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

**IMPLEMETATION GUIDELNES**

**2019**

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**1 Background**

* 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 this policy is to recognise and reward quality creative outputs 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.
  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.
  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.
  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.

1. **SUBMISSION PROCESS** 
   1. When submitting to the Department, Universities must adhere to the following:
2. Each submission must be accompanied by two peer reviewers’ reports from experts in the discipline or subfield as stated above.
3. The research office must consolidate the peer reviews for onward submission to the Department for final evaluation and allocation of units.
4. The institutional internal evaluation committee must screen and verify the submitted material in order to ensure policy compliance prior to submission to the Department.
5. 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.
6. 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.
   1. **Departmental Process**

1. All submissions will be verified by the Department prior to the evaluation i.e. check if all supporting documents are attached; correct affiliation; and proportion of contributors and units claimed.
2. The department will undertake a demo of the online evaluation submission system with subfield panel members prior to the evaluation date.
3. On the evaluation day, the subfield panels, chaired by the Departments’ advisory panel members, evaluate the outputs and make recommendations for unit allocation.
   1. **What the Research Offices submit to the Department:**
4. **Spreadsheet/template provided by the department capturing all claims.**
5. **Annotation from the applicant briefly contextualising the work.**

Each creative output submission must be accompanied by a written commentary by the artist/ applicant to contextualise or elucidate the work. The commentary must be between 500 – 700 words and sets 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.

1. **Peer review reports**

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

In an event there is one positive and one negative review report, a third review report has to be sought.

The institution must make available the physical submission to the reviewers as well as the Department for verification purposes.

1. **Proof of applicants’ affiliation.**

The subsidy for research outputs 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 to the creative output 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 of 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.

1. **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.

1. **A letter of declaration signed by DVC of Research or equivalent.**
2. **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. As well as where necessary, allow for physical access for reviewers.

* 1. **DHET advisory panel**

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

1. Evaluate annual submissions of creative outputs and of public higher education institutions.
2. Recommend necessary improvements to the *Policy on the Evaluation of Creative Outputs and Innovations produced by South African Public Higher Education Institutions (2017)*.
3. Participate in the evaluation process in the respective subfield panels.
4. Provide input on the creative outputs sector report.
5. Provide advice on improving the online evaluation system.
6. Recommend on future improvement and efficient implementation of the policy.
7. Advise on the appointment of sub-panels for the evaluation of creative outputs.
   1. **Field-specific panels**

Sub-field panels are 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:

1. Evaluate annual submissions of creative outputs of public higher education institutions and make recommendations for subsidy purposes.
2. Recommend on unit allocation.
3. Keep the department abreast of current trends and changes in the respective subfields.
4. **ALLOCATION OF UNITS**

Approved individual submissions can be awarded a maximum of **2 units**. In the case where researchers/ academics are affiliated with two or more institutions, the subsidy will be shared between the claiming institutions, the institution should advise on the proportions.

Some of the works submitted for the subsidy may exceed the scholarly contribution guidelines listed below. However, the department is only able to award a maximum of 2 units. Overall the peer reviewers, subpanels and advisory panel should demonstrate confidence that on average the work has achieved the relevant unit level and why the award will be made at this level. Furthermore, positive comments from reviewers that are not covered by the guideline will be taken into consideration.

The evaluation panel will make use of the criteria listed below. These encompass analytical, applied practice lead research, technological and theoretical approaches to the widest domains of the subfields. In order to award the 2 units, the work submitted should demonstrate high levels of artistic thought. Furthermore, it should be thought provoking and show levels of originality and innovation.

Furthermore, the department is considering all comments received on the unit allocation and we will be convening a number of workshops as to concretising the adaptation of the allocation of units.

The following criteria for unit allocation is used:

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|  | **1 Unit** | **2 Units** |
| 1. **FINE ARTS AND VISUAL ARTS** | | |
| **Art production** | * Exhibition that can be demonstrated to be substantive and which makes evident its discursive engagement. * The work is substantial and is of competent contribution to its field. * The work contributes to fresh understanding and/or stylistic, thematic or conceptual innovation in the discipline. * It is of appropriate duration, and demonstrates new research insights. * The work demonstrates professionalism in preparation. * Convincing evidence of preparatory work * The work is technically and conceptually resolved. | * One-person/ solo exhibition/installation that is demonstrated to be especially substantive and makes a significant scholarly contribution to national and international visual art discourse. * Demonstrate the rigor and complexity of the process * Can demonstrate original artistic work and exhibits artists book or electronic format. * Exhibition in a venue appropriate to the output./genre and can demonstrate that the artist has re-conceptualised the exhibition in accordance with the demands of the new contexts. * The work must receive strong recognition from peers in the field (How is this evidenced?) * Can be demonstrated to have involved the artist in a significant number of lectures, colloquia or other engagements of a scholarly nature (Would be difficult to determine at a peer review stage). * It is of appropriate duration and demonstrates more than average preparation time. * Presentation of the work is exemplary in its professionalism throughout. * Evidence of significant and sustained preparatory work * The work demonstrates exemplary technical and conceptual finesse. * Significant contribution to exhibitions by a group or a number of individuals. |
| 1. **MUSIC** | | |
| **Musical composition (revisit, performance)** | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed by performers of recognised standing in an appropriate performance space recognized within the genre * An internationally recognized performance or broadcast or a release on CD of a medium work. * A nationally recognized performance or broadcast, or a release on CD or digital album of a major work | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed by performers of recognised standing, and in an appropriate performance space of recognised standing appropriate to the genre. * A musical composition which either has a score or recording. * Can be demonstrated to have involved the composer in lectures, colloquia, the adjudication of musical works or other public engagements of a scholarly nature. * An internationally recognized performance or broadcast or a release on CD or digital album of a major work. |
| **Solo musical performance** | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed in a concert venue of recognised standing appropriate to the genre. * Solo musical performance or recital in major national/standard international concert venue as part of a series, or a release on CD or digital album. | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed in a concert venue of recognised standing appropriate to the genre. * Can be demonstrated to have involved the performer in lecture recitals, colloquia or other public engagements of a scholarly nature. * Solo musical performance or recital in an established international concert venue or a release on CD or digital album. |
| **Group performance** | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed with co-performers of recognised standing and in a concert venue of recognised standing appropriate to the genre. * Group musical performance or recital in major national/ standard international concert venue as part of a series, or release on CD or digital album. * The performance demonstrates high level of artistic thought and is original and innovative. * 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. | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed with co-performers of recognised/ international standing and in a concert venue of recognised standing appropriate to the genre. * 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. * Group musical performance or recital in an established international concert venue, or release on CD or digital album. |
| **Conducting / Directing** | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed in collaboration with performers of recognised standing and in a concert venue of recognised standing appropriate to the genre or a release on CD or digital album * Is privately performed for recording purposes only. * Invitation to conduct a leading national/ orchestra/choir in an established national concert venue in recognized series. | * It is of appropriate duration, and demonstrates new research insights * Is publicly performed in collaboration with performers of recognised/ international standing and in a concert venue of recognised standing appropriate to the genre, or a release on CD or digital album. * Can be demonstrated to have involved the conductor in lectures, colloquia, the adjudication of musical works or other public engagements of a scholarly nature. * Invitation to conduct a leading/international orchestra/choir in established international concert venue in a recognized series. |
| 1. **FILM AND TELEVISION** | | |
| Fiction full length feature films  Categories that qualify for accreditation include: Script writing, Directing, producing, acting, cinematography, Editing, Set Design and Costume Design. | * It is of appropriate duration, and demonstrates creative originality and new research insights. * Product/work has acquired limited exposure on a national level through reviews and/or awards. * 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. * Scholarly work that is presented in video from which cover the presentation of research and factual information. | * A feature-length fiction film or documentary for theatrical exhibition or TV broadcast that demonstrates creative originality and new research insights. * A product or work that has been displayed in a reputable film festival * The feature film be exhibited publicly Feature films be made available for public access through DVDs. * Product/work has acquired widespread national and international critical acclaim through reviews and/or awards. * 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. * Score or script is incorporated into major overseas studio film release. |
| **Investigative journalism** | * A journalism piece of at least 2,000 words or a broadcast insert of at least 15 minutes * The piece must demonstrate to be an original, topical, systematic, in-depth exploration of a single topic, of high journalistic quality on matters of importance, and which makes evident its discursive engagement with the field; * The output is broadcast or published in a local, national or international news publication or broadcast outlet of recognised standing, but of limited exposure, and which subscribes to a journalistic code of ethics; * It is of appropriate length and demonstrates new research insights. | * Substantial investigative journalism article of at least 4,000 words or a broadcast insert of at least 30 minutes that investigates a single topic of interest deeply; * The article can be demonstrated to be original, topical, systematic, in-depth exploration of a single topic of high journalistic quality on matters of importance, and which makes a significant scholarly contribution to national and international journalistic discourse; * The output is broadcast or published by a local, national or international news outlet of recognised standing, and which subscribes to a journalistic code of ethics; * It is of appropriate length and demonstrates new research insights; * It has substantial exposure and breaks new news, leading to republication and uptake by other news outlets. |
| 1. **DESIGN** | | |
| **Design work encompasses the following design discipline, architectural, built environment, communication, fashion, graphic, industrial, information, interior, jewellery, landscape, multimedia and textile.** | * A design project of acceptable scale and complexity at the initiative of the designer to a perceived need or opportunity. * 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. * The work must be recognised as innovative. Design projects should lead to new or improved insights, solutions, devices, products, processes or uses. * Attributable design standards or other standards, codes of practice, or design guidelines. * Presented in portfolio/catalogue format OR through a solo exhibition/show in an appropriate public venue/platform and demonstrate a higher level of complexity | * Body of design work of acceptable scale and complexity at the initiative of the designer to a perceived need or opportunity. * Presented in portfolio/catalogue format OR through a solo exhibition/show in a reputable gallery or other discipline appropriate public venue/platform. * The work must contribute to fresh understanding and stylistic, thematic or conceptual innovation. * Universally adaptable design or features. * Reviewed in international literature. * The work must be recognised as innovative. Design projects should lead to new or improved insights, solutions, devices, products, processes or uses. * Outputs that meet the standard of the genre or medium that has an appropriate definition of research. * The work must have an incorporation of appropriate practice of the genre, history and theory, * The Submission must demonstrate the methods of making, representation, interrogation and interpretation as integral parts to their production. * Must have physical form, i.e. not just plans or drawings, perhaps a prototype where appropriate. |
| 1. **LITERARY ARTS** | | |
| **Novels, Novellas and Short Stories** | * 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. * A novel, novella or collection of short stories that poses literary merit and language that foregrounds literariness. * A novel, novella or collection of short stories that contributes to the advancement of knowledge, shows originality and scholarly rigor. | * 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. * Works that have been published by a reputable publisher. * 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. * All submitted works should be made publicly available so that reviewers can access it. |
| **Poetry** | * A collection of poetry that can be demonstrated to be especially substantive, compelling and/or complex in terms of its form, adequate use of language and content and provide new creative insights. * The work contributes to fresh understanding and/or stylistic, thematic or conceptual innovation in the discipline. * The collection of poetry will be taught and disseminated providing new insight in a variety of non- conventional ways. | * 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. * 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. |
| **Oral Performance and/or Literature** | * A collection of oral literature that is substantive and/or complex in terms of its form and content and demonstrates new research insights. * The work is substantial and is of competent contribution to its field. * The work contributes to fresh understanding and/or stylistic, thematic or conceptual innovation in the discipline. | * A collection of oral literature that is substantive and/or complex in terms of its form and content and demonstrates new research insights. * The collection that can be demonstrated to have involved the author in a number of lectures, colloquia and other engagements of a scholarly nature. * The oral performance must be research led, that demonstrates creative production that encompasses analytical, historical practice led, technological and theoretical approached to the wide domain of performance. * A performance that illustrated a broad understanding of the subject discipline within any cultural, geographical and historical context. |
| **Creative Non-Fiction** | * 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. | * 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. * The output can be demonstrated to have involved the author in a number of public lectures, colloquia and other engagements of a scholarly nature. |
| 1. **THEATRE, PERFORMANCE AND DANCE** | | |
| **Directing** | * The product is presented on a significant national or an international platform and contributes to new research insights. * It is of appropriate duration and might demonstrate more than average preparation time. * It makes a significant contribution to the national performance landscape in terms of creative originality. * Demonstrate the art form and can be analysed according to its choreography, repertoire of movements, and classified in a national or international context. | * The product is presented on a significant national or an international platform and contributes to new research insights. * It is of appropriate duration and might demonstrate more than average preparation time. * Demonstrate originality in interpreting, staging of the script or text. * Demonstrate the developing of a story idea, * Demonstrate the ability to analyse and visualise scripts and working actors, crew for the finalisation of the product. * Approach is extensive, unique, complex, and direction- changing in its discipline. * Demonstrate substantial scholarly engagement * Must have significant international exposure (in terms of performance or reception/response). * Is publicly performed in collaboration with performers of recognised standing. |
| **Theatre-making/Dramaturgy/Choreography** | * The product is presented on a significant national or an international platform and contributes to new research insights. * It makes a significant contribution to the national performance landscape. * It can demonstrate that it has drawn international attention either in terms of creative originality and performance possibilities in a significant domain. * The production must demonstrate the working methods used, that is the combination of research analysis, and writers’ intuition. | * The product is presented on a significant national or an international platform and contributes to new research insights.   It is of appropriate duration and might demonstrate more than average preparation time.   * Approach is extensive, unique, complex, and direction- changing in its discipline. * The production must demonstrate substantial scholarly engagement. * Must have significant international and or national exposure (in terms of performance or reception/response). * Demonstrate creative process in staging an original piece/ performance. |
| **Writing** | * The text has been produced for performance and presented on a significant national or international platform and contributes to new research insights. * It makes a significant contribution to the national performance landscape. * It can demonstrate that it has drawn international and or national attention either in terms of creative originality and performance possibilities in a significant domain. | * The text has been produced for performance and presented on a national or international platform and contributes to new research insights. * It is of appropriate duration and demonstrates more than average preparation time. * The approach is extensive, unique, complex, and direction- changing in its discipline. * The writing demonstrates substantial scholarly engagement. * The writing must have significant international exposure (in terms of performance or reception/response). * The writing has received positive reviews from peers. |
| **Performance** | * 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. * Must demonstrate that the role has been adequately research and new form of presentation/ performance has been presented on stage. * The performance itself makes a contribution to and has an impact on the national performance landscape. * It might involve more than average preparation time. * It can demonstrate that it has drawn international attention in terms of critical response and/or scholarship. | * 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. * 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. * Must have significant international exposure (in terms of performance or critical reception/response). * Replicability of the performance that demonstrates something that has not been done before. |
| **Scenography/Design/Performance Technology** | * The work is prepared for presentation on a significant national or an international platform and contributes to new research insights. * It is of appropriate duration and might demonstrate more than average preparation time. * It makes contribution to the national performance and/or production landscape. * It can demonstrate that it has drawn international attention either in terms of scholarship or in terms of production possibilities in a significant domain. | * The work is prepared for presentation on a significant national or an international platform and contributes to new research insights. * It is of appropriate duration and might demonstrate more than average preparation time. * The approach is extensive, unique, complex, and direction- changing in its discipline. * The approach demonstrated originality and demonstrate technological and material innovation in terms of its production. * Demonstrate substantial scholarly engagement. * Must have significant international exposure (in terms of production or reception/response). |