

Higher Doctorate Degrees on Published Work
awarded by the National University of Ireland

Criteria, Regulations, Application Procedures and Guidelines

April 2021



Ollscoil na hÉireann
National University of Ireland

the 1990s, the number of people in the UK who are employed in the public sector has increased from 10.5 million to 12.5 million (12% of the population).

There are a number of reasons for this increase. One is that the public sector has become a more important part of the economy. Another is that the public sector has become more efficient. A third is that the public sector has become more attractive to workers. A fourth is that the public sector has become more diverse.

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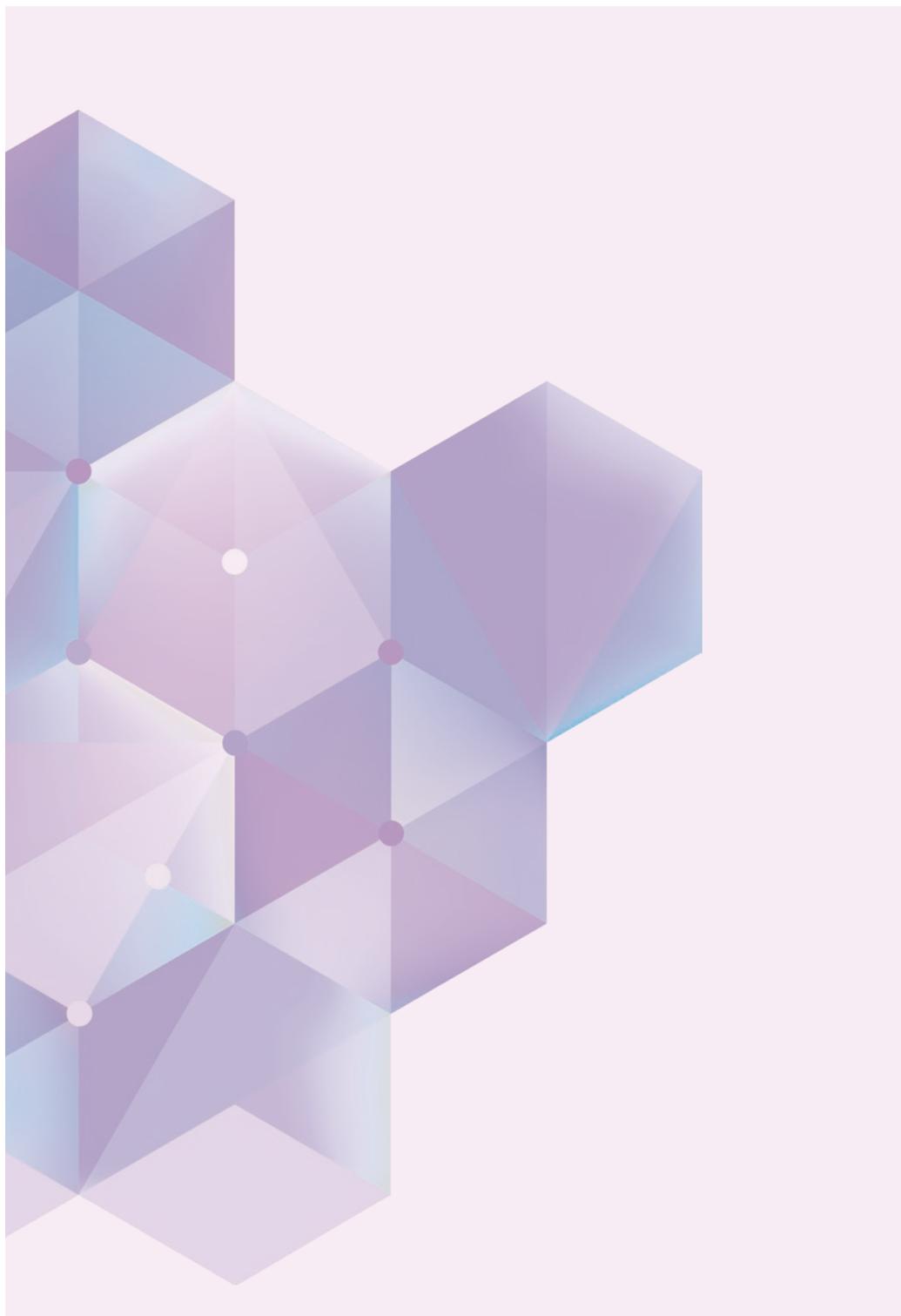
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1. Introduction

Degrees on Published Work awarded by the National University of Ireland are higher doctorates and are the highest qualifications awarded by the University. They are awarded to scholars who have, over a sustained period, published a substantial body of ground-breaking and influential work in a field of specialisation and who have achieved outstanding distinction internationally in that field. The work published will usually consist of articles in leading international peer-reviewed scholarly journals and/or books published by leading academic publishers and distributed internationally.

The following higher doctorate degrees on published work are awarded by NUI:

Doctor of Celtic Studies	DLittCelt
Doctor of Economic Science	DEconSc
Doctor of Engineering	DEng
Doctor of Literature	DLitt
Doctor of Laws	LLD
Doctor of Medicine	DMed
Doctor of Music	DMus
Doctor of Science	DSc.

All of these degrees are of equal standing.

The Senate will also consider expanding the range of titles in response to the expansion of research within the University.

A list of those who have been awarded NUI higher doctorates is available on the NUI website www.nui.ie.

2. Criteria

The criteria governing the award of a National University of Ireland higher doctorate on published work are:

- ▶ that the candidate will have published a substantial body of work, of the highest order of scholarship in the field in question, over a sustained period of time
- ▶ that the work to be considered for the degree relates to a specific defined area of enquiry
- ▶ that the work published, in the judgment of the assessors, has added new knowledge of significance to the field in question
- ▶ that the work is of international importance and that, based on the published work, the scholar can be considered to have gained, or to merit, international distinction as an authority in the field.
- ▶ that the research on which the published work is based has been carried out in accordance with appropriate ethical guidelines acceptable to the National University of Ireland.

3. Eligibility

Higher doctorates on published work are open to graduates of the National University of Ireland and members of staff of the NUI constituent universities and recognised colleges who have published extensively and who satisfy the criteria for the awarding of a higher doctorate on published work.

Eligibility for the higher doctorate degree of Doctor of Medicine is restricted to candidates who hold a primary degree qualification in medicine.

4. Regulations

4.1 General

- 4.1.1 The evaluation of applications for higher doctorates is overseen on behalf of the Senate by the Committee for Higher Doctorates on Published Work.
- 4.1.2 The evaluation is conducted in two stages, a first stage review to determine *prima facie* eligibility to apply for the degree in question and a second stage assessment of a full application.
- 4.1.3 Applications are considered in the first instance by the Committee and then referred for detailed expert consideration. Decisions on the awarding of higher doctorates are made by the Senate on the recommendation of the Committee.
- 4.1.4 The work submitted for a higher doctorate must be published work which either shows original thought or embodies the results of personal research over a sustained period of time so as to be, in the judgment of the assessors, worthy of recognition by the University as adding significantly to the sum of existing knowledge of the subject treated.
- 4.1.5 The work must be of international importance such that the scholar can be considered to have gained, or to merit, international distinction as an authority in the field.

- 4.1.6 Journal publications should be in internationally refereed journals. Books should have been published by leading academic publishers and distributed internationally.
- 4.1.7 The publications must embody a common theme sufficient to indicate that the candidate has achieved a special competence in this area.
- 4.1.8 The application at each stage must be accompanied by a commentary (max 5,000 words) on the corpus of research identifying links between publications, and sub-themes, if any, and highlighting the coherence of the body of work and demonstrating the academic standing of the scholar. *(Note: In the case of a DLitt application in the area of creative writing, a more extensive commentary of up to 10,000 is required)*
- 4.1.9 Applicants should identify work for which awards such as a PhD Degree have already been obtained. Such work may include books or articles based on the PhD thesis.
- 4.1.10 The research on which the published work is based must have been carried out in accordance with appropriate ethical guidelines acceptable to the National University of Ireland. Applicants are required to verify that the research on which the published work is based has been carried out in accordance with the ethical guidelines of their own institution in the case of academic staff, or to make a self-declaration for those who are not members of staff. In making a declaration, applicants should have regard to the European Code of Conduct for Research Integrity¹ and the Policy Statement on Ensuring Research in Ireland issued by Research Integrity National Forum².

1 European Code of Conduct for Research Integrity, All European Academies (ALLEA), 2017, <http://www.allea.org/wp-content/uploads/2017/05/ALLEA-European-Code-of-Conduct-for-Research-Integrity-2017.pdf>

2 https://www.iua.ie/wp-content/uploads/2019/08/IUA_Research_Integrity_in_Ireland_Report_2019.pdf

- 4.1.11 The work must be readily available: work in the course of publication will not be considered;
- 4.1.12 *Prima facie* eligibility to enter for a higher doctorate degree must be established before a candidate is invited to make a full application. The Committee will appoint a reviewer to make a recommendation on *prima facie* eligibility and will determine *prima facie eligibility* having considered the reviewer's report. Where it considers it appropriate, the Committee may request the reviewer to present further information on the application before making a decision on the application.
- 4.1.13 The reviewer for the *prima facie* stage will be highly qualified to make a judgment on the eligibility of the candidate to be considered for a higher doctorate on published work in the field in question. In general, reviewers will be drawn from within the constituent universities and recognised colleges of the National University of Ireland but outside the university or college of which the applicant is a member of staff or a graduate. If there is no suitable expert within the National University of Ireland in the field in question, or if all of the expertise in that field is based in the NUI institution where the applicant is a member of staff, then the *prima facie* stage reviewer will be drawn from outside the National University of Ireland. In cases where the pool of expertise nationally is very small, the reviewer will be drawn from outside Ireland.
- 4.1.14 Where the Committee, having considered the reviewer's recommendation, has determined that *prima facie* eligibility has been established, the outcome will be communicated to the candidate who will be invited to proceed to the second stage and make a full submission.
- 4.1.15 Where *prima facie* eligibility has been established, this remains valid for a period of three years from the date on which it is communicated to the candidate. If a candidate does not lodge the full application within that three-year period, it will be necessary to re-establish eligibility.

- 4.1.16 Where an applicant is considered eligible to proceed to the second stage assessment, the reviewer for the *prima facie* stage is asked to propose a list of experts of high international standing from which two will be appointed by the Registrar as Committee Chair to conduct the second stage assessment.
- 4.1.17 The external assessors will be drawn from outside the constituent universities and recognised colleges of NUI and outside the island of Ireland.
- 4.1.18 On receipt of the application and once the external assessors have been appointed, the Registrar will send the application to the assessors.
- 4.1.19 The establishment of a *prima facie* case simply makes the candidate eligible to proceed to the second stage assessment: it should not be interpreted as predetermining the outcome of the assessment. The external assessors are asked to base their judgment solely on the submission presented to them without reference to the opinion of the *prima facie* reviewer.
- 4.1.20 The second stage assessment will include quantitative and qualitative evaluation in terms of the general criteria for higher doctorates on published work as set out on page 5.

The assessors are asked to have regard to the following:

- ▶ the period of time over which the candidate has published
- ▶ the quality and volume of work published
- ▶ the standing of the journals in which the articles have appeared and the standing of the publisher in the case of books, monographs and book chapters
- ▶ the number of sole author and principal author articles
- ▶ the numbers of citations of the articles (where appropriate to discipline)
- ▶ the coherence of the body of research.

- 4.1.21 Having considered the published work, the external assessors will present individual reports to the Committee on the application. Each report should set out the judgment of the assessor on the extent to which the candidate has satisfied the criteria for the award of the higher doctorate and arising from this, a recommendation to the Committee as to whether or not the higher doctorate should be awarded.
- 4.1.22 Where the recommendations of the assessors are in conflict, or in other circumstances where the Committee considers it appropriate, a third assessor will be appointed.
- 4.1.23 The Committee, having considered the reports of the external assessors, will (a) make a recommendation to the Senate that the degree be awarded; or (b) in the case of a negative decision, advise the candidate accordingly.
- 4.1.24 Once the degree has been awarded by the Senate, the reports of assessors will be made available to candidates but the identity of the assessors will not be disclosed.
- 4.1.25 If the candidate disputes the decision of the Committee, they will have a right of appeal to the Senate (see Appeals section 8).
- 4.1.26 Following the award of the degree, the candidate is required to submit one hard-bound copy to NUI – except in cases where the application includes books (see guidelines at Section 3 page 19).

4.2 Regulations specific to particular titles

4.2.1 Doctor of Literature DLitt

Applications for a DLitt Degree in the area of creative writing must include a commentary of up to 10,000 words on the corpus of research/published work.

4.2.2 Doctor of Music DMus

In Music, degrees are awarded in musicology and in musical composition. For candidates presenting for the DMus in musical composition, published work shall be deemed to include work in the public domain, through professional performance, broadcast and/or recording, with score material available through commercial publication or from the Contemporary Music Centre in Dublin or through other authorised agencies.

4.2.3 Doctor of Engineering DEng

Doctor of Medicine DMed

Doctor of Science DSc

The DSc degree will normally be awarded for laboratory-based research while the DMed is usually considered more appropriate where the published work is based on clinical practice. The DEng is appropriate where the body of work is in engineering.

5. Fees

The *prima facie* stage fee (non-refundable) is *€1,000 (€800 for members of Academic Staffs in NUI constituent universities and recognised colleges)

The second stage fee is *€2,500 (€2,000 for members of academic staff in NUI constituent universities and recognised colleges).

NUI is happy to facilitate payment of the fee* by credit card over the phone (+353 1 4392424) or electronically (bank details will be provided on request).

Applications and fees will be acknowledged.

* or such amount as may be determined from time to time by the NUI Senate.

6. Application Procedures

The application procedures for the *prima facie* and second stages are set out below.

6.1 The *prima facie* eligibility stage:

The candidate is required to submit the following with the application:

- (i) a completed *prima facie* stage application form
- (ii) a list of publications

Where the published work appears under the name of more than one author, the candidate must indicate as precisely as possible the extent of his/her contribution. The lead author of the paper should be clearly identified. *Prima facie* eligibility will not be determined unless this information is provided in respect of the most important publications

- (iii) a curriculum vitae
- (iv) *the prima facie* fee
- (v) a commentary (max 5,000 words) on the corpus of research identifying links between publications, and sub-themes, if any.
(Note: In the case of a DLitt application in the area of creative writing, a more extensive commentary of up to 10,000 is required)
- (vi) a statement (see 4.1.10) verifying that the research presented has been carried out in accordance with the ethical guidelines of their own institution in the case of academic staff, or for those who are not members of staff to a self-declaration concerning the ethical nature of the research.

Candidates may submit additional material to support the case for *prima facie* eligibility. For example, in the case of book publications, candidates are encouraged to include reviews published in leading journals or periodicals.

The application should be submitted electronically to registrar@nui.ie.

6.2 The second stage assessment

- 6.2.1 Once prima facie eligibility has been established, the candidate will be invited to submit a full application with a completed entry form and fee. Only when the completed entry form has been accepted by the University is the candidature valid.
- 6.2.2 The candidate is required to submit the following with the completed entry form and the fee.

For submission in hard copy (3 copies)

- (i) the body of the published work to be considered (work in the course of publication will not be considered unless printers' proofs are available); for the assessment process the submission may be soft bound, but one hard-bound will be required for NUI records on completion of the process (see guidelines at Section 3 page 19);
- (ii) the list of titles of works presented, with publication references;
- (iii) a declaration that the work lodged is being submitted solely to the National University of Ireland and has not been used or will not be used to obtain a qualification from another university or higher education institution;
- (iv) a statement setting out the extent of the candidate's contribution to the published work;
- (v) a commentary (max. 5,000 words or where the application is in respect of a DLitt degree in the area of creative writing, up to 10,000 words) on the corpus of research/published work;
- (vi) a curriculum vitae;
- (vii) confirmatory statements from co-authors to substantiate the extent of the candidate's authorship of the work in question;
- (viii) a complete listing of the applicant's published work.

For electronic submission

One copy of each of the above submitted electronically by file transfer (See Section 2.5 page 18 for guidelines on submitting electronically by file transfer)

6.3 Hard-bound copy on award of degree

On completion of the process, one hard-bound copy, comprising items (i), (ii), (iv) and (v) of the list above, will be required for NUI records (except where the submission includes books). This copy will be made available on request to potential candidates.(see guidelines at Section 3 page 19).

7. Timescale

There are two annual deadlines for the submission of applications for doctorates on published work, 1 April and 1 October.

Candidates should expect the assessment of an application for a Higher Doctorate to take approximately one year, with approximately three months for the *prima facie* stage and at least six months for the second stage assessment. The process is prolonged where there is a gap between the outcome of the *prima facie* stage and the presentation of a full submission.

8. Appeals

Where a candidate is dissatisfied with the outcome of an evaluation, whether at *prima facie* or second assessment stage, he/she may lodge an appeal with the Senate.

A candidate who wishes to appeal against a decision must lodge the appeal, in writing, for consideration at the next available Senate meeting, setting out the grounds for appeal. The Senate will seek further expert advice before making a final decision.

Note:

All personal data in relation to an application for the NUI Higher Doctorate on Published Work will be collected and used fairly for the purpose of the processing of the application, stored safely and securely in accordance with a stated retention period, and not disclosed to any third party.

Further information is available in NUI's Data Protection policy, accessible at www.nui.ie.

Appendix

Guidelines for Submission

1. Guidelines for the *prima facie* eligibility stage

- 1.1 The procedures for making *prima facie* stage applications are set out on page 13. Applications should be sent by email to registrar@nui.ie.
- 1.2 The application form should be scanned as a separate document.
- 1.3 The purpose of the commentary is to give the applicant the opportunity to identify links between publications, to highlight the coherence of the body of research and present him or herself as an authority of international standing in the field in question.

2. Guidelines for the second stage

- 2.1 The procedures for making second stage applications are set out on page 14. Applications may be sent in hard copy or electronically with the application form and fee.

Hard copy applications should be sent to The Registrar,
National University of Ireland, 49 Merrion Square, Dublin D02V583.
- 2.2 The purpose of the commentary is to give the applicant the opportunity to identify links between publications, to highlight the coherence of the body of research and present him or herself as an authority of international standing in the field in question. The commentary may be the same as that provided for the *prima facie* stage or may be updated or edited as appropriate.
- 2.3 It is not expected that a candidate should provide multiple confirmatory statements for every article. Candidates should submit statements from co-authors/collaborators, where possible, where the candidate has made a significant contribution (lead/senior author) to the paper. What is expected in respect of any paper where the candidate is not the sole author but has made a significant contribution (lead/senior author) is a confirmatory statement from a collaborator who is in a position to confirm this.)
- 2.4 It is recommended that rather than presenting the entire corpus of their published work, applicants should present a selection of their most significant and influential publications, generally not exceeding 120,000 words.

2.5 *Submitting soft-bound applications*

- (i) Submissions consisting of articles only

Where the application consists solely of published work in the form of articles in peer-reviewed journals, these are to be bound in a single volume.

- (ii) Submissions consisting of articles and books

Where the application comprises articles and books, the articles are to be bound, as indicated above, and the books included separately.

- (iii) Submissions consisting of books only

Where the application consists entirely of books, the three sets of copies should each be presented in a box file, with a covering folder including

- ▶ a title page, (as indicated below)
- ▶ the list of the books
- ▶ the commentary on the work.

2.6 *Submitting applications electronically*

One copy of each of the above. Before submitting the application, the candidate is required to let NUI know (email to registrar@nui.ie) the email address intended for use in connection with the file transfer. This address will be registered on the NUI File Transfer Service and the candidate will receive confirmation when the service is ready to accept the application.

Detailed information on submitting electronically by file transfer will be provided.

3 Format of hard-bound copy to be submitted after the degree is awarded

(a) Contents

The hard-bound copy comprises items (i), (ii) and (iv) and (v) of the list on page 14.

(b) Binding

The copy is to be bound within boards in a colour of the applicant's choice. The binding should be of a fixed kind in which leaves are permanently secured. The boards should have sufficient rigidity to support the weight of the work when standing upon a shelf. The format is the same as for soft-bound submissions (**see 2.4 page 18**).

(c) Front Cover

The front cover should be in raised gold and show

- ▶ The full name of the author, followed, if desired, by any qualifications and distinctions
- ▶ The wording 'Application for the Higher Doctorate Degree of (title) of the National University of Ireland'
- ▶ The month and year of award
- ▶ If the submission consists of more than one volume, the volume number should appear on front cover.

(d) Title Page

The title page should show

- ▶ The full name of the author, followed, if desired, by any qualifications and distinctions
- ▶ The wording 'Application for the Higher Doctorate Degree of (title) of the National University of Ireland'
- ▶ The month and year of award
- ▶ If the submission consists of more than one volume, the volume number should appear on front cover.

(e) Spine

The Spine should be in raised gold and show

- ▶ The full name of the author (without qualifications)
- ▶ The abbreviation of the qualification being applied for (e.g. DSc, DLitt)
- ▶ Year of award.

(f) Print format and Bibliography

- ▶ Preference is for line and a half-spacing.
- ▶ Pages can be single-sided or two-sided
- ▶ Any conventional academic referencing system appropriate to the particular submission will be acceptable.

Where the submission includes books, no further copy is required.





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