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**REGULATIONS FOR HIGHER
DOCTORATES**

Regulation 9 – Regulations for Higher Doctorates

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9 Regulations for Higher Doctorates

9.1 Awards

The University may award the following Higher Doctorates:

- Doctor of Letters (DLitt)
- Doctor of Science (DSc)
- Doctor of Technology (DTech)

9.2 Applicants

9.2.1 *Criteria*

- a) The applicant must have undertaken work of high distinction which constitutes an original and outstanding contribution to the advancement of knowledge or to the application of knowledge or to both.
- b) The work undertaken must establish that the applicant is a leading authority in the field(s) of study concerned.

9.2.2 *Eligibility*

- a) An applicant for a Higher Doctorate awarded by the University must normally be:
 - i) the holder, of at least seven years' standing, of a first degree at Honours level awarded by an approved University or the holder of some other qualification specially recognised by the Senate as equivalent for that purpose, provided that the holder has held for a period or periods totalling at least three years such office or offices in the University of the West of Scotland or in an institution affiliated to, or in association with, the University as the Senate may approve; or
 - ii) the holder, of at least four years' standing, of a higher degree awarded by an approved University or the holder of some other qualification specially recognised by the Senate for that purpose, provided that the holder has held for a period or periods totalling at least three years such office or offices in the University of the West of Scotland or in an institution affiliated to, or in association with, the University as the Senate may approve.

9.3 Submission

9.3.1 *General Requirements*

- a) The contents of the submission must be in the English language unless specific permission to the contrary has been given by the University.
- b) An applicant must state whether any part of the submission relates to work which has been submitted as part of the requirements for any other academic award. No work will normally be considered which has been presented for a first degree or a taught Master's degree programme.

- c) An applicant must submit three copies of the work on which the application is based.
- d) The submission may take the form of books, contributions to journals, patent specifications, reports, specifications and design studies. It may also include other relevant evidence of original work.
- e) All material, other than books, must be secured in the form prescribed from time to time by the University.

9.3.2 Copies

- a) The applicant must submit three copies of each of the following in the form prescribed from time to time by the University:
 - i) a statement of not more than one thousand words setting out the applicant's view of the nature and significance of the work submitted;
 - ii) a signed full statement of the extent of the applicant's contribution to any of the work submitted which involves joint authorship or any other collaboration;and
 - iii) a list of all works published by the applicant whether included in the submission or not.
- b) Two copies of the submission shall remain the property of the University unless the application be unsuccessful in which case only one copy of the statement (see Regulation 9.3.2(a) (i) above) and a record of the items submitted shall be retained.
- c) One of the copies retained by the University shall be deposited in the Library.

9.4 Assessment

9.4.1 Preliminary Consideration

On receipt of an application for a Higher Doctorate, the University will consider whether a *prima facie* case for proceeding to a formal examination of the submission has been established, taking whatever advice it shall deem to be appropriate.

9.4.2 Examination and Examiners

- a) If satisfied that a *prima facie* case has been established, the University will submit the application to not less than three examiners, of whom at least two shall be external, and one shall be an internal. Each examiner will be required to make an independent report to the University. In the event of any disagreement between the External Examiners, the University may appoint an additional External Examiner.
- b) All External Examiners shall be wholly independent of the University.
- c) The decision of the examiners shall be final.

9.4.3 Re-submission and Re-examination

No person may apply to the University to be a candidate for a Higher Degree awarded by the University on more than two occasions and no person may apply for re-examination until at least five years have elapsed from the date of the original submission to the University.

9.5 Confidentiality

- a) All applications shall be treated in strict confidence.
- b) Any canvassing by, or on behalf of, an applicant shall automatically disqualify the applicant concerned.

9.6 Honorary Doctorates

The conferment of Honorary Doctorates by the University shall not be subject to these regulations governing the requirements for the award of the University's Higher Doctorates. The University Court reserves the right to award and revoke Honorary Doctorates under Regulation 2.2.2c) and 2.2.2d) respectively.

Procedures Relating to the Award of Higher Doctorates

1 Preamble

These procedures have been established in accordance with the University's Regulations for Higher Doctorates, to which they are subject (see Regulation 9 of the Regulatory Framework).

2 Application

- 2.1 An application for the award of a Higher Doctorate of the University shall be addressed to:

The Office of the Vice Principal & Pro-vice Chancellor (Academic)
University of the West of Scotland
Paisley
PA1 2BE

- 2.2 Three copies of the full submission must accompany the application (see Regulation 9.3.2).

3 Submission

- 3.1 An application shall take the form of a submission which shall meet the following requirements:

- a) A statement naming the Higher Doctorate which is being sought [see Regulation 9.1.1] in the following manner:

An application submitted in partial fulfilment of the requirements of the University of the West of Scotland for the Degree of Doctor of

by

James Robert William Baxter PhD BSc etc
(Full name and Degree Qualifications)

- b) A statement indicating the grounds of eligibility for the award of a Higher Doctorate of the University of the West of Scotland [see Regulation 9.2.2(a)];
- c) A statement indicating the nature and significance of the work on which the application is based [see Regulation 9.2.2(a) (i)];
- d) Where appropriate, a statement signed by the applicant on joint authorship [see Regulation 9.3.2(a) (ii)];
- e) A list of works published by the applicant [see Regulation 9.3.2(a) (iii)]; and
- f) A table of contents of the submission;

- 3.2 The submission consisting of (a) to (f) above, shall be permanently bound in accordance with the University's requirements for a thesis submitted in partial fulfilment of the University's Research Degrees [see Regulation 8.9.4].

- 3.3 The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall formally acknowledge an application for the award of a Higher Doctorate within one week of its receipt.

4 Preliminary Consideration

- 4.1 The determination of whether a *prima facie* case for the award of a Higher Doctorate can be established shall be undertaken by the Research & Enterprise Advisory Committee as a matter of reserved business.
- 4.2 None of the persons (assessors) involved in the assessment to determine whether a *prima facie* case for the award of a Higher Doctorate can be established shall have been involved in any way with the work which forms the part of the submission.
- 4.3 REAC shall make a recommendation that may be either:
- a) a *prima facie* case has been established; or
 - b) no *prima facie* case has been established.
- 4.4 The candidate shall be informed of the decision of REAC that either the next stage of the assessment of the submission shall be implemented, or that no *prima facie* case has been established, as appropriate. In the latter case, the attention of the applicant shall be drawn to Regulation 9.4.3(a) setting out the conditions for re-submission, and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).
- 4.5 The decision of REAC shall be final.

5 Full Assessment

- 5.1 Where a *prima facie* case has been established for the award of a Higher Doctorate of the University, the submission shall be fully assessed.
- 5.2 The first step shall be the appointment of at least three examiners [see Regulation 9.4.2(a) and (b)]. The identification of appropriate examiners shall be undertaken by:
- a) the Vice Principal and Pro-vice Chancellor (Academic);
 - b) The Dean of the appropriate School;
 - c) The Depute Principal;

provided that none has been involved in any way with the work which is the subject of the submission, or in any other way which might be deemed prejudicial to the interests of impartiality. Where there is any doubt, the Vice Principal & Pro-vice Chancellor (Academic) shall ask the Principal and Vice Chancellor to nominate an alternative appropriate senior member of the academic staff to undertake the responsibility of (a), (b) and/or (c) above, as necessary.

- 5.3 The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall send one copy of the submission and of the University's Regulations and Procedures relating to the award of Higher Doctorates to each of the examiners.
- 5.4 Each examiner shall report independently to the University and shall send his/her report and recommendation to the Office of the Vice Principal (Academic). An examiner may recommend that:
- a) the Higher Doctorate be awarded; or
 - b) the Higher Doctorate be not awarded.
- 5.5 The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall forward the respective recommendation of the examiners to the Principal and Vice Chancellor (as the Chair of Senate and the Chief Executive of the University), and inform the initial assessors (see 4.1).
- 5.6 Where the recommendation of the examiners be unanimous, the Principal shall confirm the recommendation and the Office of the Vice Principal & Pro-vice Chancellor (Academic) shall inform the candidate of the outcome of the application. Where the decision is that the Higher Doctorate be not awarded, the attention of the applicant shall be drawn to Regulation 9.4.3(a) setting out the conditions for re-submission, and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).
- 5.7 Where the recommendations of the examiners be not unanimous and where the majority of the examiners recommend that the Higher Doctorate be awarded the Principal shall consult with the officers identified in 5.2 and take such further independent internal and/or external advice as necessary in order to arrive at a decision whether the award be confirmed or not. Where the decision is that the Higher Doctorate be not awarded the attention of the applicant shall be drawn to Regulation 9.4.3(a) setting the conditions for resubmission and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).
- 5.8 Where the recommendations of the External Examiners be not unanimous and the majority of the examiners recommend that the Higher Doctorate be not awarded the Principal shall confirm this recommendation. The attention of the applicant shall be drawn to Regulation 9.4.3(a) setting out the conditions for resubmission and copies of the submission shall be returned in accordance with Regulation 9.3.2(b).

6 The Senate

The Office of the Vice Principal & Pro-vice Chancellor (Academic) shall ensure that each confirmation of the recommendation to award a Higher Doctorate of the University shall be reported to the Senate.