

GUIDANCE FOR PHD *BY* AND *WITH* PUBLICATION IN THE EDUCATION FACULTY

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1. The PhD by/with publication is not a new model of PhD, neither internationally, nationally nor at Rhodes University. The South African Higher Education Qualifications Sub-Framework of 2013, for example, describes how a doctoral candidate “may also present peer-reviewed academic articles and papers ... in partial fulfilment of the requirements” (HEQSF, 2013, p. 40). At Rhodes University, a PhD by/with publication is an acceptable model of PhD. This is explained in the Higher Degrees Guide:
A PhD thesis cannot be merely a collection of published papers. Where published papers and other materials are included in the thesis there should be integrating material of a nature that ensures that one coherent document is submitted for examination that meets all the requirements of the PhD as stated above (Rhodes University, Higher Degrees Guide, p. 3)
2. The benefits to including publications within the PhD are multiple. This route to the PhD supports scholars in developing other forms of literacy, it provides immediate access to the disciplinary community, it provides quality indicators during the PhD process, it assists novice academics in building a CV, it ensures better dissemination of knowledge and it ensures contribution to the field, especially in cases where the field is one of constant change. The literature provides many other benefits.
3. This must be a properly designed PhD project which produces a coherent thesis and makes an original contribution at the boundaries of the field of Education. It is not simply a collection of papers that happen to address the same object of study. The project must have a coherence of theoretical position and there should be clear methodological development, and the study should overall adhere to the quality criteria for the particular type of study design.
4. As is the case with all PhDs, the representation of the final thesis should be as creative as it needs to be to ensure it meets its demands.
5. This is NOT a model of publications submitted in lieu of a PhD thesis – which would amount to ‘double-dipping’ where subsidy for the articles are then doubled through subsidy for the PhD. Instead it must meet the HEQSF (2013) requirement that publications submitted in the PhD are only ‘in partial fulfilment of the research requirement’. The PhD by/with publication is MORE than the sum of the publications included.
6. There are a variety of models of PhD with publication – where scholars write a metanarrative indicating how the various articles contribute to the field, or where scholars write a reflective evaluation of the papers, or where students write a full thesis with appendices of publications and so on.

There is a need to distinguish between a PhD *with* publication, where a thesis may include a publication/publications as part of the process towards a full thesis.

Another form of PhD *with* publication is where the thesis is a reflective analysis of a number of publications written prior to the PhD project.

Then there is the PhD *by* publication where the PhD contains a number of publications within its core but does not only comprise those publications. Overall, the publications with the meta-reflection produce the doctoral knowledge.

7. In the case where the model is PhD *by* publication, there should be at least four publications of which three should normally have been submitted to accredited journals and two should have been accepted for publication (in press or already published) with at least two of these normally submitted to internationally accredited journals.
8. While all of the papers can be sole-authored, at least one of them should be sole-authored.
9. Co-authorship is thus permissible but the PhD scholar must be the main author and must lead the paper in:
 - a. the initial idea,
 - b. the logic of reasoning,
 - c. the data collection/material generation,
 - d. the analysis
 - e. and the manuscript production.

The scholar must include a clear indication of what aspects each co-author was responsible for and what percentage they undertook (as per the NRF requirements). In the case where three of the publications are co-authored, there is a lower limit of 70% input by the PhD scholar in all five categories above.

10. The student is expected to submit a proposal fulfilling all the usual processes and requirements. The student should explain in this proposal which articles are planned to be co-authored.
11. Whether a PhD *by* publication or *with* publication, the full document sent to the examiner should be of approximately the same length as a traditional PhD thesis. The examiners should be given clear guidance on the examination of the PhD *with* or *by* publication in the examination process.