

## 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 (2015; Vol 188) 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 recognizing 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 subsidized by DHET.

**Commissioned Research** is that which is funded and or paid by an external organization, such as World Health Organization, 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 recognized output.

**Peer Review** is understood to be the pre-publication refereeing or evaluation of complete manuscripts by independent experts in the field in order to ensure quality and determine whether manuscripts are publishable or not.

All n-1 (for example if in year 2017, n-1 means 2016) 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)

**Currently the following categories are eligible for subsidy from DHET:**

1. Journal articles in DHET accredited Journals
2. Scholarly peer reviewed books and chapters
3. Published peer reviewed 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.

**Important:** Only articles that have been **actually published** including on-line open access publications will be considered for subsidy. **Accepted articles for publication** will **not** be recognized.

These include:

- a) Original articles
- b) Research letters
- c) Research papers, and
- d) 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) Keynote Addresses
- d) Obituaries
- e) Book reviews
- f) News articles
- g) Advertorials

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

(You may apply for journals to be included to any of the indices).

- 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.scopus.com/sources?sortField=metric&metricName=RP&sortDirection=DESC&navTo=ALL&offset=1&displayAll=true&sortPerformedState=f&origin=sbrowse&sortDirectionMOne=&sortDirectionMTwo=&metricDisplayIndex=1&typeFilter=j&subscriptionFilter=s\\_u&openAccessDisplay=&tabName=browseSourceTab&subjectArea=](https://www.scopus.com/sources?sortField=metric&metricName=RP&sortDirection=DESC&navTo=ALL&offset=1&displayAll=true&sortPerformedState=f&origin=sbrowse&sortDirectionMOne=&sortDirectionMTwo=&metricDisplayIndex=1&typeFilter=j&subscriptionFilter=s_u&openAccessDisplay=&tabName=browseSourceTab&subjectArea=) (filter by Journal Type)
- d) **SciELO SA** [http://www.scielo.org.za/scielo.php?script=sci\\_alphabetic&lng=en](http://www.scielo.org.za/scielo.php?script=sci_alphabetic&lng=en)
- e) **Norwegian List**  
[https://dbh.nsd.uib.no/publiseringskanaler/Forside?request\\_locale=en](https://dbh.nsd.uib.no/publiseringskanaler/Forside?request_locale=en)
- f) **SA DHET accredited List**  
**The guide for inclusion**  
[Guidelines for inclusion of journals to the DHET accredited lists](#)

The list of accredited journals is available on the Research Office web site.

[DHET accredited journal lists for publication](#)

#### **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 scholarly books submitted by institutions.

### Scholarly Books are defined as follows:

- a) An **extensive and in-depth scholarly** treatment of a topic by one of more scholars, largely comprising significant and **original (own) research**, embedded in relevant literature
- b) An **extensive and in-depth scholarly exposition** by one or more scholars of the available literature on a topic, from a position of demonstrable authority, which makes a significant conceptual or empirical synthesis that advances scholarship;
- a) A **collected work**, assembled by one or more (usually many) scholars in a field or group of related fields, which, as a planned group of individually peer-reviewed chapters by appropriately qualified authors, generates a new conceptual synthesis that advances scholarship; and
- a) A **collective work**, assembled by one or more (usually many) scholars in a number of related fields, in which the individual authors have noted and reviewed each other's chapters and adapted their contributions to generate a new conceptual synthesis that significantly advances scholarship.

### 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:

- a) The purpose of the book must be to disseminate **original research** and **new developments** within specific disciplines, sub-disciplines, or field of study
- b) 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
- c) The book must have an International Serial Book Number (ISBN)
- d) Books published on-line must have an e-ISBN
- e) The length of the book must be a minimum of 60 pages, excluding references, bibliography, index and appendices, this being above the minimum norm of 49 pages proposed by UNESCO definition of a book
- f) The target audience of the book must be specialists in the relevant field
- g) In the event that the book is published in a language other than English, the author must submit a brief summary of the entire book in English (minimum of one page). Similarly, any supporting evidence or documentation must also be provided in English
- h) In the case of second or later editions being submitted for subsidy, clear evidence of new research must be provided. It is necessary that at least 50% of the publication being claimed must be new research. A statement from the institutions evaluation committee is required for every claim.

### **Books not subsidized**

- a) Dissertation and Theses.
  - Dissertations and Theses that have been converted into books must be clearly identified as such and there must be substantial evidence of substantial re-working and additional research carried out.
  - Evidence of >50% reworking of the thesis must be provided with every claim.
  - Evidence of peer review (not supervisors' report) for such publications is a requirement.
- b) Text books, professional hand books and study guides
- c) Reference books, Dictionaries and Encyclopedias
- d) Speeches of any type and nature
- e) Reports forming part of a contract research and other commissioned work
- f) Works of fiction
- g) Introduction and conclusions (unless the entire book, as a unit, is being submitted for subsidy claim).

### **3. Peer Reviewed Proceedings**

#### **Definition**

Proceedings refer to a published record of a conference, congress, symposium or other meeting where the purpose was to discuss and 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) Complete articles (not abstracts) accepted for publication in the proceedings must be peer-reviewed prior to publication (evidence must be provided)
- (c) The proceedings must have an International Standard Book or Serial No. (ISBN or e-ISSN)
- (d) More than 60% of contribution published in the conference proceedings being submitted for subsidy claim must emanate from multiple institutions
- (e) The conference must have an editorial board and/or organizing committee with a significant majority of members beyond a single institution, which is reflective of expertise in the relevant subject area
- (f) 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.

Where proceedings are published in an approved journal, the output will be treated as a journal.

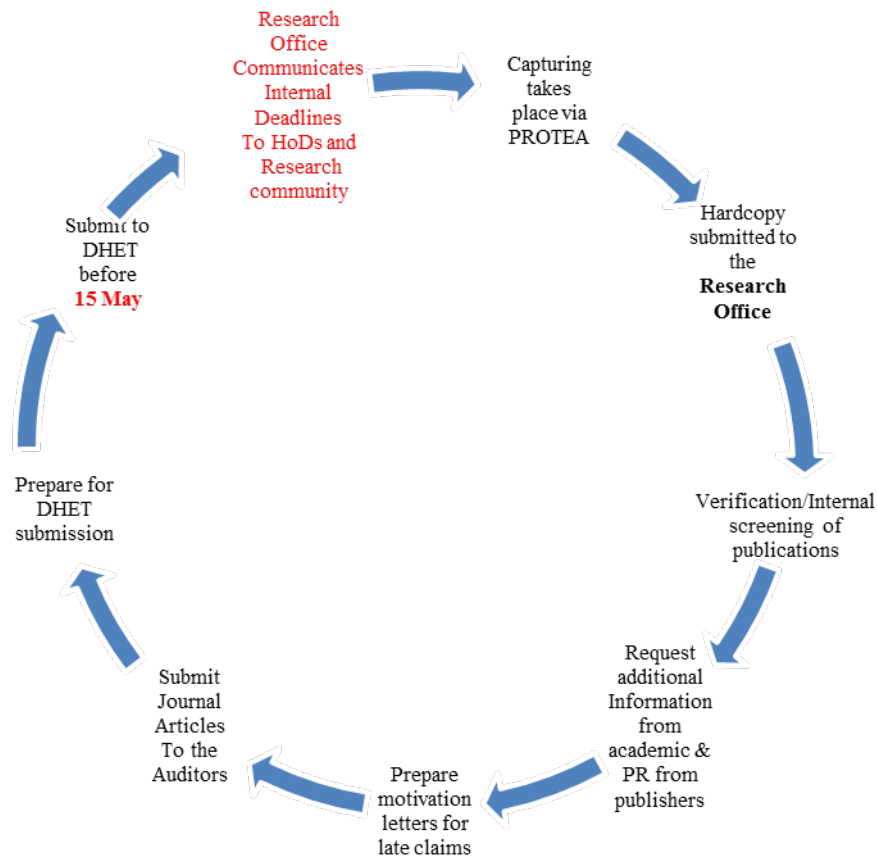
Conference Proceedings published in non-accredited journals, as special issues, will **not** be subsidized.

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

- a) Correspondence to editors
- b) Abstracts or extended abstracts

- c) Obituaries
- d) Book reviews
- e) News articles
- f) Advertorials
- g) Previously published material
- h) Keynote addresses and invited papers, and
- i) Those published as “work in Progress Papers”, Brief Communications and Technical Notes.

### Rhodes University Subsidy Earning Publication Cycle



#### References:

Government Gazette Vol. 597 No. 38552 (March 2015)