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Faculty of Economic Sciences:

Following the resolution passed by the faculty council of the Faculty of Economic Sciences on 23.07.2014, on 16.09.2014, the Presidential Board of Georg-August-Universität Göttingen approved the third amendment to the examination and study regulations for doctoral studies in economic sciences [§44 paragraph 1, sentence 2 NHG in the version from 26.02.2007 (Nds. GVBl. Page 69), amended by Article 1 of the regulation dated on 11.12.2013 (Nds. GVBl. Page 287); §9 paragraph 3 sentence 1, §37 paragraph 1 sentence 3 no. 5b), §44 paragraph 1 sentence 3 NHG] from the version contained in the announcement dating 27.03.2012 (official announcements I nr. 10/2012, p. 320) that was last amended on 22.04.2014 (official announcements I no. 15/2014, p. 387).

Examination and study regulations for the doctoral programme in 'Economic Sciences' at the Georg-August-Universität Göttingen

Part I General Regulations

§ 1 Scope

(1) ¹These regulations provide for the doctoral studies and the doctoral process, including the award and withdrawal of the doctorate, within the framework of the doctoral programme in economic sciences at the Faculty of Economic Sciences at the University of Göttingen. ²The doctoral programme comprises the doctoral studies and the doctoral examination.

(2) Furthermore, these regulations provide for the award of the academic title and the award of honorary doctor of economic sciences (Dr rer. pol. h. c.) at Georg-August-Universität Göttingen.

§ 2 Objectives of the doctoral studies; purpose of the examinations

(1) ¹Aim of the doctoral studies in economic sciences is to qualify the student to take on responsible tasks in research and teaching and extramural occupational fields. ²For this purpose, candidates are required to complete a research-oriented additional training in addition to their independent academic research, in which they demonstrate their command of the skills and methods associated with the subject. ³Students should be competent in classifying and applying the academic methodology of economic sciences and should additionally acquire specialised knowledge on an advanced, academic level. ⁴Furthermore, the skills required for interdisciplinary work, teamwork and effective methods of academic methodologies shall be fostered. ⁵Graduates shall be enabled to command, reflect critically upon and to apply recent theories and methods of economic sciences, to recognise their social relevance and to author new academic and specialised knowledge. ⁶They are hence qualified for positions of leadership in the professional world and are equally suitable for careers as scientists and scholars.

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(2) Upon successful completion of the doctoral programme in economic sciences, the proof of qualification in specialised independent scientific work in a discipline covered by Faculty of Economic Sciences is considered verified.

§ 3 University degree

(1) The Faculty of Economic Sciences at the Georg-August-Universität Göttingen awards the doctoral degree in economic sciences (Dr. rer. pol.).

(2) The honorary title of doctor of economic sciences (Dr. rer. pol. h.c.) can also be awarded following extraordinary graduation.

§ 4 Standard course length, part-time studies

(1) The standard course length for the doctoral programme is six semesters.

(2) ¹The standard course length can be extended by up to two semesters for an important reason. ²An important reason is present especially if

a) the effort involved in empirical work or work with source material is significantly greater than average

b) the dissertation requires acquisition of foreign-language skills.

³The decision on the extension of the standard course length is made by the Dean of Studies upon application by the doctoral candidate in consultation with the thesis committee.

(3) ¹Students may apply to study part-time if there is an important reason. ²Full-time work in addition to the doctoral studies or childcare in particular are considered to represent an important reason. ³The Dean of Studies rules on the application in consultation with the thesis committee. ⁴The provisions of the regulation governing part-time studies at the Georg-August-Universität Göttingen shall apply accordingly.

§ 5 Examination components

(1) The degree as specified under § 2 is awarded on the basis of a doctoral examination.

(2) ¹The doctoral examination comprises a scientific treatise (dissertation) and an oral examination. ²The examination is carried out as an oral defence.

§ 6 Graduate committee

(1) ¹Besides the Dean of the Faculty, the graduate committee consists of three members of the professorial group, one of whom should belong to the Board of Directors of the Göttinger Graduate School of Social Sciences (GGG), and a doctoral graduate. ²The Dean of the Faculty can be represented by a professorial group member. ³Each of the committee members is appointed for two years by the mentioned groups in the faculty council of the Faculty of

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Economic Sciences. ⁴The Dean of the Faculty is responsible for the management.

(2) The graduate committee supports the Dean of Studies in doctoral matters and reports to the faculty council regularly on the finished and on-going procedures.

§ 7 Thesis committee

(1) ¹A thesis committee shall provide assistance during doctoral studies. ²It is convened individually for each doctoral candidate and usually consists of at least three members, including the first academic advisor, whose confirmation of supervision was the prerequisite for enrolment, as well as at least another authorised examiner. ³One member of the thesis committee may come from a related discipline and may belong to another university or extramural research institution. ⁴The members are appointed by the Dean of Studies in consultation with the first academic advisor at the latest six months following enrolment; the doctoral candidate has at the same time a right to recommendation, which does not lead to any legal entitlement to a preferred composition of the thesis committee. ⁵The first academic advisor must be a full-time member of the professorial group of the Faculty of Economic Sciences at Georg-August-Universität Göttingen. ⁶The graduate committee can provide exceptions hereto, subject to application.

(2) ¹The thesis committee provides support and assistance to the doctoral candidate. ²Graduates must report regularly to the thesis committee, at least once each year, in detail about the status of the doctoral project undertaken.

(3) ¹Upon application of a member of the thesis committee or the doctoral student, the Dean of Studies can change the composition of the thesis committee. ²Any change of the first academic advisor is possible only if the assistance for the doctoral studies is no longer guaranteed due to his or her prolonged absence or continuation of support is unreasonable due to a breach in mutual trust.

§ 8 Withdrawal of an academic advisor

(1) If the first academic advisor of a dissertation leaves the faculty, then he or she has the option to assist the dissertation until completion of the doctoral studies.

(2) If the first academic advisor cannot continue support due to health or other serious reasons, the Dean of Studies appoints a replacement in consultation with the doctoral candidate.

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Part II

Nature and scope of the doctoral studies

§ 9 Scope of the doctoral studies

(1) ¹The doctoral studies as part of the doctoral programme in economic sciences lasts for 6 semesters as a rule. ²It comprises altogether 20 credits (1 credit = 30 hours scope of work) in accordance with the module overview (appendix 1). ³The doctoral programme in economic sciences can also be completed on a part-time basis.

(2) ¹Appendix 4 can provide for differences in the nature and scope of individual programmes to be completed successfully in the doctoral programme than those specified in section 1. ²The appendix must contain a separate module overview for each programme.

(3) ¹The doctoral studies end with

- a) Withdrawal or revocation of the admission to the doctoral programme or
- b) Termination of the doctoral candidate relationship.

²Withdrawal, revocation or termination may take place for an important reason. ³In general, an important reason is deemed prevalent if the doctoral student

- a) proves consistently unsuitable despite sufficient supervision,
- b) fails repeatedly or to a significant extent in fulfilling the tasks with which he or she has been charged, in particular if he or she has repeatedly and despite caution violates his or her reporting duties,
- c) has breached the guidelines to ensure good scientific practice,
- d) his or her acceptance as doctoral candidate was acquired wrongfully by means of deception as concerns provision of the qualifications for entry, and if
- e) the relationship of trust with the doctoral student is irretrievably breached for reasons for which the doctoral student must carry responsibility.

§ 10 Proof of academic achievement

(1) ¹Participation in the doctoral programme requires enrolment. ²Successful participation in the modules or events is assessed as “passed”, grades are not issued. ³A corresponding certificate will be issued once the necessary credits are acquired and assessed; instead of a certificate, an entry can be made in the electronic examination management system. ⁴The safeguarding provisions for examination components shall otherwise apply accordingly.

(2) The following are possible assessment types: Presentation and seminar paper or discussion, moderation, report, written examination, supervised apprenticeship, subject-specific examination types.

(3) ¹Upon application of a member of the thesis committee, external seminars that are based for instance, on department-specific and inter-site cooperation, can be approved. ²This also applies to further academic qualification offered by e.g. specialised research institutes. ³In this regard, the applicant should explain the field and rating (credits) of the assessment to be completed as well as the assessment type that has been taken. ⁴The graduate committee rules on the application.

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(4) In the event that performances are not provided for reasons for which the doctoral student must bear no responsibility, or if the provision of said performances shall be associated with undue severity, the graduate committee shall waive the demand to provide proof of individual performances by no later than admission to the doctoral examination, subject to application by the doctoral student.

(5) A proof of academic achievement is graded "failed" when left unattended or the examinee withdraws from attending the module, unless an important reason is shown.

(6) ¹If an examinee attempts to influence the result to his / her advantage or that of others through manipulation or use of prohibited means, the concerned credit is graded 'failed'.

²Anyone found culpable of violating the proper code of proof of academic achievement can be dismissed from all further elements. ³The credit is then graded 'failed'.

(7) ¹Failed credits can be retaken twice. ²A deadline to retake the credit must be offered at the earliest for during the semester following the failed credit.

(8) The graduate committee decides on the accreditation of external credits that are not part of the doctoral programme as examination prerequisites upon proposal by a member of the thesis committee, most commonly the first academic advisor.

§ 11 Thesis supervision

¹In consultation with the doctoral student, the thesis committee drafts an individualised curriculum, which proposes the doctoral programme credits to be completed by the date agreed by mutual consent. ²The thesis committee meets with the doctoral student at least once each year. ³The student shall report the status of his or her research work. ⁴The thesis committee discusses the questions of the research project with the doctoral student, advises him or her on further approach and drafts the individualised curriculum, if necessary.

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Part III Admission to the doctoral examination

§ 12 Prerequisites for admission to take the doctoral examination

- (1) Admission to the doctoral examination has the prerequisite that the applicant
 - a) has been enrolled in the doctoral programme in economic sciences as a doctoral candidate since the time of acceptance,
 - b) has properly completed the doctoral studies,
 - c) can prove unconditional admission to the doctoral programme,
 - d) has independently prepared a written scientific treatise (dissertation), as well as not enrolled in any other corresponding doctoral studies and herewith submitted the dissertation or parts thereof,
 - e) has not given any reasons that give rise to withdrawal of the doctoral degree.
- (2) ¹The doctoral examination cannot be taken by those, who
 - a) have concurrently applied to sit said examination with a different faculty or university or have made an application for admission in this respect;
 - b) have not prepared parts of the dissertation by himself or herself, but has sought the help of a third person in a manner violating examination regulations and scientific honesty, which includes strict compliance with the quotation requirement, so that inclusion of external ideas in the dissertation is clearly marked;
 - c) use the services of a paid agent for the purpose of obtaining information on doctoral opportunities or
 - d) pay fees or deliver services against a fee as well as use services free-of-charge that contradict the sense and purpose of an examination procedure; in these cases any renewed application for admission to the doctoral examination is excluded; or
 - e) the doctoral student is unworthy that an academic title be awarded.

²Admission to the doctoral examination can at any time be withdrawn or revoked in the event of cases covered under sentence 1 letters a) and c) to e).

§ 13 Application for admission to the doctoral examination

- (1) After completion of the dissertation, a written application for admission to the doctoral examination and commencement of the doctoral process should be submitted to the Dean of Studies at the Faculty of Economic Sciences.
- (2) The following should be enclosed with the application:
 - a) at least four copies of the scientific treatise (dissertation)
 - b) the names of the reviewers proposed by the doctoral candidate, who as a rule must be members of the thesis committee,
 - c) proof of the successful completion of the examination prerequisites in accordance with the study regulation for the doctoral programme in economic sciences,
 - d) the declaration according to § 16,
 - e) proof of a clear criminal record that is not older than three months at the time of issue.

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f) In the case of a cumulative dissertation including co-authored papers, a statement of the individual's contribution to the work.

(3) ¹After submission of the application and review of the formal prerequisites, the Dean of Studies decides on the permission to take the doctoral examination. ²Once all prerequisites have been satisfied, he or she shall thereupon open the doctoral process and shall appoint the examination board as specified under § 17. In the admission to the doctoral examination, the doctoral candidate acquires the rightful claim to a review of the academic treatise he or she submitted.

(4) ¹The applicant receives a written notice regarding the admission, and in the case of rejection also information on legal remedies. ²The Dean of Studies notifies the first academic advisor of the admission.

(5) ¹Withdrawal of a doctoral application is permitted for as long as the doctoral process has not been terminated by notice of rejection on the dissertation or the oral examination has commenced. ²Attempt to take the doctoral examination does not count as "taken" in case of a legal withdrawal.

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Part IV Dissertation

§ 14 Dissertation, joint dissertation

(1) The dissertation topic is to be selected from a single discipline that is covered by the Faculty of Economic Sciences.

(2) ¹The dissertation must be an independent scientific work by the doctoral candidate. ²Any results that the doctoral student has or already published may be included in the dissertation; sources must be stated in the standard academic form.

(3) The dissertation may not have been or be used for any other doctoral or comparable process at a university in Germany or abroad, unless otherwise specified in these regulations.

(4) The dissertation can be drafted in German or English.

(5) ¹Submission of at least three thematically independent scientific contributions that were accepted or considered capable for publication according to an external scientific review procedure can also apply as dissertation. ²The suitability for publication is decided by the reviewers. For at least one of the contributions, the doctoral candidate should be the sole author. ³Depending on the number of contributions drafted by co-authors, the number of required contributions may rise. ⁴Depending on the quality of the contributions, the requirement for sole authorship of a contribution may be enforced. ⁵The graduate committee decides on this in consultation with the thesis committee. ⁶For a publication with several authors, it should be possible to clearly delimit and assess the contributions of the doctoral candidate. ⁷A declaration on the proportion of own work performed should also be submitted. ⁸Publications should be supplemented by a plausible introduction into the scientific questions underlying the publications as well as a summary, in which the own results are classified in the professional context and a list of literature. ⁹The accumulated dissertation should be presented in a bound form, § 13 section 2 letter a) applies accordingly.

§ 15 Publication before submission

¹Parts of the dissertation can be published in advance as contributions in publications with external review procedure with approval of the first academic advisor. ²This is explicitly welcomed for joint dissertations.

§ 16 Assurances

The dissertation should include the following declaration:

"1. The opportunity for the existing doctoral project was not made commercially available to me. Especially, I have not engaged any organisation that seeks thesis advisors against a fee for the preparation of dissertations or performs my obligations with respect to examination components entirely or partly.

2. I declare that I have prepared the submitted dissertation (title follows) independently and

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without prohibited aids; I have not accepted external help either free-of-charge or against a fee and will maintain this also in the future. I did not make use of any aids and papers other than those indicated by me. I have marked all word-by-word (direct) or implied citations of the writings by other authors.

3. I will adhere to the guidelines to ensure good scientific practice at the University of Göttingen.

4. No equivalent doctoral studies have been applied for at a different university in Germany or abroad; the dissertation submitted or parts thereof have not been used in any other doctoral project.

5. Furthermore, I am aware of the fact that untruthfulness with respect to the above declaration repeals the admission to complete the doctoral studies and/or subsequently entitle termination of the doctoral process or withdrawal of the attained title."

§ 17 Review, examination board

(1) ¹The Dean of Studies appoints two reviewers for the dissertation, who are authorised examiners in accordance with § 18 and are generally members of the thesis committee. ²In exceptional cases, he or she names additional reviewers, especially for interdisciplinary or inter-faculty work. ³The first reviewer is generally the first academic advisor.

(2) ¹The examination board is appointed by the Dean of Studies and consists of at least another reviewer for the oral examination besides the reviewers under section 1. ²This may differ in the event of an important reason.

(3) Upon convening the examination board, it must be ensured that the research areas dealt with in the dissertation are represented.

(4) In the event that additional reviewers or examiners are appointed over the course of the examination process, they shall also be appointed members of the examination board as specified under the provisions of this regulation.

(5) Abstentions are not permitted in rulings by the examination board.

§ 18 Authorisation to take the examination

(1) Authorised examinees are

a) Fellow members and members of the professorial group at the Georg-August-Universität Göttingen.

b) The fellow habilitated members and habilitated associates qualified to teach at the Georg-August-Universität Göttingen.

(2) Former lecturers can also be appointed as reviewers or examiners up to three years after they moved to another university.

(3) Besides the reviewers and examiners, a person who has passed an equivalent appointment procedure and is accordingly familiar with the understanding of tasks in research and teaching can also be appointed.

(4) In established exceptional cases, apart from the reviewer or examiner, a doctoral graduate member of a university or a non-university research institution can also be appointed.

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(5) One of the reviewers must be a full-time member of the professoral group of the Faculty of Economic Sciences at Georg-August-Universität Göttingen.

§ 19 Review

(1) Each reviewer should produce an assessment of the dissertation within three months after filing the dissertation and propose:

- a) To accept the dissertation,
- b) To reject the dissertation or
- c) To return the dissertation for revision, if he or she would recommend a rejection otherwise.

(2) ¹If acceptance of the dissertation is recommended, the work must be graded (cf. § 26 section 2). ²For revision, an appropriate deadline is to be set by the examination board.

(3) The university is entitled to use suitable software, in particular plagiarism detection software, to determine whether the dissertation submitted was completed independently and without unauthorised assistance and in particular to determine whether any text passages or other sources were incorporated without annotation.

§ 20 Acceptance or rejection of the dissertation

(1) If all reviewers agree on acceptance and/or rejection of the dissertation, it is accepted or rejected.

(2) ¹If all reviewers do not agree on acceptance or rejection, the examination board decides finally on the basis of another review. ²The additional reviewer becomes member of the examination board; the additional review is to be treated in the same manner as the already carried out reviews.

(3) If a dissertation returned for revision is not resubmitted within the deadline set by the examination board, it is considered rejected.

(4) ¹In the case of rejection, the doctoral examination is considered failed. ²Reapplication for admission to the doctoral examination is possible on one occasion and after a period of at least one year only. ³In this case, a new or considerably improved dissertation should be submitted. ⁴In doing this, the unsuccessful attempt should be noted. ⁵If this dissertation is also rejected, then the doctoral examination is definitively failed.

§ 21 Reassessment

(1) Following receipt of the review and the proposals as specified under § 19 section 1, the Dean of Studies notifies the authorised examining members at the faculty of the received votes and sets a deadline of at least five working days during the period of lecture or ten working days during the lecture-free period to consider the review.

(2) ¹If an authorised examiner of the faculty objects to the grading, the Dean of Studies can

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appoint another reviewer for the dissertation. ²The additional reviewer becomes a member of the examination board; the additional review is to be treated in the same manner as the reviews previously carried out.

§ 22 Reference copy

A submitted copy of the dissertation remains with all reviews at the faculty archive.

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Part IV Oral examination

§ 23 Form of the oral examination

- (1) The examination is carried out as an oral defense.
- (2) Examination language is German or English.

§ 24 Date

¹Date for the oral examination is set by the Dean of Studies after completion of the procedure under §§ 17 to 20. ²The oral examination should not be later than 6 weeks after receipt of the review.

§ 25 Oral examination

- (1) In the oral examination, the doctoral candidate should prove that he or she has thorough specialised knowledge and that he or she can independently reason out scientific problems.
- (2) ¹The oral defense lasts for 60 to 90 minutes. ²It consists of two parts. ³In the first part, the doctoral candidate should explain the goals and results of his or her dissertation in the form of a presentation lasting 20 to 30 minutes. ⁴In the second part of the oral defense, the doctoral candidate shall face questions put by the examiner relating to the subject areas and methodical questions concerning the specialty as a whole, also on the larger scientific context that includes the dissertation.
- (3) The oral examination will be accepted by the examination board. The examination board may allow the present university audience members to address questions to the doctoral candidate.
- (4) The Dean of Studies appoints the third reviewer as the chairperson of the examination board.
- (5) ¹The oral defense is open to the university public. ²Upon application by the doctoral candidate, the university public may be excluded. ³Ruling thereon is passed by the examinations board. ⁴The authorised examiners belonging to the graduate committee have the right to participate in the oral defense and advise the examination board on the review, even in the event the public of the university is excluded.
- (6) A written record on the course of the oral examination should be prepared by a member of the examination board.

§ 26 Individual and overall grades of the doctoral studies

- (1) Following the oral examination, the examination board decides whether the entire examination has been passed.

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(2) ¹The following can be awarded as grades of the single reviews for the dissertation and for the oral examination:

summa cum laude	(excellent)	(0),
magna cum laude	(very good)	(1),
cum laude	(good)	(2),
rite	(passed)	(3).

²The grade values can be diminished (with exception of the grade summa cum laude) by the value 0.3 respectively, or can be increased (with exception of the grade rite) by the value 0.3

(3) The grade of the dissertation results from the arithmetic average of the grades given by each of the reviewers:

- up to and including 0.50 summa cum laude,
- up to and including 1.50 magna cum laude,
- up to and including 2.50 cum laude,
- up to and including 3.00 rite.

(4) ¹The current average grade results as a weighted arithmetic average from the grade of the oral examination and the grade of the dissertation. ²The dissertation with the factor 2 and the oral examination with the factor 1 are included in the calculation. ³The provisions of the section 3 apply correspondingly to the review of the current average grade.

(5) ¹The result of the doctoral examination is notified to the doctoral candidate immediately after the assessment. ²In the event of passing, the candidate is informed immediately that the doctoral degree must not be used before completion of the doctoral studies. ³Upon application, the doctoral candidate receives a written certificate that the examination has been passed; this must also show that the doctoral degree may not be used before completion of the doctoral studies.

§ 27 Failure, discontinuance, retake of the oral examination

(1) ¹Insufficient knowledge shown in the oral examination is assessed as failed. ²If the examinee fails to attend the examination or withdraws from the examination, then the examination is considered failed, unless an important reason occurs. ³Important reason must be notified immediately in writing to the examination board and must be made plausible. ⁴In case of withdrawal or failure to attend due to illness, a medical certificate specifying the expected duration of the illness causing the inability to take the examination should be produced immediately, unless the illness is obvious. ⁵If the reasons are accepted, a new examination date is scheduled.

(2) ¹A failed oral examination can be repeated within a year upon application by the doctoral candidate. ²A second retake is not permitted; unsuccessful tests in a doctoral process at other colleges and universities are considered as attempts in the examination of the doctoral programme in economic sciences of the Georg-August-Universität. ³If the oral examination has been irrevocably failed, the doctoral examination shall also be deemed irrevocably unsuccessful.

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§ 28 Safeguarding provisions

(1) ¹If the examinee makes it plausible that he or she is not in a position (e.g. due to long-lasting or permanent physical impairment) to complete the examination components entirely or partly in the intended form, then he or she should be able to complete the examination components in an extended processing time or equivalent examination components in another form. ²A medical certificate from a specialist physician must be produced in original. ³Submission of a copy is not sufficient. ⁴The examination board rules in this effect.

(2) ¹Insofar as compliance with the deadlines for the initial registration for examinations, retake, reasons for not attending the examinations and compliance with processing times for examination papers are affected, the illness of the examinee and the necessary sole care by one or a near relative are considered equivalent. ²Close relatives are children, parents, grandparents, married partner and life partner.

(3) ¹Study or examination components may not be fulfilled by pregnant women, if the life or health of the mother or child is endangered according to the medical certificate. ²Furthermore, the safeguarding provisions according to §§ 3, 4, 6 and 8 of the Maternity Protection Act as well as the deadlines and provisions under § 1 sections 1 or 3 no. 3 or in special cases of hardship, section 5 as well as §§ 15 and 16 of the Federal Parental Allowance and Parental Leave Act shall apply in their relevant versions.

(4) ¹No disadvantages may be experienced by the student through following the provisions under section 3. ²Fulfilment of the prerequisites under sections 1 to 3 should be evidenced through suitable documents, for example medical certificates from specialist physicians, birth certificates, certifications of the local residents' registration office, etc.

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Part VI

Publication of the dissertation and award of the doctoral studies

§ 29 Publication of the dissertation

(1) The dissertation must be published.

(2) ¹During publication, the doctoral candidate should consider recommendations by the experts on changes with regard to content. ²The first reviewer must confirm on a revision slip that the work and the summaries according to section 6 meet the formal standards of a publication.

(3) To publish, the following publication formats may be used: open access publication, e.g. at the Göttingen State and University Library; by a publishing house, print or e-book, open access e-book, self-publication, or as part of a discussion paper series.

(4) The faculty council may permit other publication forms.

(5) ¹The doctoral candidate must submit a definite number of printed copies of the publications or his/her dissertation (obligatory copies) to be specified by the faculty council's decision for the respective publication form, free-of-charge to the faculty. ²These must be submitted, in addition to the publication, within a year of passing the oral examination by the faculty. ³If the doctoral candidate fails to meet this deadline, all rights acquired through the examination become void. ⁴The Dean of Studies can extend the deadline for submission. ⁵This requires a plausible application filed by the doctoral candidate before expiry of the annual deadline.

(6) ¹Along with the obligatory copies of the dissertation, the doctoral candidate should submit two summaries, each of DIN A4 page length and namely, one in German and the other in English. ²These are to be published by the faculty.

(7) ¹Publication in the form of single contributions in publications with external review procedures is also considered a publication, insofar as the publications represent the contents of the dissertation as a whole. ²This is confirmed in the revision slip (section 2). ³The provision of the section 6 applies correspondingly.

(8) If the dissertation writing is published in parts, in accordance with paragraph 7, but without reflecting the contents as a whole, the provisions of paragraphs 2 to 7 apply to the as yet unpublished parts.

(9) ¹The following applies in the case of joint dissertation in accordance with § 14 section 4:

²In the event that individual contributions are not yet published, the submission of a letter by the publishing house, which confirms acceptance of the contribution for publication and essential compliance to the submitted version with regard to content, is also sufficient for meeting the obligation of publication. ³In the event that individual contributions are not yet published and proof of publication cannot be shown yet through the letter by a publishing house, the following publication formats may be used: open access publication, e.g. at the Göttingen State and University Library; by a publishing house, print or e-book, open access e-book, self-publication, or as part of a discussion paper series. ⁴The publication format should follow what is outlined in §14 paragraph 5 sentence 8. Previously published contributions can be replaced by a reference to the source of the publication.

(10) ¹Should there be an important reason and upon joint application of the doctoral student and his or her first academic advisor, publication may be managed initially in the manner that only the abstract is published for a certain period and not the complete dissertation manuscript. ²An

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important reason is present especially when

- a) parts of the dissertation manuscript were accepted for publication in a magazine or a publishing house and prior publication of these parts is inadmissible according to the underlying contract,
- b) this is required for the protection of intellectual property.

³The period under line 1 ends six months after the day of the passed oral defense; once the application is accepted, the period can be extended once by additional six months. ⁴Ruling thereon is passed by the examinations board. ⁵The application should be filed before the scheduled oral examination. ⁶The obligatory copies under section 5 line 1 must be submitted no later than before expiry of the period specified under lines 1 and 3.

§ 30 Award of the doctorate

(1) ¹If the doctoral candidate meets all of his or her obligations under the examination regulations, especially submitted the obligatory copies and the summaries in German and English, then the Dean of Studies awards the doctorate by submitting the examination certificate (appendix 6) as well as the doctoral certificate (appendix 7), each with an English translation upon request. ²The day of the passed oral examination is considered the date of doctoral graduation.

(2) ¹Contrary to section 1 line 1, the doctorate can be awarded before the mandatory copies under § 29 section 5 p. 1 are submitted, if

- a) instead of the mandatory copies, a publishing house contract with an accredited scientific publishing house is submitted and moreover declares in writing that the printing and submission of the obligatory copies are guaranteed within a maximum period of a year since the oral examination;
- b) publication takes place in accordance with § 29 section 10.

²The doctorate is awarded in this case under reservation of the fulfilment of obligations according to § 29 section 5, p.1 If this obligation is violated, all rights acquired through the examination, especially the right to carry the doctoral degree, become void. ³The doctoral certificate should be returned in this case immediately.

(3) The doctorate may not be used before the doctoral certificate is awarded.

§ 31 Inspection of the examination records

In the period between conclusion of the oral examination and awarding the doctorate or within four weeks after return or rejection of the dissertation or after failure of the oral examination, the doctoral candidate is entitled to inspect the written reviews and the minutes of the examination at the Dean of Studies.

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§ 32 Deception; invalidity of the doctoral examination; withdrawal of the doctorate

(1) ¹If the doctoral candidate undertakes efforts to influence the result of examination or study prerequisites through deceit or use of prohibited aids or also through retroactive exertion of influence on an examiner for one's own or others' advantage, the relevant examination or study prerequisites are assessed as "failed". ²From the consequences mentioned in line 1 it can also be recognised whether the doctoral candidate carries any prohibited aids with himself or herself. ³A doctoral candidate who has violated the examination regulations or grossly violated the regulations in any other manner, can be excluded by the respective examiners or supervisors from the continuation of the study or examination prerequisites; in this case, the relevant study or examination prerequisites are assessed as "failed". ⁴In serious cases, the graduate committee can exclude the doctoral candidate from completing additional study or examination prerequisites; repeated offence under line 1 is especially regarded as a serious violation. ⁵A decision may be made to refrain from imposing sanctions in less serious cases. ⁶If there is suspicion of the use of prohibited aids, the doctoral candidate is obligated to assist in the clarification and return the aids; should this be refusal, the relevant study or examination prerequisites are assessed as "failed". ⁷Before a decision under line 4, the doctoral candidate should be heard.

(2) The doctoral examination can be declared void and the doctorate can be withdrawn,

- a) if it is subsequently ascertained that the doctorate was acquired through fraudulence, or if essential prerequisites for the admission to the doctoral examination were wrongly presumed to be fulfilled,
- b) if it is subsequently found that the holder of the doctorate is unworthy of an academic degree,
- c) if the holder of the doctorate has proved himself or herself unworthy of holding academic degree due to their subsequent behaviour or conduct.

(3) In the event that there is a lawful conviction for a criminal offence in connection with the doctoral studies, the doctoral examination shall be declared void and the doctorate shall be withdrawn.

(4) The decisions according to sections 2 and 3 are made by the Faculty of Economic Sciences.

§ 33 Doctoral album

The faculty maintains a doctoral album, in which the name, date and place of birth of the doctoral graduate, the title of the dissertation, the names of the reviewers, the date of the oral examination, the names of the members of the examination board, the examination subjects, the current average grade and the doctoral graduation date are entered.

§ 34 Awarding the honorary doctorate

(1) ¹The honorary doctorate in economic sciences is awarded by the faculty council as a rare distinction for outstanding scientific merit; this is decided by two-thirds of the members, (which

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also includes two-thirds of the professors) who are eligible to vote. ²The faculty council drafts implementation provisions for this purpose.

(2) ¹The honorary doctorate is awarded by Dean of Studies in the form of a degree certificate.

²This degree certificate shall list the scientific merits that led to the award of the honorary doctorate.

§ 35 Decision, appeal proceedings in the assessment of an examination result

(1) Rejecting decisions and other incriminating administration acts that are decided in accordance with this doctoral degree regulation, are to be established in writing, provided with instruction of the right of appeal and notified to the student.

(2) ¹Appeals against a decision that underlies the assessment of an examination result within the framework of this regulation can be lodged within a month after announcement of the notification. ²The graduate committee decides on the appeal in consideration of the procedure under section 3, unless the appeal is sustained.

(3) ¹Insofar the appeal is against an assessment by an examiner, the Graduate Committee forwards the appeal by this person for review. ²If the examiner changes the assessment according to the appeal, the examination board sustains the appeal. ³Otherwise, it reviews the decision based on the statement by the examiner, especially based on whether

- a) the examination procedure has been properly carried out,
- b) the generally valid assessment principles have been followed,
- c) the assessment has been based completely on relevant facts,
- d) all justifiable solutions and those consistently established with serious arguments have been assessed as correct,
- e) the examiner has not been influenced by irrelevant considerations.

⁴The same applies if the appeal is against the assessment by several examiners. ⁵Insofar as definite and substantiated appeal against examination-specific valuations and expert assessments are present, examination components are reassessed by other examiners, who were not concerned with the acceptance of this examination yet or repeated by these examiners, as far as there is substantial evidence of an apprehension of bias against the first examiner or the first examiner or the first assessor. ⁶Reassessment must not lead to deterioration in the examination assessment. ⁷A ruling on the appeal must be issued as quickly as possible.

(4) ¹The appeal must be lodged in writing or as a written record with the department that passed the decision. ²The deadline is adhered to by submission to the Dean of Studies at the Faculty of Economic Sciences.

(5) ¹If the objection is not sustained, a notice of rejection is issued. ²This is passed by the Dean of Studies at the Faculty of Economic Sciences on behalf of the graduate committee. ³The notice of rejection should be reasoned, issued with instructions on rights of legal remedy and delivered.

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Part V Joint degree

§36 Requirements for a joint doctoral degree

- (1) A joint degree with a foreign university or faculty requires that
 - a) there is an agreement signed with the foreign university or faculty regarding the cross-country supervision of the doctoral studies as well as for the individual cooperation with the university of faculty for the double degree.
 - b) admission as a doctoral candidate at both the University of Göttingen as well as at the foreign university or faculty.
- (2) The dissertation may be submitted to either the University of Göttingen or to the foreign university or faculty per the provisions in the agreement in paragraph 1 no. 1. A dissertation that was accepted or rejected at a foreign university or faculty prior to the graduation requirement of paragraph 1 no 1 cannot be resubmitted to the University of Göttingen. The agreement referred to in paragraph 1 no. 1 also ensures that prior to the agreement referred to in paragraph 1 no. 1, a dissertation accepted or rejected by the University of Göttingen cannot be resubmitted to a foreign university or faculty.
- (3) ¹If the dissertation is submitted to the University of Göttingen, §37 is applied. ²If the dissertation is submitted to a foreign university or faculty, §38 applies.

§37 Submission of the dissertation at the University of Göttingen in the case of a joint degree

- (1) During the doctoral studies, the candidate is supervised by one authorized supervisor from the University of Göttingen, and one authorized supervisor at the foreign university or faculty. The supervision process should be in accordance with §36 paragraph 1 no. 1.
- (2) In contrast to §7, the Faculty of Economic Sciences will establish a thesis committee with the foreign university or faculty, which will be composed of an equal number of faculty members from both sides; further details on the composition is outlined in §36 paragraph 1 no. 1. Both supervisors should be appointed to the examination committee.
- (3) If the dissertation is accepted at the University of Göttingen, the foreign university or faculty will be notified of the submission. If the foreign university or faculty consents to moving forward with the submission, the University of Göttingen Faculty of Economic Sciences will conduct an oral examination per §§ 22-38 (in exceptional cases, some deviation from regulations §§22-38 may be allowed per § 36 paragraph 1 no. 1).
- (4) If the dissertation was accepted by the University of Göttingen, but the submission was rejected by the foreign university or faculty, the joint procedure will be terminated. The doctoral procedure will then be continued per the general provisions of this examination regulation. For the examination, a new thesis committee will be composed, per §7.

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§38 Submission of the dissertation at a foreign university of faculty in the case of a joint degree

(1) If the dissertation is submitted to the foreign university or faculty, the foreign university or faculty then decides whether they will accept the submission and whether the submission can proceed. If the decision is positive, the University of Göttingen Faculty of Economic Sciences will decide per § 20 of the submission of required documents and inclusion of reports by the supervisors of the University of Göttingen on its acceptance of the submission. The dean will notify the result of the decision to the foreign university or faculty.

(2) If the dissertation is rejected by the University of Göttingen, the joint degree process will be terminated. The rejected dissertation may not be re-submitted at the University of Göttingen. The regulations pertaining to the repetition of the doctoral studies remains unaffected.

(3) If the foreign university or faculty rejected the dissertation, the joint degree process will be terminated. The procedure will be carried out per §§12 to 30.

§39 Joint doctoral diploma

Upon the successful completion of doctoral studies under the joint supervision with a foreign university or faculty, a degree signed by both universities will be issued, which shows that a joint degree was issued by both universities for the academic achievement. If it is not possible to issue a joint diploma, the diploma issued by the University of Göttingen will be issued with a note that the PhD was acquired as part of a joint degree process with a foreign university or faculty.

§ 40 Entry into force and provisional regulations

(1) This regulation enters into force following its promulgation in the official announcements of Georg-August-Universität Göttingen as per 01.04.2012.

(2) At the same time, the examination regulations for the doctoral programme in economic sciences in the version promulgated as per 21.04.2011 (official announcements no. 7/2011 p. 354), as well as the study regulations for the doctoral programme in economic sciences in the version promulgation as per 21.04.2011 (official announcements no. 7/2011 p. 377), most recently changed by the resolution of the presidential board dated 16.08.2011 (official announcements I 8/2011 p. 517), become invalid.

(3) ¹Doctoral students that commenced their doctoral studies before this regulation came into force will be examined on the basis of this regulation. ²Sentence 1 notwithstanding, they shall be, upon application filed within no more than six months following introduction of this regulation, examined on the basis of the regulatory provisions as specified in section 2. ³Doctoral examinations on the basis of the regulation as specified in section 2 shall be held for the last time in the winter semester 2014/15.

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Appendix 1: Module overview

As part of the doctoral studies, credits with a rating of at least 20 C should be completed in accordance with the following provisions;

1. Scientific Skills

Modules with a rating of 10 C should be successfully completed according to the following condition:

a) The following modules should be successfully completed:

P.WIWI.0001. P.WIWI.0001.Doktorandenkolloquium (3 C, 3 SWH) should be successfully completed.

b) From the following selection, modules with a rating of 7 C should be successfully completed:

P.WIWI.0002: Forschungsmethoden und Forschungslogik in den Wirtschaftswissenschaften (4 C, 3 SWH)

P.WIWI.0003. Zwischenbilanz (3 C, 1 SWH)

P.WIWI.0004. Wissenschaftskommunikation (2 C, 1 SWH)

P.WIWI.0005. Erstellen wissenschaftlicher Publikationen (4 C, 0 SWH)

2. Specialisation

One of the two following modules with a rating of 4 credits should be successfully completed:

P.WIWI.0006. Fachspezifische Vertiefung (4 C, 2 SWH)

P.WIWI.0007. Themenspezifische Vertiefung (4 C, SWH)

3. Interdisciplinary character and key skills

6 C from the following modules offered should be successfully completed:

P.WIWI.0008 Wissenschaftliches Lehren (4 C, 5 SWH)

P.WIWI.0009 Interdisziplinäre Forschung (2 C, 1 SWH)

P.WIWI.0010 Fortgeschrittene Präsentationstechnik (2 C, 0 SWH)

P.WIWI.0011 Koordination von Praxisprojekten (2 C, 0 SWH)

P.WIWI.0012 Koordination von Forschungsprojekten (2 C, 0 SWH)

P.SOWI 6 Wissenschaftsmanagement (2 C, 1 SWH)

Other modules (alternative modules) can be taken in place of those listed above. They must be approved by the Dean of Studies before the alternative module is chosen. An opinion from the thesis committee must be obtained before any decision is made.

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Appendix 2: Module handbook

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Appendix 3: Sample curriculum

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Appendix 4: Doctoral studies in doctoral programmes

A. Module overview for doctoral studies within the framework of the Research Training Group 1666 "GlobalFood"

Doctoral students, who are doctoral candidates within the framework of the Research Training Group 1666 "GlobalFood", should successfully complete doctoral studies with a rating of 36 C in total in accordance with the following provisions.

I. Specialised studies

Modules with a total rating of 30 C should be successfully completed in accordance with the following provisions.

1. Scientific skills and interdisciplinary capability

The following compulsory modules with a total rating of 24 C should be completed successfully:

GRK1666.CM1 Survey techniques and analysis of firm and household data (6 C / 4 SWH)

GRK1666.CM2 Scientific writing and publishing (6 C / 2 SWH)

GRK1666.CM3 GlobalFood doctoral seminar (6 C / 3 SWH)

GRK1666.CM4 GlobalFood research colloquium (6 C / 6 SWH)

2. Subject and methodological specialisation

Two of the following compulsory modules with a total rating of 6 C should be completed successfully:

GRK1666.ME01 Advanced supply chain management (3 C / 2 SWH)

GRK1666.ME02 Market integration and price transmission (3 C / 2 SWH)

GRK1666.ME03 Applied time series analysis (3 C / 2 SWH)

GRK1666.ME04 Consumer behaviour and demand analysis: Theory and applications (3 C / 3 SWH)

GRK1666.ME05 Experimental economics approaches in the laboratory (3 C / 2 SWH)

GRK1666.ME06 Experimental economics approaches in the field (3 C / 2 SWH)

GRK1666.ME07 Risk analysis and risk management in agriculture (3 C / 2 SWH)

GRK1666.ME08 Topics in rural development economics (3 C / 3 SWH)

GRK1666.ME09 Advanced development economics: Micro aspects (3 C / 2 SWH)

GRK1666.ME10 Efficiency and productivity analysis (3 C / 2 SWH)

II. Key competencies

At least 6 C from the following modules offered (soft skill electives) should be completed:

GRK1666.SE1 Intercultural communication (3 C / 1 SWH)

GRK1666.SE2 Gender and diversity (3 C / 1 SWH)

GRK1666.SE3 Presentation skills (3 C / 1 SWH)

GRK1666.SE4 Career development (3 C / 1 SWH)

GRK1666.SE5 Project management (3 C / 1 SWH)

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B. Module overview for doctoral studies within the framework of the Research Training Group 1703 "Resource Efficiency in Corporate Networks"

I. Module overview

Doctoral students, who are doctoral candidates within the framework of the Research Training Group 1703 "Resource Efficiency in Corporate Networks", should successfully complete doctoral studies with a rating totalling at least 28 C in accordance with the following provisions. The following six modules must be successfully completed:

GRK1703.M1: Wissenschaftliche Kompetenzen (4 C)

GRK1703.M2: Reflexion und Optimierung der Forschung (4 C)

GRK1703.M3: Forschung international vernetzen (4 C)

GRK1703.M4: Fachliche Vertiefung (4 C)

GRK1703.M5: Erwerb interdisziplinären Expertenwissens (6 C)

GRK1703.M6: Vertiefung von Methodenkompetenzen (6 C)

Appendix: Module Handbook

Before Module explanation of

GRK1703.M6: „Vertiefung von Methodenkompetenzen“

Published in the official announcement nr. I/10 on 27.03.2012 p. 320, the first amendments to the regulations made in the official announcement no. I/42 on 11.2.2012 p. 3041, official announcement I/15 on 07.05.2014 p. 387, official announcement I.34 on 25.09.2014 p. 1061.

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C. Module overview for doctoral studies within the framework of the Research Training Group 1723 "Globalization and Development"

I. Module overview

Doctoral students, who are doctoral candidates within the framework of the Research Training Group 1723 "Globalization and Development", should successfully complete doctoral studies with a rating totalling 30 C in accordance with the following provisions.

1. Scientific skills

The following modules with a rating of 15 C should be successfully completed.

GRK 1723, M1: "Micro Development Economics" (3 C, 2 SWH)

GRK 1723, M2: "Macro Development Economics" (3 C, 2 SWH)

GRK 1723, M3: "Econometrics I: Panel Data" (3 C, 2 SWH)

GRK 1723, M4: "Econometrics II" (3 C, 2 SWH)

GRK 1723, M5: "Globalization" (3 C, 2 SWH)

2. Specialisation

6 C must be acquired by successfully attending modules from the following list

GRK 1723, M6: "Poverty/Vulnerability" (1 C, 1 SWH)

GRK 1723, M7: "Risk" (1 C, 1 SWH)

GRK 1723, M8: "Financial Development" (1 C, 1 SWH)

GRK 1723, M9: "Political Economy of Development" (1 C, 1 SWH)

GRK 1723, M10: "Guest Lecture I" (1 C, 1 SWH)

GRK 1723, M11: "Guest Lecture II" (1 C, 1 SWH)

GRK 1723, M12: "Guest Lecture III" (1 C, 1 SWH)

GRK 1723, M13: "Guest Lecture IV" (1 C, 1 SWH)

GRK 1723, M14: "Guest Lecture V" (1 C, 1 SWH)

GRK 1723, M15: "Guest Lecture VI" (1 C, 1 SWH)

3. Research events

6 C must be acquired from the following module:

GRK 1723, M16: "Research Seminar and Research Workshop" (6 C, 6 SWH)

4. Interdisciplinary character and key skills

3 ECTS must be acquired by successfully attending the following module.

GRK 1723, M17: "Academic Research Training and Presentation of Research Proposals" (3 C, 2 SWH)

Other modules (alternative modules) can be taken in place of the module listed above. Before enrolling, they must be approved by the executive committee at GRK.

Appendix: Module Handbook

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D. Module overview for doctoral studies within the framework of the Doctoral Training Group "Upgrading qualification in small to medium-sized companies – establishing academia in medium-sized firms"

I. Module overview

Doctoral students, who are doctoral candidates within the framework of the Doctoral Training Group "Upgrading qualification in small to medium-sized companies – establishing academia in medium-sized firms", should successfully complete doctoral studies with a rating totalling at least 26 C in accordance with the following provisions.

1. Compulsory modules

The following two modules with a rating of 15 credits must be successfully completed.

P.HBS.01 Fachliche und methodische Grundlagen (4 C/ 4 SWH)

P.HBS.02 Forschung lernen und reflektieren (11 C/ 10 SWH)

2. Optional Modules

The following modules with a rating of at least 11 C should be successfully completed:

P.HBS.03 Berufseinmündungskompetenzen (4 C)

P.HBS.04 Methoden und Schlüsselkompetenzen (7 C)

In addition to these two modules and subject to agreement with the supervision committee, modules offered at the academic institutions participating in the research training group, the Central Institution for Languages and Key Competencies or the Hans Böckler Foundation, can also be completed in the fields of interdisciplinary methods, key competencies and vocational competencies.

E. Module overview for doctoral studies within the framework of the Research Training Group 1644 "Scaling problems within statistics"

I. Module overview

Doctoral students, who are doctoral candidates within the framework of the Research Training Group 1644 "Scaling problems within statistics", should successfully complete doctoral studies with a rating totalling at least 29 C in accordance with the following provisions.

1. Specialist course

Modules with a rating of 25 credits should be successfully completed in accordance with the following provisions.

a. Statistical methods

aa. Compulsory part of the programme

The following compulsory module must be completed:

P.SPS.01 Introduction to Mixed Models and Spatial Statistics (8 C / 8 SWH)

bb. Optional required module

One of the following optional required modules with a rating of 4 credits must be successfully completed. Once enrolment in one module has been completed, enrolment in any of the

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following modules is only permitted if the module initially enrolled in was failed conclusively or is deemed to have been failed.

P.SPS.02 Advances in Spatial Statistics (4 C / 4 SWH)

P.SPS.03 Generalisierte Regression (4 C / 4 SWH)

b. Subject specialisation

Modules with a rating of 3 credits must be successfully completed. Modules in the field of "Subject specialisation" can be taken from the selection of specialised courses offered at the participating faculties at the university and can be approved by the examinations committee in individual cases.

c. Research seminars, colloquia, summer schools and specialist conferences at GRK 1644

The following modules with a rating of 10 credits must be successfully completed.

P.SPS.04 Kolloquien und Forschungsseminare (6 C / 4 SWH)

P.SPS.05 Fachtagungen und Sommerschulen (4 C)

2. Key competencies

Modules with a rating of at least 4 credits in total must be successfully completed in accordance with the following provisions.

a. Compulsory part of the programme

The following module must be successfully completed:

P.SPS.06 Diversity Competence and Good Scientific Practice (2 C / 2 SWH)

b. Optional required module

Modules with a rating of at least 2 C must be completed. In this, modules in the interdisciplinary courses offered at the university can be taken and can be approved by the examinations committee in individual cases.

Appendix 5 Dissertation flyleaf (rescinded)

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Appendix 6 Examination certificate

Georg-August-Universität Göttingen
Faculty of Economic Sciences

Certificate of the doctoral examination in Economics

Mr / Ms born on in
has passed the doctoral examination in accordance with the examination regulations for the
doctorate programme in economic sciences
at with the overall grade of on

Courses in the doctorate programme:

Credits

- | | |
|---------|-------|
| 1. | |
| 2. | |
| 3. | |
| 4. | |
| 5. | |
| 6. | |
| 7. | |

Dissertation topic:
.....
.....

Grade of the dissertation:

Grade of the oral defense

Göttingen,(date)

.....
The Dean

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Appendix 7 Doctoral certificate

The Georg-August-Universität Göttingen
under its President

.....

awards
through its Faculty of Economic Sciences
under its Dean

.....

the university doctorate degree in economic sciences (doctorate in political sciences) to

.....

born on..... in

after he or she has proven his or her scientific knowledge through the dissertation

.....

.

.....

...

.....

...

(Dissertation title)

as well as the oral examination

on

in the regular examination procedure and thus acquired the overall grade of

.....

.

Göttingen,(date)

(Seal of the University)

The Dean