

Submission for a Higher Doctorate

Notes of guidance for the Degree of DSc, LLD, DLitt, DMus, DSc (SocSci)

Section V: Higher Degree Regulations in the University Calendar applies.

These notes should be read in conjunction with the [Regulations for the degrees of Doctor of Letters, Music, Science, Science in the Social Sciences and Laws](#).

1. Eligibility

- 1.1 Higher Degree Doctorates may be awarded to individuals who have distinguished themselves by their contribution to research, learning or in the case of DMus, to musical composition.
 - 1.1.1 Graduands of the University of Southampton will be eligible to make an application for the degree of DLitt, DMus, DSc, DSc (Social Sciences) or LLD not less than six years after the date of first graduation.
 - 1.1.2 Staff of the University of Southampton are eligible (as defined in the [Regulations for Members of Staff in Candidature for the Degree of Doctor of Philosophy](#)) who are graduates of another University provided that a substantial and important part of the work submitted has been carried out after the candidate joined the staff of the University.
 - 1.1.3 A Visiting member of staff is eligible who has been with the University for more than two years and is a graduate of another University provided that a substantial and important part of the work submitted has been carried out after the candidate entered their period of collaboration with the University.

2. Application for Candidature

- 2.1 The **point of contact** for all enquiries is the Academic Registrar, Student and Academic Administration (SAA).
- 2.2 There are currently two stages that applicants can follow. Candidates may be considered at the second stage if the Faculty agrees that a prima facie case has already been established.

3. STAGE 1: Preliminary stage to assess whether a prima facie case exists for an award

- 3.1 An applicant if they so wish may have a preliminary review of the work on which they wish to base their submission to establish whether it is felt a prima facie case exists. There is no fee for this.
- 3.2 The review is internal, and advice may be sought from appropriate external examiner(s). The Dean of the Faculty, in consultation with senior staff in the academic discipline(s) in which the candidate's field of study lies, will identify individual(s) within the Faculty who can give a fair and honest assessment of whether a prima facie case exists. A formal note confirming their view should be sent to the Faculty Academic Registrar, cc'd to the Academic Registrar, Student & Academic Administration.
- 3.3 If there is a case for submission, the candidate will be advised accordingly with a request for the work to be submitted. It should be made clear, that establishing a prima facie is no guarantee of the outcome. If the assessment reviews there is no case, the examiner(s) is/are required to provide feedback that can be passed to the applicant.

3.4 All candidates should supply the following documents for consideration at Stage 1:

- An up to date Curriculum Vitae
- An overview statement setting out the applicant's grounds for requesting the award
- A synopsis of the applicant's key academic and research achievements that support the application
- A list of publications or work on which their submission is based

4. STAGE 2: Submission of work for a Higher Doctorate

4.1 Applicants for a higher doctorate are expected to submit a selection of work for assessment.

4.2 Applications must be based either wholly or to a substantial extent on original work of distinction carried out independently. If any of the work submitted has been produced jointly with others, applicants will need to include a written statement indicating the share they have personally taken in the work (see paragraph 4 of the [Regulations for the degrees of Doctor of Letters, Music, Science, Science in the Social Sciences and Laws](#) and these guidance notes which give detailed guidance on what needs to be submitted).

4.3 The precise requirement will be specified by the Internal Examiner. The following categories of information are required:

- A completed application form, showing the summary title of the work to be submitted.
- An up to date curriculum vitae.
- A synopsis of the candidate's research record, outlining clearly the research interests and achievements through reference to publications by number (generally 6 to 10 pages of A4 are expected). 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.
- An electronic copy of the list of publications, which the candidate is submitting. The list must:
 - Number the publications in order of listing;
 - Group papers by subject area, where appropriate;
 - Indicate for each item the date, title and source of publication and be arranged in two sections:
- Works of which the candidate is sole author, and
- Conjoint work.

Within these sections the publications should normally be listed chronologically but may be arranged in groups if this is more appropriate to their content, in which case the order should then be chronological within each group;

- List authors' names in the same order as printed on the publications;
- Indicate the first and last page number of each publication listed;
- Indicate work previously submitted successfully for any other degree (naming the degree and the University of award).

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

- A statement indicating the nature and contribution by the applicant 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.

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

4.5 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.

- 4.6 The current examination fee is £1,000 and must be paid at the beginning of the Stage 2 process. This fee will be paid to the Faculty.

5. Examination Process

- 5.1 Normally one internal and two external examiner(s) shall be appointed by the Faculty on behalf of Senate.
- 5.2 The assessment shall be primarily of the printed and published work submitted by the candidate. However the University does not exclude the possibility that examiners may request an oral examination, any further written or practical test that the examiners may consider necessary.
- 5.3 The higher doctorate shall be awarded only to candidates who, in the opinion of the examiners, have demonstrated the following:
- a contribution of originality and merit to their field of study
 - a sustained, consistent and substantial contribution to the advancement of knowledge over a number of years
 - authoritative standing in their field of study
 - seminal publications which have led to extensions or development of knowledge by others
 - 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 examiner(s) shall submit individual reports using the template provided to the Academic Registrar, Student & Academic Administration with a joint recommendation that:
- the higher doctorate be awarded
 - that the degree be not awarded
 - it is not an expectation but in the event that an examiner requests an oral examination, the administration will contact each examiner to discuss the request and set a meeting for the oral examination to take place, in the event that all the examiners agree with the request
- 5.5 Where the examiners' recommendations differ or are unable to reach a joint recommendation the case will be referred to the Dean of the Faculty. The Dean will be given access to the submitted materials and the examiners' reports and in consultation with the Head of School will make a final recommendation.
- 5.6 The Examiners will provide a short report of up to 500 words giving their reasons for a recommendation that the degree be not awarded. This feedback will be provided to the candidate. The candidate may request a copy of the Examiners' reports.
- 5.7 Candidates may be permitted, at the discretion of the Dean of the Faculty, to reapply for candidature at a later date where examiners recommend that the degree be not awarded.

6. Award Process

- 6.1 All Examiner reports will be sent to the Academic Registrar, Student & Academic Administration.
- 6.2 The Academic Registrar (or nominee) will devolve responsibility to the Faculty Academic Registrar to communicate the Examiners' decision to the candidate. The Faculty Academic Registrar will liaise with the Student Records Manager in the SAA Registry so that a Pass list is created and submitted to Faculty Education Committee for recommendation of award to Senate, an appropriate record is created in the student record system and an award date is assigned.
- 6.3 The Faculty Academic Registrar will alert the Exams, Awards and Graduation Team Manager so that appropriate documentation is sent to the applicant concerning attendance at the appropriate Graduation ceremony.

- 6.4 If the degree is awarded the degree diploma will bear the name of the candidate as it appears in the University of Southampton records on the date of the award. No change can be made in the name as it appears in the records unless the candidate forwards a specific request supported by documentary evidence, e.g. marriage certificate or deed poll, providing the request is made before the degree award.
- 6.5 The Faculty Academic Registrar will liaise with the Dean of the Faculty and the Head of School concerning attendance at the ceremony by the applicant.
- 6.6 A copy of the submission is lodged in the Library but is not required to be bound. There is no prescribed format for the submission.

Document Information	
Author	Academic Registrar
Owner (committee)	Academic Quality and Standards Committee
Approved Date	July 2011, March 2013, February 2015, October 2018, March 2019
Last Revision	March 2019
Type of Document	Guidance