



Context and Purpose

The purpose of this Procedure is to outline the requirements and processes for reviewing Higher Doctorate applications and awarding Higher Doctorate degrees.

This Procedure should be read in conjunction with [Policy AB-60: Higher Doctorates](#).

Responsibility

The Deputy Vice Chancellor: Research and Enterprise will ensure organisation-wide adherence to this Procedure.

Confidentiality

All matters related to the submission and review of Higher Doctorate applications must be managed, by all engaged in those processes, with due regard to the privacy of those involved.

Procedure

A. Approval to Submit (the *prima facie* stage)

1. Potential candidates must submit an application to the Dean of Graduate Studies seeking approval to apply for a Higher Doctorate. This ensures that candidates intending to apply for the degree can make a *prima facie* case for the award.
2. Candidates must submit an up-to-date curriculum vitae, which includes a full publication list, and a list of the candidate's five most significant published works along with an explanation as to why they represent a significant contribution to the field of research.
3. The selected works must not have been submitted for the purpose of obtaining a degree from any university or other tertiary educational institution.
4. Where the published work has multiple authors, the candidate must indicate as precisely as possible the extent of their contribution.
5. Candidates may submit additional material to support their case for *prima facie* eligibility.
6. Upon submission of all materials, the Dean of Graduate Studies will convene a Review Group, comprising the Deputy Vice Chancellor: Research and Enterprise and the Executive Dean of the relevant Academic Unit to consider the application. The review group may consult discipline experts if required.
7. The candidate shall pay the required fees, which are determined annually by the University.

B. Criteria for review at the *prima facie* stage

8. The reviewers of the *prima facie* stage will consider the list of published work presented by the candidate and form a judgment as to whether *prima facie* the candidate should be considered eligible for examination to the award of a Higher Doctorate. The reviewers will take the general criteria for the award into account including the:
 - a. period of time over which the candidate has published;

- b. volume and quality of work published over the period; and
 - c. academic standing of the candidate as evidenced via the curriculum vitae.
9. In the case of applications where the preponderance of the work consists of articles in scholarly journals, the reviewers will consider the:
- a. international standing and quality of the journals in which the articles have appeared;
 - b. proportion of sole author and principal author articles;
 - c. coherence of the body of research; and
 - d. impact of the research as evidenced by the number of citations. Candidates are encouraged to include evidence of this where appropriate.
10. In evaluating book publications, the reviewers will be principally concerned with the nature and content of the book and its intrinsic quality in terms of academic scholarship. Other relevant considerations include the quality of the publication and the critical reception of the work. Applicants are therefore encouraged to include reviews of their book publications.

C. Outcome from *prima facie* stage

- 11. If the Review Group endorses the application, the candidate may proceed with their submission.
- 12. If the Review Group does not endorse the application, the applicant may not apply for a Higher Doctorate at the University for a further three years from when the decision was made.
- 13. The Dean of Graduate Studies will inform the candidate of the *prima facie* outcome.

D. Submission process

- 14. Candidates must submit four copies of their work within twelve months from the decision of the Review Group.
- 15. Candidates must pay the prescribed fee upon submission of their work.
- 16. The submission must include a:
 - a. title page, including the name of the degree being applied for,
 - b. contents list,
 - c. synopsis,
 - d. declaration of authorship,
 - e. copyright statement,
 - f. statement, and
 - g. copies of each of the five publications in their published form.
- 17. The statement in the submission must be approximately 3,000 words and should detail the candidate's research record and clearly outline the research interests and achievements by way of reference to the selected publications. There should be clear evidence that the body of work is of international quality and has made an original, substantial and authoritative contribution to knowledge in the candidate's field of study. Where necessary, the candidate should indicate the nature and extent of the contribution to jointly-authored publications. The University reserves the right to consult any of the co-authors or collaborators mentioned in the statement.
- 18. The submission must be suitably bound.
- 19. Items which cannot be included in a bound volume may be submitted separately; the candidate must submit four clearly identified copies of such items.

E. Examination of the work

20. Confidentiality:

- a. Subject to clause E.20.c., anonymity must be maintained during the examination process. Normally all examiners' reports will be made available to the candidate, unless indicated otherwise by the examiner.
- b. The Deputy Vice Chancellor: Research and Enterprise may ask the candidate to provide a list of potential examiners.
- c. The examiners' identity shall not be revealed to the candidate unless all of the examiners agree.

21. Appointment of examiners

- a. In consultation with the relevant Executive Dean, the Deputy Vice Chancellor: Research and Enterprise will appoint three examiners.
- b. The examiners will not normally be University of South Australia staff members.
- c. Examiners must:
 - i. hold a PhD or Research Doctorate or have equivalent professional experience;
 - ii. be of high academic standing and have an international profile in the research field;
 - iii. have the capacity to arrive at an independent assessment of the work;
 - iv. not have been consulted in the *prima facie* stage; and
 - v. not have or had a close personal relationship with the candidate.
- d. It is expected that at least one examiner will be from an overseas university.
- e. Following the approval of examiners from the Deputy Vice Chancellor: Research and Enterprise, the Dean of Graduate Studies will confirm the examiners' availability and despatch the body of work for examination.
- f. Where an examiner fails to return an assessment within the required time the Deputy Vice Chancellor: Research and Enterprise may appoint another examiner.

22. Criteria for examination

- a. Examiners will examine the work according to the following criteria to determine if it demonstrates:
 - i. a contribution of originality and merit to their field of study;
 - ii. a sustained, consistent and substantial contribution to the advancement of knowledge over a number of years;
 - iii. authoritative and international standing in their field of study; and
 - iv. the candidate's publications have extended the development of knowledge of others.

23. Examination

- a. The Dean of Graduate Studies will send the examiners the criteria and examination material (as specified in clause D.16.).

24. Examiners reports

- a. The examiners shall submit individual reports, to the Deputy Vice Chancellor: Research and Enterprise, with a recommendation that:
 - i. the appropriate Higher Doctorate be awarded OR
 - ii. a Higher Doctorate not be awarded.
- b. The Dean of Graduate Studies will provide copies of the examiner reports to the candidate (refer to clause E.20.a.).

25. Outcome of examination

- a. Where all three examiners recommend the award of the Higher Doctorate, the candidate will be informed by the Deputy Vice Chancellor: Research and Enterprise.
- b. Where the examiners' recommendations differ, and only in cases where two of the examiners are in favour of awarding the Higher Doctorate, the Deputy Vice Chancellor: Research and Enterprise will appoint an appropriately qualified adjudicator as per clause E.26.
- c. Where at least two examiners or an adjudicator recommend that the Higher Doctorate not be awarded, candidates may reapply for candidature after three years from the date of the decision.
- d. The Deputy Vice Chancellor: Research and Enterprise will report the outcome of the examination to the Vice Chancellor.

26. Appointment of an adjudicator

- a. The adjudicator must not be a University of South Australia staff member.
- b. The identity of the adjudicator will not be revealed to the candidate.
- c. The adjudicator will make a final recommendation.
- d. The following material is sent to the adjudicator:
 - i. work (as specified in clause D.16.),
 - ii. examiners' reports (anonymised),
 - iii. criteria for examination.

27. Appeals

- a. Where examiners or adjudicators recommend that Higher Doctorate not be awarded, a candidate may appeal to the Provost & Chief Academic Officer.
- b. The sole grounds for appeal can be made in regards to contravention of the award process.

F. Award of the Degree

28. On receipt of a favourable report from the Deputy Vice Chancellor: Research and Enterprise, the Vice Chancellor will recommend to Council that the award of the Higher Doctorate be conferred.

G. Lodgement with University Library

29. Upon conferral of the Higher Doctorate the candidate will ensure that one copy of the final version of work is sent for lodgement to the University Library.
30. The final version should include an appropriate record of artefacts, e.g. photographs, video recording.

Definitions

Published work means work that is readily available for public criticism and may include: a published book or article, other printed material, a composition or recording of music, a video recording, film or other work of visual or sonic art, an exhibition, performance or folio of work, and computer software, digital material or other non-written material.

Related Documentation

[Policy AB-60: Higher Doctorates](#)

[Policy AB-58: Research Degrees](#)

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