UNIVERSITY OF BIRMINGHAM

CODE OF PRACTICE ON ASSESSMENT AND AWARD OF HIGHER DOCTORATES

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1. Introduction

1.1 This Code of Practice shall apply to the following higher doctorates:

Doctor of Divinity (DD)
Doctor of Engineering (DEng)
Doctor of Letters (DLitt)
Doctor of Music (DMus)
Doctor of Science (DSc)
Doctor of Laws (LLD)
Doctor of Social Science (DSocSc)

2. Eligibility

2.1 Graduates of this University will be eligible to apply for permission to be admitted to a higher doctorate after the expiration of a minimum of:

2.1 .1 Six years after the conferment of the Bachelor's or Undergraduate Master's degree.

2.1 .2 Five years after the conferment of the Master's degree (excluding undergraduate Masters).

2.1 .3 Three years after the conferment of the Doctoral degree.

2.2 Graduates of other universities will be eligible to apply for permission to be admitted to a higher doctorate as set out in 2.1.1 - 2.1.3 above. In addition, at the time of their application, they must have held a teaching and / or research appointment on a full-time basis for two years (or the part-time equivalent) at this University.

3. Application for Candidature

3.1 All candidates should supply the following to Academic Services:

3.1 .1 A completed application form, showing the summary title of the work to be submitted.

3.1 .2 An up-to-date CV.

3.1 .3 A two or three page synopsis of the candidate's research record, outlining clearly the research interests and achievements through reference to publications by number. There should be clear evidence that the publications have been widely received in the national and international academic community and noted as making an original, substantial and authoritative contribution to knowledge in the candidate's field of study.

3.1 .4 A numbered list of publications that are to be included in the submission, labelled clearly to indicate:

- Papers in referred journals
- Refereed conference proceedings

- Books, monographs
- Review articles
- Other (for example, creative work in the form of published plays or poetry (for DLitt), music (for DMus))

Reference should be made by an asterisk (*) to the ten most significant publications.

3.1 .5 A statement indicating the nature and contribution by the candidate in papers involving joint authorship, through reference to each numbered publication should be included. The University reserves the right to consult any of the co-authors or collaborators concerning the statement.

3.2 Other work including that shown to have been accepted for an awaiting publication may be included and so marked in the numbered list of publication, but will be considered only as supplementing the main body of printed and published work.

3.3 Any work which has been included, or is about to be included, in a submission for any other degree or diploma in either this University or any other higher education institution or professional or learned body may be included and so marked in the numbered list of publications. This work will not be taken into account in assessing a submission, but will be regarded as supplementing the remainder of the work.

3.4 Each application for candidature for a higher doctorate shall be considered by a Review Group, not normally comprising less than three persons, appointed by the head of the appropriate principle academic unit in which the candidate's field of study lies. Its membership may include persons external to the University.

3.5 The Review Group shall submit a report to the Senate or delegated authority establishing, without prejudice to the ultimate decision of the University, whether there is a prima facie case for the higher doctorate being awarded.

3.6 If the application is approved, the candidate will be advised that they may proceed with their submission within one year of the Review Group's decision.

4. Submission

4.1 Candidates will be required to submit three copies of the work, bound by this University's Bindery in the format prescribed by University regulations together with the prescribed fee, to Academic Services.

4.2 If work is submitted in a foreign language, an attested translation may be required.

4.3 Candidates for the degree of DMus may submit as a composer. Not fewer than three original compositions for different musical combinations must be submitted as exercises: at least one of these combinations shall be for some musical combination not including pianoforte, and at least one of them shall include or consist of a continuous and well organised movement

of a substantial nature. Candidates are advised, though not required, to present three copies of recordings of their submitted work.

5. Assessment

5.1 Normally one internal and two external assessors shall be appointed by the Senate, except where the candidate is a member of this University's staff, when all assessors shall be external to the University.

5.2 The assessment shall be primarily of the printed and published work submitted by the candidate but may also include an oral examination, any further written or practical test that the assessors may consider necessary.

5.3 The higher doctorate shall be awarded only to candidates who, in the opinion of the assessors, have demonstrated:

5.3 .1 A contribution of originality and merit to their field of study, and

5.3 .2 A sustained, consistent and substantial contribution to the advancement of knowledge over a number of years, and

5.3 .3 Authoritative standing in their field of study, and

5.3 .4 Seminal publications which have led to extensions or development of knowledge by others, and

5.3 .5 For the DMus as composer, the submission must show a comprehensive technique at the highest possible standard and possess distinctive quality, in either powers of invention or methods of treatment.

5.4 Having considered the work, the assessors shall submit individual reports to the Senate or delegated authority, with a joint recommendation that:

5.4 .1 The degree be awarded, or

5.4 .2 That the degree be not awarded.

5.5 Where the assessors' recommendations differ or are unable to reach a joint recommendation, an adjudicator shall be appointed. The procedure for appointing an adjudicator shall be as laid down by the Senate or delegated authority. The adjudicator shall be given access to the original reports and submission and shall make a final recommendation.

5.6 Candidates may be permitted, at the discretion of the Senate or delegated authority, to reapply for candidature after three years where assessors recommend that the degree be not awarded.

5.7 Candidates shall have the right of appeal where assessors recommend that the degree be not awarded.