

Guidance for Higher Doctorates

March 2023

Research Degrees and Researcher Development

***FAILURE TO FOLLOW THESE INSTRUCTIONS MAY RESULT IN THE
FACULTY REJECTING THE THESIS FOR EXAMINATION***

CONTENTS

	Page
1. Introduction	3
2. Eligibility	3
3. Criteria for the Award of Higher Doctorates	3
4. Applications and Admissions	3
4.1 Preliminary approval	3
4.2 Fees	4
5. Notice of Submission for Examination	4
6. Submission	5
6.1 Format of the thesis	5
6.2 Language	7
6.3 Presentation of the thesis	7
6.4 Footnotes	7
6.5 Submitting the thesis	8
7. The Examiners	8
7.1 Criteria for appointment of examiners	9
7.2 Nomination of examiners	9
7.3 Informal approaches to examiners	9
8. Duties of the Chair and Examiners	9
8.1 Duties of the Chair	10
8.2 Duties of the external examiners	10
9. Recommendations Available to Examiners	10
10. Fees and Expenses	11
11. Approval and Notification of Results	11
Annex 1: Key contacts for applicants	12
Annex 2: Process diagram	13
Annex 3: Sample title page	14
Annex 4: Sample declaration	15

1. Introduction

FAILURE TO FOLLOW THESE INSTRUCTIONS MAY RESULT IN THE FACULTY REJECTING THE THESIS FOR EXAMINATION

This document outlines the application, submission and examination procedures for the award of Higher Doctorates at The University of Manchester. If you have any queries which are not answered here, please contact the appropriate Faculty Doctoral Academy (see Annex 1).

2. Eligibility

The University of Manchester's Ordinances and Regulations for Higher Doctorates state that candidates must be:

- a. graduates, other than honorary, of this University, of at least seven years' standing from award of the degree of Bachelor, or six years from award of the degree of Master, or four years from award of the degree of Doctor of Philosophy. Candidates should note that this is a **minimum** requirement and that this would not normally be considered sufficient time for the required standard to be reached.

or

- b. if not graduates of this University, have been a member or honorary member of the academic, research or academic related staff of the University for a period of at least four years. For the degrees of Doctor of Medical Science (DMedSci) and Doctor of Dental Science (DDSc) only, members of staff at the University's associated hospitals and institutes for at least this period are also eligible. All such candidates must also hold a degree or equivalent qualification approved by the University.

The appropriate Faculty Doctoral Academy is responsible for checking candidates' eligibility for the award.

3. Criteria for the Award of Higher Doctorates

Candidates are required to show that they have made an original and substantial contribution to a major field of study. The published work submitted for a Higher Doctorate must demonstrate that the candidate is a leading authority in their field, and has been involved in major innovations and new developments in that field.

4. Applications and Admission

4.1 Preliminary approval

Intending applicants are required to obtain preliminary approval from the University to apply for a Higher Doctorate. The purpose of this is to ensure that intending applicants are eligible to apply for the degree, can make a *prima facie*

case for its award, and can present appropriate published material in a suitable manner, before preparing their formal submission.

Candidates should check whether there are any application deadlines with the appropriate Faculty Doctoral Academy.

The *prima facie* case must include:

- a. a statement about the nature and extent of the candidate's contribution to their field of study;
- b. a list of the publications the candidate intends to submit; and
- c. a brief *curriculum vitae*.

These documents should be submitted to the appropriate Faculty Doctoral Academy (see Appendix 1) for consideration.

Normally, only work published in scholarly books and journals will be eligible for consideration. However, the examiners may, at their discretion, take into consideration other scholarly work. All work must be traceable in ordinary catalogues and must have been published in such a way as to be generally available for consultation by scholars or other interested persons.

A special panel must be convened to assess whether there is a *prima facie* case for the award. This panel will normally be chaired by the Associate Dean for Graduate Education of the appropriate Faculty, or his/her nominee, and include other senior members of academic staff. Where possible, an appropriate member of staff from another Faculty should also be included.

If the University accepts that a *prima facie* case has been established, candidates will be notified in writing that they will be offered registration to submit for a Higher Doctorate and an adviser will be appointed to act as an internal contact and provide guidance where necessary. Candidates must submit their published work for examination within 12 months of their registration for the degree.

If the *prima facie* case is not upheld, candidates may not put forward a new *prima facie* case until a period of 24 months has elapsed since their original application.

4.2 Fees

Once preliminary approval has been granted, candidates will be invited by the appropriate Faculty to submit their work, accompanied by the prescribed fee. Candidates should contact the appropriate Faculty Doctoral Academy for details of fees.

5. Notice of Submission for Examination

Candidates should give at least three months' written notice to the appropriate Faculty Doctoral Academy of their intention to submit their Higher Doctorate for examination. *Notice of Submission Forms* are available from the appropriate Faculty Doctoral Academy.

6. Submission

6.1 Format of the thesis

The thesis shall comprise the following items presented in the order given:

a. Title page which must give the following information (see Annex 3 for a sample):

- the full title of the thesis;
- a statement as follows: 'A thesis submitted to the University of Manchester for the degree of xxx in the Faculty of ' (please refer to University Regulation X for a list of correct Faculty and School titles and refer to University Regulation XI for the correct long and short form of the degree title. Both sets of Regulations can be found at: <http://www.staffnet.manchester.ac.uk/services/rbess/graduate/ordinancesandregulations>);
- candidate's name and qualifications;
- the year of submission.

b. Contents list. A list of contents, giving all appropriate sub-divisions of the thesis and a page number for each item.

c. Declaration (see sample in Annex 4). A declaration must be completed and included in with the candidate's thesis. This declaration requires the candidate to state:

- i. the nature and extent of the candidate's own contribution and the contribution of co-authors and other collaborators to each of the publications presented;
- ii. whether any (and if so, which) of the work presented has been submitted in support of a successful or pending application for any other degree or qualification of this or any other University or of any professional or learned body.

d. Copyright statement – The following four notes on copyright and the ownership of intellectual property rights must be included as written below:

- i. The author of this thesis (including any appendices and/or schedules to this thesis) owns any copyright in it (the "Copyright") and s/he has given The University of Manchester the right to use such Copyright for any administrative, promotional, educational and/or teaching purposes.
- ii. Copies of this thesis, either in full or in extracts, may be made only in accordance with the regulations of the John Rylands University Library of Manchester. Details of these regulations may be obtained from the Librarian. This page must form part of any such copies made.
- iii. The ownership of any patents, designs, trade marks and any and all other intellectual property rights except for the Copyright (the "Intellectual Property Rights") and any reproductions of copyright works,

for example graphs and tables ("Reproductions"), which may be described in this thesis, may not be owned by the author and may be owned by third parties. Such Intellectual Property Rights and Reproductions cannot and must not be made available for use without the prior written permission of the owner(s) of the relevant Intellectual Property Rights and/or Reproductions.

- iv. Further information on the conditions under which disclosure, publication and exploitation of this thesis, the Copyright and any Intellectual Property Rights and/or Reproductions described in it may take place is available from the Head of School of (*insert name of school*) (or the Vice-President).

e. Statement containing:

- i. particulars of the candidate's degrees, other qualifications and research experience, including all particulars required to establish eligibility under the University's regulations;
- ii. a complete and numbered list of the publications submitted (grouped according to subject and type);
- iii. an overall summary (maximum 15,000 words) of the aims and achievement of the work, for which the publications submitted give evidence, which should outline their interrelationship and include reference to the work of others in the candidate's field. This critical appraisal of the work should review the current state of knowledge and research in the candidate's field, and indicate how their work has contributed to that field. It should also comment on the standard of any journals and the reception of the publications as indicated by citations and reviews.

f. Copies of each of the publications in its published form. The number of papers included in a Higher Doctorate thesis may vary according to discipline and is not prescribed.

6.2 Language

Higher Doctorate theses must normally be in English. Brief quotations may be made in foreign languages. In exceptional circumstances variation of this requirement may be approved by the University for candidates to submit work predominantly in their language of research.

6.3 Presentation of the thesis

The statement and other preliminary pages must be double or 1.5 spacing with a minimum font size of 12 in a sans serif font type such as arial, verdana, tahoma or trebuchet, must be used for the main text; single-spacing may be used for quotations, footnotes and references.

The margins should be wide enough to allow for printing and binding should examiners wish to do so. The minimum requirement is: inside margin, 40mm; top and outside margins, 15mm; bottom margin, 15mm.

Page numbering must consist of one single sequence of Arabic numerals (ie 1, 2, 3 ...) throughout the thesis, starting with the title page and must extend to cover all volumes in a multi-volume work. Page numbers must be displayed on all pages EXCEPT the title page(s). Roman numerals **must not** be used for page numbering.

Note on numbering the pages of the publications section:

Since the thesis for a Higher Doctorate includes copies or offprints of journal articles, book chapters etc., which already have page numbers, the pages of the publications themselves will **not** be included in the pagination sequence of the submission. Candidates should include a page before each publication on which is displayed the publication number, publication title, and the page number of the thesis.

For example, if the publications section starts on p75, insert a page before the first publication on which is included the name and number of the publication and p75. The first publication will then follow, with its own pagination. Before the second publication insert another page on which is included the name and number of the second publication and p76, and so on.

6.4 Footnotes

Candidates may position their footnotes at the bottom of a page, at the end of each chapter, or at the end of the Higher Doctorate thesis.

6.5 Submitting the thesis

The thesis should be submitted in electronic format to the University of Manchester online repository as a single Portable Document Format (PDF) file and plain-text metadata record. A plain-text description needs to be supplied for non-digital materials and digital materials that are unsuitable for electronic submission such as practice-based theses. Where there are non-standard submissions for particular programmes, local Faculty Doctoral Academy guidance should be referred to for further information.

When the candidate submits the thesis it is forwarded to the examiners by the appropriate Faculty Doctoral Academy.

7. The Examiners

The examination process must be overseen by an independent, internal Chair.

There must be two external examiners. The examiners must be approved by the appropriate research degrees panel. Once the examiners have been approved, the appropriate Faculty Doctoral Academy will send formal offers of appointment to the examiners and give their details to the candidate.

7.1 Criteria for appointment of examiners

Examiners should:

- a. be qualified and experienced in the candidate's field. Where possible, examiners should hold a Higher Doctorate;

and

- b. have considerable experience of supervising and examining research degree students.

The Associate Vice-President for Research will consider exceptions to the normal criteria if a case is made by the appropriate Faculty Dean at the nomination stage.

Examiners should be senior members of academic staff, and one of them should, where possible, be from an overseas university.

Examiners should be entirely independent of the candidate and each other, and should declare an interest if they:

- a. plan to employ the candidate;
- b. plan to co-publish with the candidate;
- c. are, or have been, involved with the candidate in a close personal relationship of any kind;
- d. have a close personal, professional or contractual relationship with any other member of the examination panel.

7.2 Nomination of examiners

When the appropriate Faculty Doctoral Academy receives notification of the candidate's intention to submit for examination, the Head of the appropriate academic unit is asked to nominate examiners. Nominations for examiners should be made on the *Nomination of Examiners Form* which is available from the appropriate Faculty Doctoral Academy.

7.3 Informal approaches to potential examiners

The Head of the appropriate academic unit, or an appropriate delegate such as a senior Professor in the sub-field of the candidate's research, is advised to approach potential examiners before making a formal nomination to check that they are willing and available to examine the Higher Doctorate.

8. Duties of the Chair and the Examiners

Higher Doctorate examinations are normally conducted by correspondence. If an examiners' meeting is necessary (see below), arrangements for the meeting are made by the Chair.

8.1 Duties of the Chair

The duties of the Chair are:

- a. to ensure that the examination process is conducted in accordance with University regulations and procedures;

- b. to chair the examiners' meeting(s) if held;
- c. to ensure that an *Examiners' Report Form* is completed and signed by each examiner. This should include a brief report on the submission and a recommendation as to the award or otherwise of the degree;
- d. to send or bring the completed *Examiners' Report Forms* to the appropriate Faculty Doctoral Academy.

8.2 Duties of the external examiners

The duties of the external examiners are:

- a. to assess whether the candidate has met the requirements of the appropriate Higher Doctorate and to make a recommendation on the award of the degree by completing an *Examiners' Report Form*;
- b. if a meeting of the examiners is held, to make a recommendation on the award of the degree along with the other examiner(s);
- c. ensure that all examination copies of the Higher Doctorate submission are returned promptly to the appropriate Faculty Doctoral Academy at the end of the examination process.

9. Recommendations Available to Examiners

Each examiner is required to complete a separate *Examiners' Report Form* and make a recommendation about the award of the Higher Doctorate to the appropriate research degrees panel.

The examiners may recommend:

- a. the award of the Higher Doctorate
- b. that the Higher Doctorate is not awarded (in which case any new application would require re-registration and a substantially new submission).

The appropriate research degrees panel considers the reports and ratifies the examiners' recommendation. If the recommendations made by the individual examiners differ, a meeting of the examiners is held. If, after a meeting, one examiner recommends that a Higher Doctorate should not be awarded to the candidate, the appropriate research degrees panel will appoint an additional external examiner who will not meet the original examiners or have access to their reports.

Candidates who are not awarded the Higher Doctorate must be given feedback from the examiners.

If the recommendation is that the Higher Doctorate is not awarded, candidates may not resubmit for the award until a period of 24 months has elapsed since their original application. Candidates will not normally be expected to re-apply for preliminary approval.

10. Fees and Expenses

Fee levels for external examiners are determined by the University from year to year and are specified in the examiners' appointment offer letter. Fees are paid once the examiners' recommendation has been ratified by the research degrees committee.

Higher Doctorate examinations are normally conducted by correspondence but if a meeting of the examiners is necessary, travel is reimbursed for the **actual cost of standard class public transport**. Approval for travel by car will be granted if the use of public transport is genuinely not possible; a full explanation must be provided. All claims should be made on University claim forms. Expenses should be claimed within two months of the expenditure being incurred.

11. Approval and Notification of Results

The decision about the award of the Higher Doctorate is taken by the appropriate research degrees panel on the basis of the examiners' reports and the recommendation made by the examiners.

When the research degrees panel has made its decision, the candidate is notified. The letter, together with a copy of the examiners' reports, is also sent to:

- a. the examiners
- b. the adviser
- c. the Head of the appropriate academic unit
- d. the member(s) of academic staff who recommended the *prima facie* case.

ANNEX 1 - Key contacts for applicants:

For Doctor of Science (DSc):

Research Degrees and Researcher Development Officer
Alex.Hinchliffe@manchester.ac.uk

Note: In the case of the DSc, the Research Office will pass the candidate's CV and list of publications on to the appropriate Faculty, which will then be responsible for granting preliminary approval and continuing the application process.

Doctor of Engineering (DEng):

FSE.doctoralacademy.exams@manchester.ac.uk

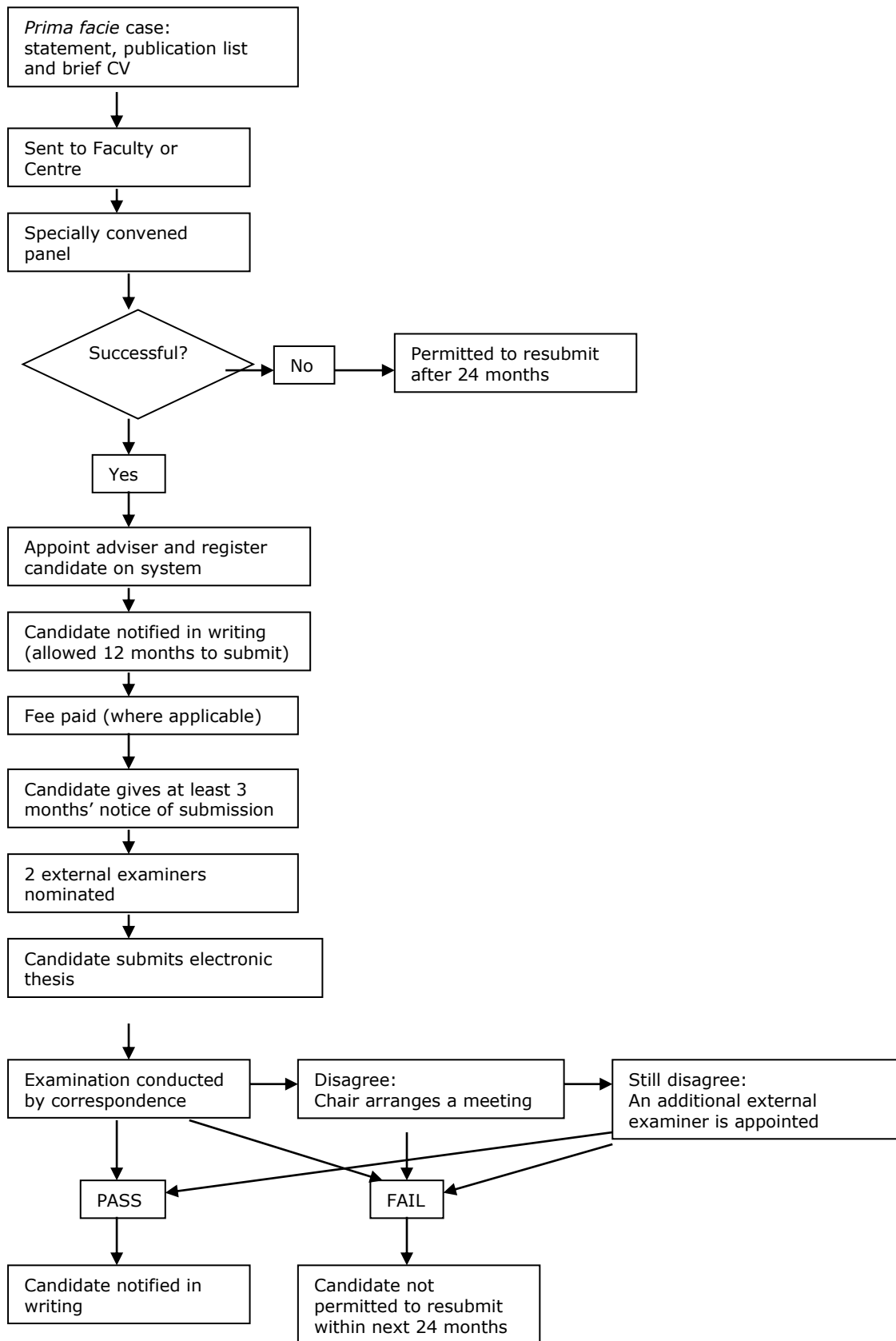
For Doctor of Letters (LittD), Doctor of Laws (LLD), Doctor of Music (MusD), Doctor of Divinity (DD), and Doctor of Social Science (DSocSc):

HUMS.doctoralacademy.exams@manchester.ac.uk

For Doctor of Medical Science (DMedSc) and Doctor of Dental Science (DDSc):

FBMH.doctoralacademy.exams@manchester.ac.uk

ANNEX 2 – Process diagram:



ANNEX 3 – Sample title page:

TITLE OF THESIS

A thesis submitted to The University of Manchester for the degree of
xxxxxx
in the Faculty of

YEAR OF SUBMISSION

CANDIDATE'S NAME and QUALIFICATIONS

ANNEX 4 – Sample declaration:

University of Manchester
Higher Doctorate Candidate Declaration

Candidate Name:

Faculty:

Higher Doctorate Title:

Declaration to be completed by the candidate:

Please describe briefly:

1. the nature and extent of your own contribution and the contribution of co-authors and other collaborators to each of the publications presented
2. whether any (and if so which) of the work presented has been submitted in support of a successful or pending application for any other degree or qualification of this or any other University or of any professional or learned body

I confirm that this is a true statement and that, subject to any comments above, the submission is my own original work.

Signed: **Date:**