



## **DUBLIN CITY UNIVERSITY**

### **Provisions and Regulations: Higher Doctorates**

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# **Provisions**

- A The University may award the following Higher Doctorates in accordance with the regulations:
- (i) Doctor of Letters (DLitt)
  - (ii) Doctor of Laws (LLD)
  - (iii) Doctor of Science (DSc)
  - (iv) Doctor of Engineering (DEng)
- B Higher doctorates – the highest qualification awarded by the University – are awarded by the University in recognition of 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. They are awarded to scholars who have, over a sustained period, published a substantial body of ground-breaking and influential work in a field of specialisation and who have achieved outstanding distinction internationally in that field. The work published will usually consist of articles in leading international peer reviewed scholarly journals and/or books published by leading academic publishers and distributed internationally.

# **Regulations**

## **1 Eligibility**

Candidates for Higher Doctorates must be:

- i. graduates of the University, of at least twelve years standing from award of the degree of Master, or ten years from the award of the degree of Doctor of Philosophy;
- or*
- ii. if not graduates of the University, have been a member of the academic, research or academic related staff of the University for a period of at least eight years.

## **2 Criteria**

Each of the following should be satisfied:

- 2.1 That the candidate must have published a substantial body of work, of the highest order of scholarship in the field in question, over a sustained period of time.
- 2.2 That the published work must have added new knowledge of significance to the field in question.

- 2.3 That the work is of international importance and that based on the published work, the scholar can be considered to have gained, or to merit, international distinction as an authority in the field.

### **3 Application and Evaluation Process**

- 3.1 Applicants may wish to informally discuss their possible candidacy with the Executive Dean of the relevant Faculty (or nominee), the Dean of Graduate Studies or Head of School in their field of study. Any advice given at this stage will be given in good faith, but represents no commitment on behalf of the university as to the possible outcome of a *prima facie* application.
- 3.2 Applicants are required to submit to the Executive Dean of the relevant Faculty via the Registry an application to obtain preliminary approval from the University to apply for a Higher Doctorate and to pay the appropriate fee. The purpose of this phase is to evaluate the *prima facie* case for the award.

The submission shall be introduced by a statement which shall be in the region of 3,000 words and should detail the candidate's research record, outlining clearly the research interests and achievements through reference to selected publications. There should be clear evidence that the selected publications are of international quality and have made an original, substantial and authoritative contribution to knowledge in the candidate's field of study (e.g., discipline appropriate, authoritative impact metrics may be cited).

A current Curriculum Vitae, including a full publication list must be submitted.

A list of the candidate's five most important publications and an explanation of why they represent the candidate's most significant contribution to the field must also be submitted.

Where the published work appears under the name of more than one author, the candidate must indicate as precisely as possible the extent of his/her contribution. As far as is reasonable and feasible, a candidate is required to obtain from co-authors confirmation in relation to the extent of his/her contribution to specific publications. The Lead Author of the paper should be clearly identified. The University reserves the right to consult any of the co-authors or collaborators concerning the statement.

Candidates may submit additional material to support the case for *prima facie* eligibility.

- 3.3 Each application for a higher doctorate shall be considered by a Review Group: a sub-committee of the relevant Faculty Research Award Board (FRAB). Chaired by the Dean, the other Review Group members shall be at professorial grade or Emeritus Professors, and number at least two. The members of the FRAB shall be appointed by the Dean in consultation with the Head of School in which the candidate's field of study lies and the Chair of the FRAB.

### **3.4 Guidelines for the *Prima Facie* Stage**

The reviewers for the *prima facie* stage will be charged to consider the list of published work presented by the applicant and to form a judgment as to whether *prima facie* the candidate should be considered eligible to enter for examination for the award of Higher Doctorate on published work. In forming a judgment, the reviewers will take account of the general criteria for the award of the degrees on published work. In addition, examiners will take account of the following:

- (i) the period of time over which the candidate has published;
- (ii) the volume and quality of work published over the period;
- (iii) the academic standing of the applicant as evidenced by the curriculum vitae.

In the case of applications where the preponderance of the work consists of articles in scholarly journals, reviewers will consider:

- (iv) the international standing and quality of the journals in which the articles have appeared;
- (v) the proportion of sole author and principal author articles
- the coherence of the body of research;
- (vi) the impact of the research as evidenced by the number of citations.  
(Applicants are encouraged to include evidence of this where appropriate).

In evaluating book publications, the reviewers will be principally concerned with the nature and content of the book and its intrinsic quality in terms of academic scholarship. Other relevant considerations are the quality of the publication, in terms of academic publishing and the critical reception of the work. Applicants are therefore encouraged to include reviews of their book publications.

- 3.5 The Review Group shall submit a report to Registry within three months of the application being received within the Faculty, stating whether there is a *prima facie* case for the Higher Doctorate being awarded.
- 3.6 Should an application not be approved, the candidate will be notified, and may not apply for a Higher Doctorate at Dublin City University for a further three years.
- 3.7 If the application is approved by the Review Group, the candidate will be advised that he/she may proceed to phase 2 of the process and will be invited to submit his/her work together with the prescribed fee. Candidates must submit their published work for examination within 12 months of notification of approval
- 3.8 Candidates should confirm to Registry that they are going to pursue phase 2 of an application at least three months in advance of submitting for examination.

#### **4. Nomination of Assessors**

- 4.1 Once an application has been approved by the Review Group, the Dean of Faculty, in consultation with relevant colleagues, should nominate internal and external assessors.
- 4.2 Normally one internal and two external assessors shall be nominated by the Dean of Faculty. In exceptional cases, where difficulty in securing agreement from assessors to act in this capacity is anticipated, up to two alternate assessors can be nominated. Gender balance should be taken into account in the appointment of assessors. The identity of the assessors shall not be revealed to the candidate.
- 4.3 The nominated assessors must be approved by Graduate Research Studies Board in consultation with the Vice-President for Academic Affairs/Registrar. Should the minimum requirement of assessors not be approved, the Dean of Faculty must nominate a further assessor.

#### **5. Submission of Thesis**

- 5.1 The candidate shall submit three soft bound copies of their thesis for examination, as per thesis format guidelines.
- 5.2 If approved, the candidate will submit one full hard bound thesis for the library archive, and one e-thesis as described in the thesis format guidelines.

#### **6. Assessment**

- 6.1 The Higher Doctorate shall be awarded only to candidates who, in the opinion of the assessors, have demonstrated:
  - (i) a contribution of originality and merit to their field of study; and
  - (ii) a sustained, consistent and substantial contribution to the advancement of knowledge over a number of years; and
  - (iii) authoritative standing in their field of study;
- 6.2 Having considered the work, the assessors shall submit individual reports to the Dean of Faculty, copied to the Dean of Graduate Studies, with a recommendation that either:
  - (i) the appropriate Higher Doctorate be awarded  
*or*
  - (ii) that a Higher Doctorate not be awarded
- 6.3 Where the assessors' recommendations are in agreement, the Dean shall forward the report to the Registry to present the recommendation for approval at the next Faculty Awards Board for Research Degrees. The recommendation will then be formally approved by Academic Council along with other research awards.
- 6.4 Where the assessors' recommendations differ, and only in cases where at least two of the assessors are in favour of awarding the Higher Doctorate, an appropriately qualified adjudicator, who may not be a member of staff of the University, shall be appointed by the Vice President for Academic Affairs/Registrar to review the submission. The identity of the adjudicator shall not be revealed to

the candidate. The adjudicator shall be given access to the submission and the assessors' reports and shall make a final recommendation.

- 6.5 Where the assessors or adjudicator recommend that the Higher Doctorate not be awarded, the candidate shall be sent the assessors' reports and those of the adjudicator (if applicable).
- 6.6 Where assessors or adjudicator recommend that the Higher Doctorate not be awarded candidates may reapply after three years.

## **7. Appeal**

- 7.1 Where assessors or adjudicators recommend that the Higher Doctorate not be awarded, a candidate shall have the normal right of appeal as set out in the University's Regulations for Research Degrees wherein the candidate shall have the rights and responsibilities of a registered student on a research programme in making an appeal. Such appeals can relate only to grounds of process or procedure.

## **8. Archive**

- 8.1 The University shall retain in the Library one hard bound copy of the full work submitted in support of a successful application. A version (as outlined in 9.2, Thesis Format) will be made available as an e-thesis.

## **9. Thesis Format**

### **9.1 Full Soft/Hard Bound Copy**

The submission shall be either soft or hard bound as outlined in the regulations depending on the phase of the process. The number of copies required is outlined in the regulations also depending on the phase of the process.

The submission shall comprise the following items presented in the order given:

- i Title page
- ii Contents list
- iii Synopsis
- iv Declaration
- v Copyright statement
- vi Statement
- vii Copies of each of the publications in its published form.

- The hard bound copy should be bound within boards of sufficient rigidity to support the work when it is standing upon a shelf. The colour of the boards shall be University blue (Pantone Ref: 289).
- Have the following information on the front cover:
  - the title of the thesis in at least 24pt (8 mm) type
  - the initials and name of the candidate
  - the award for which the thesis is submitted e.g. DLitt, DSc etc.

- the year of award, i.e. the calendar year in which the Faculty Awards Board approves the award.
- The same information (excluding the title of the thesis) shall be printed in the same order in at least 24 pt (8 mm) type along the spine of the cover in such a way as to be easily legible when the thesis is lying flat with its front cover uppermost.
- All lettering on the cover and the spine shall be gold in colour and clear of any graphic design.
- Be printed, typewritten or otherwise reproduced on one side only of good-quality white A4-sized paper (210mm x 297mm).
- Contain a title page with the following information:
  - the full title of thesis, and subtitle, if any, and name and qualifications, if any, of the candidate
  - the award for which the work is submitted
  - the name of the University and of the Faculty with which the candidate is registered
  - the year of award, i.e. the calendar year in which the Faculty Awards Board approves the award.
  - the total number of volumes and the number of the particular volume, if there is more than one volume.
- For all sections, with the exception of the publications, a minimum font size of 11 should be used, doubly or one-and-a-half spaced, with a left hand margin at the binding edge of not less than 40mm and all other margins not less than 20mm
- Where footnotes and indented quotations are used, these may be in single spacing.
- Have any abbreviations, other than those in normal use, accompanied by an explanatory guide.
- The contents list should list and reference all publications in numerical order.
- Each publication should be separated by a coloured (blue) page. The reference number and publication details should be printed on the separation page.
- Where the thesis consists of more than one volume, volume numbers should be indicated with Arabic numbers (e.g. (i), (ii) etc.)
- Have a page, bound into the thesis immediately following the title page, containing the following declaration, signed by the candidate:

I hereby certify that this material, which I now submit for assessment on the programme of study leading to the award of ..... (insert title of degree for which registered) is my own work, and that I have exercised reasonable care to ensure that the work is original, and does not to the best of my knowledge breach any law of copyright, and has not been taken from the work of others save and to the extent that such work has been cited and acknowledged within the text of my work. I confirm that none of the published works contained within have previously been submitted for any other award.

Signed: \_\_\_\_\_ (Candidate) ID No.: \_\_\_\_\_ Date: \_\_\_\_\_

## 9.2 E Copy

The e copy of the thesis shall be a copy of the full version, excluding copies of the published works, but including a full list citing these, incorporating the digital object identifier (DOI) where possible.

<b>Provisions and Regulations: Higher Doctorates</b>		
Graduate Studies Office		
Approved by:	Date	
Academic Council	v 2 Dec 2013	
Academic Council	v 1 June 2011	 The DCU logo consists of a stylized orange swoosh above the letters "DCU".