

## HIGHER DOCTORATE DEGREES

### SUMMARY OF PRINCIPAL CHANGES

<b>General changes</b>	
Links have been updated	
<b>Section</b>	

(Amendments to version 04.0, UPR AS02 are shown in italics.)

#### 1 INTRODUCTION

- 1.1 The University may award Higher Doctorate degrees as specified from time-to-time in UPR AS11<sup>1</sup>.
- 1.2 The regulations and procedures set out in this document have been approved by the Academic Board with effect from 1 September 2015<sup>2</sup> and are operated on behalf of the Academic Board by a Higher Doctorate Degrees Board ('the Board').

#### 2 STANDARD

A Higher Doctorate degree<sup>1</sup> may be awarded to a candidate who is a leading authority in his or her field of study and who has made an original and distinguished contribution to the advancement or application of knowledge in that field.

#### 3 ELIGIBILITY

- 3.1 A candidate's eligibility to submit for a Higher Doctorate degree is determined at the sole discretion of the Higher Doctorate Degrees Board (section 5, refers)
- 3.2 Candidates for these degrees normally shall:
  - i be graduates of no less than **10** years' standing of the University of Hertfordshire or at its Associate or Precedent Colleges or hold an equivalent qualification and have not less than **10** years' standing as a result of studies carried out at the University of Hertfordshire or at its Associate or Precedent Colleges

or

  - ii be current or former members of staff (full-time, part-time, visiting or honorary) of the University of Hertfordshire or of its Associate or Precedent Colleges or of an establishment which has contributed for a period of not less than seven (**7**) years to the research ethos of the University of Hertfordshire and be graduates of, or hold an equivalent qualification of, another awarding body and have not less than eight (**8**) years' standing

or

  - iii be able to demonstrate original research over a sustained period and be a leading authority in the field of study concerned.

<sup>1</sup> UPR AS11 'Schedule of Awards'

<sup>2</sup> **Academic Board Minutes:** 379.1, 30 November 94; 489.5, 19 June 96; 861.2, 6 March 02; 932.3, 13 November 02; 943.5, 5 March 03; 155.2, 9 March 05; 348.2, 7 March 07; 479, 12 March 2008; 282.5, 19 June 2013, 512, 24 June 2015, refer.

## 4 APPLICATIONS FOR THE AWARD OF A HIGHER DOCTORATE

- 4.1 An application for a Higher Doctorate degree must be based either wholly or substantially on original published work carried out by the candidate.
- 4.2 Any person who has already been awarded a Higher Doctorate degree by the University of Hertfordshire may, at any time, make an application for the award of any other Higher Doctorate degree of the University. However, any such application must be supported by a body of work which is substantially different from that submitted in support of any previous successful application(s).
- 4.3 Any work which has previously been part of a successful submission for any degree awarded by the University or any other institution must be clearly identified by the candidate (section 4.6, iii, refers).
- 4.4 The work submitted for the degree shall not be concurrently submitted by the candidate for a higher doctorate or other comparable award of any other institution and a declaration to this effect shall be submitted by the candidate with his or her application (section 4.6, iii, refers).
- 4.5 A candidate wishing to make an application for the award of a Higher Doctorate shall submit to the Academic Services Officer (Research):
- i a list of the published works on which the application is based;
  - ii a summary, normally not exceeding **4,000** words, of the relevance of the works to the advancement of knowledge in the field concerned;
  - iii a completed 'application to register for a Higher Doctorate degree' form which provides for the statements required in fulfilment of the requirements of sections 4.4 and 4.5;
  - iv a completed University enrolment form;
  - v the initial instalment of the required fee.

Where relevant, the candidate may elect to include a list of further supporting, published or unpublished material with his or her application.

- 4.6 The information provided in accordance with the requirements of section 4.6 will be used by the Higher Doctorate Degrees Board to determine the eligibility of the candidate to submit for the award (section 3 refers) and to determine whether a prima facie case for the award has been established (section 6 refers).

## 5 HIGHER DOCTORATE DEGREES BOARD

- 5.1 On receipt of an application, the Vice-Chancellor (or nominee), acting in his or her capacity as Chairman of the Academic Board, shall establish a Higher Doctorate Degrees Board. It will normally be the case that a separate Board is established to consider each application received by the University.
- 5.2 The current version of the terms of reference and composition of the Higher Doctorate Degrees Board may be found at:

<https://www.herts.ac.uk/about-us/governance/academic-board/academic-board-structure>

## 6 ESTABLISHING A PRIMA FACIE CASE FOR THE AWARD OF A HIGHER DOCTORATE

6.1 The Higher Doctorate Degrees Board shall determine whether the candidate has established a prima facie case for the award of the degree.

6.2 In doing so, the Board will consider the information provided in accordance with the requirements of section 4.6 and may also seek advice from other persons, whether or not Members of the University, (UPR GV06<sup>3</sup>, refers) who have expertise and standing in the candidate's field.

6.3 The decision of the Board will be communicated to the candidate by the Clerk to the Higher Doctorate Degrees Board and, where the Board has determined that the candidate has not established a prima facie case, the application ceases and there is no right of appeal.

### 6.4 Successful establishment of a prima facie case

6.4.1 At this stage in the process the candidate will be required to pay the final instalment of the required fee (the remainder after payment of the initial instalment), which is not refundable.

6.4.2 The establishment of a prima facie case does not in any way imply the eventual award of a degree.

## 7 EXAMINATION

### 7.1 Appointment of Examiners

7.1.1 The Higher Doctorate Degrees Board shall appoint three (3) examiners with appropriate expertise, experience and professional standing. At least two (2) of the examiners will be independent of the University and of any organisation at which the candidate's work was carried out and shall not be co-authors of any of the candidate's cited works.

7.1.2 Individuals consulted by the Board in accordance with section 6.2 are not thereby precluded from serving as examiners for the candidate.

### 7.2 Submission by candidates of material for examination

7.2.1 The candidate shall submit to the University, via the Academic Services Officer (Research), three (3) sets of documentation each of which shall include:

- i a critical appraisal, of not normally less than **4,000** words or more than **10,000** words, of the submitted works which identifies the field and aims of the candidate's research and the original and distinguished contribution to the advancement or application of knowledge in the field represented by the works;
- ii an offprint or high quality photocopy of each of the published works which have been cited (section 4.6, i, refers), if necessary, giving proof of authenticity. The works shall be numbered and correspond exactly with the list submitted in compliance with section 4.6, i;
- iii a copy of other published works cited under the provisions of section 4.5;
- iv a statement by the applicant concerning their contribution to the work submitted, which should be no more than 400 words.

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<sup>3</sup> UPR GV06 'Membership of the University'

- 7.2.2 Each set of submitted documentation, excluding books, shall be presented in A4 format and shall be permanently bound. The contents shall be written in English unless the Board has approved otherwise. The Board may give permission for an alternative format to be used for the documentation where it is satisfied that this would be more appropriate. For example, in a submission for the award of Doctor of Music (DMus), musical notation and audio recordings would, where appropriate, be acceptable.
- 7.2.3 Each bound copy of the submission shall contain an abstract, a list of contents and a title page each of which includes the following information:
- i the appropriate title relating to the candidate's field of study;
  - ii the full name of the candidate;
  - iii the following statement:  
"Submitted for the degree of (title of degree) of the University of Hertfordshire";
  - iv the month and year of submission.
- 7.2.4 The binding shall be of a fixed type so that no part of the contents can be removed or replaced. The front and rear boards shall be of sufficient rigidity to support the weight of the work when standing upright.
- 7.2.5 The outside front board shall bear, in at least 24 pt type, the title of the work, the name and initial of the candidate, the qualification and the year of the submission. The same information, excluding the title of the work, shall be shown on the spine of the work.
- 7.2.6 Pages in the critical appraisal shall be numbered consecutively.

### 7.3 **Ethical considerations**

In cases where any work submitted by the candidate has been based on a study involving human participants, the candidate shall submit a declaration to the effect that such work was given prior approval by an appropriate body responsible for the maintenance of ethical standards. In cases where such a declaration is subsequently proved to be false, the University reserves the right to withhold or withdraw the award.

### 7.4 **Cheating, plagiarism, collusion or other academic misconduct**

Where it is proven that a candidate for a Higher Doctorate degree is guilty of cheating, plagiarism, collusion or other academic misconduct and that this has resulted in an award being made, the University of Hertfordshire reserves the right, as appropriate, either to withhold the award of the degree or to withdraw the degree.

### 7.5 **Examination of the material submitted by the candidate**

- 7.5.1 Each appointed examiner shall consider the candidate's submitted works and provide the Clerk with an individual report and recommendation on whether the degree should be conferred. In making their report, each examiner shall state whether the evidence submitted constitutes an original and distinctive contribution to the advancement or application of knowledge in some particular field of study such that it gives the candidate the status of a leading authority in that field. In cases where an examiner does not recommend that the degree be conferred, his or her report shall identify the deficiencies of the submission, where possible in a way that might be useful to the candidate in the event of further application.
- 7.5.2 Before making their report, the examiners may seek additional information from the candidate, in writing, through the Clerk. Any such additional information shall be provided to all examiners by the Clerk.

- 7.5.3 The assent of not less than three (3) members of the Board shall be required to the conferment of any Higher Doctorate degree.
- 7.5.4 The decision of the Board shall, in all cases, be final.
- 7.5.5 Where the Board determines that an award is not to be made and no procedural error is alleged by the candidate, the candidate may request a Completion of Procedures Letter from the Office of the Dean of Students which may be used in relation to any future dealings with the Office of the Independent Adjudicator.

## 8 PROCEDURAL ERRORS

- 8.1 Where the candidate believes that there has been a procedural error which has materially affected the outcome of the Board's deliberations, the candidate may make representations, in writing, to the Chairman of the Audit Committee of the Board of Governors.
- 8.2 The Chairman of the Audit Committee will respond to any such complaint within a period of not more than ten (10) working days from the date of its receipt or as soon as possible thereafter.
- 8.3 The decision of the Chairman of the Audit Committee shall, in all cases, be final.
- 8.4 At the conclusion of this process, the candidate will be issued with a Completion of Procedures Letter which may be used in relation to any future dealings with the Office of the Independent Adjudicator.

## 9 FURTHER APPLICATIONS

Candidates to whom the degree is not awarded may after a two-year period, submit a new application, in accordance with the requirements of section 4, provided that such an application contains additional published work relevant to the field of study.

## 10 DISPOSAL OF THE CANDIDATE'S APPLICATION

The disposal of the three (3) copies of the candidate's application shall be at the discretion of the Higher Doctorate Degrees Board but normally one (1) copy shall be retained in the University's Learning Resources Centre.

## 11 OFFICE OF THE INDEPENDENT ADJUDICATOR

Having exhausted the University internal procedures and subject to the provisions of legislation, the candidate has the right to request the Office of the Independent Adjudicator to review his or her case.

Sue Grant  
Secretary and Registrar  
Signed: 1 August 2019