

REGULATIONS FOR THE HIGHER DOCTORATES OF

Doctor of Arts (DArts)	Doctor of Design (DDes)
Doctor of Engineering (DEng)	Doctor of Laws (LLD)
Doctor of Letters (DLitt)	Doctor of Science (DSc)
Doctor of Social Science (DSocSc)	Doctor of Technology (DTech)

from 1 September 2014 ¹

All higher doctorate candidates are bound by and must satisfy these regulations. Higher doctorates are awarded by the University to candidates who satisfy the criteria for the award, as listed in regulation 1.2

1. The Awards

- 1.1 The University awards eight higher doctorate degrees, the Doctor of Arts (DArts), Doctor of Design (DDes), Doctor of Engineering (DEng), Doctor of Laws (LLD), Doctor of Letters (DLitt), Doctor of Science (DSc), Doctor of Social Science (DSocSc) and Doctor of Technology (DTech), to which these regulations apply.² The criteria for the award of higher doctorates, whose language of instruction and assessment is English, are set out below:
- 1.2 The higher doctorate is awarded to an individual who has published work and/or other material of high distinction resulting from research, which makes a substantial, sustained and original contribution to investigation, knowledge and/or scholarship, and has established the candidate's authoritative standing in his or her subject.
- 1.3 The award is made to those who have satisfied the requirements for the award on the recommendation of the Examiners and is effective from the date upon which the relevant University Committee (Research Degrees Committee)³ approves the successful assessment.

Posthumous or aegrotat awards are permitted provided the full submission has been received and the examination criteria for the award can be deemed to have been satisfied.

2. Requirements for Admission

- 2.1 Candidates for higher doctorates must be alumni of Northumbria University (or its former institution), or a member of the academic, research or academic related staff of the University for a period of at least four years.
- 2.2 All candidates must hold the degree of Doctor of Philosophy or a Professional Doctorate of at least six years standing.

¹ Amendments approved by Academic Board 15 June 2010.

² Approved by Academic Board 13 June 2007 subject to expansion of the list of titles.

³ Graduate School Committee resolved, on 21 November 2007, that Higher Doctorate business would be conducted through the *Higher Doctorate Standing Group*, a sub-group of the *Graduate School Committee*, reporting to the *Graduate School Committee* via the *Graduate School Research Degrees Committee*. From 1 September 2014, the conduct of Higher Doctorate business became the responsibility of the University's Research Degrees Committee (approved by Academic Board on 19 June 2013).

3. Method of Application

- 3.1 Applicants must first establish a *prima facie* case for submitting for the higher doctorate.
- 3.2 Intending applicants are required to obtain preliminary approval from the Graduate School to apply for a higher doctorate. The purpose of seeking this approval is to ensure that, before preparing a formal *prima facie* application, it can first be verified that intending applicants:
- a) are eligible to apply for the doctorate;
 - b) can make a *prima facie* case for its award; and
 - c) can present appropriate published material in a suitable manner.
- 3.3 Applications for admission to the higher doctorate degree shall be made in writing to the relevant University Committee (Research Degrees Committee) at least three months prior to the submission being made, accompanied by the prescribed fee for establishing a *prima facie* case (a proportion of the full fee) and **one** copy of the relevant application form (obtained from the Graduate School) completed to provide the following:
- a) details of the applicant's admission eligibility;
 - b) details of the candidate's current academic awards, other qualifications and research experience;
 - c) a listing of all outputs required to establish the candidate's authoritative standing within their academic field; and
 - d) confirmation of the specific Higher Doctorate for which the applicant wishes their work to be considered.
- 3.4 The application can only proceed if the relevant University Committee (Research Degrees Committee) determines that a *prima facie* case has been established.
- 3.5 Submission for the higher doctorate degree shall be made in writing to the relevant University Committee (Research Degrees Committee) within three months of notification of the establishment of the *prima facie* case, accompanied by the remainder of the prescribed fee and **three** sets of the following documents:
- i) Copies of each of the publications and other material which the candidate wishes to be taken into consideration.
 - ii) A statement containing:
 - Particulars of the candidate's degrees, other qualifications and research experience, including all particulars required to establish eligibility under these regulations;
 - A complete and numbered list of the publications submitted and other material (grouped according to subject and type);
 - An overall summary of the aims and achievements of the work, for which the publications and other materials submitted give evidence, and to include reference to the work of others in the candidate's field; it is anticipated that 5,000 words will be submitted. This critical appraisal of the work should provide a brief guide to the nature, extent and authoritative standing of the publications submitted and explain how the work has progressed and developed during the years the candidate has been engaged in it;
 - A declaration that the work has not been submitted in support of a successful or pending application for any other degree or qualification of Northumbria or any other University.

- iii) A declaration (on the prescribed form) of the nature and extent of the candidate's own contribution and the contribution of any co-authors and other collaborators to each of the publications presented.

The submission shall be collated. The cover sheet shall state the applicant's name, the year of presentation and the title of the higher doctorate for which it is being submitted. All of the papers must be presented in A4 format, which may involve copying some or all of the papers for which the original format is other than A4. Three clearly identified copies must be submitted to the Graduate School.

- 3.6 If the submission is not received in the Graduate School within three months from the date on which the *prima facie* case is established, the candidate will be required to re-register his/her application and will also be required to pay the appropriate fee afresh.

4. Appointment of Examiners

- 4.1 Assessment is undertaken by two independent examiners, both of whom must be external to the University.

- 4.2 The candidate takes no part in the nomination of the examiners and, following appointment of the examination team, has no formal contact with any member of the examination team before the examination.

- 4.3 The appointed examiners approved by the relevant University Committee (Research Degrees Committee) must satisfy all of the following criteria:

- a) Each examiner has established a substantial standing in research in the area of a candidate's submission.
- b) The examination team has substantial experience of examining research degree candidates.
- c) The examiners must be independent. Independence means that the:
 - i) Examiners have not previously acted as the candidate's supervisor or adviser or have published work with the candidate;
 - ii) Examiner/s are not appointed so frequently ⁴ that familiarity with the University might prejudice objective judgment;
 - iii) Examiners have not normally been engaged in the capacity of supervisor to another candidate within the University during the previous five years;
 - iv) Examiners have not been employed by the University as a member of staff or as a consultant to the University during the previous three years;
 - v) Examiners must confirm before appointment, that they have no informal/personal connection with the candidate which might prejudice the independence of the examination.

- 4.4 Examiners are proposed and appointed by the relevant University Committee (Research Degrees Committee). An examination is void, if the examiners have not been appointed in accordance with the regulations and approved by the relevant University Committee (Research Degrees Committee).

⁴ An external examiner cannot be appointed more than three times in five years.

5. Examination procedure

- 5.1 The examiners shall submit individual reports (on the prescribed form) for consideration by the relevant University Committee (Research Degrees Committee).
- 5.2 The examiners shall each submit an independent recommendation (on the prescribed form) that: the doctorate be awarded; *or* the doctorate be not awarded. The relevant University Committee (Research Degrees Committee) will either:
- a) accept the External Examiners' independent recommendation; or
 - b) confer with the Examiners if there is no consensus; or
 - c) appoint new examiner/s.
- 5.3 A candidate whose work has been considered by the examiners but has not been recommended for the award may apply for re-examination once, only after five years have elapsed from the date on which the *prima facie* case is established.

6. Appeals

- 6.1 There can be no appeal against the decision of the relevant University committee (Research Degrees Committee).