
CEU Doctoral Regulations

This edition of CEU doctoral regulations applies to

- (1) all student cohorts who enrolled in CEU doctoral programs from the academic year 2023/24 onwards, and*
- (2) those students in the cohorts whose enrollment started in the academic years 2022/23, 2021/2022, 2020/21 and who chose to, and were approved by their programs, to opt into the new four-year study and funding scheme (please see Appendix 4 for the opt-in conditions). Students who are on leave at the time when this policy enters into force and who wish to opt into the new system upon their return will be considered on a case-by-case basis by their departments, with the final approval by the Pro-Rector for Research and Faculty.*

All other students should refer to the edition of the CEU Doctoral Regulations P-1103-01v2306-2.

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Preamble

- (a) The following regulations are addressed to Doctoral Students of the Central European University. The more general regulations, CEU Student Rights, Rules and Academic Regulations 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 shall 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 they pass the Comprehensive examination, students' rank is **"Probationary Doctoral Candidate."** After passing the Comprehensive, they are ranked as a **"Doctoral Candidate"** (in their regulations, programs may 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 to the Chair of the University Doctoral Committee for the members of the Defense Committees;
 - appointing supervisors, subject to approval by the UDC, and appointing members of the Comprehensive Examination Committees;
 - granting extensions of up to one additional year on top of the four-year standard duration of enrollment (see 4.1);
 - reporting to the University Doctoral Committee on (i) the appointment and change of supervisors (when this happens); the progress of Doctoral Students and the status of the Doctoral Program once a year, and all extension and termination decisions 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 Chair 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 members¹ of the department (or relevant departments)
 - 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 overseeing and enforcing University Regulations on this matter. Its responsibilities include:
- proposing to the Senate the adoption and amendment of these Regulations or making technical amendments of the existing regulations;
 - exercising quality control over Doctoral Programs;
 - appointing members of the Admission and Dissertation Committees (incl. examiners), based on the recommendations of the Doctoral Program Committees. The University Doctoral Committee can delegate this task to the Chair of the University Doctoral Committee;
 - approving the appointment of supervisors and the list of faculty teaching in the Doctoral Programs;
 - granting extensions beyond the fifth year of enrollment;
 - reviewing annual reports of Doctoral Program Committees on all extension and termination decisions and requiring corrective action if needed;
 - awarding a doctoral degree, based on the decision of a Dissertation Committee;
 - deciding on the termination of enrollment as a sanction in disciplinary matters, on the recommendation of the Doctoral Program Committees, the Disciplinary Committee or the Rector;
 - revoking a doctoral degree in case the student proves to be undeserving of the degree.
- (b) The UDC has seven members appointed by the Senate usually for three years, and are constituted as follows: five resident faculty members (maximum one from each Doctoral program), the Pro-Rector for Research and Faculty 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 Pro-Rector for Research and Faculty decides.

¹ For definition of resident faculty member, please see the Academic Staff Handbook.

- (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 via electronic vote. 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 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

2.1. General guidelines for admissions

CEU doctoral programs have a standard duration of four years. Consequently, doctoral programs are suitable for candidates who apply with a reasonably well-articulated, realistic project that is feasible to complete in four years (plus up to maximum two additional years – see 3.1(b)) and have sufficient grounding in the discipline so that coursework can be limited to the first year of studies.

The University Doctoral Regulations specify 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.

2.2. Language

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, as listed on the CEU admissions webpages.

2.3. Exemptions

- (a) Categories of applicants who may request exemption from the language requirements are:
- native speakers of English,
 - current CEU degree 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 on the CEU admissions webpages.

2.4. Previous degrees

Successful applicants are expected to hold an undergraduate and Master's degree (300 ECTS credits total) 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 Program 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.

2.5. 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.

2.6. Conditions of enrollment

- (a) While being enrolled at CEU, Doctoral Students cannot be enrolled in a degree program in another higher education institution, unless they take part in a special co-tutelle arrangement. Co-tutelle agreements must be reviewed by the Office of Academic Secretary from the accreditation perspective and approved by the University Doctoral Committee. In all other instances, breach of this requirement may result in immediate expulsion from CEU.

2.7. Employment and stipend

- (a) Students employed full time cannot receive the CEU stipend.
- (b) While receiving the doctoral stipend, Doctoral Students should seek the permission of their Head of Department in case of taking up any part-time paid employment. In no case, however, may they take up full-time employment and continue to receive their CEU stipend at the same time.
- (c) Doctoral Students should consult the Policy on Student Employment for regulations concerning employment.

3. Residence, attendance and other duties

3.1. Status, duration

- (a) If successful, applicants will be admitted by the Admission Committee to the first year of doctoral studies as Probationary Doctoral Candidates. After passing the comprehensive examination, they become Doctoral Candidates. Comprehensive exams should take place by the end of the first year of doctoral studies. The conditions for entering and passing the comprehensive examination must be specified by each program's regulations.
- (b) The standard duration of doctoral programs is four years. Up to one additional year may be granted by Doctoral Program Committee (see 4.1). Additional extensions for up to one more year and in every case beyond five years of enrollment are to be decided by the University Doctoral Committee.

3.2. Residence and general duties

(a) During term time, Doctoral Students must reside in Vienna or the vicinity (within commuting distance) for the entire duration of the doctoral stipend. They are expected to be actively involved in academic life on campus, stay in close contact with their peers and supervisors, and attend departmental colloquia.

(b) Exemption from the residency requirement can be granted by the Doctoral Program Committee for purposes of fieldwork, field trips, semester abroad 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 for absences that happen during the term time.

(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 leads to the termination of enrollment. In this case, the usual procedure concerning termination of status should be followed (see 4.5 below).

3.3. Coursework

Each Doctoral Program determines the coursework requirement for Doctoral Students. Coursework should be concluded by the end of the first year of doctoral studies². 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

- (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;

² In cases when a doctoral program offers courses in alternate years in order to have enough students to comply with the class size requirement, some courses may be completed in the second year.

- providing written work (a draft chapter, a progress report or equivalent) documenting progress on their dissertation to the Supervisory Panel, or, in cases there is no Supervisory Panel, to the Doctoral Program Committee at least twice a year. If the Supervisory Panel or 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 three months, otherwise the stipend payments will be stopped and the candidacy may be terminated;
 - providing a written report to the Doctoral Program Committee at the end of the academic year, documenting the progress of the work/research as agreed with the principal supervisor;
 - 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 audience.
- (c) Doctoral Programs should make every effort to provide teaching opportunities 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. Regulations concerning paid and unpaid teaching assistant opportunities at CEU are included in Appendix 3.
- (d) All Doctoral Students, whether in residence in Vienna at the time or not (for instance, during fieldwork), 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 terminated 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 expected to submit their dissertation by the end of the fourth year of study. Extensions of up to one more year (i.e. no more than 12 months) may be granted by the Doctoral Program Committee in case of (i) extensive fieldwork, extensive archival research, or other discipline-specific requirements, as well as co-tutelle agreements provided that the Committee is satisfied that the Doctoral Student will be able to meet costs of living during the time period not supported by a CEU doctoral stipend³, in particular through an external scholarship or grant or ii) multiple teaching assistantships, Global Teaching Fellowships, or participation in externally funded research projects (activities that enable the student to cover costs

³ Students in the 2020/21 cohort may be exempted from this requirement by the Doctoral Program Committee.

- of living). Additional extensions for up to one more year and in every case beyond five years of enrollment may be granted only by the University Doctoral Committee.
- (b) If an extension is not granted on the above grounds and in case of repeated unsatisfactory progress, student's enrollment is terminated; award of an MPhil degree (see 6.3) and reenrollment to submit the dissertation (see 4.4) remain possible.
 - (c) Students need to apply for an extension at least two months before their enrollment expires, stating clearly the reason for the extension and its requested length and enclosing any supporting documentation. Late applications will be rejected and the provision in 4.2 ("Submission beyond the enrollment period") applied, unless the student presents a convincing explanation as to why a timely application for an extension was not possible.
 - (d) A request for an extension of any length always has to be supported by the student's supervisor. A request for extension for up to another year beyond the fifth year of enrollment to the University Doctoral Committee has to be supported also by the Doctoral Program Committee. Students are asked to make sure that the appropriate supporting letters (by the supervisor, and if required, by the Doctoral Program Committee, and any supporting material), 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 enrollment period

- (a) Students whose enrollment (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-enrollment within five years after the expiration of enrollment in order to submit their dissertation. These students are not entitled to supervision for the period after their enrollment 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 Doctoral Program Committee 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. Re-enrolled students waiting for the defense are not eligible for any kind of financial support, and the Doctoral Program Committee should make every effort to organize the defense as soon as possible. The special re-enrollment fee that applies in this case is twice the amount of the yearly enrollment fee for doctoral students. From the point of re-enrollment, the usual requirements 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. The Doctoral Program Committee will only grant these requests in cases that would justify an extension of the submission date of the dissertation as listed in 4.1.(a). In other cases, students should request permission for a temporary withdrawal from the program (4.4.)

4.4. Withdrawal & re-enrollment

- (a) A student may request permission to temporarily withdraw from the Doctoral Program for a period of up to two years (leave of absence). Such requests 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, medical reasons, pressing family circumstances and other full-time obligations that prevent the student from making progress with their dissertation. A leave of absence of up to six months may be granted by the Doctoral Program Committee (for students in years one through five of enrollment). A leave of absence longer than six months, or a leave of absence of any length for students beyond the fifth year of enrollment, can be granted by the University Doctoral Committee. During the leave of absence, both enrollment and stipend payments are suspended.
- (b) A student who has withdrawn from the program must request re-enrollment with the Doctoral Program Committee when the withdrawal period lapses. If such a request is not made, enrollment is terminated. It is also possible to request re-enrollment before the withdrawal period lapses.

Maternity leave

- (c) Students who are due to give birth or who will be the primary caregiver for the adopted or fostered child will receive 6 months of maternity leave at the time their child is born, adopted or fostered. During this leave, the student will continue to receive health insurance. The student enrollment status will be automatically extended by six months. The student needs to inform their departments and present documentation of their child's (expected) birth, adoption or fostering to the CEU Medical Center.

Partner leave

- (d) Students whose partner has given birth may take 1 (one) month of partner leave. During this leave, the student will continue to receive health insurance. The student enrollment status will be automatically extended for this purpose. The student needs to inform their departments and present documentation that their partner has or is expecting to give birth to the CEU Medical Center.

Parental leave

- (e) Student parents can take an additional year of parental leave of absence (i.e., in addition to the two academic years stipulated in 4.4(a)) to cover parenting duties by notifying their departments and the Student Records Office.

4.5. Termination

- (a) The Doctoral Program Committee may terminate doctoral candidacy or probationary doctoral candidacy on the grounds of:
- unsatisfactory coursework grades, including failure to maintain a GPA of 3.33;
 - 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) Probationary Doctoral Candidates: 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 enrollment according to the following guidelines. The Doctoral Program Committee can suspend the enrollment 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, or failing to achieve the GPA of 3.33 for coursework). When the status of the student changes to “suspended enrollment”, the stipend is stopped. The earliest date the enrollment can be terminated by the Doctoral Program Committee 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 (see 8.1 and 8.2), his or her enrollment cannot be terminated before the final outcome of the appeal is determined.
- (c) Doctoral Candidates: If a Doctoral Candidate’s progress is deemed as unsatisfactory by the Supervisory Panel or the Doctoral Program Committee (based on the written work that the student submits twice a year), the student shall receive a written warning. If the follow-up written work shows unsatisfactory progress again, a suspension or termination procedure should be initiated according to the following guidelines. The Doctoral Program Committee can suspend the enrollment from the date the student has been notified of failure to meet program requirements (e.g. repeated unsatisfactory progress). When the status of the student changes to “suspended enrollment”, the stipend is stopped. 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. If the student lodges an appeal (see 8.1 and 8.2), his or her enrollment cannot be terminated before the final outcome of the appeal is determined.

5. Supervision

5.1. Supervisory panels

- (a) Supervisory panels should be introduced in all doctoral programs (where faculty numbers support it) and consist of the principal supervisor and one or two panel members. If in addition to the supervisor the panel consists of only one other faculty member, this faculty can be assigned as co-supervisor with the same responsibilities and duties as the supervisor (small departments may be exempted in case extra supervision would put undue pressure on faculty members).
- (b) Supervisory panels - or where supervisory panels are not viable, the Doctoral Program Committee - meet and formally approve student’s written work at least

twice a year (satisfactory progress is a condition of continued stipends/enrollment, see 4.5(c)). Supervisor – and, when appointed, co-supervisor – are responsible for meetings and reports.

- (c) Supervisory panels are appointed by the Doctoral Program Committee and are chaired by the principal supervisor.

5.2. 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.

5.3. Principal 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 forward the name to the University Doctoral Committee for approval. The principal supervisor is drawn from the program, or from within CEU. A person external to CEU can serve as supervisor only in exceptional cases, and in these cases a resident faculty member should act as co-supervisor. These cases will have to be indicated and justified separately when submitting the list of supervisors for approval to the UDC.
- (b) Doctoral Students may make a proposal of who, among CEU academic staff, should serve as their principal supervisors (and supervisory panel members) to the Doctoral Program Committees.

5.4. 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 Pro-Rector for Research and Faculty. All eligibility criteria are also applicable to co-supervisors and supervisory panel members.
- (b) Under normal circumstances, no one should supervise more than five Doctoral Students. Academic units may have different limits, in line with their student numbers and accounting for specific supervision policies, to achieve a balanced workload between supervisors. Professors holding the Emeritus/Emerita title can also supervise doctoral students. In case of doubt, the University Doctoral Committee shall decide on the ratio. The co-supervisor position counts as a regular supervision when calculating the maximum number of Doctoral Students a faculty member may supervise.

5.5. Changing the supervisor

Candidates may request in writing a change of their principal supervisors or supervisory panel member (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 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.

5.6. Detailed responsibilities of the principal supervisor and supervisory panel members

- (a) Responsibilities of the principal 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 twice 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;
- and other responsibilities specified by the Doctoral Program regulations.

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

5.7. External supervisor and research abroad

Doctoral Candidates may spend a period of time 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 at the end of the research abroad period.

6. Examinations

6.1. Comprehensive examination

Probationary Doctoral Candidates take a comprehensive examination at the end of their first year of studies after they successfully fulfilled the requirements prescribed in the regulations of their Doctoral Programs. Programs should also specify, in their regulations, the grading system 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.

6.2. Prospectus defense

Doctoral Programs may require that a Doctoral Student present a Prospectus, which is a document outlining the student's research according to the regulations of the Program. 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. In programs where MPhil is included in the accreditation, it is awarded to candidates in CEU's doctoral programs after completion of all requirements for the doctoral degree 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 doctoral program may apply for an MPhil, provided this is included in program's accreditation. The application is submitted to the DPC. After verifying that the conditions for an MPhil have been fulfilled, the DPC asks the Students Records 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 supervisor's 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 (or a co-tutelle agreement if a student takes part in a co-tutelle arrangement);
 - 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;
 - 7. standardized Creative Commons copyright statement that facilitates publishing to an Open Access repository. See <https://creativecommons.org/about/ccllicenses/> for details.
- (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 and dissertation database (ETD database). The final version of the dissertation, after possible modifications following the defense, should be uploaded to the ETD database after the defense. All dissertations in the ETD database are available on the web through the CEU library catalogue.
- (e) In accordance with Section 86 (1) of the University Organization and Studies Act (Universities Act 2002) of Austria, graduates of doctoral programs are also under a duty of publication to the Austrian National Library. Accepted doctoral dissertations must be lodged with the Austrian National Library.
- (f) CEU may - as an exception - decide not to make available in electronic form the doctoral dissertation for a limited time period (up to five years) as specified in the Student Rights, Rules, and Academic Regulations or to publish such dissertation 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 Pro-Rector for Research and Faculty that the availability of the dissertation in the ETD database 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 Pro-Rector for Research and Faculty setting out reasons for the non-publication. The Pro-Rector for Research and Faculty 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. Similarly, in accordance with Section 86 (2) of Universities Act 2002, the author of the dissertation may apply for copies of the dissertation deposited with the Austrian National Library to be withheld for a maximum of five years.

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 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 two other examiners.
 - the Dissertation Committee may not include individuals who might have a conflict of interest.

- (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, and the candidate is instructed to make improvements within a reasonable timeframe (the regulations on extensions must be observed). Doctoral Programs must offer guidelines for the evaluation of the dissertation in their specific regulations.
- (b) (b) As a rule, the dissertation should be defended in the form of an oral in-person defense, although external examiners may be permitted to attend the defense online when justified Doctoral program regulations may allow for an online oral defense or for a written defense in exceptional circumstances. 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.
- (c) 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 or 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 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 detail 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, at least 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 detail. 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 six months following the submission of the dissertation.

8. Appeals

8.1. Lodging an appeal

- (a) Students may 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-enrollment 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 Student Union will be asked to delegate another doctoral student representative. 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 overruled. 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 overruled, 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 a procedural error. The appeal is to be addressed to the Disciplinary Committee and then to the Grievance Committee as a last instance.

Appendix 1. An overview of the structure of Doctoral Programs

- The **Probationary Period** is between the date of enrollment and the successful passing of the Comprehensive Examination. (See also 1.2, 3.1(a))
- 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.). Further requirements may be introduced into the relevant doctoral program regulations. Doctoral candidates must fulfill the residency, progress and other requirements as outlined in sections 3.2. and 3.4.
- 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**. (See further 7.2.)
- After the successful defense of the dissertation, the Dissertation Committee will propose to the University Doctoral Committee that the student be awarded a **doctoral degree**.

Appendix 2. Statement of Objection

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: _____

Appendix 3 to CEU Doctoral Regulations: Graduate Student Teaching Policy

CEU provides training in, and hands-on experience with, classroom teaching at the university level to all Doctoral students.

1. Training students for classroom teaching

1.1 Teaching practicum

All doctoral students *are required* to participate in either a 2 US / 4 ECTS or a 4 US / 8 ECTS credit course as an assistant to the instructor as part of their program requirements. In all but exceptional cases, this teaching practicum is undertaken as teaching assistant either in one of the undergraduate programs, or in a master's program. In allocating the practicum, preference will be given to the undergraduate courses. Eligible students must have passed their comprehensive exams and be in good academic standing.

Teaching practicums are not paid positions. They are designed to promote the doctoral candidate's pedagogical development and to provide doctoral candidates with experience in classroom teaching. The workload of a teaching practicum should be proportional to the credit number of the course and focus on those tasks that aid in pedagogical development. Doctoral students doing their teaching practicum typically help instructors construct the syllabus for the course, may suggest readings, observe each session of the course, may teach a lecture or class session (a maximum of 2 sessions in the case of a 4 US credit course) or a section thereof but only under the direct supervision of the instructor, consult with students individually on the course material, help with grading (but by no means all grading, or all assignments) and suggest comments on students' written work. Detailed guidelines on the expected workload are in the table below.

Instructors should pay attention that the teaching assistantship reaches its pedagogical objective by regularly providing feedback on teaching methods and performance throughout the course. Formal feedback will take the form of a questionnaire to be filled in by the instructor after the conclusion of the course. This questionnaire will be kept as record of the teaching practicum by the doctoral program where the student is enrolled. Doctoral students will also fill in a questionnaire regarding their own teaching experience and workload.

If necessary, faculty should be prepared to provide recommendation letters for the doctoral students for future job applications based on their work in the Teaching Practicum.

Practicum requirements may be replaced by documented teaching at other universities at the discretion of the Doctoral Committee of the program the student is enrolled in.

1.2 Teacher training courses

CEU encourages doctoral students to take the teacher training sequence and participate in teacher training sessions offered by the Yehuda Elkana Center for Teaching, Learning, and Higher Education Research before or during their teaching practicum. The Center offers a "Certificate of Teaching in Higher Education" for CEU doctoral students - a certified, formal preparation program for a career in higher education and beyond. Members of the Center are also available for observing, and commenting on, doctoral students' teaching.

1.3 Global Teaching Fellowship

CEU's Global Teaching Fellowships, combined with the targeted mentoring program of the Center for Teaching, Learning, and Higher Education Research serve as excellent opportunities for Doctoral Students to gain supervised experience in teaching their own courses. CEU Global Teaching Fellowship Program Guidelines apply.

Paid teaching opportunities within CEU

CEU offers paid teaching opportunities for the dual purpose of contributing to the preparation of doctoral students for academic careers and to support faculty members who teach large courses or courses with special requirements, primarily on undergraduate level. Students taking up paid teaching opportunities do not earn any credits for those courses but can have them displayed on the transcript with 0 credits. The following opportunities are available:

1. *Teaching assistantships (TAs)*

Teaching assistants support classroom teaching by helping the instructor manage course content, student participation, and grading. They participate in each class session, may teach segments, and may run discussion sections or hold consultations with students. Teaching assistants typically work in larger courses (usually with 20 to 25 students or more) or in interdisciplinary, university-wide settings. Exceptionally, master's students may be allowed to act as TAs for undergraduate courses with the approval of the Pro-Rector for Teaching and Learning, provided that the teaching assistant position demonstrably cannot be filled with doctoral students. Master's students undertaking such teaching assistantships must be in good standing. Care should be taken that the teaching assistantship does not interfere excessively with master's students' own progress with their studies. As with the teaching practicum, when a TA presents a lecture or runs their own class with material they have prepared themselves, the instructor must be present. But where discussion sections are involved, where TAs are leading the discussion which the instructor has initiated, instructors only need to be present for the time required by their own teaching credits. For example, if an instructor with a TA on a 3 credit BA course receives 2 credits for this course, then they may teach 2 of the three sessions per week and the remaining session can be taught unsupervised by the TA.

2. *Doctoral student instructorships*

Student instructors design and teach their own undergraduate courses. Doctoral candidates may apply for these positions in response to an open call. A maximum of four applications are selected each academic year based on the suitability, relevance and creativity of the course content and design. This process is managed by the Office of the Dean of Undergraduate Studies.

The table below summarizes the range of duties for teaching assistants and doctoral student instructors. Instructors are required to discuss their specific expectations well in advance of the start of the course with the teaching assistant, and to observe the workload limits described below. Teaching assistants who are required to perform duties in excess of what is described below and what was agreed in advance should raise this with the course instructor. In case the matter is not resolved, teaching assistants may file a complaint with the Doctoral Program Committee (in the case of doctoral students) or the Head of Department (in the case of Master's students) or, ultimately, with the Pro-Rector for Faculty and Research.

	Duties	Approximate workload / 2 US / 4 ECTS credit course
Teaching assistants (practicum and paid)	<ul style="list-style-type: none"> • Help with course design if requested • Help with managing course content on the course Moodle site • Participate in course • Help with grading student work (this may mean a share of the assignments, but not more than 30% of all the assignments) • Help with course management such as monitoring participation and absences • Advise students one-on-one • Give a lecture/class or part of a lecture/class (but no more than 2 such sessions in the case of a 4 US credit course) • Support faculty needs in an online environment • Teach discussion sections or offer tutorials to complement lecture-based large courses 	6 hours per week
Doctoral student instructors	Design own undergraduate course	10 hours per week

The per credit fee to be paid to Teaching Assistants and Doctoral Student Instructors will be determined and announced by the Pro-Rector for Teaching and Learning in January each year to be applied for the following academic year. The rates will be posted online on the [HRO SharePoint site](#).

Distribution of teaching practicum and paid teaching positions

The teaching practicum is part of the doctoral curriculum and Departments (or doctoral programs) should match doctoral students with courses in a way that ensures the pedagogical value of the TAship for the student, while keeping in mind that undergraduate courses with a large enrollment should be given priority. The decision-making procedure for allocating practicum positions is determined by each Unit and should be included in the Unit's Doctoral Student Handbook, together with any additional guidelines on workload or requirements. The workload cannot exceed the thresholds established in this present Policy.

Paid Teaching Assistantships and Doctoral Teaching Instructor positions must be advertised university-wide with a clear description of the job, expectations including workload, as well as eligibility criteria on the HRO TA SharePoint. Units must send information about likely courses to the Pro-Rector for Teaching and Learning by the beginning of May in the academic year before the course will be taken, and the Pro-Rector's office will post information about the position on the SharePoint. Units are encouraged to consider doctoral student applicants who are external to their unit as well. Eligible students must be in good academic standing and, with the exceptions of master's students mentioned above, must have completed their teaching practicum, and passed their comprehensive exams. In exceptional cases (e.g. when highly specialized knowledge is required for a course), the Pro-Rector for Teaching and Learning may waive the advertisement requirement.

TA positions will be allocated with the following criteria in mind: suitability for the position, relevance of the position for the student's studies, equity, and diversity. In addition, candidates who have completed the course "Foundations in Teaching in Higher Education" and especially the full certificate program of the Yehuda Elkana Center for Teaching, Learning, and Higher Education Research will be given preference. Doctoral programs are encouraged to include this course as part of their curriculum.

If a student feels that selection was not made following the above criteria and procedure, they can lodge a complaint with the Head of the Department. If the complaint is not resolved then they can take it up with the Pro-Rector for Teaching and Learning.

Typically, only courses with at least 20 to 25 enrolled students can have paid TAs (although there is no guarantee that all such courses will have TAs). Exceptions may occasionally be made by the Pro-Rector for Teaching and Learning if the instructor needs special support for any reason, such as the highly technical nature of the subject (which may necessitate one-on-one consultations routinely) or having to deal with an especially demanding interdisciplinary class.

Appendix 4: Transition to the new 4-year long doctoral system: Overview of options for students by cohort

Cohort starting in academic year:	Option A: old system	Option A: old system	Option B: new system	Option B: new system	Conditions for opting into the new system:
2023/24	NA		4 years' stipend + 5.200 discretionary fund	48*1,300 <u>+5,200</u> =67,600	NA
2022/23 (starting 2nd year in 23/24)	3 year stipends +DRSG +6 months write up- grants +small grants listed below	36*1,300 +5,000 +6*1,300 <u>+8,000</u> =67,600	4 years' stipend + 5.200 discretionary fund	48*1,300 <u>+5,200</u> =67,600	<ul style="list-style-type: none"> • Not used any of the grants • Undertakes to finish in 4 years (+1 in disciplines requiring fieldwork) • Undertakes to reside in Vienna (apart from approved fieldwork or other necessary time away) <p><i>Decision by end of ay 2022/23 (directly after prospectus defence). Each doctoral program to collect decision from students, to be submitted to Financial Aid Office</i></p>
2021/22 (starting 3rd year in 23/24)	3 year stipends +DRSG +6 months write up- grants +small grants listed below	36*1,300 +5,000 +6*1,300 <u>+8,000</u> =67,600	4 years' stipend +small grants listed below	48*1,300 <u>+8,000</u> =70,400	<ul style="list-style-type: none"> • Will not use the DRSG or the write-up grants (having used smaller grants is fine) • Undertakes to finish in 4 years (+1 if granted by DPC in disciplines requiring fieldwork) • Doctoral program committee confirms good progress to timely submission • Undertakes to reside in Vienna (apart from fieldwork or other necessary time away)

					Decision by end of Fall term 2022/23 (<i>DRSG applications due by end of term</i>). Each doctoral program to collect decision from students, to be submitted to Financial Aid Office
2020/21 (starting 4th year in 23/24)	3 year stipends +DRSG +6 months write up-grants +small grants listed below	36*1,300 +5,000 +6*1,300 <u>+8,000</u> =67,600	4 years' stipend + small grants listed below	48*1,300 <u>+8,000</u> =70,400	<ul style="list-style-type: none"> • Not used the DRSG or the write-up grants (but smaller grants fine) • Undertakes to finish in 4 years (+1 if granted by DPC in disciplines requiring fieldwork) • Doctoral program committee confirms good progress to timely submission • Undertakes to reside in Vienna <p>Decision by end of Fall term 2022/23 (<i>DRSG applications due by end of term</i>). Each doctoral program to collect decision from students, to be submitted to Financial Aid Office</p>
2019/20 and before (graduated or starting 5th or further years in 23/24)	3 year stipends +DRSG +6 months write up-grant +6 months OSUN-financed Covid WUG +small grants listed below	36*1,300 +5,000 +6*1,300 +6*1,300 <u>+8,000</u> =75,400	NA	NA	NA

Financial aid to doctoral students under the old system

Stipends: 1.300 per month x 36 months

Write-up grants: 1.300 per month x 6 times (plus OSUN funded grant in the same amount for students in enrollment in spring 2020)

Doctoral Research Support Grant – 1 time during studies (non-competitive grant and max. request is 5,000 EUR per student).

Small grants:

- Summer School Grant – 2 times during studies (competitive and max. request is 1,500 EUR per student).
- Winter School Grant – 1 time during their studies (competitive and max. request 1,500 EUR per student).
- Conference grant – 1,500
- Field & Archival grant – 2,000

Total: 67,600 (plus 7,800 for those eligible for the Covid-related extra write-up grant)

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