

FEBE GUIDELINES ON THESES IN ARTICLE FORMAT

1. PREAMBLE

These guidelines are based on the “UJ GUIDELINES ON THESES OR DISSERTATIONS IN ARTICLE OR ESSAY FORMAT”. They are guided by UJ Academic Regulations and by the UJ Higher Degrees and Postgraduate Studies Policy. A thesis by collection of articles consists of a collection of a number of pieces of work which (a) may exhibit some degree of independence or stand-alone viability, while (b) contributing to a central theme, and (c) are presented as a coherent whole in one volume, with introductory, conclusory and connective material as necessary. The format as a collection of articles alters the mode of presentation but not the academic standard of the submission. This mode of presentation does not affect requirements concerning word count, original contribution, or any other academically significant feature of the dissertation or thesis. There are specific risks involved with doing a thesis as a collection of articles and therefore this option is recommended for top performing academic students and experienced supervisors.

2. PURPOSE OF THE GUIDELINES

The purpose of these guidelines is to provide a framework for theses in article format conducted in the Faculty of Engineering and the Built Environment. It is expected that individual schools/departments will develop more detailed requirements as is relevant in a specific discipline.

3. SCOPE OF THE GUIDELINES

The guidelines apply to theses by doctoral candidates presented as a collection of articles.

4. GUIDELINES

4.1 REGISTRATION

The registered title for the research should be based on the central theme of the collection of articles.

4.1.1 Approval for a student to register for an article based thesis will be done on the recommendation of supervisor/s as per all registration policies and regulations in consultation with the Head of Department and will require endorsement from the Faculty Higher Degrees Committee (FHDC). This should be done when the student initially registers for the degree or within first nine (9) months of registration.

4.1.2 Changes in the route followed by the student from article based to traditional route or vice-versa will require Supervisor, Head of Department and Head of School support and endorsement by the FHDC.

4.2 RESEARCH PROPOSAL

A research proposal should be developed for this option and should follow the standard procedures as required by the university and by specific faculties and departments.

4.3 PUBLICATION REQUIREMENTS

Due to the possible long lead times associated with publication of articles, the publication of the articles submitted in a collection of articles may not necessarily be a prerequisite. All articles presented should, however, be publication ready and comply with the requirements of specific, identified, recognised journals. The specific requirements for journals that are acceptable should be specified. In FEBE, students will be required to publish journal articles that will be approved by the supervisor(s) as meeting the standards and requirements of a journal article. They will be required to have published the journal articles or accepted for publication. In this case:

- 4.3.1 Only ISI, IBSS, Scopus and Norwegian listed journal articles will be recognised. Articles in specialised international conferences will be recognised only as additional items if the minimum journal publication requirements are not met. Book chapters and essays are not acceptable for this purpose. Author(s) of articles must carry the UJ affiliation.
- 4.3.2 For a thesis to be accepted for submission and examination, a minimum of three (3) ISI/IBSS/Scopus/Norwegian-listed journal articles must be accepted or published, is required.
- 4.3.3 A minimum of three (3) accepted or published journal articles is required for a thesis. In exceptional cases, an international peer-reviewed specialised conference article can be considered with motivation from the supervisor.
- 4.3.4 Supervisors will be responsible for assessing the quality and suitability of the journal manuscripts or the listed ISI/IBSS/Scopus/Norwegian -listed journals in which the articles are published. When publications are done, candidates are required to obtain approval for submission to journals from the supervisor to ensure that there is no disagreement about journal eligibility later.
- 4.3.5 The student must be the first or principal author in all journal articles or manuscripts comprising the thesis and the supervisor/co-supervisors must be co-authors.
- 4.3.6 Co-authorship with authors other than the supervisor can be allowed to encourage collaboration and team work, however, a declaration by the supervisor should be provided together with the thesis highlighting the contribution of the student in the journal article or manuscript. Where prior publication has included co-authorship, the declaration must include either a clear statement that the portion included in the submission is the student's own contribution, or where that is not possible a clear indication of the nature and extent of contribution by other co-authors, so that examiners can exclude this contribution from their assessment.
- 4.3.7 Previously published articles (i.e. articles generated by the student before being formally registered for the degree) may be accepted as long as they were co-authored with the supervisor within the previous 5 years prior to registration, and should not constitute more than 50% of the work submitted for examination.

The majority of the work should be generated after registration. Where there is an intention to submit articles prior to registration as part of the thesis, this should be clearly indicated and specified in the proposal. The evaluation of the proposal according to processes within faculties should include a decision on whether such articles will be admissible. In FEBE, the decision to include previously published articles should be declared to the Head of Department, Head of School and to the FHDC by the supervisor when the student registers for the degree. The FHDC will be responsible for approving such submissions.

- 4.3.8 Acknowledgement of prior publication of any material is to be done. Where articles are submitted for publication prior to examination of the thesis, the student and supervisor should agree with the journal or inform the journal that they retain partial copyright of the article to allow for the inclusion of such articles in the student's thesis. A copyright release letter from the editors or publishers of journals in which the papers were published authorising the inclusion of such articles in a thesis should accompany the thesis submission in cases where the copyright does not rest with the authors. By default, the student's thesis will be published through the institutional repository (UJ Digispace).
- 4.3.9 Articles that form an article-based thesis will be in accordance with the UJ Guidelines on Authorship: Research Output.
- 4.3.10 Published articles must be submitted to the institutional repository (UJ Digispace).

4.6 CONTENTS OF SUBMISSION AND FORMATING REQUIREMENTS

There is no specific requirement on the length of the thesis as emphasis will be placed more on quality than length. The length of individual articles should be determined by the journal requirements for each article. Generally the length for a thesis can be between 25000 and 80000 words. **The articles must be appended to the thesis as published or accepted.** Editing the articles at each chapter's beginning and end to integrate them into thesis in order to ensure coherence is also acceptable. The Introductory chapter must show coherence by explaining the line of argument elaborated in the articles presented in the thesis. The introduction and conclusion of the submission is important and should present the overarching argument of the submission. The main purpose of the introduction would be to introduce the overall theme of the thesis and the research questions to be investigated in the articles, thus also setting out the structure of the thesis. It should also contain cross-cutting issues that relate to all the articles.

The chapters (articles) need not follow a linear narrative format in which each chapter follows from the previous. Instead, the chapters would be self-contained contributions, which are linked thematically. The articles should thus have a common theme, even if this theme is broader than that in a traditional thesis. A theme is much wider than a research question, and each article would typically have its own research question. In some cases, the articles would each explore different issues that are broadly related to that theme. There can be bridging sections, between the articles, to make the thesis a coherent document. The articles could also employ different methodologies and could be of different natures, e.g. one theoretical, one econometric and one using a different type of empirical methodology. The conclusion would be brief, and could summarise the key findings of the articles, highlight the contributions to the literature,

and may for example also draw attention to overall policy implications, recommendations or to avenues for further research in the area.

When a collection of articles is submitted, the literature survey element of the total submission may not meet the requirements of a thesis or dissertation. In such a case it may be a requirement to produce a separate chapter that is a literature review or to present a literature review as one of the articles. The structure of a thesis could be as follows:

Title page

Acknowledgements (optional)

Declaration, including

Statement of original work

Abstract

Table of contents, including a list of tables and figures

Introduction

Literature Review (optional)

Essay 1/Article 1

Essay 2/Article 2

Essay 3/Article 3

Essay 4/Article 4 (the number can vary)

Conclusions

Bibliography or reference list

Annexure(s), if any.

4.7 SUBMISSION OF THE THESIS FOR EXAMINATION

The supervisor of a thesis presented as a collection of articles or essays should include a clear declaration regarding the independence of the students work, indicating, clearly, the student's contribution in co-authored journal articles or manuscripts.

The submission and examination of an article based thesis will be in accordance with the UJ Higher Degrees and Postgraduate Studies Policy (HDPS Policy). Supervisors should ensure that the manuscript or publication requirements as per Faculty Guidelines are adhered to before approving submission for examination.

In the case of manuscripts, the assessment criteria should include evaluating if the submitted documents comply with the academic standards and directives of the selected journals.