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University

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REGULATIONS FOR TAUGHT DOCTORATES

Cardiff Metropolitan University Regulations for Taught Doctorates

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Format, Binding and Submission of Theses

These Regulations govern the award of Taught Doctorate degrees at Cardiff Metropolitan University.

1. Criteria for the Award

- 1.1 The degree of Doctor may be awarded in recognition of the successful completion of an approved programme of directed study, together with successful completion of further study and research, the results of which are judged to constitute an original contribution to learning and to give evidence of:
- (i) the creation and interpretation of new knowledge, through original research, of a quality to satisfy peer review, extend the forefront of the discipline and merit publication;
 - (ii) a systematic acquisition and understanding of a substantial body of knowledge which is at the forefront of an academic discipline or area of professional practice;
 - (iii) an ability to relate the results of such study to the general body of knowledge in the discipline;
 - (iv) the general ability to conceptualise, design and implement a project for the generation of new knowledge, applications or understanding at the forefront of the discipline, and to adjust the project design in the light of unforeseen problems;
 - (v) a detailed understanding of applicable techniques for research and advanced academic enquiry.
- 1.2 In judging the merit of a thesis submitted in candidature for the degree of Doctor, the examiners shall bear in mind the standard and scope of work which it is reasonable to expect a capable and diligent student to present after the period of registered study.
- 1.3 The degree of Doctor may not be conferred *honoris causa* under these regulations.

2. Structure

- 2.1 A Taught Doctorate programme shall comprise 540 credits at Level 7 or Level 8 subject to the following constraints:
- (i) a maximum of 120 credits at Level 7;
 - (ii) a minimum of 420 credits at Level 8.
- The Level 8 credits will consist of a minimum of 120 taught credits with the balance of the credits made-up of credits from a thesis component.
- 2.2 Candidates in possession of a relevant Master's degree may be exempt from the 120 credits at level 7.

3. Entry Requirements

- 3.1 An applicant for admission to a Postgraduate Research Programme of Study shall be required:
- (i) to meet the conditions of the University General Entrance Requirement; and
 - (ii) to meet the particular requirements for the Programme of Study applied for, as specified in the relevant Programme Regulations.
- 3.2 Irrespective of a candidate's qualifications, the School concerned must satisfy itself that a candidate is of the required academic standard to complete the programme of research proposed. This includes consideration of any Master's dissertation previously completed by the candidate.
- 3.3 Where applicable, the School must also satisfy itself that the candidate is engaged in an appropriate level of professional activity that provides them with a current and relevant professional context necessary for completion of the programme.
- 3.4 The decision as to whether an applicant shall be admitted to the programme of research proposed shall rest with the relevant Dean of School, in accordance with the University's entry requirements.
- 3.5 An applicant may be granted exemption from the above Level 7 study when he or she holds a Master's degree of an approved University obtained by research or advanced study which included a 20 credit research methods module, and which, in the judgment of the Research Degrees Committee, provided sufficient academic background to permit the completion of the Taught Doctorate.
- 3.6 An applicant may be granted exemption from the above Level 8 study when he or she can provide the Research Degrees Committee with satisfactory evidence, equivalent to 2.1 (ii), above that he or she has sufficient relevant expertise, experience or qualification for the purposes of completing the Taught Doctorate.
- 3.7 Claims for RP(E)L shall be assessed by the School's Professional Doctorate Committee following counselling of the applicant by a member of the proposed supervisory team.

4. Verification of Qualifications

- 4.1 An individual verification of the academic or other qualifications obtained prior to entry must be undertaken, either during the admission process or following enrolment as a student. As part of this verification, applicants/students may be required to provide certification to verify their academic qualifications. The University reserves the right to refuse admission or apply the Student Disciplinary Procedure if clear and complete certification for such verification is not provided on request.

5. Modes of Study

- 5.1 A candidate may qualify for a taught Doctorate degree from Cardiff Metropolitan University by full or part time mode of study. In exceptional circumstances, a student may be enrolled as external – full details are given in the Code of Practice.

6. Required Periods of Study

- 6.1 The required periods of study for candidates pursuing Taught Doctorate degrees of Cardiff Metropolitan University are given below with reference to the methods of candidature identified in paragraph 5 above. Appropriate adjustments may be considered for candidates who, by application to the Research Degrees Committee, change candidature mode.

<i>Mode of Study</i>	<i>maximum for thesis submission</i>
Full-time	5 years
Part-time	9 years

Where a candidate in possession of a relevant Master's degree is exempt from the 120 credits at Level 7, the 'maximum for thesis submission' above shall be reduced by 1 year (full-time mode) or by 2 years (part-time mode).

Where a candidate is in possession of a relevant Master's degree, has 120 credits at level 7 and has the relevant 120 level 8 credits (or equivalent), is exempt from both the 120 credits at Level 7 and Level 8, the 'maximum time limit for thesis submission' above shall be reduced by 2 years (full-time mode) or by 4 years (part-time mode).

- 6.2 The required periods of study do not include periods when study has been suspended in accordance with paragraph 6.4 below.
- 6.3 Maximum enrolment periods may only be exceeded in exceptional circumstances at the discretion of the Research Degrees Committee on the request of the Programme Director.
- 6.4 Suspension of Studies

A candidate may apply for the study period to be suspended where exceptional circumstances prevent satisfactory progress. The Research Degrees Committee may approve periods of suspension of up to one year. Where a candidate who has been granted a period of suspension applies for a further period of suspension the Research Degrees Committee will only grant the further period of suspension if it is satisfied that the exceptional circumstances are likely to be sufficiently resolved before the end of the further period of suspension for the candidate to complete the research programme without further application for suspension. Periods of suspension

will be until the next appropriate enrolment point. Periods of suspension do not count in the calculation of maximum periods of study.

7. Programme Director and Supervisors

- 7.1 Each Taught Doctorate programme shall be overseen by a Programme Director who has an appropriate level of qualification and expertise in the relevant subject area.
- 7.2 Each candidate must have not fewer than two supervisors approved by the Research Degrees Committee. One of the supervisors must have overall responsibility for the work of the supervising team and at least one member of the supervising team must be a member of the academic staff with a contract equivalent to at least 0.4 of a full-time post.
- 7.3 The members of the supervisory team taken together must have experience of supervising at least 2 research degrees to successful completion, at least one at the level of the award sought, as well as such other expertise as is required to complete the supervisory duties of the team.
- 7.4 Individuals with specialist expertise relevant to the research project may be appointed to the team as advisors.

8. Assessment

- 8.1 A candidate for a taught Doctorate degree shall follow a programme of directed study including periods of approved professional and/or clinical practice and training, together with a programme of research for the duration prescribed, and subsequently will be required to present himself/herself for examination.
- 8.2 The examination of the programme of directed study shall comprise assessments of an advanced character in fields of study prescribed by the Programme Regulations. These examinations shall include evaluation of the professional/clinical practice and training and may take the form of unseen written examination papers or set projects or other forms of course assessment.
- 8.3 There shall be an Examining Board for the programme of directed study.
- 8.4 The pass mark for assessed work shall be 50%. All components of assessment for all modules must be passed.
- 8.5 A candidate who fails an assessment on the programme of directed study may, at the discretion of the Examining Board, re-present himself/herself for assessment on two further occasions only. A re-examination fee shall be payable for re-examination.
- 8.6 A candidate who is permitted to be re-assessed in any form of coursework assessment shall, at the discretion of the Examining Board, be permitted either to re-submit modified versions of his/her original work, or to submit for assessment a new work on different topics from those which originally failed to satisfy the examiners.

- 8.7 The examination of the programme of research shall take the form of a thesis, embodying the methods and results of a research project and submitted in accordance with the provisions below.
- 8.8 The thesis shall be examined in accordance with the provisions below.
- 8.9 Both parts of the examination must be passed in order to qualify for the award of a Taught Doctorate. A candidate may not submit the research component of the award unless and until the taught component has been completed successfully.

9. Annual Monitoring Reports

- 9.1 Candidates and supervisors must submit joint annual reports to the Research Degrees Committee prior to re-enrolment.

Candidates will report on:

- identifying the adequacy of facilities and the supervision received and giving notice of any problems encountered;
- providing a reflection of progress made.

Supervisors will report on:

- notifying achievements such as publications/presentations emanating from the project.

Candidates are encouraged at any time to inform the Research Degrees Committee of issues affecting satisfactory progress by submitting a candidate report form.

10. Submission and Examination of Thesis

- 10.1 The programme shall be completed by the presentation of a thesis embodying the methods and results of the research.
- 10.2 Candidates shall sign a declaration to certify that the work submitted has not been accepted in substance for any degree or award, and is not being submitted concurrently in candidature for any degree or other award. The signed declaration shall be included in all copies of the works submitted for examination.
- 10.3 Every candidate's research shall be completed by the presentation of a thesis which embodies the methods and results of the research. A properly constituted Examining Board is required to conduct an oral examination of a candidate for a Taught Doctorate who submits a thesis for examination. This requirement might, however, be waived at the discretion of the Examining Board, when an examination of a re-submitted thesis and portfolio is being conducted.

- 10.4 Both thesis examination and oral examination must be passed in order to qualify for the degree
- 10.5 The form of submission and examination of the thesis and portfolio shall conform with the University's 'Regulations for the Submission and Examination of Research Theses', attached as an appendix to these Regulations.

11. Examination Board for the Thesis

- 11.1 The function of the Examination Board is to ascertain that the thesis submitted for the award is at the appropriate standard for the award and that the thesis and portfolio is the work of the candidate.
- 11.2 Except as provided below, an Examination Board must be comprised as follows:

Chair & Convenor
Internal Examiner
External Examiner

In the case of a full-time member of staff the Examination Board composition must be:

Chair & Convenor
External Examiner
External Examiner

The Chair and Convenor must be the Dean of the School in which the candidate is enrolled or the Dean's nominee.

- 11.3 The Examination Board must be approved by Research Degrees Committee.
- 11.4 A candidate's supervisor must not be appointed internal examiner although the supervisor may with the prior consent of the candidate be invited to attend the oral examination.
- 11.5 Where, in exceptional circumstances, it proves impossible to appoint an internal examiner from within the University, the Vice-Chancellor may, on the recommendation of the Research Degrees Committee, appoint a second external examiner nominated by that Board in lieu of an internal examiner.
- 11.6 The external examiner must be aware of the nature and purpose of the degree for which the candidate is being examined and must possess specialist knowledge and expertise in the area of the research project as well as experience in examining research degrees.

12. The Oral Examination

- 12.1 The University expects the oral examination to be held normally within 6 weeks of the submission of the thesis.
- 12.2 In exceptional circumstances only, the oral examination may be deferred for a period not exceeding twelve months from the date of submission of the thesis.
- 12.3 Before the examiners shall independently assess the thesis and each prepare a written report on their reading of the work, and submit these to the Chair of the Examination Board before the oral examination.
- 12.4 A candidate's supervisor(s) shall have the right to convey to the Chair of the Examination Board any concerns relevant to the candidate's research project, the resulting thesis or its examination which the supervisor(s) consider(s) the Board should take into account prior to reaching its decision. The supervisor(s) shall convey these concerns, in writing, as soon as practicable after the presentation of the thesis. The Examination Board shall be asked to consider the statements(s) prior to reaching its decision.

13. Recommendations for Award

- 13.1 Following the oral examination the Examination Board is required to provide a report on the examination and to make one of the following recommendations:
 - (i) **that the candidate be approved for the doctoral degree sought.**
 - (ii) **that the candidate be approved for the doctoral degree sought subject to the satisfactory completion of such minor corrections and amendments** as may be required by the Examining Board. Corrections and amendments shall be completed within a period to be decided by the Examining Board, but normally within twelve working weeks from the date of official notification to the candidate of the outcome of the Examining Board. The Examining Board may stipulate that the corrections made shall be scrutinised by either or both of the examiners prior to the award process being initiated
 - (iii)* **that the candidate be not approved for the doctoral degree sought but be allowed to modify the thesis and portfolio and re-submit it for the doctoral degree on payment of a re-submission fee.** A candidate may be allowed a single opportunity to re-submit the work. The re-submission should take place within a period not exceeding two years.
 - (iv) **that the candidate be not approved for the doctoral degree sought but be approved instead for the award of an appropriate Master's degree specified for the programme of study (e.g. M Prof Prac), provided that the submitted work fulfils the requirements for the degree, subject to completion of such minor corrections as may be required by the Examining Board.** Corrections should be completed normally within a period of four working weeks. The Board may stipulate

that the corrections shall be scrutinised by either/both examiner(s) prior to the award process being initiated.

(v)* **that the candidate be not approved for the doctoral degree sought, but be allowed to modify the thesis and portfolio and re-submit it for the award of an appropriate Master's degree specified for the programme of study (e.g. M Prof Prac) on payment of the examination fee.** A candidate may be allowed a single opportunity to re-submit the work. The re-submission should take place within a period not exceeding one year.

(vi) **that the candidate be not approved for the award of a degree.**

*Options (iii) and (v) are not applicable when a re-submitted thesis is being examined.

13.2 All recommendations from the Examination Board are subject to approval by the Research Degrees Committee.

14. Disagreement between Examiners

14.1 In the event of a dispute between the examiners as to the result of the examination, the *Examiners' Formal Recommendation on the Outcome of the Examination* should not be signed, but instead the Chair should notify Registry Services and the candidate. Registry Services will issue guidance and report forms for use by arbitrating external examiners.

14.2 University's *Procedure for Appointment of an Arbitrating External Examiner* is applicable in all such cases:

15. Appeals Procedures

15.1 For the directed study, appeals against decisions of Examination Boards or requests for verification shall be conducted in accordance with the University's Verification Procedure (Examination Boards) or Appeals Procedure (Examination Boards).

15.2 Appeals against the decisions of the Examination Board for the Thesis shall be conducted in accordance with the University's Appeals Procedure (Postgraduate Research Degree).

15.3 All Appeals are to be administered by Cardiff Metropolitan University's Registry Services.

16. Appeals Against Decisions of the Research Degrees Committee

16.1 A candidate for a Taught Doctorate may appeal against a decision of the Research Degrees Committee where the Committee has:

- (i) not accepted a research proposal for enrolment purposes or not accepted the proposal at the anticipated level;
 - (ii) recommended that enrolment should be terminated following receipt of an unsatisfactory monitoring report and/or repeated non-compliance with the requirements of monitoring.
- 16.2 The candidate may appeal against the decision to reject a research degree proposal if the decision is based on entrance requirements or project specification.
- 16.3 To appeal against a decision under paragraph 16.1 (i) above the candidate must write to the University's Registry Services (Ref: Appeals) detailing the grounds of appeal in full. Such appeal is to be made within two months of notification by the Committee of the decision against which the candidate wishes to appeal. Registry Services is to arrange for written independent opinion external to the University which in the case of project specification will be an expert in the field from another higher education establishment. The results of such enquiry are to be final and must be notified by Registry Services directly to the candidate and the Chair of the Research Degrees Committee and is to be final.
- 16.4 To appeal against the termination of enrolment under paragraph 16.1 (ii) above the candidate must write to the University's Registry Services (Ref: Appeals) detailing the grounds of appeal in full. Such appeal is to be made within two weeks of notification by the Committee of the decision against which the candidate wishes to appeal. Upon receipt of the case for appeal, Registry Services must conduct an appropriate investigation and thereafter refer the case to a member of the Vice-Chancellor's Board for decision. The decision must be communicated by Registry Services to the candidate and to the Chair of the Research Degrees Committee and is to be final.
- 16.5 Appeals under paragraph 16 shall normally be determined within three months of receipt of the notice of appeal.

Appendix

Format, Binding and Submission of Theses

1. Format of the Thesis

- 1.1 A candidate's research for a Taught Doctorate is to be completed by the presentation of a thesis embodying the methods and results of the research.
- 1.2 The thesis is to be written in English, except where the candidate has been given permission at enrolment to submit the thesis in the Welsh language, in which case the thesis may be written in Welsh. Brief quotations in foreign languages are permitted.
- 1.3 The length of the Taught Doctorate thesis must be appropriate to the subject area covered, and should normally be approximately 60,000 words; it is not to exceed 80,000 words.

A thesis of greater length than stated above may be submitted only with the approval of the Research Degrees Committee. A request to exceed the specified maximum must be made to the Research Degrees Committee well in advance of the notification of submission of the thesis.

- 1.4 There is no specification for the internal format of the thesis, but the structure should be discussed with the supervisors and is to be the structure most appropriate to the subject area. Examiners will expect a thesis to be well presented with a consistent system of indexing and referencing throughout the work.
- 1.5 All copies of theses, whether for the purpose of examination or for deposit in libraries, must be presented in permanent and legible form in typescript or print and the characters employed in the main text (but not necessarily in illustrations, maps etc) shall be not less than 12pt; characters employed in all other texts, notes, footnotes, etc, shall be not less than 10pt. Typing must be capable of photographic reproduction and of even quality with clear black characters. Double or one-and-a-half spacing is to be used in the main text and single spacing is to be used in the summary and in any indented quotations and footnotes.
- 1.6 Drawings and sketches must be in black ink; unnecessary details are to be omitted and the scale is to be such that the minimum space between lines is not less than 1mm. Colour graphics for charts, diagrams etc and colour photographs may be used, but candidates must in all cases ensure that material is capable of being photocopied and microfilmed. Copies produced by xerographic or comparable permanent processes are acceptable. Theses are to be produced on A4 paper (297mm x 210mm) of good quality and sufficient opacity for normal reading.
- 1.7 The minimum widths of margins are to be:

Inside margin 40mm
Top and outside margin 15mm

Bottom margin 20mm

Pages are to be numbered consecutively. A contents list and table of illustrations (if any) must be provided.

1.8 The thesis must contain within its binding:

- (i) an abstract not exceeding three hundred words to be located at the front of the thesis;
- (ii) a statement, signed by the candidate, showing to what extent the work submitted is the result of the candidate's own investigation;
- (iii) a declaration, signed by the candidate, certifying that the work has not already been accepted in substance for any degree and is not being concurrently submitted in candidature for any degree;
- (iv) a signed statement regarding the availability of the thesis (see paragraph 1.11 below).

1.9 The thesis must carry on its title page:

- (i) the author's full name and degrees;
- (ii) the title;
- (iii) the degree for which it is offered and the name of the Awarding Body;
- (iv) the discipline or disciplines to which it pertains;
- (v) the date of submission;
- (vi) the names of the Programme Director and Supervisor(s);
- (vii) the name(s) of any collaborating establishment;
- (viii) a statement that the research was undertaken under the auspices of Cardiff Metropolitan University.

1.10 Candidates may submit material not bound with the thesis or a portfolio of other work if such material constitutes the most appropriate method of presenting the information concerned. Such material could include diagrams, maps and similar documents, or other material such as audio or video recordings, slides, films, etc. A list of such separate items is to be provided in the thesis. In addition, the portfolio may include the candidate's PDP and materials from other advanced modules completed.

Any material of this type is to be enclosed in a container suitable for storage on a library shelf and bearing the same information as that required on the spine of the thesis (see paragraph 2.2 below), so placed as to be readily legible when the container is in its stored position.

1.11 A thesis submitted for a research degree shall normally be openly available and subject to no security or restriction of access. The Research Degrees Committee, however, may place a bar on photocopying and/or access to a thesis for a specified period of up to five years. Wherever applicable, the candidate's Programme Director is to make an application regarding photocopying and/or access to the thesis to the Research Degrees Committee before or at the time of enrolment of the candidate's research project.

On submission of the thesis, a candidate is to be required to sign a statement indicating:

- (i) that the thesis, if successful, may be made available for inter-library loan or photocopying (subject to the law of copyright), and that the title and summary may be available to outside organisations;
- or
- (ii) that the thesis, if successful, may be made so available after the expiry of a bar on photocopying and /or access.

The title and summary of the thesis are normally freely available.

2. Binding of the Thesis

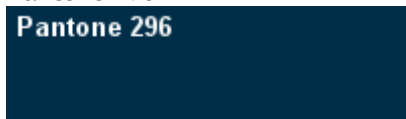
- 2.1 A candidate submitting a higher degrees thesis for examination may submit the thesis in temporary binding. After examination all copies of the thesis for library storage must be permanently bound.
- 2.2 Temporary binding will enable the candidate to complete any corrections required by examiners without having to unbind and then rebuild the thesis. For examination, all copies must have the leaves securely fixed within a folder or binder or by a spine (i.e. fixed so that the pages remain secure in the covers when the volume is opened fully). Folders that release the pages when opened or loose pages submitted in a wallet folder are not acceptable.

A thesis that is temporarily bound must be sufficiently secure to withstand transit. It must bear on the spine, in a form that cannot easily be erased or detached, the candidate's name, the name of the Cardiff Metropolitan University and the degree for which he/she is a candidate.

- 2.3 Following a successful examination and/or the satisfactory completion of revisions to the thesis, the thesis must be permanently bound for library deposition. Permanent binding requires that the thesis is sewn with thread and bound in a fixed binding of boards with cloth, or in full cloth, in the manner of a hardback book. The boards shall have sufficient rigidity to support the weight of the work when it is standing upon a shelf.

For Cardiff Metropolitan University degrees, the boards shall be in the corporate colour below:

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In the case of all works which are to be deposited in libraries, the permanently bound volumes shall bear on the spine the surname and initials of the candidate, the full or abbreviated title of the work, the name of the degree for which it was submitted and the date of submission. This information shall be

printed along the spine in such a way as to be readable when the volume is lying flat with the front cover uppermost. If the work consists of more than one volume the spine shall also bear the number of each volume.

The same information shall appear on the front cover of the thesis.

Lettering on the spine and front cover shall be embossed and in gold.

3. Submission of the Thesis

3.1 Within the enrolment period the candidate must submit to Registry Services:

- three copies of the thesis, whether in temporary or permanent binding, and any separate material;
- four copies of the abstract referred to in paragraph 1.9 above transcribed onto the requisite form; candidates should seek advice from Registry Services on the precise number of copies of the thesis, separate material and abstract required;
- a signed statement regarding the availability of the thesis;
- two completed 'Notice of Candidature' forms, copies of which are available from Registry Services;
- a certificate provided by the University to show that all obligations including payment of all fees and monies due have been paid.

3.2 A candidate may not amend, add to, or delete from the thesis after it has been submitted and prior to examination save, in exceptional circumstances, with the consent of the Research Degrees Committee.