



# higher education & training

Department:  
Higher Education and Training  
REPUBLIC OF SOUTH AFRICA

## Research Outputs Appeals Process and Procedure

### 1. Introduction

- 1.1. The *Research Outputs Policy* aims “to encourage research productivity by rewarding quality research outputs at public higher education institutions”. Furthermore, the policy provides guidelines, procedures and processes to public higher education institutions for claiming research subsidy which is measured by approved academic research publications which, in turn, serve as proxy for research conducted at the institutions.
- 1.2. The policy recognises research in journals, books and published conference proceedings which meet set criteria. It states that the focus of subsidy is on “scholarly publishing which refers to publications by scholars (academics and experts) for a niche market consisting mainly of academics and researchers (not normally students)”.
- 1.3. Claiming institutions, therefore, must follow the set procedure and meet the conditions for a successful claim of research subsidy against approved academic publications. It further warns that ‘the Department may consider punitive measures against an institution which persistently makes incorrect claims that compromises the integrity of scholarship or research’.
- 1.4. Moreover, the policy warns against unethical practices in conducting research; its publication and the claiming of subsidy. It cautions institutions to adhere to the criteria as defined in the Policy and that “the Department reserves the right to withhold or reclaim payment of research output subsidy in respect of any publication published in a journal that does not meet the criteria as outlined in this Policy”.

- 1.5. Despite the guidelines, procedures and processes outlined in the policy, experience has shown that each year several submitted publications are not approved as they either do not meet the set criteria or because institutions have not followed the set procedure or assessed to be lacking on scholarship or a combination of the above-stated reasons.
- 1.6. Hitherto, appeals for any type of publication and for whatever reason, had not been allowable and not stated in the policy. Thus, this document outlines the process and procedure for processing appeals for research publications that had not been approved for subsidy allocation in terms of the policy.

## **2. Conditions for Appeals**

- 2.1. Institutions may only appeal a decision of the panel with regards to un-approved book publications and conference proceedings.
- 2.2. For a publication to be considered for appeal, it must have been previously submitted in the immediate previous cycle of year of research publications submissions for purposes of subsidy claim, and must have been explicitly declined in line with criteria, process and procedure of the *Research Outputs Policy*.
- 2.3. Only appeals relating to the verdict of the Department on the content of the publication concerned will be considered. In other words, NO appeals relating to technical requirements will be considered. Institutions must always adhere to technical requirements for research publications submissions.
- 2.4. The lateness of a submission cannot be made a reason and/or excuse for an appeal.

## **3. Procedure for Submission of Appeals**

- 3.1. Appeals must be accompanied by a letter of motivation signed by the authorised Deputy Vice-Chancellor. Appeals submitted without the letter, signed by the authorised person will not be considered.
- 3.2. Appeals must be submitted alongside the institution's research publications submission due on 15 May yearly. The appeals submission must be distinct from the regular submission of research publications and must be clearly marked "APPEALS".

- 3.3. The unique numbers used in the original submission must be retained.
- 3.4. Each document being appealed must be submitted with supporting documentation and substantiation.
- 3.5. The Evaluation panel will assess the appeals and make recommendations to the Department.
- 3.6. An evaluation panel appointed by the Department will review the publication appealed and input on the final determination which may not be re-appealed.
- 3.7. Output units emanating from the appeals will be included in the next research output subsidy allocation of the claiming institutions.

#### **4. Contact Details**

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