

University of Cape Town
Research Office
Publication Count Handbook

*To assist with the annual submission of UCT's research output to the Department of
Higher Education and Training*

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1. Overview

The publication count is an annual submission of the university's peer-reviewed research output to the Department of Higher Education and Training (DHET) for the allocation of government subsidy. This vital process therefore has a direct influence on the amount of funding UCT receives from government.

Each research output is assigned a weighting or "unit", based on the number of authors from UCT. The following maximum units are currently assigned to each output:

- Accredited journal articles: 1 unit
- Conference proceedings: 0.5 unit
- Books: up to 10 units
- Chapters in books: 1 unit

If an author is affiliated to UCT and another institution, the subsidy is claimed proportionately.

A new DHET policy to recognise research outputs was introduced in 2016. The main changes from the former policy are:

- The expansion of journal lists, to include Scopus, SciELO SA and the Norwegian list
- Expanded definition of scholarly books.
- Awarding of up to 10 units for a book.
- Awarding of 1 unit per chapter in a book.

2. Reporting research outputs

Hard copies of research publications which meet the DHET criteria outlined below are collated by a departmental co-ordinator and the relevant bibliometric data should be captured online <http://eRAonline.uct.ac.za>. The hard copies are checked and passed on to the faculty co-ordinator assigned to manage the publication count, for onward submission to the Research Office.

3. Journals accredited by DHET

3.1 Qualifying journal indices

For purposes of the publication count, only original articles, research letters, research papers and review articles in DHET-accredited or recognised journals may be submitted. DHET will annually issue updated lists of journals for each reporting year. The qualifying journal lists for the 2019 submission are as follows:

- Web of Science (Arts & Humanities, Science, Social Sciences)
- International Bibliography of the Social Sciences (IBSS)
- DHET list of South African journals
- Scopus
- SciELO SA
- Norwegian list

Links to the above lists are available on our [web site](#).

The contents page of the journal will help you identify whether the publication is classified as research. If in doubt, consult the faculty co-ordinator or the Research Office.

3.2 Submission of documentation

For each accredited journal article, the following must be supplied to the Research Office as per audit requirements:

- A photocopy of the first page of the article, reflecting the following: journal name, volume, year of publication, title of article, start-page AND end-page numbers, name(s) of author(s) and UCT author affiliation.
 - Highlight the above information, as per the example below.
 - If the above required information does not appear on the first page, supply the relevant pages with the rest of the information (usually at the back of the article).
 - If the first page of the article reflects only the abstract, provide the second page of the article as well.
 - If the journal name does not appear on the published article, submit a copy of the journal cover, together with the table of contents page, highlighting the article being claimed.
- Hand-written information is not acceptable by the audit team.
- Please do not highlight non-UCT authors and their affiliations.

Hard copy documentation is necessary for the external auditors, who check all journal articles, to certify our claim before submission to DHET. It is recommended that you do not supply original articles, as these will not be returned by the Research Office. Audited articles are archived for record-keeping purposes.

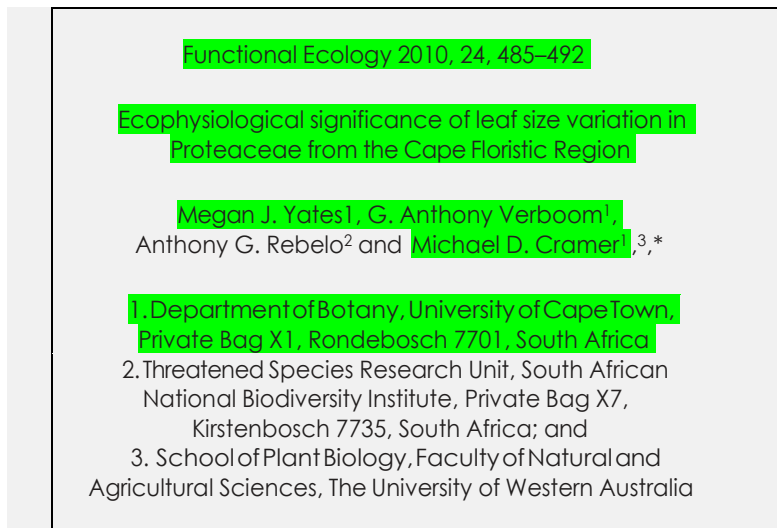


Figure 1: Highlighting a co-authored journal article

3.3 Exclusions: do not submit

DHET will not subsidise the following types of publications, so please do not submit these to the Research Office:

Correspondence to the editors	Abstracts or extended abstracts
Book reviews	News articles
Keynote addresses	Advertorials
Obituaries	Editorials*

** In rare instances, editorials and letters to the editor which are fully peer-reviewed and which disseminate original research may be submitted to the Research Office, together with a detailed motivation from the Chair of the Faculty Research Committee describing the new research covered in the article and the peer-review process followed for reviewing the editorial.*

3.4 Journals not accredited by the DHET

For journals published outside South Africa, the editorial office of the journal should apply directly to the relevant indexes for inclusion.

South African journals may be proposed to the DHET for inclusion in their South African list. A minimum of three consecutive issues must be published for journals with a quarterly or higher publication frequency and one issue for annual publications before submission for accreditation.

Please consult the Research Office website, for the minimum criteria for a journal to be eligible for inclusion in the list of approved South African journals, as well as the necessary documentation. There is one deadline per annum for applying for accreditation of South African journals: 31 May.

4. Books and chapters in books

Books refer to peer-reviewed, non-periodical scholarly or research publications disseminating original research and developments.

4.1 Definition of scholarly books

DHET Expanded definition of the above for subsidy earning scholarly books:

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

4.2 Criteria for subsidising books

Books and chapters which disseminate original research and which meet the following criteria may be submitted for the publication count:

- The purpose of the book must be to disseminate original research and new developments in a specific discipline.
- The book must be peer-reviewed as a research output prior to publication and supporting evidence of peer-review must be provided in the book or from the publishers.
- The book must have an ISBN.
- The length of the book must be a minimum of 60 pages, excluding references, bibliography, appendices.
- The target audience of the book must be specialists in the relevant field.
- If the book is published in a language other than English, the author must submit a summary of the entire book in English (minimum of one page). Similarly, any supporting evidence or documentation must also be provided in English.
- The minimum contribution from a book that will be considered for evaluation will be a complete division of a book such as a chapter.
- ☒ Introductions and conclusions do not qualify for submission unless the entire book is claimed.

4.3 Submission of documentation

DHET Requirement	Comments
The original book	The DHET requirements original books even if only a chapter is being claimed.
Statement of the publisher's peer-review process	<ul style="list-style-type: none"> This detailed statement must come from the publisher. Statements from editors are accepted, provided that the editor is not the claiming author. In the case of a collective work, the peer-review statement may appear in the Introduction.
Relevant sections of the book/chapter to be tagged using a sticky note	Please tag the following sections in each book: <ul style="list-style-type: none"> UCT author Affiliation to UCT Claiming chapters (for chapters in a book)
Affiliation to UCT	Provide a separate statement from the HoD if this is not shown in the book.
Second and subsequent editions	A statement from the FRC Chair , indicating that both the previous & current editions were checked & affirm that at least 50% of the work was not previously published.
Motivation for late claim	This is required for books which were not published in time for submission during the previous publication count.

** Please liaise with your faculty coordinator or Research Office if it is not possible to supply an original book.*

An internal screening process is implemented by UCT prior to submission to the DHET, to ensure that only books which meet DHET criteria are being submitted. Each FRC Chair is represented on the panel and will assist the Research Office with follow-ups after the internal review meeting. Books without a detailed statement of peer-review will not be considered by UCT or the DHET.

4.4 Exclusions: do not submit

DHET will not subsidise the following types of publications, so please do not submit these to the Research Office:

Dissertations and theses	Text books, professional handbooks and study guides
Works of fiction	Reports forming part of contract research and other commissioned work
Introductions and conclusions on their own	Reference books, dictionaries, and encyclopaedia
Speeches of any type and nature	

5. Refereed/peer-reviewed conference proceedings

Proceedings refer to a published record of a conference, congress, symposium or other meeting whose purpose is to disseminate original research and new developments within specific disciplines.

A distinction should be made between a conference paper and conference proceedings. A book of conference proceedings is made up of many conference papers presented at a conference, similar to a journal volume which comprises many individual journal articles. Each paper must be peer-reviewed in full and evidence of peer review must accompany each submission.

5.1 Criteria for subsidising conference proceedings

- The conference paper must disseminate original research and new developments.
- The entire conference paper must be peer-reviewed (i.e. not just the abstract).
- The conference proceedings must have an ISBN or ISSN (or e-ISBN or e-ISSN).
- The target audience of the proceedings must be specialists in the relevant field.
- At least 60% of contributions must come from multiple institutions.
- The conference must have an editorial board &/or organising committee, with a significant majority of members beyond a single institution.
- In the event that proceedings are published in a language other than English, the author must submit an abstract of the proceedings in English. Similarly, any supporting evidence or documentation must also be provided in English.

5.2 Submission of documentation

Requirement	Comments
Conference paper(s) by the UCT author	Provide copy of entire conference paper.
Copy of the front and back covers/pages of the conference proceedings or CD	This is of the conference proceedings, not the conference paper.
Evidence of ISBN or ISSN	Highlight this on the conference proceedings.

Table of contents	Supply entire table of contents.
Evidence of UCT contributors and their affiliation	Highlight this. Attach a letter of affiliation to UCT from the HoD if this does not appear in the proceedings.
Preface, introduction or foreword	Provide a copy of either of these pages.
Evidence of peer-review from the publisher, the editor(s), the conference organisers* or a detailed statement appearing in the call for papers.	The statement must indicate that the full paper was refereed prior to the proceedings being published. * A statement from the conference organiser(s) is not acceptable if the organiser(s) also conducted the peer-review.

5.3 Exclusions: do not submit

DHET will not subsidise the following types of publications:

Correspondence to the editors	Abstracts or extended abstracts	Obituaries
Book reviews	News articles	Advertorials
Previously published material	Keynote addresses and invited papers	"Work in Progress papers", "Short Papers", "Brief Communications" & "Technical Notes"

Where proceedings are published in an accredited journal, the output will be treated as a journal article. Therefore, do not submit a conference claim. Conference Proceedings published in non-accredited journals, as special issues or otherwise, will not be subsidised.

6. Loading of publication data online and deadlines

Research output data for the publication count and research report must be captured on the new electronic Research Administration system (eRA), <http://eRAonline.uct.ac.za>.

Note: eRA will be rolled out to faculties from November, and communication about this process will be directed through the Faculty and Departmental Coordinators.

Deadlines

For the 2019 publication count, please refer to communication with each of the faculty coordinators, for further detail.

7. Checklists to assist with collation of hardcopies

The Research Office recommends that coordinators make use of the checklists we provide, which give an indication of the supporting documentation and information which must be provided to the Office for each research output submitted to DHET. These submissions are subject to audit, and as a result, any claim not accompanied with the correct supporting documentation will be excluded from the collection.

Checklists for journals, books/chapters in books and conference proceedings are available from the Research Office or your faculty coordinator.

8. Frequently asked questions

Are reports from commissioned or contract research subsidised?

No. Any research output emanating from commissioned research or contracts paid by contracting organisations, e.g. World Health Organisation or government departments cannot be subsidised.

Are non-English language submissions accepted?

Yes. However, a brief outline of the content of non-English language submissions must accompany each publication: at least one page for books and ½ page for conference proceedings. Evidence of peer-review and other supporting documentation must be in English.

Will research outputs submitted for the publication count appear in the UCT research report?

Yes. The research report also includes journals which are peer reviewed but not accredited by the DHET, as well as peer-reviewed creative works and creative writings. All output must be captured on the online system.

Are research outputs by students or visiting academics subsidised?

Yes. UCT can submit a publication count claim for authors who are affiliated to UCT as shown on the publication. This includes articles by academic staff, PASS staff, students, honorary staff, joint appointments and visiting academics. In cases where the affiliation to UCT does not appear on the hardcopy, a letter from the HoD should accompany the submission. *A template for the author affiliation is available on our web site.*

When will original books be returned to authors?

The DHET usually returns these books to the Research Office in October/November, and these will be returned to authors via the faculty or departmental co-ordinators soon thereafter.

Are late submissions accepted?

In certain cases, late publications which missed the previous reporting cycle may be accepted by the DHET if a valid reason is provided, e.g. delay by the publisher. Administrative oversight, e.g. the author or co-ordinator had forgotten to submit a publication, is not an acceptable reason. A motivation from the HoD indicating the reason for the late submission must accompany each late publication.

What happens if the author affiliation to UCT does not appear on the publication?

In such an instance, a letter is required from the HoD, confirming the author's affiliation to UCT. Please include a staff or student number, as well as date of appointment.

Who are the faculty co-ordinators?

Contact details of the faculty co-ordinators are available on the Research Office website.

Are open-access journals subsidised?

Yes, on condition that these appear on one of the DHET-accredited lists.

Can two claims be made for the same research, when produced as two different output types?

No. For example, conference papers are sometimes published as part of the conference proceedings and subsequently published in a journal. Only one claim for the publication count can be made, as either the conference proceedings or the journal article.

What does the DHET require in terms of peer-review?

The DHET Policy requires that all publications for research subsidy should be peer-reviewed. The following guidelines regarding peer-review and evidence thereof should be followed:

- Peer-review must be done by specialists in the field.
- Peer-review must be done prior to publication.
- Full articles and not just abstracts (as it is the case for some conferences), must be peer-reviewed.
- Conference papers must be peer-reviewed for publication and not only for presentation.
- Authors and editors cannot be part of the peer-review process of their own papers.
- E-mails from authors confirming peer-review are not accepted as evidence of peer-review.
- Statements of peer-review are only acceptable if the process is detailed. A simple statement "this book has been peer-reviewed" is unacceptable.