

*Policy on the Evaluation of Creative Outputs and Innovations Produced by Public Higher  
Education Institutions (2017)*

**DRAFT IMPLEMENTATION GUIDELNES**

**2019**



**higher education  
& training**

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Department:  
Higher Education and Training  
**REPUBLIC OF SOUTH AFRICA**

## **1. Background**

- 1.1. The purpose of this document is to provide guidelines for universities with regard to the implementation of the *Policy on the Evaluation of Creative Outputs and Innovations Produced by Public Higher Education Institutions* in South Africa. The aim of the policy is to recognise and reward quality creative outputs and innovations produced by public higher education institutions. The policy was published by the Minister of Higher Education and Training in March 2017, for implementation in 2019.
- 1.2. The document is not a replacement of the aforementioned policy, and is only intended as a tool to assist with the implementation of the policy. Where there are conflicts or contradictions with the provisions of the policy, the latter will take pre-eminence.
- 1.3. The first creative outputs submissions are due to the Department of Higher Education and Training (the Department) by 15 November 2019. Thereafter, in the following year, the Department will revise the submission date for claims to align with submissions for publications, which is 15 May each year. This is for ease of subsidy allocation as well as reporting to the institutions.
- 1.4. This document is applicable to the following subfields:
  - Fine Arts and Visual Arts;
  - Music;
  - Theatre, Performance and Dance;
  - Design;
  - Film and Television; and
  - Literary Arts.

## **2. SUBMISSION PROCESS**

- 2.1. When submitting to the Department, universities must adhere to the following:
  - a) Each submission must be accompanied by three peer reviewers' reports from experts in the discipline or sub-field as stated above.

- b) The research office must then consolidate the peer reviews for onward submission to the Department for final evaluation and allocation of units.
- c) The institutional internal evaluation committee must screen and verify the submitted material in order to ensure policy compliance prior to submission to the Department.
- d) All claims must be submitted with a letter of declaration signed by the Vice Chancellor (VC), the Deputy Vice Chancellor (DVC) for Research or equivalent on or before the due date. The letter of declaration must reference the internal evaluation committee members.
- e) Submissions for n-3 will only be applicable for the first two years (2019-2020) of claims, thereafter, institutions will be expected to claim for the year n-1 for each reporting year.

## 2.2. **Departmental Process**

- a) All submissions will be screened and captured and prepared for the subfield panel for evaluations, i.e. check if all supporting documents are attached; correct affiliation; and proportion of contributors etc.
- b) The submission will be categorised and sent to subfield panel members prior to the evaluation date.
- c) On the evaluation day, the subfield panels, chaired by the Departments' advisory panel members, evaluate the outputs and make recommendations for unit allocation.

## 2.3. **What the Research Offices submit to the Department**

- a) **Spreadsheet/template provided by the department capturing all claims.**
- b) **Annotation from the applicant briefly contextualising the work.**

Each creative outputs submission must be accompanied by a written commentary by the artist to contextualise and elucidate the work. The commentary must be between 500 – 700 words and set out the following:

- The overview of the output: a brief outline of the background information relevant to the output.
- Locate the output within the discipline and demonstrate the contribution to new knowledge.
- A publication profile of the output (Venue/s, year of publication, awards received [proof must be attached], etc)
- The conceptual and scholarly framework in which it should be heard or viewed.

**c) Peer review reports**

Institutions must submit three peer review reports to the Department. If an institution received at least two negative peer reviews, it should not solicit any further reviews and should not submit the application to the Department for potential subsidy. Such an application should be considered unsuccessful.

**d) Proof of applicants' affiliation**

The subsidy for research output follows the institutional affiliation of the authors, therefore, assumes that this is where research was carried out. The claiming institution accrues full subsidy if all the authors are affiliated to it. In the case where authors are affiliated with two or more public higher education institutions, the subsidy is shared between the claiming institutions. This principle does not take regard of the order of authorship or proportions of their contributions in the publication being claimed for subsidy.

Each claim must have a clear indication or reference of institutional affiliation of the claiming scholar. In the case of visiting scholars or fellows and retired academics from the claiming institution, a letter from the DVC/Executive Director of Research confirming that the individual's affiliation to the institution (at the time the research was conducted), should be attached and accompanied by proof or supporting documentation. If the output does not make reference to the affiliation of the claiming scholar or institution, a letter from Human Resources Department of the claiming institution, endorsed by the DVC or Executive Director of Research is required.

**e) Proof of any awards received**

Accompanying the submission must be copies of awards received by the scholar/s in relation to the submission or each submission and where such awards exist.

**f) A letter of declaration signed by DVC of Research or equivalent.**

**g) Evidence of the creative outputs**

Verifiable evidence of the accessibility and re-accessibility of the output, which includes any or all of the following forms of public domain:

A picture; MP3; MP4; E-Catalogue; relevant internet Uniform Resource Locator (URL); E-Book; PDF musical scores and the venue(s) in which the output was exhibited/ performed or published in the case of literary arts

For verification purposes, the Department reserves the right to request institutions to submit the actual output for evaluation.

**2.4. DHET advisory panel**

In terms of *Paragraph 74* of the policy, the Department will establish a Creative Outputs Evaluation Panel comprising senior professionals from the higher education community to evaluate all creative outputs submitted by claiming institutions. The DHET advisory panel will be appointed by the Director-General for a term of three years and tasked with the following responsibilities:

- a) Evaluate annual submissions of creative outputs and innovations of public higher education institutions.
- b) Recommend necessary improvements to the *Policy on the Evaluation of Creative Outputs and Innovations produced by South African Public Higher Education Institutions*.
- c) Make recommendations on any other Departmental or sector policies focused on research funding, evaluation or development on the basis of their experience with implementation of the policy.
- d) Make recommendations on efficient implementation of the policy.

- e) Advise on the appointment of sub-panels for the evaluation of creative outputs and innovations.

## 2.5. **Field-specific panels**

Sub-field panels will be appointed by the Deputy-Director General for a term of three years. Sub-panel members are appointed on the basis of field of expertise and they are tasked with the following responsibility:

- a) Evaluate annual submissions of creative outputs and innovations of public higher education institutions and make recommendations for subsidy purposes.

### 3. ALLOCATION OF UNITS

Approved individual submissions can be awarded a maximum of **2 units**. In the case where authors are affiliated with two or more institutions, the subsidy will be shared between the claiming institutions.

The following criteria for unit allocation shall be applied:

	1 Unit	2 Units
<b>1. FINE ARTS AND VISUAL ARTS</b>		
<b>Art production</b>	<ul style="list-style-type: none"> <li>• Exhibition/installation that can be demonstrated to be substantive and which makes evident its discursive engagement.</li> <li>• The output is presented at a local, national or international venue. It makes a contribution to national visual art discourse.</li> <li>• It is of appropriate duration, and demonstrates new research insights.]</li> </ul>	<ul style="list-style-type: none"> <li>• One-person exhibition/installation that is demonstrated to be especially substantive and makes a significant scholarly contribution to national and international visual art discourse.</li> <li>• Travels to at least two venues (national or international) and can demonstrate that the artist has re-conceptualised the exhibition in accordance with the demands of the new contexts.</li> <li>• Can be demonstrated to have involved the artist in a significant number of lectures, colloquia or other engagements of a scholarly nature.</li> </ul>

		<ul style="list-style-type: none"> <li>• It is of appropriate duration and demonstrates more than average preparation time.</li> </ul>
<b>2. MUSIC</b>		
<b>Musical composition (revisit, performance)</b>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• An internationally recognized performance or broadcast or a release on CD of a medium work.</li> </ul> <p style="text-align: center;">OR</p> <ul style="list-style-type: none"> <li>• A nationally recognized performance or broadcast, or a release on CD of a major work (SUN)</li> </ul>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• Is publicly performed by performers of recognised standing, and in a concert venue of recognised standing appropriate to the genre.</li> <li>• Can be demonstrated to have involved the composer in lectures, colloquia, the adjudication of musical works or other public engagements of a scholarly nature.</li> <li>• An internationally recognized performance or broadcast or a release on CD of a major work.</li> </ul>
<b>Solo musical performance</b>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• Is publicly performed in a concert venue of recognised standing appropriate to the genre.</li> <li>• Can be demonstrated to have involved the performer in lecture recitals, colloquia or other public engagements of a scholarly nature.</li> </ul>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• Is publicly performed in a concert venue of recognised standing appropriate to the genre.</li> <li>• Can be demonstrated to have involved the performer in lecture recitals, colloquia or other public engagements of a scholarly nature.</li> </ul>



	<ul style="list-style-type: none"> <li>• Solo musical performance or recital in major national/standard international concert venue as part of a series.</li> </ul>	<ul style="list-style-type: none"> <li>• Solo musical performance or recital in an established international concert venue</li> </ul>
<b>Group performance</b>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• Is publicly performed with co-performers of recognised standing and in a concert venue of recognised standing appropriate to the genre.</li> <li>• Can be demonstrated to have involved the performer in lectures, colloquia, and the adjudication of musical works or other public engagements of a scholarly nature.</li> </ul>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• Is publicly performed with co-performers of recognised standing and in a concert venue of recognised standing appropriate to the genre.</li> <li>• Can be demonstrated to have involved the performer in lectures, colloquia, and the adjudication of musical works or other public engagements of a scholarly nature.</li> </ul>
<b>Conducting / Directing</b>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• Is publicly performed in collaboration with performers of recognised standing and in a concert venue of recognised standing appropriate to the genre</li> <li>• Is privately performed for recording purposes only.</li> </ul>	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates new research insights</li> <li>• Is publicly performed in collaboration with performers of recognised standing and in a concert venue of recognised standing appropriate to the genre</li> <li>• Can be demonstrated to have involved the conductor in lectures, colloquia, the adjudication of musical works or other public engagements of a scholarly nature.</li> </ul>

	<ul style="list-style-type: none"> <li>• Invitation to conduct a leading national/orchestra/choir in an established national concert venue in recognized series.</li> </ul>	<ul style="list-style-type: none"> <li>• Invitation to conduct a leading/international orchestra/choir in established international concert venue in a recognized series.</li> </ul>
<b>3. FILM AND TELEVISION</b>		
	<ul style="list-style-type: none"> <li>• It is of appropriate duration, and demonstrates creative originality and new research insights.</li> <li>• Product/work has acquired limited exposure on a national level through reviews and/or awards.</li> <li>• Contributors have addressed academic audience on their work in respect of their particular discipline or written popular or academic articles in respect of their particular discipline or both.</li> </ul>	<ul style="list-style-type: none"> <li>• A feature-length fiction film or documentary for theatrical exhibition or TV broadcast that demonstrates creative originality and new research insights.</li> <li>• Product/work has acquired widespread national and international critical acclaim through reviews and/or awards.</li> <li>• Contributors have addressed academic audience on their work in respect of their discipline or written popular or academic articles in respect of their particular discipline or both.</li> <li>• Score or script is incorporated into major overseas studio film release.</li> </ul>
<b>4. DESIGN</b>		
<b>Design work</b>	<ul style="list-style-type: none"> <li>• A design project of acceptable scale and complexity at the initiative of the designer to a perceived need or opportunity.</li> </ul> <p>OR</p>	<ul style="list-style-type: none"> <li>• Body of design work of acceptable scale and complexity at the initiative of the designer to a perceived need or opportunity.</li> <li>• Presented in portfolio/catalogue format OR through a solo exhibition/show in a reputable</li> </ul>

	<ul style="list-style-type: none"> <li>• Portfolio of at least three related design projects of acceptable scale and complexity generated at the initiative of the designer to a perceived need or opportunity.</li> <li>• The work must contribute to fresh understanding and stylistic, thematic or conceptual innovation.</li> <li>• The work must be recognised as innovative. Design projects should lead to new or improved insights, solutions, devices, products, processes or uses.</li> <li>• Presented in portfolio/catalogue format OR through a solo exhibition/show in an appropriate public venue/platform.</li> </ul>	<p>gallery or other discipline appropriate public venue/platform.</p> <ul style="list-style-type: none"> <li>• The work must contribute to fresh understanding and stylistic, thematic or conceptual innovation.</li> <li>• Universally adaptable design or features.</li> <li>• Reviewed in international literature.</li> <li>• The work must be recognised as innovative. Design projects should lead to new or improved insights, solutions, devices, products, processes or uses.</li> <li>• Must have physical form, i.e. not just plans or drawings, perhaps a prototype where appropriate.</li> </ul>
<b>5. LITERARY ARTS</b>		
<b>Novels, Novellas and Short Stories</b>	<ul style="list-style-type: none"> <li>• A novel, novella or collection of short stories that can be demonstrated to be especially substantive, compelling and/or complex in terms of its form and content and provide new creative insights.</li> </ul>	<ul style="list-style-type: none"> <li>• A novel, novella or collection of short stories that can be demonstrated to be especially substantive, compelling and/or complex in terms of its form and content and provide new creative insights.</li> <li>• The output that can be demonstrated to have involved the author in a number of public lectures, colloquia and other engagements of a scholarly nature.</li> </ul>

<p><b>Poetry</b></p>	<ul style="list-style-type: none"> <li>• A collection of poetry that can be demonstrated to be especially substantive, compelling and/or complex in terms of its form and content and provide new creative insights.</li> </ul>	<ul style="list-style-type: none"> <li>• A collection of poetry that can be demonstrated to be especially substantive, compelling and/or complex in terms of its form and content and provide new creative insights.</li> <li>• The collection that can be demonstrated to have involved the author in a number of public lectures, colloquia and other engagements of a scholarly nature.</li> </ul>
<p><b>Oral Performance and/or Literature</b></p>	<ul style="list-style-type: none"> <li>• A collection of oral literature that is substantive and/or complex in terms of its form and content and demonstrates new research insights.</li> </ul>	<ul style="list-style-type: none"> <li>• A collection of oral literature that is substantive and/or complex in terms of its form and content and demonstrates new research insights.</li> <li>• The collection that can be demonstrated to have involved the author in a number of lectures, colloquia and other engagements of a scholarly nature.</li> </ul>
<p><b>Creative Non-Fiction</b></p>	<ul style="list-style-type: none"> <li>• A book (whether in the form of a non-fiction novel, a collection of essays, a memoir or any other type of creative non-fiction) that can be demonstrated to be especially substantive, compelling and/or complex in terms of its form and content and demonstrates new research insights.</li> </ul>	<ul style="list-style-type: none"> <li>• A book (whether in the form of a non-fiction novel, a collection of essays, a memoir or any other type of creative non-fiction) that can be demonstrated to be especially substantive, compelling and/or complex in terms of its form and content and demonstrates new research insights.</li> <li>• The output can be demonstrated to have involved the author in a number of public lectures, colloquia and other engagements of a scholarly nature.</li> </ul>

**6. THEATRE, PERFORMANCE AND DANCE**

<p><b>Directing</b></p>	<ul style="list-style-type: none"> <li>• The product is presented on a significant national or an international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and might demonstrate more than average preparation time.</li> <li>• It makes a significant contribution to the national performance landscape in terms of creative originality.</li> </ul>	<ul style="list-style-type: none"> <li>• The product is presented on a significant national or an international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and might demonstrate more than average preparation time.</li> <li>• Approach is extensive, unique, complex, and direction- changing in its discipline.</li> <li>• Demonstrate substantial scholarly engagement</li> <li>• Must have significant international exposure (in terms of performance or reception/response).</li> <li>• Is publicly performed in collaboration with performers of recognised standing.</li> </ul>
<p><b>Theatre-making/Dramaturgy/Choreography</b></p>	<ul style="list-style-type: none"> <li>• The product is presented on a significant national or an international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and might demonstrate more than average preparation time.</li> <li>• It makes a significant contribution to the national performance landscape.</li> </ul>	<ul style="list-style-type: none"> <li>• The product is presented on a significant national or an international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and might demonstrate more than average preparation time.</li> <li>• Approach is extensive, unique, complex, and direction- changing in its discipline.</li> </ul>

	<ul style="list-style-type: none"> <li>• It can demonstrate that it has drawn international attention either in terms of creative originality and performance possibilities in a significant domain.</li> </ul>	<ul style="list-style-type: none"> <li>• Demonstrate substantial scholarly engagement.</li> <li>• Must have significant international exposure (in terms of performance or reception/response).</li> </ul>
<b>Writing</b>	<ul style="list-style-type: none"> <li>• The text has been produced for performance and presented on a significant national or international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and demonstrates more than average preparation time.</li> <li>• It makes a significant contribution to the national performance landscape.</li> <li>• It can demonstrate that it has drawn international attention either in terms of creative originality and performance possibilities in a significant domain.</li> </ul>	<ul style="list-style-type: none"> <li>• The text has been produced for performance and presented on a national or international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and demonstrates more than average preparation time.</li> <li>• Approach is extensive, unique, complex, and direction- changing in its discipline.</li> <li>• Demonstrate substantial scholarly engagement.</li> <li>• Must have significant international exposure (in terms of performance or reception/response).</li> </ul>
<b>Performance</b>	<ul style="list-style-type: none"> <li>• The performance is in a major role or roles in a production of appropriate duration and is performed on a significant national or an international platform and contributes to new research insights.</li> </ul>	<ul style="list-style-type: none"> <li>• The performance is in a major role or roles in a production of appropriate duration and is performed on a significant national or an international platform and contributes to new research insights.</li> </ul>

	<ul style="list-style-type: none"> <li>• The performance itself makes a contribution to and has an impact on the national performance landscape.</li> <li>• It might involve more than average preparation time.</li> <li>• It can demonstrate that it has drawn international attention in terms of critical response and/or scholarship.</li> </ul>	<ul style="list-style-type: none"> <li>• Approach is extensive, unique, complex, and direction- changing in its discipline. Substantial proof of other scholarly engagement with the performance itself needs to be provided.</li> <li>• Must have significant international exposure (in terms of performance or critical reception/response).</li> </ul>
<p><b>Scenography/Design/Performance Technology</b></p>	<ul style="list-style-type: none"> <li>• The work is prepared for presentation on a significant national or an international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and might demonstrate more than average preparation time.</li> <li>• It makes contribution to the national performance and/or production landscape.</li> <li>• It can demonstrate that it has drawn international attention either in terms of scholarship or in terms of production possibilities in a significant domain.</li> </ul>	<ul style="list-style-type: none"> <li>• The work is prepared for presentation on a significant national or an international platform and contributes to new research insights.</li> <li>• It is of appropriate duration and might demonstrate more than average preparation time.</li> <li>• The approach is extensive, unique, complex, and direction- changing in its discipline.</li> <li>• Demonstrate substantial scholarly engagement.</li> <li>• Must have significant international exposure (in terms of production or reception/response).</li> </ul>