

8 December 2022

To: All Deans/Departmental Chairpersons/Heads and Directors

Annual Survey of 2022-Research Publication Output

- 1. The annual survey of 2022 research output publications for subsidy purposes have been underway since earlier this year using the research information system known as Research Administration (RA system) *.
- 2. The Departmental Chairpersons are kindly 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 regulations of the Department of Higher Education and Training (DHET) 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 current DHET policy applies to the 2016 publications and thereafter. The most important changes are:
 - The additional indices for accredited journals are Scopus, Scielo SA, Norwegian list and the DOAJ (Directory of Open Access Journals) for the submission in 2022 and onwards.
 - The maximum subsidy for a book is 10 subsidy units. A chapter in a book is awarded 1 subsidy unit. The subsidy for edited books with more than 10 chapters vary according to the number of chapters.
 - The additional supporting information for book publication i.e., a research justification must be signed by the author (for authored books) and the general editor for chapters in books.

- In an earlier email, the researchers were notified of the DHET request to all institutions to submit electronic copies of the publications and supporting documents where possible. The electronic system is now updated to allow the upload of these electronic publications and supporting documents. The DHET makes an exception for monographs only if it is not printed electronically. Such books and their supporting documents may be submitted in hard copy to the research office.
- 5. All submissions must be thoroughly proofread information that is reported in the incorrect format will not necessarily be reflected in the Research Report.
- The closing date for the submission of the 2022 research outputs is
 Monday 9 January 2023 for the Faculty Medicine & Health Sciences
 Monday 23 January 2023 for all faculties except Faculty Medicine & Health Sciences.

* (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.)



Contact details:		
General enquiries about research outputs	Dalené Pieterse	
& DHET policy	RW Wilcocks Building, Room 2048	
	Tel: 021 808 3557	
	e-mail: mver@sun.ac.za	
Use of Research Administration (RA)	Felicia Mc Donald	
	RW Wilcocks Building, Room 2048	
	Tel: 021 808 2581	
	e-mail: fmcdonald@sun.ac.za	
	Whitney Prins	
Use of Research Administration (RA)	RW Wilcocks Building, Room 2048	
	Tel: 021 808 9971	
	e-mail: whitney@sun.ac.za	

All monographs and supporting documents which are not available as an electronic version should be handed in, in hard copy to Ms Daléne Pieterse or Felicia Mc Donald at the Division of Research Development, Krotoa Building, Room 2048.

Kind regards

Dr Therina Theron

Senior Director: Research & Innovation



Research Publication Outputs

2022

ADDENDUM A: CHECKLIST

Type your entity name

FORMS TO BE SUBMITTED:

The forms listed below, must be completed, signed and either handed in as hard copies at the Research Office, or emailed to Felicia Mc Donald, email address: fmcdonald@sun.ac.za not later than

Monday 9 January 2023 for the Faculty Medicine & Health Sciences

Monday 23 January 2023 for all faculties except Faculty Medicine & Health Sciences

Please complete the table below, indicating the way the forms are send.

Form	Send per email	Send via Internal mail or hand delivered to the Research Office
Annual Research Report Subsidy Report		
Checklist/ Addendum A		

DOCUMENT LIST

The purpose of the checklist is to ensure that all supporting documents of the research outputs submitted for subsidy, are uploaded on the electronic system.

- Complete the relevant categories on the checklist.
- Check and tick the appropriate box if the supporting document for each of the research outputs on the subsidy report for the specific category on the checklist, is uploaded.
- Use the comment block to indicate, if the supporting document for a specific output is still outstanding.

PLEASE NOTE:

THE INFORMATION REQUESTED BELOW, IS <u>COMPULSORY</u> IN ORDER TO ADHERE TO ALL OF THE CRITERIA OF THE DHET, WHEN A PUBLICATION IS SUBMITTED FOR SUBSIDY IN A PARTICULAR CATEGORY.

Example if a conference paper is submitted for subsidy, make sure that all the relevant supporting documents required, is submitted otherwise it will not be considered for subsidy purposes.

Articles in an Accredited Journal

		Your Comments
1.	I uploaded an electronic copy of the complete article of the final print version.	
2.	The name of the journal, title of the article, volume number, year of publication, page numbers, names of the authors with their affiliation are on the PDF(s) uploaded on the RA system.	
3.	The publication date is 2022 (in case of 2021, see 4 below). No ahead of print / early view publications, at the time of submission, is captured.	
4.	In cases where the year of publication is 2021, first check that no claim was submitted previously. If not, capture the 2021 publication with this survey and upload a written and signed motivation stating the reason for the late submission, on the electronic system. The only acceptable reason for late submissions is that the publication was printed late .	
5.	If the author's affiliation with SU does not appear on the article, for staff , a letter from Human Resources, for extra-ordinary appointments a relevant letter of appointment, for postgraduate students a letter from the promotor, confirming the author's appointment with SU for the duration she/he was writing the article, is uploaded on the electronic system.	
6.	The publication is an original research article and has not been published elsewhere. Therefore, the following types of articles are excluded for subsidy, even if it is published in an accredited journal: editorials, abstracts, letters to the editor, case reports, book reviews, news articles, tributes and reports on conferences and symposia.	

^{*}All supporting documentations must be in English

Books / Chapters in books

		Your Comments
1.	I submitted the complete book of the final published version:	
1.1.	For books (monograph), I uploaded an electronic copy of the complete book on the electronic system and or I send a hard copy of the original book to the Research Office if the book is not available online.	
1.2.	For edited books, I uploaded, a complete electronic copy if it does not infringe with the copyright of the book or the relevant parts as listed below, of the book on the electronic system. Front cover; imprint page showing the copyright date, ISBN and publisher; page showing the book title and editors; complete table of content; Foreword/Acknowledgement/Introduction; contributors list, claiming chapter(s); and back cover of the book.	
2.	The publication date is 2022 . In cases where the year of publication is <i>2021</i> , first check that no claim was submitted already . If not, upload a <i>written and signed motivation giving the reason</i> for the late submission. The only acceptable reason for late submissions is that the publication was printed late.	
3.	 A letter from the publisher, setting out the peer review process for the book in as much details as possible, is uploaded on the electronic system. The following must be clearly and unambiguously clarified: 3.1. Peer review has taken place on the whole manuscript and not the proposal only, prior to publication. 3.2. The proof of peer review provides as much as possible details of the process for the book or chapter and is not merely a statement that peer review had taken place. 	

^{*}All supporting documentations must be in English

	 3.3. If the editor(s) of a book, also contributed towards a chapter(s) in the book, the publisher must unambiguously clarify that this contribution(s) was peer reviewed independently and that the editors were not involved in this process and the approval for inclusion of the chapter(s). 3.4. Reviewers must be independent from the claiming institution. Editors cannot be reviewers. 3.5. Templates is not sufficed (in the past we have received declarations from different publishers using the exact same statement regarding the peer review process that had been followed) 	
4.	 A research justification (max 500 words) by the author for books or the editor for the edited books, is uploaded on the electronic system. The justification addresses the following: 4.1 The unique contribution the publication makes to existing knowledge. 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. 4.2 As part of the justification, there should be an unequivocal declaration to the fact that no part of the work was plagiarised or published elsewhere. 4.3 The target audience must be stated. If such information is already provided in the publication, a marker or reference to this must be made rather than providing the justification. 	
5.	Affiliation of the author with SU is indicated in the publication. If the author's affiliation with SU does not appear on the publication, for staff, a letter from Human Resources, for extra-ordinary appointments a relevant letter of appointment, for postgraduate students a letter from the promotor, confirming the author's appointment with SU for the duration she/he was writing the article, is uploaded on the electronic system.	

6.	A minimum one-page summary in English is included if the book/ chapter of a book is published in a language other than English.	
7.	The length of the book is a minimum of 60 pages (excluding references, bibliography & appendices).	
8.	The publication represents original research and has not been claimed previously in another format.	
9.	Books with more than one edition, must be accompanied by the prior electronic edition(s). In the written justification the new work done and that it has been substantially reworked to be considered as new research must be clearly indicated.	

Proceedings International and -National

 ·		Your comments
	I uploaded the complete proceeding and/or the relevant parts, as listed below to the electronic system.	
1.	 1.1 Title page showing the conference title 1.2 Imprint page showing the editor(s), ISBN & copyright date 1.3 Complete index page(s) 1.4 Introduction/Forward/Welcome/Reviewers/ 1.5 Editorial board or organising Committee and their affiliation 1.6 Research paper(s) of SU authors and 1.7 List of contributors, if applicable 	
2.	The publication date is 2022 . In cases where the year of publication is 2021, first check that no claim was submitted previously . If not, upload a written and signed motivation stating the reason for the late submission. The only acceptable reason for late submissions is that the publication was printed late .	
3.	A letter from the conference organiser or editor indicating the peer review process prior publication for this conference in as much detail possible, is uploaded on the electronic system. The following must be clearly and unambiguously clarified: 3.1 The conference paper was peer reviewed prior to publication by independent reviewers and that this process was decisive for inclusion in the proceeding. 3.2 The peer review should refer to the full conference paper and not the abstract only. 3.3 The criteria used to review the papers; the number of reviewers; the number of papers submitted for review and the number of papers accepted/rejected must be indicated.	

^{*}All supporting documentations must be in English

		3.4 Peer reviewers' comments and/or report(s) should be handed in	_
		3.5 Templates is not sufficed (in the past we have received declarations	
		from different publishers using the exact same statement regarding	
		the peer review process that had been followed)	
		Affiliation of the authors appears in the proceedings.	
		If the author's affiliation with SU does not appear on the article, for staff, a	
П	4.	letter from Human Resources, for extra-ordinary appointments a relevant	
ш	,,	letter of appointment, for postgraduate students a letter from the	
		promotor, confirming the author's appointment with SU for the duration	
		she/he was writing the article, is uploaded on the electronic system.	
ь	5.	An abstract in English is included if the proceeding is published in a language	
	J.	other than English.	
	6.	The target market is academic peers	
		The conference chair or editor of the conference must give a letter	
_	7	confirming that more than 60% of contributors emanated from multiple	
	7.	institutions if it is not printed in the proceeding. (This is only applicable to	
		local conference proceedings.)	
ь	0	The publication represents original research and has not been claimed	
	8.	previously in another format.	

The und	ersigned declare that to their know	ledge:	
	All authors, for whom subsidy is claimed under our department, are either permanent, temporary-, or retired personnel or undergraduate- or postgraduate students or extraordinary appointments or research fellows of Stellenbosch University.		
	All publications reported adhere to sound ethical principles		
Please ch	eck the boxes if these statement	ts are met.	
	DEPARTMENTAL CHAIRPERSON / RA DEDICATED PERSON DIRECTOR		
Name and Surname Printed			Name and Surname Printed
Signature			Signature
Date:			Date:

ADDENDUM B:

Guidelines for the Submission of the 2022 Research Publication Outputs

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	Categories of research outputs that do not
that qualify for subsidy purposes	qualify for subsidy (in other words non-
	subsidised research outputs)
Journal articles in accredited journals	Journal articles in non-accredited journals (Journal
(Journal articles subsidised)	articles non-subsidised)
*Published Proceedings: International	Published Proceedings: International conferences
conferences (<i>Proceedings</i>	(Proceedings International) that do not comply with
International)	DHET requirements
*Published Proceedings: National	Published Proceedings: National conferences
conferences (<i>Proceedings National</i>)	(Proceedings National) that do not comply with
	DHET requirements
*Books (Books)	Books (Books) that do not comply with DHET
	requirements
*Chapters in books (Chapters in books)	Chapters in books (<i>Chapters in books</i>) that do not
	comply with DHET requirements
Creative outputs (Creative works)	Reports (Research Reports)
Researchers now can submit their	
creative outputs to the Department of	
Higher Education and Training (DHET)	
for formal recognition and subsidy	
purposes. This submission is separate	
from the research publication outputs	
survey. <u>Click here</u> for more	
information.	
	Doctoral dissertations completed (<i>Doctoral</i>
	Completed)
	Master's theses completed (Masters Completed)

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 (i.e., the "Subsidy requested" box had been marked), all accompanying documentation (as set out below) must be uploaded on the electronic system with the application. No publication can be submitted successfully without the necessary documents.

The new DHET policy regarding 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).

The DHET requested all institutions to submit, where possible, electronic copies of the research publication output with their supporting documents. The electronic copies can be uploaded as PDFs for each of the document types on the electronic system. Word documents must be saved as PDFs before being uploaded to the system. If the publication of the research output is **only available in hard copy**, for edited books and conferences, the relevant parts as set out in Addendum A, can be scanned in and uploaded on the electronic system, for authored books, the hard copy of the publication and supporting documents must be submitted to the research office as such.

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, undergraduate- or postgraduate students, research fellows or extraordinary appointments or retired personnel. The affiliation of the author on the publication must reflect that of the claiming institution.

In cases where the affiliation of the SU author is not stated as such on the publication, proof of affiliation must be provided in the form of a Human Recourses letter for staff or a statement from the promotor for postgraduate students.

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 article, 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://www.sun.ac.za/english/research-innovation/Research-Development/outputs-accredited-journals/accredited-journals

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

 Clarivate Analytics/ Core Web of Science /Thomson Reuters ISI ("Institute for Scientific Information") citation indices SCIENCE CITATION INDEX EXPANDED SOCIAL SCIENCES CITATION INDEX ARTS & HUMANITIES CITATION INDEX https://mil.clarivate.com/home

Please note the following when you are searching for a journal on the Thomson/ISI website: Journals that appear on the <u>Master list are not necessarily accredited</u>; 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. Please note that the Emerging Science Citation index is not accredited.

- IBSS ("International Bibliography of the Social Sciences")
 https://www.proquest.com/databases/publicationbrowse?accountid=14049
- A list of local journals as maintained by the Department of Higher Education and
 Training
 http://www.sun.ac.za/english/research-innovation/Research-
 Development/Documents/Postdocs/PD%20Adverts/DHET%202021revised%20.xlsx
- Norwegian list https://kanalregister.hkdir.no/publiseringskanaler/Forside.action?request_locale=en
- ScieLO SA
 http://www.scielo.org.za/scielo.php?script=sci_alphabetic&lng=en&nrm=iso
- Scopus

https://www.scopus.com/standard/marketing.uri#basic; https://www.elsevier.com/ data/assets/excel doc/0015/91122/extlistSeptember2 021.xlsx

DOAJ
 https://doaj.org/

What information must accompany the submission?

A copy of the full journal article on which the following information appears and are highlighted, must be uploaded to the electronic system.

- Name of the journal
- Year of publication

- Volume and issue number
- Page- or Article ID 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 2022-research publication outputs. Journal articles with 2021 publication dates must be accompanied by a written and signed by Departmental head, motivation letter stating the reason 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.

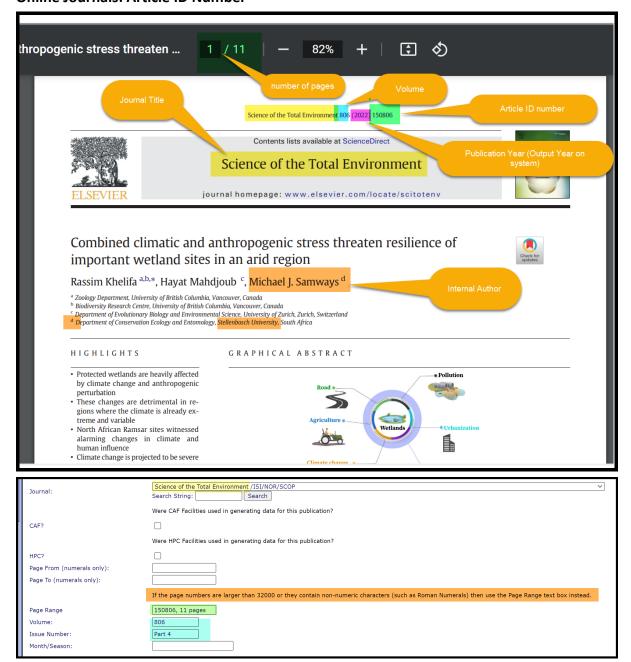
For future reference, please note that "Stellenbosch University" is the correct version instead of "University of Stellenbosch" when stating your affiliation.

Print Journals: Article with sequential page numbers

Journal Title	Journal of Insect Conservation (2022) 26:477–489 https://doi.org/10.1007/s10841-021-00330-x Page Numbers
	Nickson Erick Otieno 1.2 · Shayne Martin J. S2 · James Stephen Pryke Volume number Received: 30 November 2020 / Accepted: 4 June 2021 / Pub. The Author(s), under exclusive licence to Springer Nature 5v. Abstract Abstract Abstract G I publication Year I of natural areas for agriculture one of the most important allating ecosystem services such as pollination, soil fertility and pest suppression, so user conservation within agricultural areas is critical. We examined comparative impacts of traditional small-scale low input farming versus large-scale conventional farming systems, and mono-cropped versus interpod S2 · James Stephen Pryke Volume number Volume number of natural areas for agriculture one of the most important allating ecosystem services such as pollination, soil fertility and pest suppression, so user conservation agricultural areas is critical. We examined comparative impacts of traditional small-scale low input farming versus large-scale conventional farming systems, and mono-cropped versus interpoded on the conservation of the c
	SU affiliation Let a Conservation Ecology and Entomology Department, Stellenbosch University, Private Bag X1, Matieland,

Subsidy Units (DHET):	0.0000
Committee Approved?	
Journal:	Journal of Insect Conservation /ISI/SCOP Search String: Search
	Were CAF Facilities used in generating data for this publication?
CAF?	
	Were HPC Facilities used in generating data for this publication?
HPC?	
Page From (numerals only):	477
Page To (numerals only):	489
	If the page numbers are larger than 32000 or they contain non-numeric characters (such as Roman Numerals)
Page Range	
Volume:	26
Issue Number:	3
Month/Season:	

Online Journals: Article ID Number



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 Local 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 before **15 June** each year:

- Title, including translations if not published in English.
- The ISSN and or e-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; https://suggestor.step.scopus.com/suggestTitle/step1.cfm
- SciELO SA
 http://www.scielo.org.za/avaliacao/avaliacao_en.htm
- DOAJ
 https://doaj.org/account/login?redirected=apply

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.

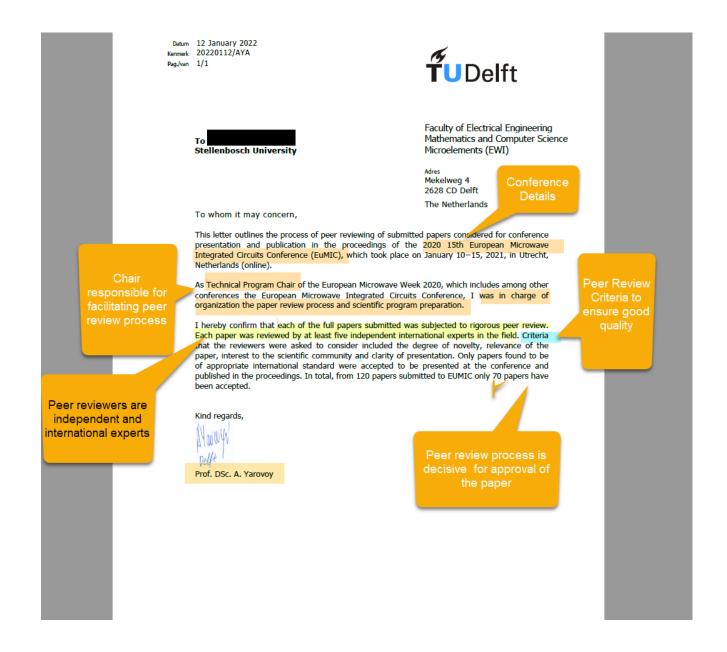
Conference proceedings that also appear in accredited journals and that are the final publication of the research results must be entered in the category "Journal articles subsidized. Please note that subsidy can only be awarded for either the conference contribution or the journal article and not both.

What information must accompany the submission?

If you wish to apply for a subsidy for the conference proceedings, please provide the following information as soft copies:

- Complete copy of the proceedings or the relevant parts as listed below must be scanned
 in
 - Title page showing the conference title
 - Imprint page showing the editor(s), ISBN & copyright date
 Only conference proceedings with an ISBN or e-ISBN qualify for subsidy. No written
 ISBN is acceptable.
 - Complete index page(s)
 - Introduction/Forward/Welcome/Reviewers/
 - o Editorial board or organising Committee and their affiliation
 - Research paper(s) of SU authors and
 - List of contributors, if applicable
- Target audience of the conference is academic peers.
- 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 the abstract. The criteria used to review the papers; the number
 of reviewers; the number of papers submitted for review and the number of papers
 accepted/rejected must be indicated.
- This survey is only applicable to 2022-research outputs. Proceedings with 2021 publication dates must be accompanied by a written and signed by Departmental head, motivation letter stating the reason for the late submission.

Example of proof of peer review prior publication



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 public and/or undergraduate students do not qualify for subsidy.
- Editorial work does not qualify for subsidy.
 - Editors who have chapters in their book cannot be the reviewer since peer review should be independent.
- 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.

What information must accompany the submission?

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

1. Complete soft copy of the book is provided. DHET makes exceptions for authored books(monographs) only in that if the book is only published as a hard copy, a hard copy of the complete book may be submitted.

For edited books the relevant parts as listed below, must be scanned as A4 pages and uploaded on the electronic system.

Front cover

imprint page showing the copyright date, ISBN and publisher; page showing the book title and editors

complete table of content

Foreword/Acknowledgement/Introduction

contributors list

claiming chapter(s)

back cover of the book.

2. The additional information requested in the DHET policy is a written justification of a maximum of 500 words, written by the author (s) (Books) or general editor (chapter in books).

- 2.1. Explaining the contribution that the book makes to scholarship. 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 motivation, there must be an unequivocal statement that no part of the work is guilty of plagiarism or has been published elsewhere.
- 2.3. The target market must be indicated

If the information is already indicated in the publication, the place of the target market in the book should be identified in the written motivation rather than repeating it in the motivation.

In cases where the publication indicates that the target market is undergraduate students and or a broad general audience, a motivation must be given to indicate the scientific nature of the work.

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 of the publication and should include as much detail about the peer review process as possible.

If the **editor** was responsible for **facilitating the peer review process**, the publisher must confirm this in a letter so that the general editor can give the details of the peer review process of the book.

- **Independence** of peer review is important, hence the questionability of peer review by an **editor** as **peer reviewer**.
- 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 reject ability 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 based on 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.
- 4. The target audience should be experts in the field and not a broad audience.

- 5. This survey is only applicable to **2022**-research outputs. Books and chapters in books with 2021 publication dates must be accompanied by a **written and signed by the Departmental head motivation letter** stating the reason for the late submission.
- 6. If 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 must be submitted.
- 7. The affiliation of the claiming author is in the publication.
- 8. 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.

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

Please see the Appendices 1-3, attached for examples of peer review letters

Calculation of subsidy units for each category

Category	Subsidy units allocated by DHET as well as for internal SU
	funding for the purpose of the SOS-funds.
	The subsidy unit is equally divided by the number of authors
	for a research publication output.
Research article	A research article published in an approved journal will be subsidised
	as a single unit (1 unit)
Peer reviewed	A book may be subsidised to a maximum of IO units based on the
books & chapters	number of pages being claimed for. The references, index, appendix
in books	etc. at the back of the book is not included in the amount for which
	subsidy may be claimed for. A guide on unit allocation for book
	publications is as follows:
	A chapter in a book = I unit (if 10 or less chapters)
	If a book has more than 10 chapters, the subsidy per chapter =
	10/number of chapters
	A book of a minimum of 60 pages but less than 90 pages = 2 units
	A book of 90 pages and above, but less than 120 pages = 3 units
	A book of 120 pages and above, but less than 150 pages = 4 units
	A book of 150 pages and above, but less than 180 pages = 5 units
	A book of 180 pages and above, but less than 210 pages = 6 units
	A book of 210 pages and above, but less than 240 pages = 7 units
	A book of 240 pages and above, but less than 270 pages = 8 units
	A book of 270 pages and above, but less than 300 pages = 9 units
	A book of 300 pages and above = 10 units
Published peer	Proceedings published as part of a peer reviewed non-periodical
reviewed	research output from conferences, congresses, symposia or other
conference	meetings where the primary purpose of disseminating research
proceedings	results will be allocated a maximum of one half a unit (0.5) if all the
	authors are affiliated to the claiming institution.
If an author indicate	os that he ar she helengs to mare then one Higher Education institute

If an author indicates that he or she belongs to more than one Higher Education institute in South Africa, the author's subsidy portion is divided equally between the institutions.

Other Non-Subsidised Research Outputs

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. Please see the new policy on Creative Outputs below.

http://www.sun.ac.za/english/research-innovation/Research-

 $\underline{Development/Documents/Research\%20Outputs/Government\%20Gazette\%20Policy\%20Eval} \\ \underline{uation\%20Creative\%20Ouputs\%202017.pdf}$

Doctoral dissertations & Master theses completed

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

Creative Outputs and Innovations

The Department of Higher Education and Training (DHET) introduced the Policy on the Evaluation of Creative Outputs and Innovations produced by South African Public Higher Education Institutions (2017) in 2019. The following categories are included in this policy:

Creative Outputs

- Fine Arts and Visual Arts
- Music
- Theatre
- Performance and Dance
- Design
- Film and Television
- **Literary Arts**

Innovations:

- Patents
- Plant breeders' rights (PBR)

The submission of creative outputs as well as patents and PBR are handled separately from the survey of research publications. For more information on these processes please contact Maryke Hunter-Husselmann (mh3@sun.ac.za) for creative outputs and Madelein Kleyn (madeleink@sun.ac.za) for patents and Plant Breeders Rights.



19th of June 2021

Rebecca Wyde Editor for Education

Peer review confirmation

To whom it may concern,

rebecca.wyde@palgrave.com

Please allow me to introduce myself – I am the Editor for Education in the Scholarly and Research division of Palgrave Macmillan.

I can confirm that Higher Teaching and Learning for Alternative Futures: A Renewed Focus on Critical (2021) was subjected to a strict peer review schedule prior to acceptance. Both the proposal and the text itself were peer reviewed before moving forwards to ensure that the resulting book would meet our high publication standards.

Our peer review process is anonymous and organised in house to maintain control. We choose the reviewers from across academic institutions around the globe, contacting them directly with the relevant material and accompanying reviewing guidelines. These guidelines detail the information that we require when considering a proposal or manuscript and ask questions to clarify the text's place within its field. Further development to the material is requested following the feedback and discussions between the authors and the editorial team.

Please do contact me if any further information is required.

Best wishes, Rebecca Wyde

Kuzle

APPENDIX 2



University Printing House Shaftesbury Road Cambridge CB2 8BS United Kingdom

To whom it may concern

Re.: Confirmation of peer-reviewed publication

This is to confirm that the book Youth Language Practices and Urban Language Contact in Africa was published in 2021 (ISBN: 978-1-107-17120-6), edited by Rajend Mesthrie, Ellen Hurst-Harosh & Heather Brookes. As with all Cambridge University Press books, the initial proposal for the book was peer reviewed anonymously by three scholars from the field and subject to further scrutiny by the series editor. Each draft chapter and the entire manuscript was read by each of the three editors. In this process one draft chapter was rejected and all other chapters required to do either minor or major revisions. A series editor for the Press read and commented extensively on the near-final manuscript before approving the final draft. Here is the final list of chapters.

Introduction

Rajend Mesthrie, Ellen Hurst-Harosh and Heather Brookes

1 Language Contact and Structure in Urban IsiXhosa and Associated Youth Languages Silvester Ron Simango

2 Not 'Deep' but Still IsiXhosa: Young People's Urban IsiXhosa and Its Relation to Tsotsitaal *Tessa Dowling*

3 Rethinking Youth Language Practices in South Africa: An Interactional Sociocultural Perspective Heather Brookes

4 Tsotsitaals, Urban Vernaculars and Contact Linguistics

Rajend Mesthrie

5 Grammatical Hybridity in Camfranglais?

Roland Kießling

6 Sheng and Engsh in Kenya's Public Spaces and Media: From Nganya and Mathree to Broadcast Proggiez

Maarten Mous and Sandra Barasa

7 Exploring Hybridity in Ivorian French and Nouchi

Akissi Béatrice Boutin

<u>8</u> Authenticity and the Object of Analysis: Methods of Youth Language Data Collection <u>Ellen Hurst-Harosh and Eyo Offiong Mensah</u>

Yours sincerely,

Helen Barton

Senior Commissioning Editor, Language and Linguistics

helen.barton@cambridge.org

APPENDIX: Examples of letters from the publisher on the peer review process for chapters in **APPENDIX 3**



BRILL

Leiden, 24 January 2022

Dear Sir, Madam,

This letter serves to acknowledge that the chapter

"Chapter 1 Temporal and Geographical Extensions in Translation Studies: Explaining the Background" by appeared in the volume entitled

The Situatedness of Translation Studies: Temporal and Geographical Dynamics of Theorization. van Doorslaer, L., Naaijkens, T. (Eds.) published by Brill in 2021.

The volume appeared in the series: Approaches to Translation Studies (www.brill.com/ATTS). The acceptation of this manuscript was based on a positive assessment of the manuscript by two peers in a thorough, double blind and anonymous peer review procedure. In addition to that, the manuscript and its review reports have been vetted by the series' editorial board members who are all experts in the field of Translation Studies.

We are happy we have been offered such exceptionally high quality academic research for inclusion in this long standing series aimed at a scholarly audience.

This title can be found under ISBN: 978-90-04-43779-1.

I trust this information will suffice; else you can contact me at Masja. Horn@brill.com.

Best wishes, Masja Horn

Masja Horn

Sr Acquisitions Editor Literature and Cultural Studies

+31(0)715353417 | www.brill.com

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. The subsidy for edited books with more than 10 chapters vary according to the number of chapters in the book.

Documentation/information to be provided from the author:

1. **Electronic copy** of the original published book. Upload an electronic copy if it complies with the copyright of the book.

For authored books, if the book is only available in hard copy, the hard copy of the complete, original book may be submitted to the Research office with the supporting documents. If edited books are only available in hard copy the relevant parts, as listed below, must be scanned in and uploaded to the electronic system. Scan the book as A4, portrait and ensure that all pages are upright and in the correct sequence.

Front cover

Imprint page showing the copyright date, ISBN and publisher; page showing the book title and editors

Complete table of content

Foreword/Acknowledgement/Introduction

Contributor's list

claiming chapter(s)

last chapter and back cover of the book.

2. The author of the book (monograph) must submit a research justification (maximum 500 words). It must explain the contribution that the book makes to scholarship. 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.

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.

- 3. In the case of second or later editions being submitted for subsidy, clear evidence of new research must be provided in the written justification. 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 in the written justification. The dissertation or thesis should also be handed in.
- 5. If 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 uploaded to the electronic system. It should be signed by the author/head of department.

Documentation /information to be provided by publishers/editor(s)

- 1. Evidence of the pre-publication peer review process must be provided for every book or chapter submitted for subsidy by the publisher of the book. a Mere statement that peer review had taken place is not sufficient. If the editor was responsible for facilitating the peer review process, the publisher must confirm this in a letter so that the general editor can give the details of the peer review process of the book. 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/reviews can be handed *in addition* to the peer review report to strengthen the submission
- 1.5. Templates or a generic declaration is not sufficed (in the past we have received declarations from different publishers using the exact same statement re the peer review process that had been followed)
- 1.6. If the editor of the book also contributed towards a chapter(s) in the book, information should also be provided regarding his/her contribution to validate the fact that independent peer review had taken place.
- 2. A written justification (maximum 500 words) signed by the general editor in the case of an edited books 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.

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.

- 3. If the word "Handbook" appears in the book title, please submit a motivation clarifying that it is original research targeted for academic peers and that it is not a textbook.
- 4. Festschrifts does not qualify for subsidy. If the book is not a typical tribute, a motivation of original research must be given in the written justification.

The following types of publications do not qualify for subsidy purposes:

- Dissertations and theses
- Textbooks, 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 B

GENERAL GUIDELINES FOR THE USE OF RESEARCH ADMINISTRATION (RA) SYSTEM

STELLENBOSCH UNIVERSITY

Uploading of research publication outputs and supporting documents to the Research Administration (RA) system

This document replaces part "O. Upload of an attachment to a research output" in the "General guidelines for the use of RA ("Research Administration") system".

Manual for the upload of research publication outputs with supporting documents

The Department of Higher Education (DHET) requested all institutions to submit, where possible, electronic copies of the supporting documents for the research publication outputs.

The electronic copies can be uploaded as PDF, JPG, MP3 and MP4 for each of the document types on the electronic system. WORD documents must be saved as PDF's before being uploaded to the RA system. It is compulsory to upload all outputs' supporting documents that are captured for subsidy as an attachment to the RA except for authored books which are only available in hard copy. The hard copy of these authored books can be submitted to the research office as such with the supporting documents.

How to store your documents

Save your attachments in such a way that you can easily access each document per research output record on your computer.

When saving your file ensure that the title of the PDF is short enough, has an identifiable title and that the title contains no special characters, for example", ', &, &, $^{\land}$, $\overset{\land}{A}$, $\overset{\circ}{A}$, etc.

Different document types that can be uploaded

Document Type	Description
DHET Appeal	A letter from the author signed by the head of department or director, motivating against the decision of the DHET's panel.
English Summary	An A4 English summary for a book or an English abstract for any chapter in book that is published in a language other than English.
Proof of affiliation	A declaration from Human Recourses for staff, or the application letter of extra-ordinary appointments or a correspondence from the supervisor for students in cases where the affiliation with SU was omitted from the publication.
	Proof or explanation clarifying the difference in the author's publication name vs his /her official name.
	In cases where the author does not have a formal affiliation with SU at the time of the research for the publication, a letter clarifying that the affiliation with SU was mistakenly given.
Internal Appeal	A letter from the author signed by the head of department or director, motivating against the decision of the internal adhoc committee.
Justification letter	A Research Motivation from the author of the book or a research motivation from the general editor of the book for chapters in books.
Motivation for further edition	A Motivation indicating the new research done for further editions, clearly showing the new research done and that it constitutes 50% and more new research if it is not indicated the justification.

Motivation for original research	If the word "Handbook" appears in the book title or if the acknowledgement indicates that the work was previously published, a motivation indicating the new research done and that it constitutes 50% and more new research, if it is not indicated the justification.
Other	Please indicate the type of document you wish to upload i.e., post reports and clarification of departments of internal authors.
Peer review letter	A letter from the Publisher (books) or Conference organizer or editor of the conference, stating the peer review process and any other supporting documents i.e., peer review reports, emails regarding the peer review process, Call for paper etc.
Publication (Article / book / proceeding)	The final print of the publication.
	See Addendum B for the information for proceedings that must be uploaded.
	For chapters in books upload the book for each of the chapters.
	Make sure that all of the information for articles are on the information submitted. To ensure this highlight the information on the PDF.
Reason for late submission	Late submission of research outputs for the year (n-2) may be considered for evaluation and subsidy; provided such submissions are accompanied by a credible explanation.

The maximum file size that can be uploaded, is currently 20MB.

More than one PDF can be uploaded per document type. These PDF's can be sorted in the order of importance by selecting the appropriate sequence field.

Example 1

If you have separate files for the peer review letter from the publisher, email from the editor and peer review reports. **Upload all the PDF's to the document type, Peer review letter** with the following sequence:

Sequence 1: the peer review letter from the publisher

Sequence 2: email from the editor Sequence 3: peer review reports

Example 2

If you have separate files of a book, upload all the PDF's to the document type, **Publication** (Article/book/Chapters in Books) in the sequence as it appears in the book.

Sequence 1: the front matter Sequence 2: introduction

Sequence 3: the claiming chapter

Sequence 4: Last page of last chapter and Coda

Sequence 5: Back Cover page

Documents to be uploaded for each of the categories

1. List of documents to be uploaded on RA SYSTEM (Articles (Journal Article Subsidised)):

- Copy of the final print of the complete article. If the affiliation of the author is listed in the contributor's list, please include this list as well.
- Letter for author affiliation (This letter is important if there is no indication of author affiliation in the actual publication).
- Clarification if the author's surname differs from that published in the book from his/her official surname.
- Letter of motivation for late submissions

2. List of documents to be uploaded on RA SYSTEM (Articles (Journal Article non-subsidised)): Should you wish to upload the article.

Copy of the final print of the complete article.

3. List of documents to be uploaded on RA SYSTEM (Books/Chapters):

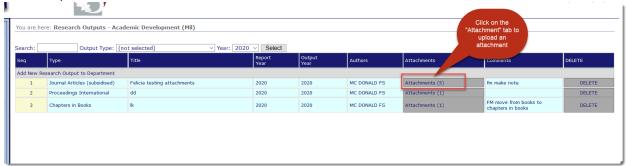
- Copy of the book for the category "Books" (Authored Books)
- Copy of the book for category "Chapters in Books" if complete book is available, otherwise the information listed below can be uploaded.
 - Front Matter (This includes the cover page, Imprint page with ISBN, Publication year, Editor, Publisher etc; Contributors List, Complete Table of contents; Preface/Introduction)
 - Claiming chapter
 - ➤ Last page of the last chapter
 - ➤ Back page of the book
- Clarification if the author's surname differs from that published in the book from his/her official surname
- Letter of motivation for late submissions
- Letter for author affiliation (This letter is important if there is no indication of author affiliation in the actual publication).
- · Proof of peer review
- Research justification
- English summary (In the event that a book/chapter is published in a language other than English)
- Appeals

4. List of documents to be uploaded on RA SYSTEM (Conference proceedings):

- Copy of the conference proceeding if the complete proceeding is available. If it is not available, the information listed below can be uploaded.
 - Front Matter (This includes the cover page of the proceeding, Imprint page with ISBN, Publication year, Editor, Publisher etc.; Contributors List, Complete Table of contents; Preface/Introduction; welcome note, List of Peer reviewers)
 - > List of editorial board/committee members with their affiliation
 - ➤ The claiming paper(s)
 - Declaration that the proceeding is not an inhouse publication (More than 60% of contributions published in the conference proceedings being submitted for a subsidy claim must emanate from multiple institutions)
- Clarification if the author's surname differs from that published in the book from his/her official surname
- Letter of motivation for late submissions
- Letter for author affiliation (This letter is important if there is no indication of author affiliation in the actual publication)
- Proof of peer review
- English summary (In the event that a conference proceeding is published in a language other than English)
- Appeal

How to upload an attachment to a record.

- 1. Capture the research publication output.
- 2. Click on the "Attachment" tab next to the record on the "Research Outputs browser" page to upload an attachment.

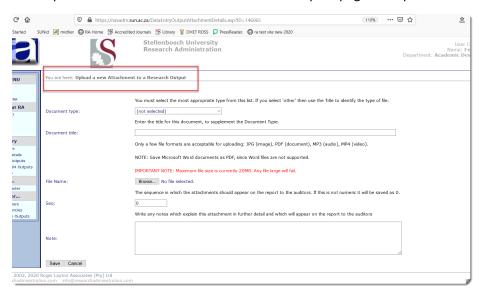


3. To attach your files to this output, click on the "Upload a new attachment to the research output" tab

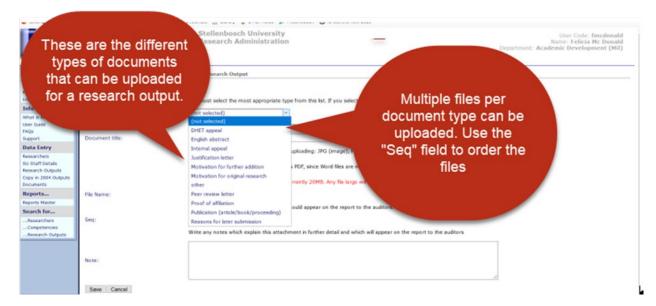


Please note that the file types are limited to PDF, JPG, MP3 and MP4. The Word documents must be saved as PDF's before uploading

The "Upload a new Attachment to a Research Output" page will open.

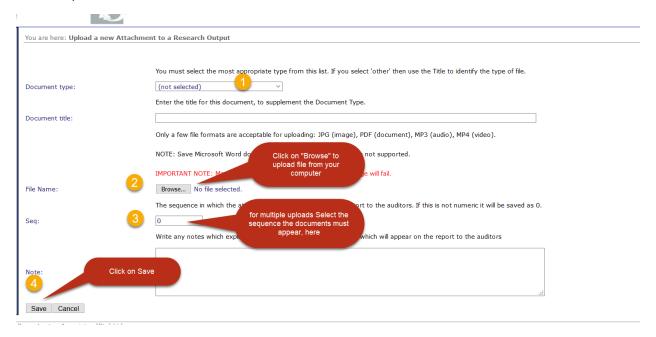


4. The document type is selected from a list and indicates the main purposes of this file. Select the document type you wish to upload.

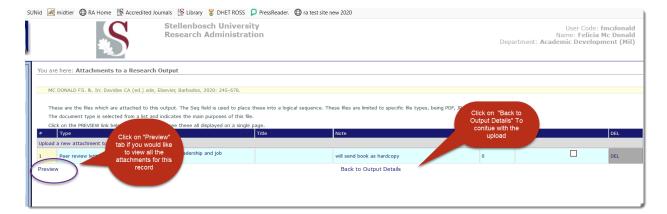


Multiple attachments per document type per record can be uploaded. The "Seq" field is used to place these into a logical sequence

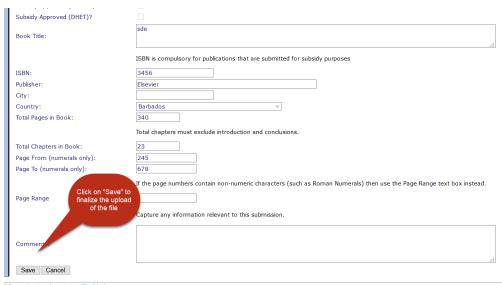
Click on Browse to upload the file from your computer.
 Browse to where the document is on your computer and select your document and Click on open



- 6. Complete the Sequence- and Note field if applicable and click on Save to add the attachment
- 7. On the "Attachments to a Research Output" page you can either view all the attachments for this record by clicking on the "Preview" tab or continue with the upload of the file by clicking on the "Back to Output Details" tab.



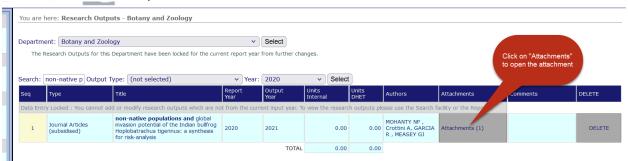
8. Click on the "Save" tab to finalize the upload.



9. Repeat the steps 2 to 9 until all the files are uploaded for the specific research output record.

How to check if an attachment is uploaded properly to a record.

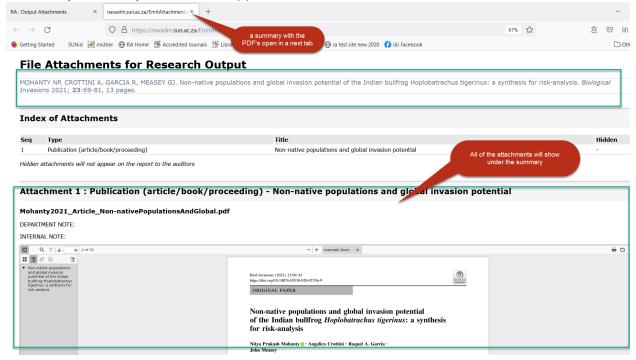
1. To open an attachment linked to an output, click on "Attachments" in the research outputs browser, next to the output



2. Click on the "Preview Tab" on the "Attachments to a Research Output" page to view the attachment



3. A summary of the output with the PDF(s) will show in the next tab



4. If The PDF title is too long or special characters are included in the PDF title an error message will show. Amend the PDF title and upload it again.

ROUTLEDGE An imprint of the Taylor & Francis Group Miss Claire Maloney Editorial Assistant, Politics & International Relations 2 Park Square Abingdon Oxon Oxon OX14 4RN United Kingdom Claire.Maloney@tandf.co.uk

Attachment 6 : other - Email clarification of target audience W_ Outstanding information_ Schliesser's submissions for subsidy.pdf DEPARTMENT NOTE: uploaded 14/04/2021. foutboodskap NTERNAL NOTE: no special characters i.e. abbreviations must be in the PDF title Server Error 404 - File or directory not found. The resource you are looking for might have been removed, had its name changed, or is temporarily unavailable.

How to delete an attachment

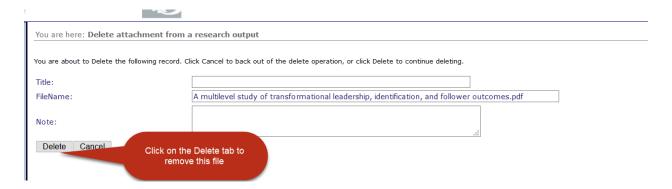
1. Open the attachment by clicking on the "Attachment" tab.

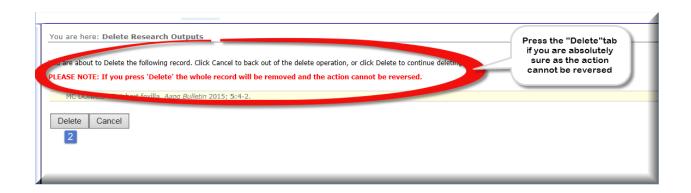


2. Click on the delete tab next to the file you want to delete on the "Attachments to a Research Output" page



3. The "Delete attachment from a research output" page opens. Click on the Delete tab to permanently remove the attachment from the research output.





4. On the "Attachments to a Research Output" page, click on the "Back to Output Details" tab and click on Save on the "Research Output "page.

IMPORTANT NOTES

When the system is locked, please do not delete any attachments. You are only allowed to upload attachments when more or outstanding information is requested.

As the current system does not notify us when new documents are uploaded to the RA system, it is imperative that you must communicate the details of the uploads after outstanding information was requested.