



17 November 2016

To: All Deans/Departmental Chairpersons/Heads and Directors

### Annual Survey of 2016-Research Output

1. The annual survey of research output for subsidy purposes is now being compiled for the output year 2016 using the research information system known as Research Administration (RA system) \*. *This system has been open since earlier this year for the capturing of the 2016 research outputs and all RA users were duly informed of this.*
2. The Departmental Chairpersons are politely requested to familiarise themselves with the rules and regulations of the research outputs submitted for subsidy purposes. (See Addendum B for further details.)
3. In conjunction with 2 above, the new regulations of the Department of Higher Education and Training require departmental chairpersons to sign a **checklist** for all the research outputs submitted for subsidy. (See addendum A for further details.) ***It is the responsibility of the departmental chairperson to ensure that all research outputs submitted for subsidy comply with these requirements.*** We cannot guarantee that incomplete information will be followed up on in the future, and incomplete submissions may result in a loss of subsidies for both your department and SU.
4. Please note that the new policy of the DHET applies to the 2016 publications and thereafter. The most important changes are:
  - The additional indices for accredited journals are Scopus, Scielo SA and the Norwegian list
  - The maximum subsidy for a book is increased to 10 subsidy units. A Chapter in Book holds 1 subsidy unit.
  - Additional supporting information for book publication is a written justification by the editor or author. Please see Addendum C for more details
5. All submissions must be thoroughly proofread – information that is reported in the incorrect format will not necessarily be reflected in the Research Report.
6. The closing date for the submission of the 2015 research outputs is **Monday, 6 February 2016**.

\* (RA is a web-based database that provides access for a single contact person in each department/division/centre/bureau. This person is accordingly responsible for capturing the research output of their department/division/centre/bureau.)





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jou kennisvenoot • your knowledge partner

<b>Who to contact for information on:</b>	
<b>General enquiries</b> about research outputs	Daléné Pieterse RW Wilcocks Building, Room 2048 Tel: 021 808 3557 e-mail: mver@sun.ac.za
Use of <b>Research Administration (RA)</b> (Stellenbosch Campus)	Felicia Mc Donald RW Wilcocks Building, Room 2048 Tel: 021 808 2581 e-mail: fmcdonald@sun.ac.za
Use of <b>Research administration (RA)</b> (Tygerberg Campus)  Please note that Nicole is at Tygerberg Campus on Mondays only!	Nicole Walker Room 5009 A, Education Building Tel: 021 938 9092 e-mail: nwalker@sun.ac.za

All faculties (except Faculty of Medicine and Health Sciences) must submit printouts of the completed forms together with all conference proceedings and/ or books to:

Ms Daléne Pieterse,  
Division of Research Development, RW Wilcocks Building, Room 2048

The Faculty of Medicine and Health Sciences must submit printouts of the completed forms together with all conference proceedings and/or books to:

Ms Nicole Walker,  
Room 5009 A, Education Building

Kind regards.

**Dr Therina Theron**  
**Senior Director: Research & Innovation**



## ADDENDUM B: Guidelines for Survey of Research Output

### General

The annual reporting of research outputs is firstly done for purposes of claiming subsidy from the Department of Higher Education and Training (DHET) and secondly for the research report of the university. Abstracts in accredited journals, contributions in popular magazines, blogs, conference abstracts, posters and editorial books will not be included in the research report.

The two categories are as follows (the terminology as used on the RA system is given in brackets):

Categories of research outputs that qualify for subsidy purposes	Categories of research outputs that do not qualify for subsidy (in other words non-subsidised research outputs)
Journal articles in accredited journals ( <i>Journal articles subsidised</i> )	Journal articles in non-accredited journals ( <i>Journal articles non-subsidised</i> )
*Published Proceedings: International conferences ( <i>Proceedings International</i> )	Published Proceedings: International conferences ( <i>Proceedings International</i> ) that do not comply with DHET requirements
*Published Proceedings: National conferences ( <i>Proceedings National</i> )	Published Proceedings: National conferences ( <i>Proceedings National</i> ) that do not comply with DHET requirements
*Books ( <i>Books</i> )	Books ( <i>Books</i> ) that do not comply with DHET requirements
*Chapters in books ( <i>Chapters in books</i> )	Chapters in books ( <i>Chapters in books</i> ) that do not comply with DHET requirements
	Patents registered ( <i>Patents</i> )
	Reports ( <i>Research Reports</i> )
	Creative outputs ( <i>Creative works</i> ) (in the Human and Social Sciences funding is available in this category, but it is done via a separately conducted survey)
	Doctoral dissertations completed ( <i>Doctoral Completed</i> )
	Master's theses completed ( <i>Masters Completed</i> )

#### IMPORTANT NOTICE FOR RA USERS:

\*If a publication in the category conference proceedings and books/ chapters in books are submitted for subsidy, it must be indicated as such on the RA system by marking the tick box “**Subsidy requested**”. If this tick box is not marked, we assume that the publication is only reported for the purposes of the Research Report and that no subsidy claim is submitted.

Please note that, if a publication is submitted for subsidy (ie the “Subsidy requested” box had been marked), all accompanying documentation (as set out below) has to be handed in with the application. No publication can be submitted successfully without the necessary documents.

The new DHET policy re subsidization of research publications is applicable to 2016 publications and thereafter. In summary it firstly entails additional accredited indexes for journal articles and secondly more units to be awarded to books/chapters in books. In the case of the latter however DHET requires additional material to be submitted from the previous policy (see the relevant paragraphs below for more information).

## Annual submission of research outputs to the Department of Higher Education & Training

The Department of Higher Education and Training only awards subsidy to authors that are formally affiliated with the claiming university. Affiliated authors are academic or research personnel, postgraduate students, research fellows or extraordinary appointments or retired personnel. The contact details/affiliation of the author on the publication has to reflect that of the claiming institution.

**Individuals that do not have a permanent appointment at the university and whose contributions are claimed, have to provide a letter of appointment from Human Resources with the relevant publication(s) (exceptions are retired personnel, extraordinary appointments that are reflected in the Annual Calendar as well as postgraduate students whose publications formed part of their studies as registered students at the university).**

Please note that the following criteria in the categories that qualify for subsidy apply to research outputs that are submitted for subsidy purposes only and are therefore not applicable to outputs that are only reported for the purpose of the Research Report.

### Journal articles in accredited journals

Includes original research articles, original research letters and review articles which had undergone peer review prior publication, in an accredited journal.

US authors in the research group, who is not part of the main authors of an accredited journal, cannot claim subsidy for their part.

*Exclusions: editorials, abstracts or extended abstracts, letters to the editor, book reviews, news articles, tributes and reports on conferences and symposia. These exclusions apply even if they were published in an accredited journal.*

The lists of accredited journals can be downloaded from our website in Excel under “Accredited Journals” at

<http://www0.sun.ac.za/research/research-outputs-and-accreditation/accredited-journals.html>

Additionally, direct links to some of these indices can also be found at:

- Thomson Reuters ISI (“Institute for Scientific Information”) citation indices  
SCIENCE CITATION INDEX EXPANDED  
<http://scientific.thomsonreuters.com/cgi-bin/jrnlst/jloptions.cgi?PC=D>  
SOCIAL SCIENCES CITATION INDEX  
<http://scientific.thomsonreuters.com/cgi-bin/jrnlst/jloptions.cgi?PC=SS>  
ARTS & HUMANITIES CITATION INDEX  
<http://scientific.thomsonreuters.com/cgi-bin/jrnlst/jloptions.cgi?PC=H>  
*Please note the following when you are searching for a journal on the Thomson/ISI website: Journals that appear on the Master list are not necessarily accredited; only the ones on the 3 indices of the ISI Web of Science list: Science Citation Index; Social Sciences Citation Index and Arts and Humanities Citation Index*
- IBSS (“International Bibliography of the Social Sciences”)  
<http://www.proquest.com/en-US/catalogs/databases/detail/ibss-set-c.shtml>  
*Please note that all journals on this list are accredited except those marked “Indexed Ceased” or “Process under Review” in the last column of this spreadsheet*
- A list of local journals as maintained by the Department of Higher Education and Training  
[http://www0.sun.ac.za/research/assets/files/Accredited\\_Journals/List\\_of%20Approved\\_South\\_African\\_Journal\\_2015.xlsx](http://www0.sun.ac.za/research/assets/files/Accredited_Journals/List_of%20Approved_South_African_Journal_2015.xlsx)
- Norwegian list  
[https://dbh.nsd.uib.no/publiseringskanaler/KanalTreffliste.action?enkeltSok=&\\_checkbox\\_x\\_bibsys=true&sok.avansert=false&treffliste.tidsskriftTreffside=1&treffliste.forlagTreffside=1&treffliste.vis=true](https://dbh.nsd.uib.no/publiseringskanaler/KanalTreffliste.action?enkeltSok=&_checkbox_x_bibsys=true&sok.avansert=false&treffliste.tidsskriftTreffside=1&treffliste.forlagTreffside=1&treffliste.vis=true)
- ScieLO SA  
[http://www.scielo.org.za/avaliacao/avaliacao\\_en.htm](http://www.scielo.org.za/avaliacao/avaliacao_en.htm)
- Scopus:  
[https://www.elsevier.com/\\_data/assets/excel\\_doc/0015/91122/title\\_list.xlsx](https://www.elsevier.com/_data/assets/excel_doc/0015/91122/title_list.xlsx)

## What information has to accompany the submission?

A copy of the full journal article on which the following information appears and are highlighted, must be handed in.

- Name of the journal
- Year of publication
- Volume and issue number
- Names of authors and their affiliations

Submission of articles from databases like PubMed is not sufficient as they only state the abstract (as opposed to the full article) and not the affiliation of all the authors (in most cases only the affiliation of the first author is stated).

- This survey is only applicable to **2016**-research outputs. Journal articles with 2015 publication dates have to be accompanied by a **written and signed by Departmental head, motivation letter** for the late submission.

Please refer to the next page for an example of the format of data to be provided as well as the correct way to indicate author affiliation.

For future reference, please note that “Stellenbosch University” is the correct version instead of “University of Stellenbosch” when stating your affiliation


Journal of Infection (2016) 72, 60–69

Page Numbers

Accredited Journal Title  
Listed on ISI, Science Citation Expanded and Scopus

Output Year

Volume Number



ELSEVIER

# Cervical HPV natural history among young Western Cape, South African women: The randomized control EVRI Trial



Article Title

Staci L. Sudenga<sup>a</sup>, B. Nelson Torres<sup>a</sup>, Matthys H. Botha<sup>b</sup>, Michele Zeier<sup>c</sup>, Martha E. Abrahamsen<sup>a</sup>, Richard H. Glashoff<sup>d</sup>, Susan Engelbrecht<sup>d</sup>, Maarten F. Schim Van der Loeff<sup>e,f</sup>, Louvina E. Van der Laan<sup>b</sup>, Siegfried Kipping<sup>b</sup>, Douglas Taylor<sup>g</sup>, Anna R. Giuliano<sup>a,\*</sup>

Internal SU Authors

- <sup>a</sup> Center for Infection Research in Cancer, Moffitt Cancer Center, Tampa, FL, USA
- <sup>b</sup> Department of Obstetrics and Gynaecology and Unit for Gynaecological Oncology, Tygerberg Hospital, Stellenbosch University, Cape Town, South Africa
- <sup>c</sup> Department of Medicine and Centre for Infectious Diseases, Stellenbosch University, Cape Town, South Africa
- <sup>d</sup> Division of Medical Virology, Stellenbosch University and NHLS Tygerberg, Cape Town, South Africa
- <sup>e</sup> Department of Infectious Diseases, Public Health Service of Amsterdam, Amsterdam, The Netherlands
- <sup>f</sup> Center for Infection and Immunity Amsterdam (CINIMA), Department of Internal Medicine, Academic Medical Center, Amsterdam, The Netherlands
- <sup>g</sup> FHI 360, Durham, NC, USA

Departmental and Stellenbosch University Affiliation

Accepted 2 October 2015  
Available online 19 October 2015

Please highlight this information on the supporting documentation as such and note the correct way of listing your affiliation for the submission of subsidy to the DHET.



## How to apply for accreditation of a journal?

Only applications for the accreditation of **local** journals are submitted via the Division of Research Development to the Department of Higher Education and Training.

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:

- 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;
- Articles accepted for publication in the journal must be peer reviewed;
- At least 75% of contributions published in the journal must emanate from multiple institutions;
- The journal must have an International Standard Serial Number (ISSN);
- The journal must be published at the frequency it is intended to be published, e.g. quarterly, biannually, annually or biennially;
- 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;
- The journal must be distributed beyond a single institution; and
- Journals must include English abstracts if their language of publication is not English.

If you wish to apply for the accreditation of a local journal, please provide the following information (in hard copy) **before 15 June** each year:

- Title, including translations if not published in English;
- The ISSN of the journal;
- Publisher and the publisher's address and contact details;
- Frequency of publication;
- 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;
- Editorial policy, including evidence of the peer review process;
- Editorial Board - the status of the members of the editorial board must be stated together with their institutional affiliations;
- In the case of electronic journals, the journal's internet Uniform Resource Locator (URL); and
- Proof of the journal's library holdings and/or downloads for electronic publications.

Applications for the accreditation of international journals must be made via the editorial board of the journal to the relevant index. More information on the selection process of each of the indexes can be found at the links below.

- ISI <http://science.thomsonreuters.com/info/journalsubmission/>
- IBSS <http://media2.proquest.com/documents/IBSS+Editorial+Policies+and+Principles.pdf>
- Norwegian List <https://dbh.nsd.uib.no/publiseringskanaler/resources/pdf/2015-03-11-krav-til-forslagdok-nivaa-1.pdf>
- Scopus <https://www.elsevier.com/solutions/scopus/content/content-policy-and-selection>; <http://suggestor.step.scopus.com/suggestTitle/step1.cfm>

## Published Proceedings: International - and National Conferences

Published conference proceedings which are focused on the academic specialist and of which the full length paper had undergone peer review prior publication, can be submitted for subsidy.

Conference proceedings that also appear in accredited journals and that are the final publication of the research results must be entered in the category "Journal articles subsidized. **Please note that subsidy can only be awarded for either the conference contribution or the journal article and not both.**

If you wish to apply for a subsidy for the conference proceedings, please provide the following information (in hard copy):

- Complete copy of the proceedings.  
If the proceeding is only available on CD-Rom, a copy of the CD as well as printouts of the title page, \* index page(s)\*, imprint page with editors\* and claiming contributions\* of the claiming department have to be handed in.
- ISBN\*(only conference proceedings with an ISBN qualify for subsidy)
- A written communication of the detailed peer review process for the contributions\* (if the selection criteria are not stated in the proceedings, documentation in this regard MUST be obtained from the editor). It should also clearly state that the full length paper had been reviewed and not only the abstract.
- This survey is only applicable to **2016**-research outputs\*. Proceedings with 2015 publication dates have to be accompanied by a **written and signed by Departmental head, motivation letter** for the late submission.

\* Paste a post-it flag to indicate the above marked information on the supporting documentation.

## Example of proof of peer review prior publication

**SATNAC 2014 Review Process**

The congress details are listed

**The peer review process was decisive for approval of the paper**

A formal 'Call for Papers' was issued, inviting anyone interested to submit a paper within categories specified by the Organizing Committee. Authors uploaded their papers via web interface onto a database. Papers were assigned to the review panel in the field to judge on the possible acceptance of the submission, based on the scope and depth of the subject matter.

The review process is based on the international de facto standard for blind paper reviews. The review process was undertaken by at least three experienced and well respected individuals. In the blind peer-review process, papers were scrutinized by a panel of South African reviewers, consisting of mainly respected academics, as well as several international experts. The reviewers were asked to provide specific feedback, both positive and negative. This was the only information from the review process disclosed to the authors; all other information was kept confidential.

Reviewers used a 4 point scale to rate the following criteria:

- Originality
- References
- Technical Quality
- Presentation Style

The peer review criteria

**The peer review process takes place independantly by international- and national reviewers**

**To ensure the quality of the**


Reviewers gave an overall rating. This was followed by the reviewer comments, which assists the authors in improving and correcting their papers. Reviewers were asked to be as comprehensive as possible.

The reviewers submitted their scoring and comments via web interface onto the database. The Technical Programme Committee drew reports and aggregated the individual scores. The papers were ranked on their average weighted score. The programme dictated the number of papers that could be accepted. Papers were submitted to an online plagiarism database, before being accepted.

The reviewers' comments were forwarded to the author's, with a request to submit a final revised version. Only those papers of high enough quality as recommended by the respective reviewers are included in the SATNAC 2014 Proceedings as Full Reviewed Papers.

**The manuscript was peer reviewed prior publication**

Two page Work-In-Progress papers were also invited but were not reviewed as rigorously. Several were accepted for oral presentations, while others for poster presentations. The poster session papers do not form part of the official conference proceedings.

  
 Roy Volkwyn  
 Chairperson  
 Technical Programme Committee  
 SATNAC 2014

**Official declaraction by the congress chair**

## Books and Chapters in Books

This category includes books for specialists in the field, i.e. stringently refereed research material of high quality.

### Exclusions

- Books aimed at the general public and/or undergraduate students do not qualify for subsidy.
- Editorial work does not qualify for subsidy.  
Editors whom have chapters in their book cannot be the reviewer as reviewers must be independent from the claiming institution.
- As a rule, introductions and conclusions do not qualify for subsidy. If you are of the opinion that your contribution reflects original research, the author may submit a motivational letter.
- Dissertations, textbooks, study guides for undergraduate students, inaugural speeches, reports on contract research, festschrifts and documentation of case studies, translations and dictionaries do not qualify for subsidy.

If you wish to apply for subsidy for a book/chapter in a book, please provide the following information:

1. Complete copy of the book\*
2. Written justification (see Addendum C for further details) \*
3. Submission of proof of peer review of the book PRIOR to publication\*. According to DHET guidelines, proof of peer review should preferably be obtained from the publishers and not the editors
4. of the publication, and should include as much detail about the peer review process as possible.
  - Independence of peer review is important, hence the questionability of peer review by an editor alone;
  - Peer review by the editor also raises the issue of scholarliness, since it will only be in exceptional cases that an editor will be an expert on all the issues addressed in a publication;
  - The issue of rejectability plays an important role and, if possible, information regarding the rejection rate should be included in the peer review process statement;
  - Scholarliness of a publication will not overrule lack of peer review on the basis of fairness and consistency in judging submissions;

- In the past we have come across statements of peer review where the content had been provided by the authors themselves to the editors/conference organisers and this practice is strongly discouraged. There were cases where the content had been the exact same phrasing for various publications by different publishers and this reflects negatively on the reputation of both the author as well as the publisher.
5. The target audience should be experts in the field and not a broad audience.
  6. This survey is only applicable to **2016**-research outputs\*. Books and chapters in books with 2015 (or older) publication dates have to be accompanied by a **written and signed by the Departmental head motivation letter** for the late submission.
  7. In the event that either the book or chapter in book is published in a language other than English, a summary\* of the output in English with a minimum of one page has to be submitted.
  8. The affiliation of the claiming author is in the publication.
  9. If this is NOT the first edition, hand in a motivation explaining which the new research is and giving the precise page numbers of the new research.

\* Paste a post-it flag to indicate the above marked information on the supporting documentation

Please see Addendum C for more information on the requirements for the submission of books and chapters in books for subsidy to the DHET

## Example of proof of peer review prior publication



The peer review process is set out by the publisher

13 January 2014

Dear Sir/Madam,

The details of the publication is listed

RE

I am writing to confirm that the above book was initially peer reviewed by two academics in the field at proposal stage, and upon completion, each chapter of the manuscript was blind peer reviewed by two experts in the field, after which the three series editors returned their feedback and each contributor made the requested changes to their chapters. The feedback from the reviewers at both stages was considered by our editorial board and contributed to their decision to take the project forward to publication.

Peer review process of the manuscript was independent and decisive for publishing by the series

**Further details:**

Publication date: 25th November 2013.

Stages of review: Proposal and full manuscript stage.

Number of reviewers: **Two reviewers at proposal stage**, affiliated to the institute of Education, University of London, UK, and the University of Oxford, UK. **Two reviewers of each chapter upon completion of the manuscript** with affiliations including Arizona State University, USA; University of North Carolina, USA; Stellenbosch University, South Africa; Rhodes University, South Africa; University of Birmingham, UK.

Please do let me know if you have any other queries.

Yours sincerely,

*Clare Ashworth*

Official letter

Proposal and manuscript were peer reviewed prior publication by independent national and international experts

Clare Ashworth  
Editorial Assistant  
Routledge

Taylor and Francis  
2 Park Square, Milton Park  
Abingdon, Oxon OX14 4RN  
[Clareashworth@tandf.co.uk](mailto:Clareashworth@tandf.co.uk)



### Calculation of subsidy units for each category

Category	Subsidy units allocated by DHET	Subsidy units allocated by SU (for the purpose of the SOS-funds)
Research article	A research article published in an approved journal will be subsidised as a single unit ( <b>1 unit</b> )	Same as DHET
Peer reviewed books & chapters in books	<p>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:</p> <p>A chapter in a book = 1 unit</p> <p>A book of a minimum of 60 pages but less than 90 pages = 2 units</p> <p>A book of 90 pages and above, but less than 120 pages = 3 units</p> <p>A book of 120 pages and above, but less than 150 pages = 4 units</p> <p>A book of 150 pages and above, but less than 180 pages = 5 units</p> <p>A book of 180 pages and above, but less than 210 pages = 6 units</p> <p>A book of 210 pages and above, but less than 240 pages = 7 units</p> <p>A book of 240 pages and above, but less than 270 pages = 8 units</p> <p>A book of 270 pages and above, but less than 300 pages = 9 units</p> <p>A book of 300 pages and above = 10 units</p>	Same as DHET



Published peer reviewed conference proceedings	Proceedings published as part of a peer reviewed non-periodical research output from conferences, congresses, symposia or other meetings where the primary purpose of disseminating research results will be allocated a maximum of one half a unit ( <b>0.5</b> ) if all the authors are affiliated to the claiming institution.	International Proceedings: <b>0.3</b>
		National Proceedings: <b>0.2</b>

**Please note the following applies for all categories: In the case where authors are affiliated with two or more institutions, the subsidy is shared between the claiming institutions.**

## **Other Non-Subsidised Research Outputs**

### **Patent**

Only final patents should be entered here, i.e. provisional patents are excluded.

### **Research Reports**

This category includes research results published in the form of a report.

### **Creative Work**

This category includes literary works, compositions, art exhibitions, music performances, as well as theatre and media productions.

### **Doctoral dissertations & Master theses completed**

Degrees are reported in the department in which the student is enrolled.

## ADDENDUM C

### REQUIREMENTS FOR SUBMISSION OF BOOKS/CHAPTERS IN BOOKS

In compliance with the new policy of the Department of Higher Education & Policy (DHET) on the subsidization of research outputs the following documentation is compulsory when submitting a publication in this category.

A book is eligible for 10 subsidy units and a chapter in a book for 1 subsidy unit.

#### Documentation/Information to be Provided from the Author

1. **Hard copy** of the book.
  - 1.1. In case of e-books, a bound copy of a printout of the **complete** book should be submitted to the research office.
2. 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)
  - 2.1. Explaining the contribution that the book makes to scholarship must be attached to each publication claimed. 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.
  - 2.2. As part of the justification, there must be an unequivocal declaration to the fact that **no part of the work was plagiarised or published elsewhere**.
  - 2.3. The **target audience** must be stated.
    - 2.3.1. If such information is already provided in the actual publication, a marker or reference to this must be made rather than providing it in the justification.
    - 2.3.2. In cases where it is indicated in the publication that the target audience is (pre-graduate) students and/or a wide audience, a motivation should be handed in stating the scholarliness of the work.
3. In the case of **second or later editions** being submitted for subsidy, clear evidence of new research must be provided. The author should submit a detailed statement clearly indicating the new work. The previous version of the publication should also be handed in. It is necessary that at least 50% of the publication being claimed must have not been published previously.
4. **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. The author should submit a detailed statement clearly indicating the new work. The previous version of the publication should also be handed in.
5. 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. In the case of **late submissions**, a formal motivation explaining the reason for the late submission should be handed in. It should be signed by the author/head of department.

### **Documentation /Information to be Provided by Publisher/Editor**

1. Evidence of the **pre-publication** peer review **process** must be provided for every book or chapter submitted for subsidy (*a mere statement that peer review had taken place is not sufficient*). The peer-review evidence must be clear and unambiguous.
  - 1.1. Unless in the case of blind review, the names and affiliations of the reviewers should be mentioned.
  - 1.2. It should also be stated clearly whether peer review had taken place on the whole manuscript or the proposal only.
  - 1.3. If possible, the peer review reports should be provided to support the submission.
  - 1.4. Other post publication reports can be handed *in addition* to the peer review report to strengthen the submission
  - 1.5. Templates or a generic declaration is not suffice (in the past we have received declarations from different publishers using the exact same statement re the peer review process that had been followed).
2. In the case of chapters in books, a justification by the editor should be provided (see point 2 in the previous heading)

### **The Following Types of Publications Do Not Qualify for Subsidy Purposes:**

- Dissertations and theses
- Text books, professional handbooks and study guides
- Reference books, Dictionaries and Encyclopaedias
- Speeches of any type and nature
- Reports forming part of contract research and other commissioned work
- Works of fiction
- Introductions and conclusions (unless the entire book, as a unit, is being submitted for subsidy claim)
- Book reviews
- Second, third and following editions do not qualify for subsidy unless substantial new research has been done and it should be stated as such in a detailed motivation in this regard
- Translations

## ADDENDUM A

### Checklist for submission for subsidy of 2016 research outputs to the Department: Higher Education and Training (DHET)

Highlight or indicate the information requested below on the hard copies of the research outputs which are listed in the subsidy report. See Addendum B for Guidelines

**Department:** \_\_\_\_\_

(Fill in the Name of your Department)

#### Articles in an Accredited Journal

Tick Off (✓) If You Had Included The Following As The Original Or A Very Good Quality Photocopy For Every Article On Your Subsidy Report

✓

1.	You have handed in a <b>hardcopy</b> of the <b>complete article</b> of the <b>final print</b> version.	
2.	The publication date is <b>2016</b> (in case of 2015, see 3 below). No online publications will be accepted.	
3	In cases where the year of publication is 2015, first check that no claim was submitted. If not, hand in a written and signed <b>motivation</b> for late submission in English.  The only acceptable reason for late submissions is when <b>the publication was printed late</b> .	
4.	The <b>name of the journal*</b> , title of the article, <b>volume number*</b> , <b>year of publication*</b> , <b>page numbers*</b> , <b>names of the authors with their affiliation*</b> are on the hardcopy handed in.  <i>Submissions of articles from databases like PubMed is not sufficient as it only state the abstract (as appose to the full article) and not the affiliation of all the authors (in most cases only the affiliation of the first author is stated).</i>	
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2.	The publication date is <b>2016*</b> .  In cases where the year of publication is 2015, <b>first check that no claim was submitted.</b> If not, hand in a written and signed motivation for the late submission in English. The only acceptable reason for late submissions is when <b>the publication was printed late.</b>	
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