

Annual Submission of Research Outputs to the Department of Higher Education and Training (DHET)

Publications are annually submitted online to:

- Collate the Annual Research Report (copies found at <http://www.ru.ac.za/research/research/annualresearchreports>)
- Collate the submission of Rhodes University's (RU) potentially subsidised research outputs to DHET.

Collation of the subsidy earning publications is a vital process that has direct influence on the amount of funding the university receives from the government.

The purpose of the DHET policy is to encourage research productivity by rewarding academic research outputs at public higher education institutes. However, the policy is not intended to measure **all outputs**, but to enhance productivity by recognising certain types of research output produced by higher education institutions.

As a rule, (DHET Policy Guidelines, Higher Education Act, 1997 {Act No. 101 Of 1997}) research output emanating from commissioned research or contracts paid by contracting organizations will **not** be subsidised by DHET.

Commissioned Research is that which is funded and or paid by an external organization, such as World Health Organisation, UNESCO, World Bank, NGO etc. This includes reports / annual reviews completed for such organizations, and also for organizations such as the CHE etc.

Research output is defined, as textual output where research is understood as original, systematic investigation undertaken in order to gain knowledge and understanding. Peer evaluation of the research is a **fundamental prerequisite** of all recognised output.

All n-1 (for example if in year 2014, n-1 means 2013) research outputs must be loaded on the website. Research outputs for n-2 not previously submitted may be considered for subsidy. However, when submitting the hard copies to the research office (for n-2 publications) a reason for the late claim must accompany the hard copy of the publication. This will be countersigned by the DVC: Research & Development or Director of Research. This is an audit requirement.

The Online Data Capture for all research outputs is completed at:

<https://dmuapps.ru.ac.za/ws/research>

Abbreviated guidelines for subsidy earning publications

(Extracted from Department of Higher Education & Training {DHET} Communiqué)

There are three (3) available categories that are eligible for subsidy from DHET:

1. Articles in DHET accredited journals
2. Peer-reviewed books/chapters in books
3. Peer-reviewed published conference proceedings

1. Subsidy earning journal articles

Journals refer to peer-reviewed periodical publications devoted to disseminating original research and new developments within specific disciplines, sub-disciplines or field of study. These include original articles, research letters, research papers, and review articles. However, only DHET approved journals are subsidized.

The contents page of the journal will help you identify whether the publication is classified as research.

The following types of articles appearing in journals are **not** subsidized:

- a) Correspondence to the editors
- b) Abstracts or extended abstracts
- c) Obituaries
- d) Book reviews
- e) News articles
- f) Advertorials

Only journals appearing in the following DHET-accredited lists are recognized for subsidy:

- a) The ISI **Web of Science** database and **not** the Master list
 - **Arts & Humanities**
<http://science.thomsonreuters.com/cgi-bin/jrnlst/jloptions.cgi?PC=H>
 - **Science Citation Index Expanded**
<http://science.thomsonreuters.com/cgi-bin/jrnlst/jloptions.cgi?PC=D>
 - **Social Science Index**
<http://science.thomsonreuters.com/cgi-bin/jrnlst/jloptions.cgi?PC=SS>
- b) The International Bibliography of Social Sciences (IBSS) <http://www.proquest.com/products-services/ibss-set-c.html>
- c) Scopus <https://www.elsevier.com/solutions/scopus/content> (then click on ▷Scopus Source List)
- d) SciELO SA http://www.scielo.org.za/scielo.php?script=sci_alphabetic&lng=en
- e) Norwegian List
- f) SA DHET accredited List

Download, to the 2016 DHET Accredited list (all above indices), is available at
[DHET Accredited Journal Lists 2016](#)

Submission of Hard copies to the Research Office

Please provide the following:

- A photocopy of the article, containing the following: name of journal, volume, year of publication, title of the article, page numbers, name(s) of author(s) and proof of author affiliation to RU.
- If the journal name does not appear on the published article in question, please submit a copy of the cover page, together with index page of the article. Hand written information is not acceptable.
- If in doubt as to whether the publication is research based, please provide the contents page of the journal together with the claiming publication.

2. Books

DHET establishes for each reporting year an evaluation panel of senior professionals (DVC's/Deans of Research and other professionals) from the higher education community, to evaluate all books submitted by institutions.

Two important aspects to note relating to submission of books and chapters in books:

1. Each publication must be accompanied by a detailed statement from the publisher, describing the full process of peer-review (**prior**) to the book being published. DHET does not take generic statements of peer review from publishers.
2. Whole books must be submitted, even when claiming for a chapter in book

DHET's criteria for subsidizing books:

- The purpose of the book must be to disseminate **original research** and **new developments** within specific disciplines, sub-disciplines, or field of study
- The book must be peer-reviewed as a research output. Supporting evidence of the publisher's peer review process is required. Where the evidence of Peer Review for a book publication

comes from the editor please request additional peer review process from the publisher. DHET policy is that the peer review process be rigorous and blind.

- The book must have an International Serial Book Number (ISBN)
- The length of the book must be a minimum of 60 pages, excluding references, bibliography, appendices
- The target audience of the book must be specialists in the relevant field
- In the event that the book is published in a language other than English, the author must submit a summary of the entire book in English (minimum of one page). Similarly, any supporting evidence or documentation must also be provided in English

Books not subsidized

- Dissertation and Theses
- Text books, manuals and study guides
- Inaugural speeches
- Reports forming part of a contract research
- Works of fiction
- Translations
- Documents on case studies
- Book reviews
- Dictionaries
- Encyclopedia
- Autobiographies
- 2nd, 3rd, etc. editions, unless new research is included. A **detailed motivation**, indicating that there is substantial new research, must be provided when claiming for later editions

3. Peer Reviewed Proceedings

Definition

Proceedings refer to a published record of a conference, congress, symposium or other meeting whose purpose is to disseminate original research and new developments within specific disciplines, sub-disciplines or field of study. Only proceedings that meet specified criteria are subsidised.

Criteria

- (a) The purpose of the proceedings must be to disseminate original research and new developments within specific disciplines, sub-disciplines or field of study.
- (b) Articles accepted for publication in the proceedings must be peer-reviewed and published in full.
- (c) The proceedings must have an ISBN.
- (d) The target audience of the proceedings must be specialists in the relevant field.
- (e) In the event that the proceeding is published in a language other than English, the author must submit an abstract of the proceeding in English. Similarly, any supporting evidence or documentation must also be provided in English.

For qualifying submissions please provide

- Photocopies of the full publication
- Copies of the front and back cover of the proceeding book
- Evidence of the ISBN of the proceedings
- Table of contents of the proceedings and not the conference
- Evidence of affiliation to the institution
- Evidence of peer review process prior to accepting the paper for inclusion in the published proceedings (the evidence should come from the publisher, the conference organizer or the editors).
- DHET will not accept publications where the authors have edited / peer reviewed the publication.

Rhodes University Subsidy Earning Publication Cycle

