievances should be addressed to the Disciplinary or the Grievance Committee, according to the rules specified in the CEU Code of Ethics.
- (b) The appeal must be in writing and include the grounds for the appeal, and the desired outcome of the appeal. The appeal should be addressed to the Chair of the University Doctoral Committee, and sent within two weeks of the communication of the decision to the student.

8.2 Procedure

- (a) Students submitting an appeal may request that the UDC student representative has no access to materials disclosed in the appeal process and that she or he does not participate in the decision. If an issue of conflict of interest arises for the UDC student representative in an appeal process, the Doctoral Student Union will be asked to delegate another student. Upon the receipt of an appeal, the Chair of the University Doctoral Committee, or one or more members of the University Doctoral Committee to whom the Chair refers this task, will collect information relevant to the case. In particular, a representation of the case should be obtained from the Doctoral or Examination Committee whose decision is being questioned. The University Doctoral Committee may ask for a written representation or may request a hearing.
- (b) Every effort must be made to deal with the matter in a timely fashion.
- (c) Once the relevant evidence is available, or a hearing is arranged for the representation of the case, the University Doctoral Committee will meet and consider the legitimacy of the appeal. The University Doctoral Committee can rule whether the appeal is not well grounded, and the decision of the relevant committee is upheld, or the appeal is well grounded and the decision of the relevant committee is over-ruled. The University Doctoral Committee can also make recommendations to the relevant committees to resolve problematic situations.

- (d) If the decision concerns the outcome of an examination, and the decision is over-ruled, the student should be given the opportunity to retake the exam within a reasonable period of time following the decision.
- (e) The decision of the University Doctoral Committee may be appealed, as a final instance, with the Rector.

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.

10. Additional Regulations for Students enrolled in Hungarian-accredited Doctoral Schools

10.1. Supplement to 1.1. above "Doctoral Program"

In order to arrange Hungarian accreditation for a Doctoral Program, a Doctoral School must be established according to criteria specified in §§ 1-8 of the Hungarian government decree no. 387/2012 (XII.19.), "Concerning Doctoral Schools, the Order of Doctoral Procedures and Habilitation" (the "Decree"). A Doctoral School can be established with a faculty of at least seven (in the case of interdisciplinary Doctoral Schools, eleven) core members. Core members are academics with a PhD degree and in full time employment by CEU. Subject to approval by the University Doctoral Committee (in Hungarian "doktori tanács"), one core member may be a CEU Emeritus Professor; up to two core members may be full time employees of one of the research institutes of the Hungarian Academy of Sciences. Core members must have experience in supervision demonstrated by at least one graduated doctoral student (or 2 co-supervised graduated doctoral students), and their publication record must be available from the electronic database Magyar Tudományos Művek Tára. The majority of core members must possess the Hungarian title "egyetemi tanár". The Core members shall prepare the founding documents of the Doctoral School in line with § 5 of the Decree. The Rector of CEU shall submit a request for the registration of the Doctoral School according to § 6 (2) of the Decree. The decision on closing the Doctoral School shall fall within the competency of the Doctoral Program Committee, or – upon the initiative of the Rector – of the Senate. If closing has been initiated by the Rector, then the Senate shall obtain the opinion of the Doctoral Council prior to its decision. The Rector shall initiate at the Education Authority the modification of the registered data of the Doctoral School according to the

decision of the Senate. The Education Authority shall delete the Doctoral School from its registry without executing a proceeding on taking evidence. CEU offers doctoral-level programs and confers Hungarian-accredited doctoral degrees in two fields of disciplines, as follows:

1. Discipline of science: arts and humanities, branch of science: history;
2. Discipline of science: social sciences, branch of science: economics.

10.2. Supplement to 1.2. above, "Doctoral Students"

- (a) 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")³ On initiating a doctoral procedure, Doctoral Students must sign the following statement:

"Currently I have no other doctoral procedure in the same discipline in progress. I did not initiate such a doctoral procedure that was rejected during the last two years."

- (b) The dissertation must be submitted within two years of the acceptance of the application for a doctoral procedure.

10.3. Supplement to 1.3. above, "Doctoral Program Committee (DPC) and the Director of the Doctoral Program"

- (a) Hungarian-accredited doctoral schools are headed by the Doctoral School Director (DSD). The DSD is elected by the University Doctoral Committee from among the "egyetemi tanár" core members of the school upon nomination by the majority of the core members, and appointed by the Rector for a period of maximum 5 years. The responsibilities of the DSD include: organizing the meetings of DSC (below), reporting to the Provost, making decisions in some of the individual cases and others. Decision on the removal of the DSD falls within the competency of the University Doctoral Committee.
- (b) In order to support the work of the DSD, a Doctoral School Council (DSC) may be established. The DSC is elected by majority vote of the core members of the school, and appointed by the University Doctoral Committee. Decision on the removal of the members of the DSC falls within the competency of the University Doctoral Committee.

10.4. Supplement to 1.4. above, "University Doctoral Committee (UDC)"

In regard of training in the Hungarian-accredited doctoral schools, the responsibilities of the UDC also include:

- evaluating proposals for the establishment of Doctoral Schools and, when justified, initiating the closure of Doctoral Schools;

³ Clarification: all Doctoral Nominees are Doctoral Candidates.

- appointing the members of the Rigorosum Committees (incl. examiners), based on the recommendations of the Doctoral Program Committees;
- determining the subjects of the Rigorosum;
- determining the range of languages acceptable as a “first foreign language” in completing the requirements of a Hungarian-accredited doctoral degree;
- dealing with appeals on doctoral matters.

10.5. Supplement to 1. above, “Status, committees, definitions”

Rigorosum Committee

The **“Rigorosum Committee”** is responsible for conducting the Rigorosum (“szigorlat”). The Rigorosum is part of the Doctoral Procedure required for earning a degree accredited in Hungary. 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’.

10.6. Supplement to 3.4. above, “Duties and activities of Doctoral Candidates”:

- earning at least 180 credits in coursework, research and reporting, as determined by the relevant departments.
- fulfilling any other obligations prescribed by the Doctoral Program's regulations and guidelines (including especially publication and second foreign language requirements in the case of Doctoral Candidates pursuing a Hungarian-accredited degree in one of the Hungarian-accredited doctoral schools).

10.7. Supplement to 4.5 above “Termination”

In Hungarian-accredited Doctoral Programs, Doctoral candidacy shall also be terminated if the conditions determined in § 59 (1) of the Hungarian Education Act are fulfilled (termination of student status).

10.8. Supplement to 6. above, “Examinations”

(a) Rigorosum

Doctoral Candidates who intend to earn a degree accredited in Hungary, must pass the Rigorosum (“szigorlat”) comprising of one main subject and two additional subjects. When a Doctoral Candidate initiates the doctoral procedure required for the degree accredited in Hungary, he or she becomes a Doctoral Nominee. The Rigorosum must take place within two years of the start of the Doctoral Nominee status. The Rigorosum Committee (see above, 1.7) evaluates both the viability of the Candidate's research, and the candidate's skills and background knowledge necessary for the completion of the dissertation. The result of the Rigorosum must be announced immediately after the Rigorosum. The dissertation must be submitted within two years of the obtaining of the Doctoral Nominee status.

(b) Languages

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”). The first of these languages must be one of the following: Albanian, Arabic, Armenian, Bulgarian, Chinese, Croatian, Czech, English, Estonian, Finnish, French, Georgian, German, Hebrew, Hungarian, Italian, Latin, Latvian, Lithuanian, Modern Greek, Old Church Slavonic, Old Greek, Ottoman Turkish, Persian, Polish, Romanian, Russian, Serbian, Slovak, Slovenian, Spanish, Syriac, Turkish, Ukrainian, Yiddish

Evidence of sufficient command of this language can be produced in one of the following ways:

- English is recognized without further evidence in the case of all non-native speakers of English accepted in a CEU doctoral program (cf. Admissions criteria, 2.1),
- Hungarian state administered language certificate (or equivalent), type 'B2', intermediate' ("középfokú") level or higher,
- completion of secondary education in a foreign language,
- degree in an accredited higher education institution in a foreign language,

In addition, evidence of sufficient command of a second foreign language, to be chosen from a range determined by the Doctoral Program Committee, can be produced in one of the following ways:

- any of the above;
- Hungarian state administered language certificate (or equivalent), type 'B1', 'beginner' (“alacsonyfokú”) level or higher;
- evidence of successful completion of a foreign language course in a secondary or higher education institution;
- passing an exam on a foreign language administered by the CEU Academic Writing Center.

The Doctoral School may define additional options of how students may fulfill the second foreign language requirement.

10.9. Supplement to 7.1. above, “Dissertation format and submission”

- (a) Candidates pursuing a Hungarian-accredited degree must also submit the following signed statement:

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

- (b) Candidates pursuing a Hungarian-accredited degree must also submit a dissertation booklet, summarizing item by item the major findings of the dissertation. In their case, an electronic version of the dissertation shall be provided to the electronic database of Magyar Tudományos Művek Tára by indicating a DOI identification No. in line with the international practices.

10.10. Supplement to 7.2. (b) above, "Dissertation Committee"

In case of applying for a doctoral degree accredited in Hungary, the chair of the Dissertation Committee is an "egyetemi tanár" or professor emeritus of CEU.

10.11. Supplement to 7.3. (a) and (c) above, "Dissertation examination"

- (a) Candidates pursuing a Hungarian-accredited degree must submit a written response to the examiners' reports.
- (b) Upon request by the candidate and support by the Dissertation Committee, the defense may be closed to the public if the dissertation contains information subject to patent regulations of data sensitive from the point of view of security. Final decision on closed defenses rests with the UDC.

10.12. Supplement to 8.1 above, "Lodging an appeal"

In Hungarian doctoral procedures, an appeal may also be lodged concerning the outcome of the Rigorosum.

Signed by *CEU President and Rector John Shattuck.*

The original document is filed at the Office of the Academic Secretary.

Appendix 1. An overview of the structure of Doctoral Programs

- The **Probationary Period** is between the date of enrolment and the successful passing of the Comprehensive Examination. (See also 1.2(a), 3.1)
- Probationary Doctoral Candidates take a **Comprehensive Examination** according to the regulations of their Doctoral Program. (See also 3.1 and 6.1.)
- Doctoral Students who (a) have successfully completed their comprehensive examinations, (b) have their supervisor(s) accepted become **Doctoral Candidates**. (see also 1.2(a)) Further requirements may be introduced into the relevant doctoral program regulations. Doctoral candidates must fulfill the residency, progress and other requirements as outlined in section 3.2 and 3.4.
- Doctoral Students who intend to earn a degree accredited in Hungary, must initiate a doctoral procedure not more than two years before the submission of their dissertation, and during this procedure they are called **Doctoral Nominees** (“doktorjelölt”). (See further 10.2).
- Doctoral Nominees must pass the **Rigorosum** (szigorlat) before their Dissertation Examination. (See Further 10.7 (a))
- If the regulations of their program require it, Doctoral Students must present a **Prospectus** in front of a committee appointed by the Doctoral Program Committee. (See further 6.2.)
- After they have fulfilled all requirements as prescribed by the regulations of their programs, Doctoral Candidates submit their **dissertation**. (See further 7.1.).
- The submitted dissertation is presented and defended at a public **Dissertation Examination** or at a **Written Defense**. (See further 7.2.).
- After the successful defense of the dissertation, the Dissertation Committee will propose to the University Doctoral Committee that the student is awarded a **doctoral degree**.

Appendix 2.

Statement of Objection

Student's name: _____

Program: _____

Dissertation title: _____

Dissertation supervisor(s):

I wish to name individual/s whose presence in the Dissertation Committee I object to:

(circle the appropriate answer)

NO

YES

If you marked YES, please name the individual/s:

Justification: (Please, note that the reasons should be well-grounded.)

Date: _____

Signature of the student: _____

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