
GOVERNMENT NOTICE

DEPARTMENT OF HIGHER EDUCATION AND TRAINING**No. 188****11 March 2015*****RESEARCH OUTPUTS POLICY, 2015***

I, Bonginkosi Emmanuel Nzimande, Minister of Higher Education and Training, hereby publish the Research Outputs Policy (2015) for implementation from 1 January 2016. The Research Outputs Policy (2015) replaces the *Policy for Measurement of Research Outputs of Public Higher Education Institutions (2003)*. The policy is available on the website of the Department of Higher Education and Training, www.dhet.gov.za, and may also be obtained by contacting the University Policy and Development Support Directorate on 012 312 5253.



Dr BE Nzimande, MP
Minister of Higher Education and Training

Date: 28/01/2015



higher education & training

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA

RESEARCH OUTPUTS POLICY

2015

TABLE OF CONTENTS

1. Introduction	3
2. Policy Framework.....	3
3. Basic Principles	5
4. Ethics.....	6
5. Journals	7
Inclusion of Journal Titles on the Approved lists	8
Reporting Procedures	11
Guidelines for the Auditors.....	12
6. Books.....	12
Reporting Procedures	14
Peer Review and Research Explanation.....	15
7. Published Conference Proceedings	17
Inclusion of Conference Proceedings on approved lists	19
Reporting Procedures	20
Guidelines for the Auditors.....	20
Peer Review	22
8. General Processes and Procedures for the Submissions and Evaluation.....	22
9. Correspondence	24

1. Introduction

This document, titled *Research Outputs Policy (2015)*, outlines the criteria for the measurement and evaluation of research outputs of public higher education institutions (HEIs).

The Research Outputs Policy (2015) replaces the *Policy for Measurement of Research Outputs of Public Higher Education Institutions (2003)*, in its entirety.

In line with the *White Paper 3, a Programme for the Transformation of Higher Education (1997)* and the *White Paper for Post-School Education and Training (2013)* which outlines a “single co-ordinated higher education system” and “building an expanded, effective and integrated post-school system”, respectively; this policy applies to all public higher education institutions.

2. Policy Framework

- 2.1. The development of this policy was driven by the imperatives for transformation of the higher education system contained in *White Paper 3, a Programme for the Transformation of Higher Education (1997)*, the *National Plan for Higher Education (2001)* and the *White Paper for Post-School Education and Training (2013)*.

As part of the strategic objective envisioned by the *National Plan for Higher Education*, this policy aims “to sustain current research strengths and to promote the kinds of research and other knowledge outputs required to meet national development needs” (Strategic Objective: Section 5, *National Plan for Higher Education*).

Section 4.4 of the *White Paper for Post-School Education and Training (2013)* states that “the focus of policy must be on growing research and innovation, improving the quality of research, ensuring coherence of the policy frameworks guiding these areas across the higher education and research communities and strengthening particular areas identified as important for national development”.

- 2.2. The purpose of this policy is to encourage research productivity by rewarding quality research output at public higher education institutions. The policy is not intended to measure all output, but to enhance productivity by recognising the major types of research output produced by higher education institutions and further use appropriate proxies to determine the quality of such output.
- 2.3. As a general rule, research output emanating from commissioned research or contracts paid by contracting organisations will not be subsidised by the Department.
- 2.4. For the purpose of this policy, research output is defined as textual output where research is understood as original, systematic investigation undertaken in order to gain new knowledge and understanding. Peer review of the research is a fundamental prerequisite of all recognised outputs and is the mechanism of ensuring and thus enhancing quality.

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. Additional proxies to determine quality, such as bibliometric data, discipline specific panels of experts and post-publication reviews may in future be utilised by the Department.

- 2.5. The policy takes into consideration the changing modes of disseminating research and research output, such as electronic publications, and outlines processes and procedures that are appropriate to the purpose and commensurate with best

practices. Research outputs published electronically may be recognised if the publications meet the specified criteria outlined in this policy.

- 2.6. For the purposes of subsidy, the policy recognises research in journals, books and published conference proceedings which meet the specified criteria outlined in this policy. The focus of subsidy is on ‘scholarly publishing’ which refers to publications by scholars (academics and experts) for a niche market consisting mainly of academics and researchers (not normally students).
- 2.7. The policy does not support differentiation within types of output, for instance, all journal outputs receive the same level of subsidy irrespective of whether they are published internationally or locally. In future, however, the Department may consider introduction of such measures as ‘high’ or ‘low’ impact journals; citation indexes or other relevant and appropriate quality measurements after due and extensive consultative process with the sector.
- 2.8. Higher education institutions may only claim once for each subsidisable research output. Institutions must claim the outputs of the preceding year (n-1) in the current reporting year (n).

3. Basic Principles

- 3.1. This policy serves as a tool for the distribution of research subsidy to public higher education institutions in South Africa. The Department subsidises institutions and not individual authors or academics. Institutions should be cautious of directly incentivising individual authors as this practice is promoting perverse behaviour in some cases.
- 3.2. The subsidy for research output follows the institutional affiliation of the authors, therefore, assumes that this is where research was carried out. The claiming institution accrues full subsidy if all the authors are affiliated to it. In the case where

authors are affiliated with two or more public higher education institutions, the subsidy is shared between the claiming institutions. This principle does not take regard of the order of authorship or proportions of their contributions in the publication being claimed for subsidy.

- 3.3. Affiliated authors are defined as academic or research staff and research students. The contact address reflected on the research output publication of such authors must be the address of the claiming institution as opposed to private address. If the publication does not make reference to the affiliation of the claiming author or institution, a letter from Human Resources Department of the claiming institution, endorsed by the DVC or Executive Director of Research is required. In the case where such author has since left the institution for another or elsewhere, the letter should state this fact prior the claim. The claiming institution should have clarified and settled the issue of legitimate claimant with the new institution/employer of the author.
- 3.4. In the case of visiting scholars or fellows and retired academics from the claiming institution, a letter from the DVC/Executive Director of Research confirming that the individual's affiliation to the institution (at the time the research was conducted), should be attached.
- 3.5. The Department does not subsidise all research outputs, but only publications in the form of approved books; recognised accredited journal articles and approved published conference proceedings.

4. Research Integrity

- 4.1 This policy aims to support and encourage scholarship. Institutions and academics must remember the importance of research integrity when submitting their claims and are urged to focus on quality research and not maximum accrual of subsidy funds.

- 4.2 The integrity of scholarship should also be taken into consideration when recycling previously published work and dividing research outcomes between articles.
- 4.3 Similarly, when moving between institutions, author affiliation should reflect the institution where research was conducted, supported and funded.
- 4.4 Moreover, when submitting claims, institutions must ensure that the correct number of units is claimed.
- 4.5 The Department may consider punitive measures (such as the docking of units) against an institution which persistently makes incorrect claims that compromise the integrity of scholarship or research. Such punitive measures shall be applied fairly and the process of introduction of such punitive measures shall be made transparent as will the process of arriving at punitive measures.
- 4.6 Institutions may consider establishing a Research Integrity Committee, which could be a Senate Committee that would primarily ensure institutional compliance with respect to such aspects as the conduct of researchers.

5. Journals

- 5.1 Journals refer to peer reviewed periodical publications devoted to the dissemination of original research and new developments within specific disciplines, sub-disciplines or fields of study. These include original articles, research letters, research papers and review articles. Journals must have a peer review policy.
- 5.2 Only articles published in **approved scholarly journals** are subsidised. The Department will determine, in consultation with the sector, which lists of accredited journals and indices are approved in terms of this policy. The Department will issue, on or before **31 January** each year, updated official lists of journals for each reporting year. In order to ensure stability of the system, approved lists will not change drastically from year to year or in a way that would cause confusion.
- 5.3 Institutions should safeguard against predatory journals whose main purpose is financial gain rather than the quality of research.

- 5.4 New lists or indices and new journals in the lists or indices cannot be approved retrospectively.
- 5.5 Only complete, peer reviewed articles in journals are accepted for subsidy. The following types of articles are not subsidised:**
- (a) Correspondence to the editors
 - (b) Abstracts or extended abstracts
 - (c) Keynote Addresses
 - (d) Obituaries
 - (e) Book reviews
 - (f) News articles
 - (g) Advertorials
- 5.6 Only articles that have been actually published and not those that have been only accepted for publication will be recognised.
- 5.7 A research article published in an approved journal will be subsidised as a single unit (**1 unit**), if all the authors are affiliated to the claiming institution. In the case where authors are affiliated with two or more institutions, the subsidy is shared between the claiming institutions. Authors who are not affiliated to a South African public university cannot claim subsidy (see also 3.2 above).

Inclusion of South African Journal Titles on the Approved DHET list

- 5.8 The Department of Higher Education and Training maintains a list of **South African journals** that meet the criteria set out in this policy. **South African** journals not appearing on the approved lists of journals, but meet the policy's minimum criteria, can apply for accreditation. All South African journals currently not listed in any international index are encouraged to seek inclusion in such indexes and meet the

stringent criteria for high quality international journals. SA journals which do not achieve inclusion in any of these indexes and which continue to meet the criteria for accreditation to a separate list of South African journals remain in the latter list.

5.9 Editors-in-chief of the journals are responsible for applying to have their journals included on approved lists. The Department only administers the List of accredited South African Journals and does not administer the process for inclusion of journals onto the other approved indices (locally or internationally).

5.10 South African journals which, in the opinion of the editor, comply with the following criteria may apply to the Department for inclusion in the List of accredited South African Journals:

- (a) The purpose of the journal must be to disseminate research results and the content must support high level learning, teaching and research in the relevant subject area;
- (b) Articles accepted for publication in the journal must be peer reviewed;
- (c) At least 75% of contributions published in the journal must emanate from multiple institutions;
- (d) The journal must have an International Standard Serial Number (ISSN);
- (e) The journal must be published at the frequency it is intended to be published, e.g. quarterly, biannually, annually or biennially;
- (f) The journal must have an editorial board, with more than two-thirds of the editorial board members beyond a single institution, and which is reflective of expertise in the relevant subject area;
- (g) The journal must be distributed beyond a single institution; and
- (h) Journals must include English abstracts if their language of publication is not English.

5.11 When applying for inclusion in the Approved List of South African Journals, the following information, must be submitted to the Department by **15 June** for the journal to be considered for inclusion effective the following calendar year:

- (a) Title, including translations if not published in English;
- (b) The ISSN of the journal;
- (c) Publisher and the publisher's address and contact details;
- (d) Frequency of publication;
- (e) Evidence that the journal has been published uninterrupted for a minimum of three years as well as the latest three consecutive copies of the journal;
- (f) Editorial policy, including evidence of the peer review process;
- (g) Editorial Board - the status of the members of the editorial board must be stated together with their institutional affiliations;
- (h) In the case of electronic journals, the journal's internet Uniform Resource Locator (URL); and
- (i) Proof of the journal's library holdings and/or downloads for electronic publications.

5.12 The Department will periodically sample journals to assess if they continue to meet the criteria. However, institutions and individuals may submit a proposal for the removal of a journal. Proposals must outline detailed reasons for the removal of such journals, in particular, stating which criteria or criterion of the policy the journal ceases to fulfil. Such proposals may be submitted to the Department at any time as they are reviewed on a continuous basis.

5.13 South African journals no longer fulfilling the above criteria will be removed from the list immediately, following a review process. Removed journals may re-apply for listing after a minimum of two years using the procedure stipulated in this policy. For purposes of transparency, the reasons for removal of journals will be made public.

5.14 Journals that have, for any reason relating to this policy, been removed from the List of South African Journals may re-apply after a minimum of two years using the procedure outlined in this policy.

5.15 A South African journal which has been dropped from an approved list may apply for indexing on the List of accredited South African journals. However, reasons for their removal must be included in the application.

5.16 Editors are encouraged to inform the Department of any change in the information about an approved South African journal. There is no deadline for the submission of such information. Changes to the editor, title, frequency, ISSN or publications format (print/ online) will not impact on the journal's accreditation status.

5.17 Un-accredited journals must not be submitted as any other type of publication.

5.18 The Department encourages the development of local language journals.

Reporting Procedures

5.19 Institutions must submit to the Department, through an interface to the Research Information Management System (RIMS), on or before **15 May** of each reporting year, **audited** subsidy claims for research outputs appearing in approved journals.

5.20 The auditors' report must contain the following information:

- (a) Name of the institution
- (b) The reporting year (n)
- (c) The number of units being claimed for journal outputs, listed separately for **each of the approved lists**, for the preceding year (n-1).
- (d) An audited list of journal articles **each of the approved lists**.
- (e) The total number of units being claimed for the year (n-1), and
- (f) If applicable, the number of units being claimed for journal output for the year n-2, listed separately for each approved list, together with an explanation for the late submission of each article. The explanation must be signed by either the responsible Deputy Vice-Chancellor (DVC), Executive Director or Dean of Research.

5.21 Guidelines for the Auditors

- (a) Institutions may only utilise their registered external auditors to audit their research output.
- (b) The auditors' report must be issued on the auditors' official letterhead and must be addressed to the Director-General of the Department of Higher Education and Training.
- (c) The auditor must express an opinion on the institution's subsidy claim for the research output.
- (d) The auditor must ensure that the calculation and allocation of units is in accordance with the stipulations of this policy.
- (e) Fractions of units must be expressed in decimal form and must be rounded off to the second decimal place, for example 12.45.
- (f) Auditors must ensure that articles have not been claimed previously.

6. Books and Chapters in books

6.1 Books refer to peer reviewed, non-periodical scholarly or research publications disseminating original research and developments within specific disciplines, sub-disciplines or fields of study. Only books that meet specified criteria in this policy may be subsidised. For the purposes of this policy, scholarly books are defined as follows:

- a. An **extensive and in-depth scholarly** treatment of a topic by one or 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;

- c. 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
- d. 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.

6.2 In order to be considered for subsidy, a book must meet the following criteria:

- (a) The purpose of the book must be to disseminate original research and new developments within specific disciplines, sub-disciplines or fields of study;
- (b) The book must be peer reviewed prior to its publication;
- (c) The book must have an International Standard 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 the UNESCO definition of a book;
- (f) The target audience of the book must be specialists in the relevant field.

6.3 The Department acknowledges the important role of the following publications, however, they are not subsidised in terms of this policy;

- (a) Dissertations and theses;
- (b) Text books, professional handbooks and study guides;
- (c) Reference books, Dictionaries and Encyclopaedias;
- (d) Speeches of any type and nature;
- (e) Reports forming part of contract research and other commissioned work;
- (f) Works of fiction;

- (g) Introductions and conclusions (unless the entire book, as a unit, is being submitted for subsidy claim).
- 6.4 A book may be subsidised to a maximum of 10 units based on the number of pages being claimed relative to the total number of pages of the book, where relevant. A guide on unit allocation for book publications is as follows:
- (a) A chapter in a book = 1 unit
 - (b) A book of a minimum of 60 pages but less than 90 pages = 2 units
 - (c) A book of 90 pages and above, but less than 120 pages = 3 units
 - (d) A book of 120 pages and above, but less than 150 pages = 4 units
 - (e) A book of 150 pages and above, but less than 180 pages = 5 units
 - (f) A book of 180 pages and above, but less than 210 pages = 6 units
 - (g) A book of 210 pages and above, but less than 240 pages = 7 units
 - (h) A book of 240 pages and above, but less than 270 pages = 8 units
 - (i) A book of 270 pages and above, but less than 300 pages = 9 units
 - (j) A book of 300 pages and above = 10 units
- 6.5 Where authors are affiliated with two or more institutions, the subsidy is shared among the claiming institutions.

Reporting Procedures

- 6.6 The Department has established a Research Output Evaluation Panel comprising of senior professionals from the higher education community to evaluate all books and conference proceedings submitted by claiming institutions. This independent panel, assisted by field-specific sub-panels, evaluates these publications together with the relevant accompanying information. It is not ruled-out that in future, this reporting procedure or some of its elements may be modified or changed after due and extensive consultative process with the sector.

6.7 Institutions must submit to the Department, on or before **15 May** of each reporting year (n), research output appearing in books for the previous year (n-1). Over and above the information that will be contained in a spreadsheet (its template to be supplied by the Department to all institutions), the electronic submission to the Department must be accompanied by the following:

- (a) A physical copy of the book for the research output to be evaluated;
- (b) The book(s) must be numbered on the spine (*the institution must clearly and sequentially number and label all books. Numbers must be preceded by the letter B, for example B1, B2*);
- (c) Markers must be inserted in books indicating where the following information can be found:
 - evidence of peer review (see sub-section below);
 - research justification (see sub-section below);
 - author affiliation (and evidence thereof if necessary – see 3.3 and 3.4 above);
 - International Standard Book Number (ISBN);
 - publisher;
 - chapter being claimed;
 - name(s) of author(s) of the contribution(s) being claimed; and
- (d) Any other material which may assist with efficiency of the evaluation process.

Peer Review and Research Explanation

6.8 Evidence of the pre-publication peer review process must be provided for every book or chapter submitted for subsidy. The **peer-review evidence must be clear and unambiguous.**

6.9 The Department may develop a list of reputable publishers or make use of other mechanisms and indices to assist with determining quality book publications and in

order to reduce the technical requirements on an institution. Any such mechanisms will be clearly communicated to institutions in advance.

- 6.10 A written justification (maximum 500 words) signed by the author of the book, or the general editor (in the case of an edited book with several chapters from various contributors) explaining the contribution that the book makes to scholarship must be attached to each publication claim. This justification should not be an abstract of the contents or preface of the book, but should, rather, describe the methodology used as well as the unique contribution made to knowledge production. It should be clear that the book or chapter against which subsidy is being claimed disseminates original research and new developments within the specific discipline.
- 6.11 As part of the justification, there must be unequivocal declaration to the fact that no part of the work was plagiarised or published elsewhere. The target audience must be stated. If such information is already provided in the actual publication, a marker or reference to this must be made rather than providing the justification.
- 6.12 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 have not been published previously. A statement from the institution's evaluation committee (referred to in paragraph 8.2(e)), indicating that it checked both the previous and current editions and affirm that at least 50% of the work was not previously published, is required for every claim. At its discretion, the evaluation panel of the Department or the Department may request additional information.
- 6.13 Dissertations and Theses that have been converted into books must be clearly identified as such and there must be evidence of substantial reworking and additional research carried out. A statement from the institution's evaluation committee indicating that it has checked both the original thesis and the published book and that there has been substantial reworking (of more than 50%), is required for every claim.

At its discretion, the Department may request additional information. Proof of peer review (and not supervisors' reports) for such publications is a requirement.

6.14 In the event that a book is published in a language other than English, the institution must submit a one page summary of the output in English. Similarly, any supporting documentation must also be provided in English.

6.15 The minimum contribution from a book that will be considered for evaluation will be a complete division, such as a chapter.

7. **Published Conference Proceedings**

7.1 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 fields of study.

7.2 Only articles published in **approved conference proceedings** are subsidised. Approved conference proceedings are those which appear in approved conference lists or other approved indices or those which meet the criteria laid out in this policy. The Department will determine, in consultation with the sector, which lists or indices of published conference proceedings must be approved. It will issue, on or before **31 January**, updated official lists of proceedings for each of these indices for each reporting year.

7.3 New lists or indices and new proceedings in the lists or indices cannot be approved retrospectively.

7.4 In order to be considered for subsidy, published conference proceedings must meet the following criteria:

- (a) The purpose of the proceedings must be to disseminate original research and new developments within specific disciplines, sub-disciplines or fields of study.
- (b) Complete articles (not abstracts) accepted for publication in the proceedings must be peer reviewed prior to publication and there must be evidence to such.
- (c) The proceedings must have an International Standard Book or Serial Number (ISBN or ISSN).
- (d) Proceedings published on-line must have an e-ISBN or e-ISSN.
- (e) The target audience of the proceedings must be specialists in the relevant field.
- (f) More than 60% of contributions published in the conference proceedings being submitted for a subsidy claim must emanate from multiple institutions;
- (g) The conference must have an editorial board and/or organising committee, with a significant majority of members beyond a single institution, which is reflective of expertise in the relevant subject area;

7.5 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 or otherwise, will not be subsidised.

7.6 The following types of articles appearing in proceedings are not subsidised.

- (a) Correspondence to the 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”, “Short Papers”, “Brief Communications” and “Technical Notes”.

7.7 Articles published in **approved** conference proceedings will be allocated a maximum of **0.5 units**. In the case where authors are affiliated with two or more institutions, the subsidy will be shared between the claiming institutions.

Inclusion of Conference Proceedings on approved lists

7.8 Conference organisers are responsible for applying directly to the holding indices or organisations that established the index to have their conference proceedings included on approved international lists. The Department does not administer the process for inclusion of conference proceedings onto the international indices.

7.9 The Department will establish a list of South African approved conference proceedings. This list will be compiled from data collected by the Department through the normal submission of conference proceedings for subsidy purposes. The Department may request additional information, such as the editorial policy. The Department’s list will only include South African conferences not included in the international lists. The list will be made available on an annual basis together with the international lists.

7.10 The Department may, at its discretion, periodically invite conference organisers to apply for inclusion on the Department’s list. The application process and the information required will be communicated to institutions in advance.

7.11 The Department will periodically sample published conference proceedings to assess if they continue to meet the criteria laid out in this policy. However, institutions and individuals may submit a proposal for the removal of proceedings. Proposals must outline detailed reasons for the removal of such proceedings. Proposals must be submitted to the Department not later than 15 June every year. Conference

proceedings no longer fulfilling the Department's criteria will be removed from the list.

7.12 Conference organisers are encouraged to inform the Department of any change in the information about an approved published conference proceeding.

Reporting Procedures

7.13 Institutions must submit to the Department, on or before **15 May** of each reporting year, **audited** subsidy claims for research outputs appearing in **approved indexed** conference proceedings.

7.14 The auditors' report must contain the following information:

- (a) Name of the institution
- (b) The reporting year (n)
- (c) The number of units being claimed for approved conference proceedings output, listed separately **for each of the approved lists**, for the preceding year (n-1).
- (d) An audited spreadsheet (whose template will be supplied to institutions by the Department) **for each list**.
- (e) The total number of units being claimed for the year (n-1), and
- (f) If applicable, the number of units being claimed for conference proceedings output for the year n-2, listed separately for each approved list, together with an explanation for the late submission of each article. The explanation must be signed by either the responsible Deputy Vice-Chancellor (DVC), Executive Director or Dean of Research.

7.15 Guidelines for the Auditors

- (a) Institutions may only utilise their registered external auditors to audit their research output.

- (b) The auditors' report must be issued on the auditors' official letterhead and must be addressed to the Director-General of the Department of Higher Education and Training.
- (c) The auditor must express an opinion on the institution's subsidy claim for the research output.
- (d) The auditor must ensure that the calculation and allocation of units is in accordance with the stipulations of this policy.
- (e) Fractions of units must be expressed in decimal form and must be rounded off to the second decimal place, for example 12,45.
- (f) Auditors must ensure that articles have not been claimed previously.

7.16 All other published conference proceedings which meet this policy's criteria may be submitted with supporting documentation for evaluation by the Department's research outputs evaluation panel.

7.17 Institutions must submit to the Department, on or before **15 May** of each reporting year (n), research output appearing in conference proceedings for the previous year (n-1). Over and above the information that will be contained in a spreadsheet (to be supplied by the Department to all institutions), the electronic submission to the Department must be accompanied by the following:

- (a) A physical copy of the proceedings to be evaluated;
- (b) The allocated proceedings number on the spine of each proceedings (*the institution must clearly and sequentially number and label all proceedings. Numbers must be preceded by the letter P, for example P1, P2*);
- (c) Markers must be inserted in the proceedings where the following information can be found:
 - evidence of peer review (see sub-section below);
 - International Standard Book Number or Serial Number (ISBN/ ISSN);
 - publisher;
 - title of the contribution being claimed;

- name(s) of author(s) of the contribution(s) of being claimed; and
- (d) Any other material which may assist with efficiency of the evaluation process.

Peer Review

7.18 Evidence of the pre-publication peer review process must be provided for every conference proceeding submitted for subsidy. The peer-review evidence must be clear and unambiguous.

7.19 In the event that a conference proceeding is published in a language other than English, the institution must submit an abstract in English. Similarly, any supporting documentation must also be provided in English.

8. General Processes and Procedures for Evaluation of Submissions

8.1 Institutions must submit their research output annually for the preceding year (n-1) for each reporting year. All claims must be submitted under the signature of the Vice Chancellor, or the Deputy Vice Chancellor of Research or the Dean/Executive Director of Research.

8.2 To enhance the efficacy and efficiency of policy implementation, institutions are required to:

- (a) be fully acquainted with the policy and procedures;
- (b) ensure all information submitted to the Department is accurate;
- (c) submit all documents and information timeously;
- (d) establish an institutional internal evaluation committee for screening of outputs in terms of this policy prior to submission to the Department.
- (e) verify, by assessing peer-review reports, that all their outputs have undergone a rigorous peer-review process prior to submission to the Department.

- (f) ideally, the internal evaluation committee must be chaired by the DVC: Research and should look at issues such as: the peer review process; quality and/or scholarliness of the publication; and address any matters pertaining to research integrity. Independent assessors should be part of the internal evaluation process.
- (g) the submission must be accompanied by a declaration signed by the DVC: Research, confirming that all publications included in the submission went through the internal evaluation committee.

8.3 Books and proceedings without the requisite information and supporting documentation will not be evaluated. Information required by the Department may be updated periodically depending on the Department's requirements. However, this will be communicated to the sector in advance.

8.4 Late submissions of research outputs for the year (n-2) may be considered for evaluation and subsidy provided such submissions are accompanied by credible explanation from the Vice-Chancellor, or Deputy Vice-Chancellor of Research or Dean/ Director of Research stating the reasons for the late submission of each publication. Supporting evidence will be an added advantage.

8.5 Late submissions for years prior to n-2 and /or submissions without an accompanying explanation will not be considered for subsidy.

9. Disclaimer

9.1 This Policy governs the awarding of research output subsidy to institutions and supersedes the list of accredited journal titles that the department sends to institutions annually.

9.2 The approved list of journals serves to support the implementation of the research output policy and therefore researchers have to publish in journals that adhere to the criteria as defined in the Policy.

9.3 The Department reserves the right to withhold or reclaim payment of research output subsidy in respect of any publication published in a journal that does not meet the criteria as outlined in this Policy.

10. Correspondence

Institutions should forward submissions with the relevant documentation for the attention of:

The Director General

Attention: The Director

Universities Policy and Development Support

Department of Higher Education and Training

Physical Address:

123 Francis Baard

Pretoria. 0001

Postal Address:

Private Bag X 174

Pretoria. 0001

Telephone: 012 312 5253

012 312 5446

Facsimile 012 325 4419