



**POLICY AND PROCEDURES FOR MEASUREMENT
OF RESEARCH OUTPUT OF PUBLIC HIGHER
EDUCATION INSTITUTIONS**

MINISTRY OF EDUCATION

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POLICY FOR MEASUREMENT OF RESEARCH OUTPUT OF PUBLIC HIGHER EDUCATION INSTITUTIONS

1. Introduction

This document entitled *Policy for Measurement of Research Output of Public Higher Education Institutions* replaces the following policies:

Information Survey Manual - Research Output of Universities (Report 014/97)

Information Survey Manual - Research Output of Technikons (Report 024 /97)

In line with the *White Paper 3, a Programme for the Transformation of Higher Education* (1997) which outlines a single co-ordinated higher education system, this policy applies to all public higher education institutions, and thus does not differentiate between universities and technikons. As a consequence, its implementation will also not be differentiated according to institutional type.

2. Policy Framework

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

As part of the strategic objective envisioned by the *National Plan for Higher Education*, this policy aims “to sustain current research strengths and to promote research and other knowledge outputs required to meet national development needs.” (p. 70, *National Plan for Higher Education*)

The purpose of this policy is to encourage research productivity by rewarding quality research output at public higher education institutions. However, the policy is not intended to measure all output, but to enhance productivity by recognising the major types of research output produced by higher education institutions and further use appropriate proxies to determine the quality of such output. As a general rule, research output emanating from commissioned research or contracts paid by contracting organisations will not be subsidised by the Department of Education.

Research output is defined as textual output where research is understood as original, systematic investigation undertaken in order to gain new knowledge and understanding. Peer

evaluation of the research is a fundamental prerequisite of all recognised output and is the mechanism of ensuring and thus enhancing quality.

The policy has also taken into consideration the changing modes of disseminating research and research output, such as electronic publications and further outlines processes and procedures that are appropriate to the purpose and commensurate with best practice. Research output published electronically may be recognised if they meet specified criteria.

While the policy recognises different types of research output for purposes of subsidy, it does not support differentiation within types of output.

The subsidy for research output is also influenced by the affiliation of the authors. The claiming institution accrues full subsidy if all the authors are affiliated to the claiming institution. In the case where authors are affiliated with two or more institutions, the subsidy is shared between the claiming institutions.

Affiliated authors are defined as academic or research staff, research students, visiting scholars or fellows and retired academics from the claiming institution. The contact address reflected in the research output of such authors must be the address of the claiming institution.

Higher education institutions may only claim once for each subsidisable research output. Institutions must claim the outputs of the preceding year (n-1) in the current reporting year (n).

3. Recognised Research Output

For the purpose of subsidy, recognised research output, in terms of this policy comprise journals, books and proceedings.

Journals

Journals, refer to peer reviewed periodical publications devoted to disseminating original research and new developments within specific disciplines, sub-disciplines or field of study. These include original articles, research letters, research papers, and review articles. However, only approved journals are subsidised.

Books

Books refer to peer reviewed, non-periodical scholarly or research publications disseminating original research on developments within specific disciplines, sub-discipline or field of study. Only books that meet specified criteria are subsidised. Examples of different types of books include:

Monographs, which are relatively short books or treatise on a single scholarly subject written by a specialist(s) in the field and are generally not extensive in scope.

Chapters, which are one or more major divisions in a book, each complete in itself but related in theme to the division preceding or following it.

Edited works, are collections of scholarly contributions written by different authors and related in theme. A book may have one or more editors.

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, sub-disciplines or field of study. Only proceedings that meet specified criteria are subsidised

4. Criteria for Recognised Research Output

Recognised research output meeting specified criteria are eligible for subsidisation. Below are the criteria for subsidising output of journals, books and proceedings.

Journals

Journals must meet the following minimum criteria to be eligible for inclusion in the list of approved journals:

- (a) The purpose of the journal must be to disseminate research results and the content must support high level learning, teaching and research in the relevant subject area
- (b) Articles accepted for publication in the journal must be peer reviewed
- (c) The majority of contributions to the journal must be beyond a single institution
- (d) The journal must have an International Standard Serial Number (ISSN)
- (e) The journal must be published regularly
- (f) The journal must have an editorial board that includes members beyond a single institution and is reflective of expertise in the relevant subject area
- (g) The journal must be distributed beyond a single institution

For purposes of subsidy, only qualifying journals in the following categories are recognised:

(1) Journals appearing in the following international indices are included in the list of approved journals;

- (a) The Sciences Citation Index of the Institute of Scientific Information (ISI)
- (b) The Social Sciences Citation Index of the ISI
- (c) The Arts and Humanities Citation Index of the ISI
- (d) The International Bibliography of Social Sciences (IBSS)

(2) South African journals not appearing in the above indices, but whose seat of publication is in South Africa and which meet the above minimum criteria are also included in the list of approved journals. These journals are included in a separate index of Approved South African Journals maintained by the Department of Education (DoE) and subject to an annual review.

South African journals are encouraged to adopt a policy of including abstracts in English if the language of the journal is not in English. This will facilitate possible inclusion of the journal in international indices such as the ISI and the IBSS.

The following types of articles appearing in journals are not subsidised.

- (a) Correspondence to the editors
- (b) Abstracts or extended abstracts
- (c) Obituaries
- (d) Book reviews
- (e) News articles
- (f) Advertorials

Books and Proceedings

The Department of Education establishes for each reporting year, an evaluation panel of senior professionals from the higher education community to evaluate all books and proceedings submitted by claiming institutions. This independent panel evaluates books and proceedings together with the relevant accompanying information individually prior to recommending the allocation of units for each book or proceeding based on the following minimum criteria.

Books

- (a) The purpose of the book must be to disseminate original research and new developments within specific disciplines, sub-disciplines or field of study
- (b) The book must be peer reviewed
- (c) The book must have an ISBN number
- (d) The length of the book must be a minimum of 60 pages, excluding references, bibliography, appendices, this being above the minimum norm of 49 pages proposed by the UNESCO definition of a book as a non-periodical literary publication consisting of 49 or more pages, covers excluded

- (e) The target audience of the book must be specialists in the relevant field

The following types of book publications are not subsidised;

- (a) Dissertations and theses
- (b) Text books and study guides
- (c) Inaugural speeches
- (d) Reports forming part of contract research
- (e) Works of fiction

Proceedings

- (a) The purpose of the proceedings must be to disseminate original research and new developments within specific disciplines, sub-disciplines or field of study.
- (b) Articles accepted for publication in the proceedings must be peer reviewed
- (c) The proceedings must have an ISBN number
- (d) The target audience of the proceedings must be specialists in the relevant field

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

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

- (a) Correspondence to the editors
- (b) Abstracts or extended abstracts
- (c) Obituaries
- (d) Book reviews
- (e) News articles
- (f) Advertorials
- (g) Previously published material

5. Allocation of Units

Higher education institutions accrue units based on productivity within subsidised research output for the reporting year. However, the allocation of units is determined by the type of research output and the institutional affiliation of the authors.

Journals

A research article published in an approved journal will be subsidised as a single unit (1 unit), if all the authors are affiliated to the claiming institution. In the case where authors are affiliated with two or more institutions, the subsidy is shared between the claiming institutions.

Books

A book may be subsidised to a maximum of 5 units or portion thereof, based on the number of pages being claimed relative to the total number of pages of the book, if all the authors are affiliated to the claiming institution. A guideline of a minimum of 60 pages, and maximum of 300 pages will be allocated per unit or proportions and multiples thereof, if all the authors are affiliated to the claiming institution. However, where authors are affiliated with two or more institutions, the subsidy is shared between the claiming institutions.

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 (0.5) if all the authors are affiliated to the claiming institution. In the case where authors are affiliated with two or more institutions, the subsidy is shared between the claiming institutions.

6. General

This policy entitled, *Policy and Procedures for the Measurement of Research Output for Public Higher Education Institutions, 2003* will come into effect on 1 January 2005 for the 2004 research outputs.

7. Process and Procedures for the Submission and Evaluation

This section describes the processes and procedures to be followed by institutions in implementing this policy. Institutions must submit their research output annually for the preceding year (n-1) for each reporting year. All claims must be submitted under the signature of the Vice Chancellor, the Deputy Vice Chancellor of Research or the Dean/Director of Research.

Responsibilities of Institutions

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

- (a) be fully acquainted with the policy and procedures
- (b) ensure all information submitted to the Department of Education is accurate
- (c) submit all documents and information timeously
- (d) establish an internal institutional mechanism of screening outputs in terms of this policy prior to submission to the Department of Education, and
- (e) provide peer review reports from two independent assessors that will conduct a preliminary evaluation of submitted books as research output.

Late Submissions

Late submissions of research outputs for the year (n-2) may be considered for evaluation and subsidy. However, such submissions must be accompanied by a motivation from the Vice-Chancellor, Deputy Vice-Chancellor of Research or Dean/ Director of Research stating reasons for the late submission, such as late publication of the journal, book or proceedings by the publisher. Supporting evidence to the motivation will be an added advantage.

Late submissions for years prior to n-2 and or submissions without accompanying motivation will not be considered.

8. Procedures for Journal Research Output

Institution must submit to the Department of Education, on or before **15 May** of each reporting year, **audited** subsidy claims for research output appearing in journals listed in the following indices:

- (a) The Sciences Citation Index of the Institute of Scientific Information (ISI)
- (b) The Social Sciences Citation Index of the ISI
- (c) The Arts and Humanities Citation Index of the ISI
- (d) The International Bibliography of Social Sciences (IBSS)
- (e) The Department of Education (DoE) List of Approved South African Journals

The Department of Education issues on or before 31 January of each calendar year, an official list of journals for each of the above indices, for each reporting year. The list for approved South African journals for 2004 reporting year (n) is included in this policy document as appendix 4.

The auditors' report must contain the following information:

- (a) Name of the institution
- (b) The reporting year (n)
- (c) The number of units being claimed for journal output, listed separately for each of the above indices, for the preceding year (n-1).
- (d) The total number of units being claimed for the year (n-1), and
- (e) if applicable, the number of units being claimed for journal output for the year (n-2), listed separately for each of the above indices, together with a motivation for the late submission.

Guidelines for the Auditors

- (a) Institutions may only utilize their registered external auditors to audit their research output.
- (b) The auditors' report must be issued on the auditors' official letterhead and addressed to the Director General of Education.
- (c) The auditor must express his or her opinion on the institution's subsidy claim for the research output.
- (d) The allocation of units is calculated according to the stipulations of the policy.
- (e) Fractions of units are expressed in decimal form and are rounded off to the first decimal place, for example 12,4.

Inclusion of Journal Titles

Institutions are responsible for proposing the inclusion of journal titles onto the ISI and IBSS indices. However, the Department undertakes to support the inclusion of South African journals onto these indices at the request of institutions. The Department thus does not administer the process for inclusion of journals onto the ISI and IBSS indices.

ISI

The processes and procedures for inclusion of journals onto the ISI indices is outlined by the ISI and available on the web site <http://www.isinet.com/isi/journals/index.html>. The site also includes an updated list of journals recognised by ISI.

IBSS

The processes and procedures for inclusion of journals onto the IBSS indices is outlined by the IBSS and available on the web site

<http://www.lse.ac.uk/collections/IBSS/access/Default.htm>. The site also includes an updated list of journals recognised by IBSS.

Approved South African Journals

South African journals, which in the opinion of the institution, comply with the criteria for inclusion may be proposed for inclusion. A minimum of three consecutive issues must be published for journals with a quarterly or higher publication frequency and one issue for annual publications. The following information accompanied by a physical copy of the journal must be submitted to the Department of Education by **15 June** for the journal to be considered for inclusion, effective the following calendar year;

- (a) Title, including translations if not published in English
- (b) The ISSN of the journal
- (c) Publisher and the publisher's address and contact details
- (d) Frequency of publication
- (e) Evidence that the journal has been published for the minimum prescribed cycle (the most recent 3 copies of 3 consecutive issues for a journal with a quarterly or higher publication frequency, 2 copies, for a journal published semi-annually, and 1 copy for a journal published annually).
- (f) Editorial policy, including evidence of the peer review process
- (g) Editorial Board, the status of the members of the editorial board must be stated together with their institutional affiliations.
- (h) In the case of electronic journals, the journal's internet Uniform Resource Locator (URL).
- (i) Indication of library holdings should be provided.

Removal of Journals from Approved List of South African Journals

South African journals not fulfilling the criteria for approval will be removed from the approved list of South African journals. The Department of Education will periodically sample journals to assess if they continue to meet the criteria. However, institutions and individuals may submit a proposal for the removal of a journal. Proposals must be accompanied by a detailed motivation for the removal of such journals, in particular stating which criteria the journal ceases to fulfil. Such proposals must be submitted to the Department not later than **15 June** every year. Removed journals may be re-submitted after a minimum of three consecutive issues have been published for the journals with a quarterly or higher publication frequency, two issues for semi-annual and one issue for annual journal publications, using the above procedure.

For purposes of transparency, the reasons for removal of journals will be made public.

Amendment of Journal Information

Institutions and editors are encouraged to inform the Department of Education of any change in the information about an approved South African journal. There is no deadline for submission of such information.

9. Procedures for Books and Proceedings

Institution must submit to the Department of Education, on or before **15 May** of each reporting year (n) research output appearing in books and proceedings for the previous year (n-1).

The following information must be provided to the Department of Education electronically as in the format of Appendix 1 and 2 respectively, and accompanied by a physical copy of the book or proceeding for the research output to be evaluated:

Books

- The name of the institution
- The title of the book
- The allocated book number on the spine of each book – *the institution must clearly and sequentially number and label all books. Numbers must be preceded by the letter B, for example B1, B2*
- Editor(s) of the book if applicable
- The International Serial Book Number (ISBN)
- The publisher of the book
- Total number of pages in the book
- Title of the contribution being claimed in the book
- The Classification of Education Subject Matter (CESM) category of the contribution being claimed (see Appendix 3)
- Total number of pages of the contribution being claimed
- Names of author(s) of the contribution being claimed in the book
- Proportion of authors affiliated with the claiming institution relative to total number of authors in the contribution

In addition to the above information, each physical copy of the book must be accompanied by two independent assessments (to be carried out by peers of the authors) of the book and contribution as a research output. The independent assessors are advised to consider the criteria for recognition of a book as a research output. The report of the independent assessors must contain the following:

- Name of the institution
- Name and institutional affiliation of the independent assessor (the assessor should be a peer of the author and should not be affiliated to the claiming institution)
- The title of the book

- The authors of the contribution
- The assessment of the book and contribution as a research output, with reference to the provided criteria for evaluation of books.

Proceedings

- The name of the institution
- The title of the proceedings
- The allocated proceedings number on the spine of each proceedings – *the institution must clearly sequentially number and label all proceedings books. Numbers must be preceded by the letter P, for example P1, P2*
- Editor(s) of the proceedings if applicable
- The International Serial Book Number (ISBN)
- The publisher of the proceedings
- Evidence of peer review
- Title of the contribution being claimed in the proceedings
- The Classification of Education Subject Matter (CESM) category of the contribution being claimed
- Names of author(s) of the contribution being claimed in the book
- Proportion of authors from the institution relative to total number of authors in the contribution

Electronic versions of Appendix 1 and 2 are available on the web site of the Department of Education <http://www.education.gov.za> Books and proceedings without the requisite information and supporting documentation will not be evaluated.

10. Correspondence

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

The Director General
Attention: The Director
 Higher Education Policy and Development Support
 Department of Education

Physical Address:

Room 534
 Sol Plaatje House
 123 Schoeman Street
 Pretoria. 0001

Postal Address:

Private Bag X 895
Pretoria. 0001

Telephone: 012 312 5252
012 312 5048

Facsimile 012 325 4419