

## Higher Doctorate Guidelines

### Summary

This protocol outlines the regulations and processes for the application and examination of a higher doctorate.

### Purpose

This protocol outlines the regulations, and application and examination processes for Higher Doctorates at AUT.

### Scope

This protocol outlines the processes governing Higher Doctorates, including application and examination procedures.

## Application

### Eligibility

- 1 A candidate for the Doctor of Literature or Doctor of Science must be:
  - (a) A graduate of a degree programme from the University; or
  - (b) A current long-standing academic staff member of the University; or
  - (c) A person who has some other long-standing connection with and contribution to the University.
- 2
  - (a) The scope of practice for a Doctor of Literature includes evidence of a sustained, original contribution of excellence in philosophical, social, cultural, historical, or linguistic knowledge – evidence that is considered to have international and authoritative standing in their discipline/field.
  - (b) The scope of practice for a Doctor of Science includes evidence of an original contribution of excellence in a branch of science that is considered to have international and authoritative standing in their discipline/field.
- 3 No person shall become a candidate for a Doctor of Literature or Doctor of Science until at least ten years after graduation to the qualifying degree.
- 4 Work submitted on a previous occasion for consideration of a Doctor of Literature or Doctor of Science will not be reconsidered for the degree unless more than five years have lapsed since the previous submission and the resubmission includes new material.

### Application

The current application fee is \$2500 (non-refundable). If the review panel endorses the application proceeding to examination, applicants must pay an examination fee of \$4500. (Total Higher Doctorate fee: \$7000)

- a) A candidate for the degree must forward to the Dean, Graduate Research School an application accompanied by the application fee.
- b) Every application shall consist of four copies of the following:
  - i) A curriculum vitae indicating, at least, the date of the qualifying degree (if applicable), positions held, honours granted and publications and/or creative works which provide evidence of:
    - a. Doctor of Literature: a sustained, original contribution of excellence in philosophical, social, cultural, historical, or linguistic knowledge that is considered to have international and authoritative standing in their discipline/field.
    - b. Doctor of Science: a sustained, original contribution of excellence in scientific knowledge that is considered to have international and authoritative standing in their discipline/field.

- ii) Copies of the published and/or creative work/s on which the application is based. Materials should be submitted in the form in which they are published. It is the responsibility of the candidate to submit copies of their material in a format suitable for examination.
  - iii) A table of contents, giving full bibliographical references for the materials submitted in the application.
  - iv) A signed statement by the candidate that none of the material submitted has formed part of material accepted for any degree or diploma in this or any other university, and that none of the material is concurrently being submitted for any degree or diploma in this or any other university.
  - v) If joint work is submitted, a statement is required with regard to each piece of joint work as to the precise nature of the candidate's contribution to it (including contributions to the conception, experimentation or analysis, writing process, and administrative direction).
  - vi) A proposal, not exceeding 3,000 words, describing how and why this material is thought to meet the requirements for a Higher Doctorate.
  - vii) Academic transcripts for each degree previously awarded if these degrees were not awarded by the University.
- c) When an application for a Higher Doctorate is received, the Vice-Chancellor will nominate a senior academic staff member to appoint a Review Panel of not fewer than three persons. This Review Panel will report to the University Postgraduate Research Board the following:
- i) That the Review Panel considers the submitted material to be worthy of examination for the degree, in which case they will recommend suitable examiners; or
  - ii) That the Review Panel does not consider the submitted material to be worthy of examination for the degree, in which case they will set out briefly the points on which it fails to meet the requirements for examination.

### Examiners

- At least one examiner must be from overseas i.e. is currently resident overseas and is/has been employed at an overseas university(s) for at least 10 years.
- An examiner must be active in research.
- An examiner must have no potential conflict of interest, for example, worked with or been involved in collaborative research with the candidate.
- The three examiners should each be an authority of international standing in the relevant area/field.

### Examination

- a) If the Review Panel determines that the examination shall proceed, the candidate's work shall be forwarded to three examiners. The examiners will:
  - i) Report independently on the quality of the work according to the criteria; and
  - ii) recommend whether or not the degree should be awarded.
- b) If the examiners disagree on the outcome the Review Panel may:
  - i) Consult with the examiners to see if consensus can be reached; or
  - ii) follow the majority decision; or
  - iii) appoint a further examiner; or
  - iv) appoint an independent referee.
- c) On the basis of the examiners' reports, the UPRB will determine whether the degree should be awarded. The Dean GRS will advise the candidate of the examination outcome.
- d) The degree will be conferred at an appropriate graduation ceremony.

Examiners will be permitted to retain their copies of the material submitted for examination.

Where the decision has been made to award the degree, one copy of the submitted work must be deposited in the University Library.

## Award Criteria

The Higher Doctorate consists of a substantial body of published work and the criteria for examination are that the candidate:

- Demonstrates a sustained record of excellence in research or creative works;
- Clearly demonstrates they are a distinguished leader in the relevant field;
- Provides an original and prestigious contribution to the relevant field of knowledge.

## Re-Applications

An applicant who is not permitted to proceed to examination, or who is not awarded the degree, may not re-apply for a Higher Doctorate until a period of five years has lapsed since the first application and may re-apply only once.

## Provisions for Appeal

An applicant or candidate for a Higher Doctorate who wishes to appeal a decision by the UPRB in relation to the application or examination may do so in writing to the Dean, GRS.

An appeal may be made only on one or both of the following grounds;

- i) that the process used to make the decision in relation to the application or examination was incorrect or unfair, or
- ii) that the decision in relation to the application or examination was manifestly at odds with the information on which it was based.

Any appeal must comprise a written statement of the circumstances of, and grounds for, the appeal, together with supporting evidence, if available, and must be lodged with the GRS not more than 21 days from the date of notification of the decision being appealed.

## Outcome

Higher Doctorate applicants and examiners are aware of the regulations, application, and examination processes and procedures.

## Review

### Original Approval Date

August 2022

### Version Approvals

V1.0 August 2022

V1.1 June 2023

### Review Date

June 2025

### Effective Date

August 2022