



# higher education & training

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

## **Creative Outputs Evaluation Report 2023**

**Published by the Department of Higher Education & Training  
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Pretoria**

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Pretoria  
0001**

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2023**

## Foreword by the Director- General

The report represents the fourth year of implementation of *The Policy on the Evaluation of Creative Outputs and Innovations produced by South African Public Higher Education Institutions* (the Policy). The subsidy serves as a proxy for research activities within the higher education system. It reflects the diverse research efforts across various subfields in higher education institutions.

The 2022 submission cycle reflects a recovery period for the country from the impact of the COVID-19 pandemic. While the number of creative research outputs fluctuates, there is consistent participation from several universities, which is welcomed. Continued implementation of the policy is expected to lead to an increase in submissions from institutions. The research subsidy provided by the government is seen as an investment that will contribute to the growth of research in creative outputs, nurturing academics in these fields.

Gratitude is expressed to all contributors to the implementation of the policy. Appreciation is extended to academics serving on the evaluation panels, the National Research Foundation (NRF), and the National Intellectual Property Management Office (NIPMO) who make this work possible. Partnerships and contributions supporting the growth of creative research within the higher education sector are valued. The report acknowledges the long and sustained partnerships that have contributed to the development and strong implementation of the policy. Further gratitude is extended to all entities and individuals who have played a role in making the policy a success.

Thank you.



Dr Nkosinathi Sishi: Director General

Date: December 2023

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## Acronyms

CPUT	Cape Peninsula University of Technology
CUT	Central University of Technology
DHET/ the Department	The Department of Higher Education and Training
DUT	Durban University of Technology
DVC	Deputy Vice Chancellor
HEIs	Higher Education Institutions
HEMIS	Higher Education Management Information System
MUT	Mangosuthu University of Technology
NIPMO	National Intellectual Property Management Office
NMU	Nelson Mandela University
NRF	National Research Fund
NWU	Northwest University
PBR	Plant Breeders Rights
ROSS	Research Outputs Submission System
RU	Rhodes University
SU	Stellenbosch University
TUT	Tshwane University of Technology
UCT	University of Cape Town
UFS	University of the Free State
UJ	University of Johannesburg
UL	University of Limpopo
UKZN	University of Kwazulu Natal
UNISA	University of South Africa
UP	University of Pretoria
UWC	University of the Western Cape
UoTs	Universities of Technology
WITS	University of the Witwatersrand

## **1. Introduction**

The Department of Higher Education and Training (the Department) each year implements the policy on the Evaluation of Creative Outputs and Innovations produced by South African Public Higher Education Institutions (2017). The purpose of the policy is to recognise and subsidise quality creative research outputs under following subfields:

- Fine and visual arts,
- Music,
- Theatre, Performance and Dance,
- Design,
- Film and Television
- Literary Arts.

Furthermore, the policy recognises patents and Plant Breeder's Rights (PBR). The Department continues its work with the National Intellectual Property Management Office (NIPMO) to implement and evaluate innovations.

All public higher education institutions must submit annually to the Department their subsidy funding claims for creative and innovation research outputs. During the annual evaluations, the Department, working with the appointed advisory and subfield panels, allocates research subsidy based on unit calculations for approved creative and innovation research outputs. The determination of the units to be awarded either 0.5, 1 or 2, is based on the *Implementation Guidelines (2021)* and the policy. Approved submissions can be awarded either 0.5, 1 or 2 units based on author/ creator contribution.

### **1.1. Quality submissions, Research Ethics and Integrity**

The Department relies on all the necessary documents in assessing compliance with the policy. The following must accompany the submissions:

- Two peer reviewer reports which are pertinent for the evaluation process conducted by the sub-field evaluation panels.

- The creative research output must be uploaded onto the institutional repository. Depending on the type of creative research output being submitted, there are instances where some creative outputs cannot be recorded, (such as the subfields of music, theatre performance and dance) (via audio or video) as this may be prohibited in some venues. In such cases, other forms of evidence must accompany the submission to substantiate the creative research process, such as programme notes or commentary from peers who were present during the live performances. While some creative outputs cannot be viewed in their physical format or creative works that were live performances, institutions must ensure that the quality of the images; recordings of site-based works and videos, are of clear and high quality, thus not compromising the quality of their assessment and evaluation.

## **1.2. Research Ethics and integrity**

The policy outlines the principles of research ethics and integrity which must be upheld when submitting claims to the Department. The implementation of the policy is the promotion of the countries strategic vision for higher education, research and development. As with all other research outputs, the subsidy for the creative research outputs is allocated to the institution and not the individual scholars or creators.

## **2. Submission process**

The submission process for the creative research outputs follows a structured and thorough process. Below are the steps and processes involved:

### **2.1. Peer reviews**

The policy allows a three-year submission cycle for researchers to submit their creative research work for accreditation. Researchers must submit their work through their university department, school or faculty. The researcher must provide a portfolio of evidence that is compiled with their research office to ensure compliance with submission requirements as stipulated in the policy.

The Department, in partnership with the National Research Foundation (NRF), has developed the Research Output Submission System (ROSS) to receive and manage the peer review process for submitted items. Communication is sent to universities at the beginning of each year (mid-January) to inform institutions of the opening date of the system for the commencement of the peer review process. Prior to accessing creative research outputs on ROSS, peer reviewers must sign a declaration of conflict of interest and a confidentiality agreement. Further to this, the policy and *Implementation Guidelines* are made available as they must be utilised in the assessment.

Universities set their internal deadlines to ensure that peer reviews are completed before submitting the creative research outputs to the Department by 30 September deadline.

Peer reviewers compile their reports using the template provided on ROSS, returning them to the institutional research office. In the case where one peer review is negative and the other, one is positive; a university must solicit a third review to break the tie. If both reviews are negative, an institution should not proceed with the submission, the output is considered as not meeting the requirements for subsidy. The creative research outputs with two positive reviews are then eligible for onward submission to the department for evaluations.

## **2.2. Institutional evaluation committee**

Following its institutional evaluation, and after satisfying itself with the quality and completeness of the submission, the *Institutional Internal Evaluation Committee* clears the outputs for submission to the Department research subsidy claims.

Universities must adhere to the following when submitting their subsidy claims:

- Each submission must be accompanied by two peer-reviewers reports from experts in the discipline or subfield.
- The institutional internal evaluation committee must screen and verify submissions to ensure policy compliance and adherence to quality standards prior to submission to the Department.

- The institutional research office must consolidate the peer-review reports for onward submission on ROSS to the Department for verification, final evaluation and allocation of subsidy.
- All claims must be submitted with a cover letter of declaration<sup>1</sup> signed by the Deputy Vice-Chancellor: Research or equivalent, on or before the due date. The letter of declaration must reference the internal evaluation committee members.
- Acceptable submissions will have been produced in the prior three-year period to the submission date.

### **2.3. Evaluation process**

Prior to the evaluation process, the Department verifies the compliance of submitted creative research outputs with policy requirements. Submissions meeting the requirements are allocated to the appointed subpanel members prior to the evaluation meeting taking place. Subpanel members have a month for preparatory work before the evaluations. Subfield panel members can view items of their respective subfields, except that of their own institution.

In determining whether to award (along with a recommendation for a unit) or decline a creative research output, the subpanel members consider the two peer review reports and the physical output uploaded on ROSS. During the subpanel evaluation meeting, each member presents and leads the discussion on items that were allocated to them. A decision is then made by the panel considering opinions and recommendations from each member; two peer review reports; and the physical output, to either award 0.5<sup>2</sup>, 1 or 2 units or decline the creative output.

The evaluation meetings for the respective subfields took place online from 20- 23 February 2023. All discussions of the individual panels were recorded. A debriefing of the evaluation process between the Department and the advisory panel took place on 24 February 2023. Such a process ensures a comprehensive and standardised evaluation

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<sup>1</sup> The Departments DVC sign-off form is on page 34 (appendix 1) of the Implementation Guidelines (2021).

<sup>2</sup> This is the second round of evaluation where the 0.5 unit has been implemented by the Department.

of creative research outputs for subsidy claims and maintains transparency and consistency in the process.

#### 2.4. Advisory panel

The Department continues its work with the appointed advisory panel which comprises of senior professionals from the higher education sector. Their role is to oversee/ chair the process of the evaluations. Members of the advisory panel are appointed for a three-year term and are tasked with the following:

- a) Advising the Department on the best processes and procedure for efficient assessment of the creative outputs
- b) Ensuring that the creative research outputs are aligned with the policy,
- c) Advising the Department on policy improvements, and
- d) Chairing the respective subfield panels during the annual evaluation meetings.

The advisory panel is chaired by Associate Professor René Smith, Head of School Art at the University of the Witwatersrand. The full complement of the Advisory Panel is presented below in Table 1.

*Table 1: Composition of Advisory Panel*

Subfield Panel	Chair	Institution
Advisory Panel Chair	Professor Rene Smith	WITS
Fine arts and Visual Arts	Professor Elizabeth Gunther	SU
Music	Professor Mario Nell	SU
Film and Television	Professor Lincoln Theo	CPUT
Theatre, Performance and Dance	Professor Janine Lewis	TUT
Design	Professor Ian Low	UCT
Literary Arts	Prof Mokgale Makgopa	UNIVEN
Innovations	Dr Nqobile Gumede	NMU

## 2.5. Subfield panels

The subfield panels are entrusted with identifying the quality, academic rigour, innovation, creativity, and research from the submissions in respect of their academic disciplines. The following criteria of creative research inquiry, as stipulated in the policy, are assessed:

- **Originality:** whether the output contributes to fresh understanding and or, stylistic, thematic or conceptual innovation in the discipline: and
- **Relevance:** whether the creative output demonstrates intellectually and creatively informed responses to the subject
- **Newness:** whether the creative output can be understood to indicate a given work that has never been accredited for subsidy before.

In assessing the creative research output and deciding on unit allocation, the evaluation panels refer to the applicant annotation, the two peer review reports, and the submitted output. During the deliberations, the evaluation panel acknowledges that the quality creative research output can enter the public domain in a range of traditional or experimental forms, context and methods, including the analytical, applied, practice-led research and technological and theoretical embodiment.

## 3. Creative Outputs 2022

Submitted creative research outputs are evaluated by the respective appointed subfield panels using the policy and Implementation Guidelines (2021)<sup>3</sup>. As indicated above, units are then allocated based on the assessment of the peer reviewer reports, the actual creative research output and the recommendation from the panel. Below is a breakdown of submitted items that were evaluated for the 2022 cycle.

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<sup>3</sup> The Implementation Guidelines (2021) outline the process and procedure for submission, but also expand on the number of units that can be allocated ranging from 0.5, 1 or 2 units.

### 3.2. Creative outputs submissions

It appears that the submission cycle for creative research outputs has remained stable, with consistent participation from universities and a steady increase in the number of creative research outputs received. The 2022 cycle has shown the following key points.

- **Participation rate:** The participation rate from universities has remained consistent, indicating that universities are actively involved in submitting their creative research outputs.
- **Consistent number of universities submitting claims:** The number of universities participating in the creative outputs has remained stable, with a total of fifteen universities submitting their subsidy claims. For last year's cycle sixteen universities submitted.
- **Comprehensive universities:** the institutions from UJ, UWS, UNISA are submitting the majority of outputs. This suggests that these universities are primary contributors in the creative research initiatives.

Of the fifteen universities, seven are traditional universities (NWU, RU, SU, UCT, UFS, UP, WITS and UCT), this has decreased from eight in 2021. The number of Universities of Technology (UoTs) submitting has remained the same, (CPUT, DUT and TUT), with participation changing from CUT to CPUT. There has been a slight change in participation rate from comprehensive universities (UJ, NMU, WSU and UNISA), with participation from (UJ, NMU and UNISA) remaining the same. Table 2 further shows that the comprehensive universities submit most outputs. The table further shows the number of items that were approved and declined by the evaluation panel.

Overall, there Department continues to maintain consistent and active engagement with the sector for the submission of creative research outputs, with a slight increase in submissions. Additionally, the distribution of submissions across the institutional types of universities, provides valuable insights into the source of the creative research outputs.

Table 2: Overall submission rate

Institutions	2019				2020				2021				2022				Cumulative Total
	Main Panel Approved	Main Panel Rejected	2019 Total	Main Panel Approved	Main Panel Rejected	2020 Total	DHET Rejected <sup>4</sup>	Main Panel Approved	Main Panel Rejected	2021 Total	Peer Review: Approved, 1 x Rejected	2021 Total	Main Panel Approved	Main Panel Rejected	2022 Total	Peer Review: Approved, 1 x Rejected	
SU	45	42	87	29	10	39		40	3	43		43	33	5	38		207
UFS	6	19	25	6	28	37		22	7	30	1	30	12	6	18		110
UP	12	3	15	34	4	38	1	18	4	23		23	18	2	20		96
WITS	8	3	11	13	9	23		9	5	18	4	18	12	8	20		72
UJ	3	3	6	22	6	28		8	3	11		11	14	2	16		61
UCT	18	7	25	8	1	9		3	8	11		11	8		9	1	54
UNISA		1	1	14	7	21		7	1	8		8	9	2	12	1	42
NMU	6	2	8	11	3	14	1	1	3	5		5	1	2	3		30
TUT				9	5	14		4		4		4	4	5	11	2	29
DUT		7	7	6	3	9	1	3	2	6		6	2	2	4		26
RU	3	1	4	3		4		1	2	3		3	2	2	4		15
NWU				8	3	11							2		2		13
UWC	2		2	4	4	8							1	2	3		13
CPUT				3	1	4			1	1		1	1	1	2		7
CUT	1	2	3	1	2	3		1		1		1					7
WSU													4		4		4
UKZN	1		1	2		2		1		1		1					4
UL				2	1	3											3
<b>Total</b>	<b>105</b>	<b>90</b>	<b>195</b>	<b>175</b>	<b>87</b>	<b>267</b>	<b>3</b>	<b>118</b>	<b>39</b>	<b>165</b>	<b>5</b>	<b>165</b>	<b>123</b>	<b>39</b>	<b>166</b>	<b>4</b>	<b>793</b>

<sup>4</sup> Upon compliance assessment from the Department, some creative outputs can be rejected on the system if they do not meet the technical requirements.

### 3.3. Submission rate from universities

Table 3 provides a breakdown of units awarded to institutions during the last four-year submission cycle. It categorises items based on their status on ROSS. The summary of the categories and the trends reflected in the table are discussed below:

- **Approved by main panel:** These are items that have successfully made it to the evaluation stage and have been assessed and awarded units by the evaluation panel. These items are eligible for subsidy.
- **Declined by main panel:** items that have been evaluated by the main panel and have been declined for subsidy. Detailed reasons are provided to institutions through the sector reports distributed each year.
- **Peer review deadline missed:** These items did not receive two positive reviews before the deadline. They cannot be rolled over as they fall outside the n-3 range, which means they are not eligible for subsidy.
- **Submitted for peer review:** These items that have been uploaded to ROSS and are waiting for the peer review. When at least one peer reviewer begins, the status changes to under peer review.

The table reflects the status of items in the system over the last four-year cycle, offering an overview of items that are eligible for subsidy and those that are not. Overall, there is a noticeable fluctuation in the number of submissions received each year. The highest number of submissions was in 2020 with 267 items uploaded on the system. However, there was a decline in the number of submissions to the department from 2021-2022 with 165 and 166 items, respectively. The decline in numbers can be attributed to COVID-19, as this impacted greatly how some creative works were created, performed and entered the public domain, and this may have led to a decrease in submissions during those years.

The table provides valuable insights into the dynamics of the submission and evaluation process for creative research outputs, with external factors such as the COVID-19 pandemic influencing the trends in submission numbers.



### **3.4. Evaluated creative research output Submission 2022 cycle**

Table 3 provides a breakdown of submissions received from universities (15 out of 26) for the 2022 cycle. These items are categorised as explained above, approved by main panel, declined by main panel, peer review deadline missed and under peer review- these are items that are currently in the peer review process and have not yet been evaluated by the main panel<sup>5</sup>.

Table 3 further reflects the approval ratio for each university, and this is calculated based on the number of approved items submitted by the respective institutions. The approval percentage is based on levels of compliance with the qualities and technical compliance demanded by the policy. The overall approval ratio for the sector in 2022 is 75.26% which is a slight increase from last year which was 74.12%.

The table further demonstrates the rejection ratio per institution. The rejection ratio per institution indicates the proportion of submitted items that did not adhere to the technical compliance stipulated in the policy and were subsequently declined. For some universities, a higher rejection ratio may suggest a need for improvement in meeting the policy's technical and quality compliance requirements.

Institutional reports compiled by the Department provide detailed reasons for each rejected output, and this is an essential step for universities to understand the specific issues and areas of improvement. These reasons can help universities address the shortcomings/ technical compliance issues and enhance the quality and compliance of submitted creative research outputs. The reporting on the approval ratio is an essential tool for the Department and the sector to track and assess the quality and compliance of the creative research outputs from the sector. The increase in the sectors approval suggests a positive trend in meeting the policy requirements.

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<sup>5</sup> The submission cycle for the creative research outputs permits submission items to be carried over to the following year of evaluations provided they comply with the policy requirements. This means there is continuity in the evaluation process across multiple years. Further, the Department has noted that there may be some applicants working on long term projects that span several evaluation cycles.

Table 3 evaluated creative research outputs submission, 2022

Institution	Approved items	Main panel declined	Evaluated items	Units awarded	Approval Ratio	Rejection Ratio
SU	36	5	41	39.1999	87.80%	12.20%
UJ	16	2	18	19	88.89%	11.11%
WITS	15	8	23	17.8333	65.22%	34.78%
UP	18	2	20	16.9166	90.00%	10.00%
UNISA	12	3	15	11.2222	80.00%	20.00%
UCT	8		8	10.8078	100.00%	0.00%
UFS	12	6	18	10.5	66.67%	33.33%
TUT	4	5	9	4.5	44.44%	55.56%
NMU	3	3	6	4	50.00%	50.00%
WSU	4		4	3.5	100.00%	0.00%
RU	3	4	7	3	42.86%	57.14%
UWC	1	3	4	2	25.00%	75.00%
CPUT	1	2	3	2	33.33%	66.67%
NWU	2		2	1.5	100.00%	0.00%
DUT	2	2	4	1.5	50.00%	50.00%
UNIZULU			0			
UKZN			0			
UL			0			
<b>Total</b>	<b>137</b>	<b>45</b>	<b>182</b>	<b>147.4798</b>	<b>75.27%</b>	<b>24.73%</b>

### 3.5. Unit allocation

Figure 1 read along with tables 2 and 3 highlights the overall trends related to the distribution of units to institutions over a period of four years. The overall units reflect creative research outputs that were carried over the previous cycles and were evaluated and awarded in the respective financial years. Figure 1 illustrates the trends of distribution of units accrued by institutions over a period of four-years.

Table 2 and 3 provide detailed data on the distribution of units to each institution, and their overall percentage proportion in the sector.

Figure 1: overall units accrued per institution 2019-2022

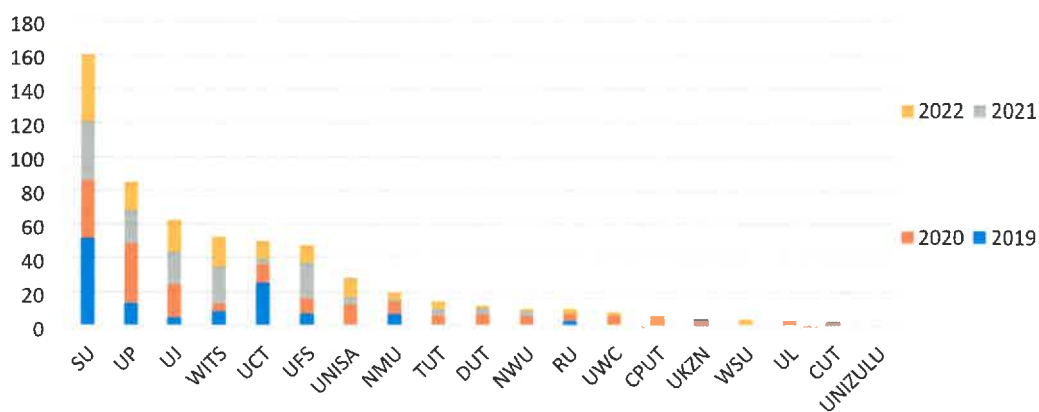


Figure 1 shows that SU has received the largest portion of units awarded to the sector. This can be influenced by factors like the overall number of items submitted by the institution. When comparing Figure 1 with Table 2, it appears that for some institutions such as SU, UP and UJ they have not only received a significant share of units but also have a positive outcome in terms of participation and compliance with policy requirements. This suggests that they are effectively producing high-quality creative research outputs and successfully meeting the policy criteria. The high proportion of units accrued suggests strong participation and performance in creative research.

The data and figures gathered thus far indicate that historically disadvantaged institutions (HDIs) do not feature prominently in the submission and participation of creative research outputs. There is an expressed need for increased participation from HDIs, likely as a means to promote diversity, equity, and inclusion in the production of creative research

outputs. The data suggests that there may be a need for greater efforts to promote increased participation from HDIs in the submissions of creative research outputs.

Table 4 Overall Units awarded for creative research outputs 2019-2022

Institution	Creative Outputs												Grand Total				
	2019				2020				2021					2022			
	#items	units	Proportion of sector units	#items	units	Proportion of sector units	#items	units	Proportion of sector units	#items	units	Proportion of sector units		#items	units	Proportion of sector units	
CPUT	0	0.00%	0.00%	4	4	2.32%	1	0	0.00%	2	2	1.36%	2	2	1.04%		
CUT	3	1	0.81%	3	1	0.58%	1	0.6666	0.50%	0	0	0.00%	0	0	0.46%		
DUT	7	0	0.00%	9	7	4.05%	6	3.3334	2.48%	4	1.5	1.02%	4	1.5	2.05%		
NMU	8	7	5.69%	14	7.3333	4.24%	5	1	0.75%	3	4	2.71%	3	4	3.35%		
NWU	0	0	0.00%	11	6	3.47%	2	2.5	1.86%	2	1.5	1.02%	2	1.5	1.73%		
RU	4	3	2.44%	4	4	2.32%	3	0	0.00%	4	3	2.03%	4	3	1.73%		
SU	87	51.6665	41.97%	39	34.445	19.94%	43	34.53	25.74%	38	39.1999	26.58%	38	39.1999	27.68%		
TUT		0	0.00%	14	6.111	3.54%	4	3.5	2.61%	11	4.5	3.05%	11	4.5	2.44%		
UCT	25	25.2858	20.54%	9	10.9167	6.32%	11	3	2.24%	9	10.8078	7.33%	9	10.8078	8.66%		
UJ	6	5	4.06%	28	19.3333	11.19%	11	19	14.16%	16	19	12.88%	16	19	10.79%		
UKZN	1	1	0.81%	2	2	1.16%	1	1	0.75%	0	0.00%	0.00%	0	0.00%	0.69%		
UL	0	0.00%	0.00%	3	0	1.74%	0	0	0.00%	0	0.00%	0.00%	0	0.00%	0.52%		
UP	15	13.3095	10.81%	38	35.374	20.48%	23	19.25	14.35%	20	16.9166	11.47%	20	16.9166	14.69%		
UNISA	1	0	0.00%	21	12.8333	7.43%	8	4.2352	3.16%	12	11.2222	7.61%	12	11.2222	4.90%		
UFS	25	7.3333	5.96%	37	9	5.21%	30	20.4999	15.28%	18	10.5	7.12%	18	10.5	8.20%		
UWC	2	0	0.00%	8	5.75	3.33%		0.26	0.19%	3	2	1.36%	3	2	1.39%		
WITS	11	8.4999	6.91%	23	4.667	2.70%	18	21.3888	15.94%	20	17.8333	12.09%	20	17.8333	9.07%		
WSU	0	0	0.00%	0	0	0.00%	0	0	0.00%	4	3.5	2.37%	4	3.5	0.61%		
<b>Total</b>	<b>195</b>	<b>123.095</b>	<b>100.00%</b>	<b>267</b>	<b>172.7636</b>	<b>100.00%</b>	<b>165</b>	<b>134.1639</b>	<b>100.00%</b>	<b>166</b>	<b>147.4798</b>	<b>100.00%</b>	<b>166</b>	<b>147.4798</b>	<b>100.00%</b>		

### 3.6. Creative outputs per subfield

Table 5 shows a breakdown of the distribution of units to institutions and across the subfields for the 2022 submission cycle. The patterns of proportion of units per subfield have remained similar to those of the previous cycles where music accrued the largest percentage 39.93% followed by fine arts 32.91%. Notably, there has been a substantial increase in the units accrued in the subfield of fine arts compared to the previous year, where it was 22.11%. This suggests a significant growth in fine arts-related creative research outputs in the 2022 cycle. Music and fine arts continue to be the two subfields that receive the largest number of submissions, reflecting their dominance in the creative research field. These subfields are not only popular but also successful in terms of unit allocation.

Table 5: units awarded by subfield per institution 2022

Institution	Design	Film	Fine Arts	Literary Arts	Music	Television	Theatre, Performance and Dance	Total	% of sector total
SU			3.0333	11	24.1666		1	39.1999	26.58%
UJ	1.5	3	10.5	2.5			1.5	19	12.88%
WITS		0	4.5	1	10.3333		2	17.8333	12.09%
UP	0.5		4.5		9.6666		2.25	16.9166	11.47%
UNISA			8.5		2.7222			11.2222	7.61%
UCT			7	1	2		0.8078	10.8078	7.33%
UFS			3	1	4.5		2	10.5	7.12%
TUT	0		3.5		1			4.5	3.05%
NMU			0	2	2	0		4	2.71%
WSU				3.5				3.5	2.37%
RU	1			0	1		1	3	2.03%
UWC			2		0		0	2	1.36%
CPUT	0		2					2	1.36%
NWU					1.5			1.5	1.02%
DUT			0				1.5	1.5	1.02%
UNIZULU							0	0	0.00%
UKZN					0			0	0.00%
UL									0.00%
<b>Total</b>	<b>3</b>	<b>3</b>	<b>48.5333</b>	<b>22</b>	<b>58.8887</b>	<b>0</b>	<b>12.0578</b>	<b>147.4798</b>	<b>100.00%</b>

%Total	2.03%	2.03%	32.91%	14.92%	39.93%	0.00%	8.18%	100.00%
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SU accrued the largest portion of units in 2022, with music being the dominant subfield, followed by fine arts and visual arts. This reflects SU's strong presence and performance in creative research, particularly in the field of music. The distribution of units across subfields follows a pattern like that of SU in other institutions. SU, UJ, WITS, UP, UNISA, UCT, and UFS collectively accounted for 85.08% of the units in the sector. This indicates that a small group of institutions, including SU, are consistently at the forefront of creative research output production.

Overall table 5 consistently highlights the dominance of music and fine arts across the subfields and fine arts has experienced significant growth. The table further shows the role of specific institutions in driving creative research production across the sector. It will be interesting to note the growth of other subfields throughout the implementation of the policy. The following sections of the report discuss in detail individual subfields.

### 3.6.1. Music

From the last four-year cycle of submissions, music continues to accrue the highest number of units. The data further shows there has been consistent submissions from institutions, namely SU, UP, WITS, UFS and UNISA further to this, these institutions accrue the largest share of units.

There also has been a growth on the number of institutions submitting where in 2019, seven institutions submitted, and this has increased to 10 in 2022. It should be noted that the number of institutions submitting fluctuates across the submission years.

Table 6 Units accrued in the Music Subfield 2019-2022 submission cycles.

Institution	2019	2020	2021	2022	Cumulative Total
SU	36.6665	14.16	28.53	24.1666	103.5231
UP	11.3095	19.374	8.75	9.6666	49.1001
WITS	6	1.667	11.8888	10.3333	29.8891

UFS	3		11.4999	4.5	18.9999
UNISA		7.8333	3.2352	2.7222	13.7907
UCT	9.2858	0.4167	1	2	12.7025
NMU	2	5.3333	1	2	10.3333
NWU	0	4	2.5	1.5	8
TUT		2.4444	2	1	5.4444
RU	2	0		1	3
UJ		2	1		3
UKZN		2	1	0	3
UWC		0.5	0.26	0	0.76
UNIZULU					
<b>Grand Total</b>	<b>70.2618</b>	<b>59.7287</b>	<b>72.6639</b>	<b>58.8887</b>	<b>261.5431</b>

Table 7: units accrued per subcategory in the music subfield 2022

Institution	Conducting / Directing	Group Performance	Music Compositions	Solo Music Performance	Grand Total	% of Total
SU	3	2.6666	13.5	5	24.1666	41.04%
WITS			10.3333		10.3333	17.55%
UP	2.6666	2.5	2.5	2	9.6666	16.42%
UFS	1	3.5			4.5	7.64%
UNISA		0.2222	2.5		2.7222	4.62%
UCT			2		2	3.40%
NMU	1	1			2	3.40%
NWU			0.5	1	1.5	2.55%
RU				1	1	1.70%
TUT		1	0		1	1.70%
UKZN		0			0	0.00%
UNIZULU						0.00%
UWC				0	0	0.00%
<b>Grand Total</b>	<b>7.6666</b>	<b>10.8888</b>	<b>31.3333</b>	<b>9</b>	<b>58.8887</b>	<b>100.00%</b>
<b>Grand Total</b>	<b>13.02%</b>	<b>18.49%</b>	<b>53.21%</b>	<b>15.28%</b>	<b>100.00%</b>	

Table 7 provides a breakdown of units across different subcategories within the music subfield and highlights the distribution of subsidy allocation. It further shows that music

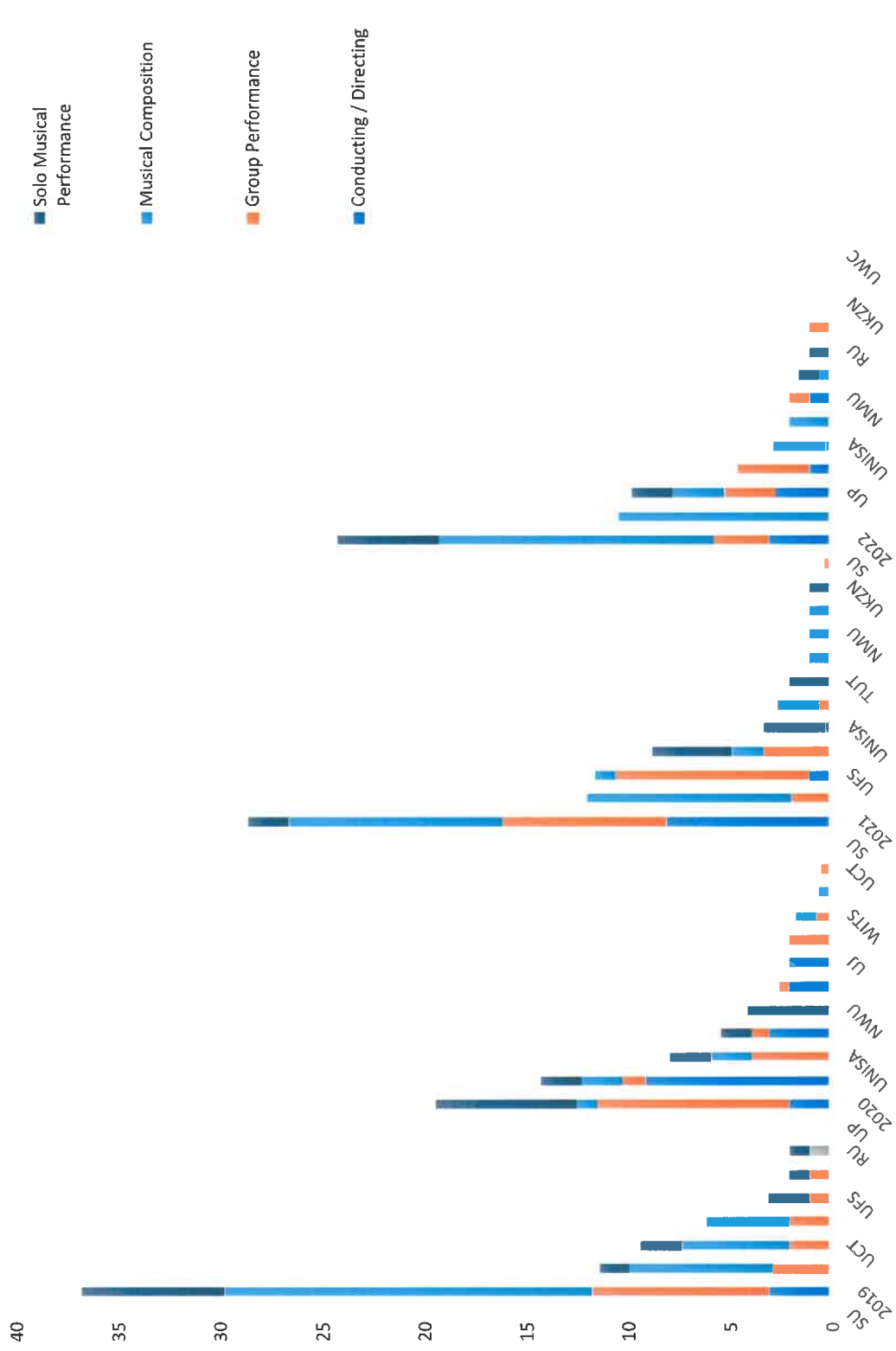
compositions accrued the majority of units accounting for 52.21% of the total. Group performance and solo music performance followed with 18.39%, and 15.28% of the units respectively. Conducting directing accrued 13.02% of the units for the music genre.

The data indicates a consistent trend where music compositions consistently attract the largest portion of the subsidy, a pattern noted from the previous cycle. This suggests a strong emphasis on and recognition of the value of music composition in the creative research landscape.

Figure 2 further illustrates the breakdown of units accrued per subcategory over the last four-year period. It would be insightful to analyze the trends in unit allocation for each subcategory over time, identifying any shifts or patterns in the distribution of subsidy across subcategories within the music genre.

Table 7 and Figure 2 highlight the dominance of music compositions in terms of subsidy allocation within the music genre. This information provides valuable insights into the specific areas within the music field that receive greater attention and recognition in the context of creative research outputs.

Figure 2: Music subcategory 2019-2022



### 3.6.2. Fine Arts visual arts

Table 8: Units accrued in fine arts 2019-2022 submission cycle

Institution	2019	2020	2021	2022	Cumulative Total	% of sector Total
UJ	3	9	9	10.5	31.5	19.44%
UCT	15	5	0	7	27	16.66%
UP	0	13	9	4.5	26.5	16.35%
SU	8	6	2	3.0333	19.0333	11.75%
UNISA	0	5	1	8.5	14.5	8.95%
UFS	2	5	2.5	3	12.5	7.71%
WITS	0.8333	1	4.5	4.5	10.8333	6.69%
NMU	4	1		0	5	3.09%
TUT	0	0	1	3.5	4.5	2.78%
CPUT		1		2	3	1.85%
UWC	0	0		2	2	1.23%
RU	0	2			2	1.23%
CUT	1		0.6666		1.6666	1.03%
UKZN	1		0		1	0.62%
DUT	0	1	0	0	1	0.62%
NWU		0			0	0.00%
<b>Total</b>	<b>34.8333</b>	<b>49</b>	<b>29.6666</b>	<b>48.5333</b>	<b>162.0332</b>	<b>100.00%</b>
<b>%Total</b>	<b>21.50%</b>	<b>30.24%</b>	<b>18.31%</b>	<b>29.95%</b>	<b>100.00%</b>	

Table 8 shows an overview of the units accrued per institution in the subfield of fine arts. The table indicates a decline in the number of institutions submitting subsidy claims in 2022, with a total of eleven universities. Institutions such as UJ, UCT, UP, SU, UNISA, UFS, and WITS have consistently submitted over the four-year period and accrued the majority 87.55% of units. These institutions play a prominent role in the submission landscape for fine arts.

In 2020, the highest portion of units were accrued accounting for 30.24%. In 2022, the second highest portion was recorded accounting for 29.95%. The submission patterns

and accrual of units in the subcategory of fine arts continue to fluctuate. In 2021, mixed media constituted the majority of submissions and accrued units. However, in 2020, artist books accrued a higher number of units, closely followed by mixed media. The fluctuations in submission patterns highlight the evolving nature of contributions in the fine arts subfield, and these changes may be influenced by various factors, including trends in artistic expression and academic emphasis. With the continued implementation of the policy, one should be able to gauge the area of submission.

Over the four-year cycle, there has been an increase in the number of submitted items in the subfield of fine arts, indicating a gradual growth in participation from universities, and this has resulted in growth in participation and approval rate. The overall approval rate has also improved, suggesting a positive trend in meeting the policy requirements and standards for fine arts submissions.

There is a noted trend where researchers, when uncertain about where to submit their creative research outputs, tend to submit them in the fine arts subfield. This is identified as a potential issue, as researchers should ideally be aware of the specific area they aim to contribute to, rather than relying on the panel to determine the appropriateness of the submission. The panel's role is to assess technical and intellectual merit rather than classify the output.

Tables 8 and 9 provide insights into the dynamics of fine arts submission patterns, participation rate from institutions and the challenges encountered with the classification of submissions. The fluctuations in subcategory preferences and the noted trends emphasize the need for clarity and awareness among researchers regarding the appropriate categorization of their creative research outputs.

Table 9 units accrued per subcategory in the field of fine arts 2022 submission cycle

Institution	Artists books	Drawing	Installation	Mixed Media	Multimedia	Online art	Other	Painting	Performance	Sculpture	Video art	Total	% of the sector
UJ			3	0			3.5				2	10.5	21.63%
UNISA		0	2.5	6			0					8.5	17.51%
UCT			2					2			3	7	14.42%
WITS			3				0		1	0.5		4.5	9.27%
UP		2					0.5	2				4.5	9.27%
TUT								3		0.5		3.5	7.21%
SU	2	0.5			0.3333	0	0.2					3.0333	6.25%
UFS				3								3	6.18%
CPUT				2								2	4.12%
UWC			2							0		2	4.12%
RU													0.00%
UKZN													0.00%
NMU	0											0	0.00%
DUT					0							0	0.00%
<b>Total</b>	<b>2</b>	<b>2.5</b>	<b>14.5</b>	<b>11</b>	<b>0.3333</b>	<b>0</b>	<b>4.2</b>	<b>7</b>	<b>1</b>	<b>1</b>	<b>5</b>	<b>48.5333</b>	<b>100.00%</b>
<b>% of Total</b>	<b>4.12%</b>	<b>5.15%</b>	<b>29.88%</b>	<b>22.66%</b>	<b>0.69%</b>	<b>0.00%</b>	<b>8.65%</b>	<b>14.42%</b>	<b>2.06%</b>	<b>2.06%</b>	<b>10.30%</b>	<b>100.00%</b>	<b>%</b>

### 3.6.3. Theatre, Performance and Dance

Table 10 provides an overview of the units accrued by institutions in the subfield of theatre, performance and dance over the last four years. The table shows steady growth in the accrual of units from 2019 to 2020. There was a noticeable increase in 2020 accounting for 47.92% of the overall units accrued. However, a significant decline was observed in 2021 accounting for 18.36% of the units accrued. This decline is attributed to the COVID-19 pandemic, which limited performances and imposed strict protocols.

For the 2022 cycle, there has been a slight increase noted in the overall units accrued in the subfield of theatre, performance and dance. This increase may indicate a partial recovery or adaptation from universities to the challenges posed by the pandemic. The subfield of theatre, performance and dance has experienced considerable growth since the implementation of the policy in 2019. Institutions such as SU, UFS, WITS, and UFS have accrued the largest percentage of the sector proportion, accounting for 65.36%. These institutions play a prominent role in the subfield and have contributed significantly to the overall units accrued.

It would be of interest to note changes in the overall participation of the 26 public universities in the implementation of the policy. Overall, it has been noted that only 11 of the 26 universities participate in this subfield. Understanding the broader participation can provide insights into the overall impact and effectiveness of the policy across a diverse range of institutions.

*Table 10: Units accrued Theatre, Performance and Dance 2019-2022 Submission Cycle*

Institution	2019	2020	2021	2022	Total	%of Sector Total
SU	4	6	1	1	12	22.41%
UJ		5	3	1.5	9.5	17.74%
WITS		2	3	2	7	13.07%
UFS	2	1	1.5	2	6.5	12.14%
UP		2		2.25	4.25	7.94%
RU		2		1	3	5.60%
DUT	0		1.3334	1.5	2.8334	5.29%
UCT		2	0	0.8078	2.8078	5.24%
UL		2			2	3.73%
CPUT		1			1	1.87%

UWC				0	0	0.00%
<b>Total</b>	<b>6</b>	<b>25.6666</b>	<b>9.8334</b>	<b>12.0578</b>	<b>53.5578</b>	<b>100.00%</b>
<b>% of proportion of Total</b>	<b>11.20%</b>	<b>47.92%</b>	<b>18.36%</b>	<b>22.51%</b>	<b>100.00%</b>	

Table 11 shows a detailed breakdown of the accrual of units per subcategory by each institution for the submission cycle of 2022. In the previous cycle, the subcategory of Directing accrued the highest percentage of units at 45.76%. For 2022, theatre-making, dramaturgy and choreography accrued the largest portion accounting for 37.32% of the units. Over the last four-year cycle, the area of performance consistently accrues the minimum percentage of units. Through the continued implementation of the policy, the reasons for this pattern could be explored further to understand potential factors influencing the submission and evaluation of performance-related creative research outputs.

The area of student participation in the production and performing creative works in the theatre, performance and dance continues to be raised by the evaluation panel. The evaluation panel has consistently raised this aspect, emphasizing the importance of students' involvement in creative works. However, the Department emphasizes that academic/practitioners submitting creative research work must ensure that the applicant annotation, the framing statement, clearly outlines the relationship between the work and students in relation to production. While recognizing that academics are practitioners as well as students, the Department advocates for a separation of work undertaken during academic activities and the production of creative research outputs to avoid double dipping. In its implementation of the policy, the Department is committed to providing guidance to ensure transparency in its evaluation process regarding the relationship between academic/practitioners and students in the production of creative works.

Table 11: Units awarded in the subcategory of Theatre, Performance and Dance subfield 2022.

Institution	Directing	Performance	Scenography/ Design/ performance Technology	Theatre-Making/ Dramaturgy/ Choreography	Writing	Total	%of Sector total
UP	1.25		0	1		2.25	18.66%
WITS	1	1		0		2	16.59%
UFS				1	1	2	16.59%

DUT				1.5		1.5	12.44%
UJ	0		0.5	1		1.5	12.44%
SU		1				1	8.29%
RU	0	0			1	1	8.29%
UCT	0.5		0.3078			0.8078	6.70%
UWC		0				0	0.00%
UNIZULU	0				0	0	0.00%
<b>Total</b>	<b>2.75</b>	<b>2</b>	<b>0.8078</b>	<b>4.5</b>	<b>2</b>	<b>12.0578</b>	<b>100.00%</b>
<b>% Proportion Total</b>	<b>22.81%</b>	<b>16.59%</b>	<b>6.70%</b>	<b>37.32%</b>	<b>16.59%</b>	<b>100.00%</b>	

### 3.6.4. Literary Arts

Overall, there has been a positive trend in the submissions of creative research outputs from universities, despite the participation numbers being relatively low in the subfield of literary arts for the last four-year cycle. The data emphasises the steady flow of submissions in the various subcategories (namely creative non-fiction, novels, novellas and short stories, or performance and poetry) within the literary arts subfield, and this is encouraging. Further, to these subfields, the Department acknowledges the pertinent role of African Languages and encourages universities, applicants to submit their creative research outputs produced in the recognised African languages, thus promoting the importance of linguistic diversity.

Over the last four-year cycle, an increase in the number of units accrued by institutions has been noted. In 2022, 31.77% of units accrued, showing a similar positive trend as in 2020 with 32.12% of units. The subfield of literary arts attracts broad participation and institutions submitting creative research outputs. Out of the 15 universities participating in submission cycle of 2022, 14 universities submitted in the subfield of literary arts, and this is an indication of widespread interest and involvement.

Table 12: Units accrued Literary Arts 2019-2022 submission cycle

Institution	2019	2020	2021	2022	Total	% of Sector Total
SU	2	6	3	11	22	31.77%
UJ	2	2	4	2.5	10.5	15.16%
UFS	0	2	5	1	8	11.55%
UCT		2	2	1	5	7.22%

Institution	Creative Non-Fiction	Novels, Novellas and Short Stories	Oral Performance / Literature	Poetry	Total	% of the sector Total
SU	2	7		2	11	50.00%
WSU			3.5		3.5	15.91%
UJ	2.5				2.5	11.36%
NMU				2	2	9.09%
WITS		1			1	4.55%
UCT				1	1	4.55%
UFS		1			1	4.55%
RU		0			0	0.00%
NWU						0.00%
UL						0.00%
UWC						0.00%
<b>Total</b>	<b>4.5</b>	<b>9</b>	<b>3.5</b>	<b>5</b>	<b>22</b>	<b>100.00%</b>
<b>% of proportion of Total</b>	<b>20.45%</b>	<b>40.91%</b>	<b>15.91%</b>	<b>22.73%</b>	<b>100.00%</b>	<b>%</b>
WSU			3.5	3.5	5.05%	
UWC	0	3.25	0	3.25	4.69%	
DUT		1	2	3	4.33%	
UP	2	1		3	4.33%	
WITS		0	2	1	3	4.33%
NWU	0	2		2	2.89%	
CPUT		2		2	2.89%	
NMU			0	2	2.89%	
RU	1			0	1	1.44%
UL		1		1	1.44%	
UKZN		0		0	0.00%	
<b>Grand Total</b>	<b>7</b>	<b>22.25</b>	<b>18</b>	<b>22</b>	<b>69.25</b>	<b>100.00%</b>
<b>% of proportion of Total</b>	<b>10.11%</b>	<b>32.13%</b>	<b>25.99%</b>	<b>31.77%</b>	<b>100.00%</b>	

Table 13: units accrued in the subcategory of Literary Art 2022 submission cycle

Table 13 provides a breakdown of units accrued per subcategory in the 2022 cycle per institution in the subfield of literary arts. The highest proportion of units in the 2022 cycle were accrued in the subcategory of novels, novellas and short stories, accounted for

40.91% of the sector total. Following novels, poetry accounting for 22.73%, creative non-fiction 20.45% and oral performance literature 15.91%.

SU, WSU and UJ accounted for 77.27% of units awarded to universities. It is notable and pleasing to observe the participation of WSU in the 2022 submission cycle.

With the continued implementation of the policy, there is anticipation that insights into African languages across institutions will be gleaned to gauge the impact of the policies implemented by the Department. Assessing the representation and growth of African languages can provide valuable feedback on the effectiveness of policies in fostering inclusivity and cultural richness in the creative research landscape.

### 3.6.5. Design

Table 14 provides a breakdown of units awarded to the design subfield over the last four-year cycle, with a focus on the 2022 submission cycle. Design has consistently received submissions from universities over the last four-year cycle. The awarding of units to universities has been consistent, indicating a sustained engagement and recognition of creative research outputs in the design field. However, a decline has been noted in the number of submissions from universities.

Table 14: Unit allocation design subfield 2019-2022

Institution	2019	2020	2021	2022	Total	%of sector Total
DUT	0	3	0		3	17.19%
UCT	1	1.5			2.5	14.33%
SU		2.285	0		2.285	13.09%
NMU	1	1	0		2	11.46%
UJ		0.3333		1.5	1.8333	10.51%
TUT	0	1	0.5	0	1.5	8.60%
UFS	0.3333	1	0		1.3333	7.64%
UP			0.5	0.5	1	5.73%
RU				1	1	5.73%
CUT	0	1	0		1	5.73%
CPUT				0	0	0.00%
UKZN			0		0	0.00%

<b>Total</b>	<b>2.3333</b>	<b>11.1183</b>	<b>1</b>	<b>3</b>	<b>17.4516</b>	<b>100.00%</b>
<b>% of Total</b>	<b>13.37%</b>	<b>63.71%</b>	<b>5.73%</b>	<b>17.19%</b>	<b>100.00%</b>	

For the 2022 submission cycle, submissions were received across the recognised subcategories, with the exception of architectural design and graphic design. UJ, RU and UP accrued a total of 3 units. Multimedia design and industrial design accounted for 66.66% of units awarded. Built environment and jewellery design each accounted for 16.67% of the units.

The low approval ratio in the design subfield has been attributed to insufficient scholarly rigour. The engagement from the evaluation panel suggests a need for a more rigorous scholarly approach to submissions within the design sector to meet policy requirements and standards. The decline in submissions in 2022, along with the dominant subcategories and the challenge of low approval ratios, underscores the importance of maintaining scholarly rigor in creative research outputs within the design field.

Table 15: units awarded per subcategory 2022 submission cycle

Institution	Architectural Design	Built Environment	Graphic Design	Industrial Design	Jewellery Design	Multimedia Design	Total	% of sector Total
UJ				1	0.5		1.5	50.00%
RU						1	1	33.33%
UP		0.5					0.5	16.67%
UFS								0.00%
CPUT			0		0		0	0.00%
TUT	0						0	0.00%
<b>Total</b>	<b>0</b>	<b>0.5</b>	<b>0</b>	<b>1</b>	<b>0.5</b>	<b>1</b>	<b>3</b>	<b>100.00%</b>
<b>% of Total</b>	<b>0.00%</b>	<b>16.67%</b>	<b>0.00%</b>	<b>33.33%</b>	<b>16.67%</b>	<b>33.33%</b>	<b>100.00%</b>	

### 3.6.6. Film and Television

Table 16 provides a cumulative view of the accrual of units by universities in the subfield of film and television over the last four-year cycle. The subfield of film and television has received the least submissions over the last four-years. Despite the lower number of submissions, slow and steady growth has been noted. This can possibly be attributed to the extensive work involved in producing creative research work in this subfield.

The policy recognises an array of genres within this subfield which includes but not limited to, cinematography, directing and documentary. The policy goes into detail on the various genres. UJ has accounted for most of the sector proportion contributing to 43.90% units accrued. UWC and DUT follow with 14.63% each. WITS attracted 12.19%, while UP and RU accounted for 7.32%. Table 16 provides insights on the unique dynamics of the film and television subfield, highlighting both the challenges of limited submissions and the steady growth observed.

Table 16 units awarded film and television 2019-2022 submission cycle

Institution and subcategories	2019		2020		2021		2022		Cumulative total	% of sector Total
	Units	%sector	Units	%sector	Units	%sector	Units	%sector		
<b>UJ</b>		<b>0.00%</b>	<b>1</b>	<b>7.32%</b>	<b>2</b>	<b>14.63%</b>	<b>3</b>	<b>21.95%</b>	<b>6</b>	<b>43.90%</b>
Cinematography		0.00%		0.00%	1	7.32%		0.00%	1	7.32%
Directing		0.00%	1	7.32%		0.00%	3	21.95%	4	29.27%
Documentary		0.00%		0.00%	1	7.32%		0.00%	1	7.32%
<b>UWC</b>	<b>0</b>	<b>0.00%</b>	<b>2</b>	<b>14.63%</b>	<b>0</b>	<b>0.00%</b>		<b>0.00%</b>	<b>2</b>	<b>14.63%</b>
Directing		0.00%		0.00%	0	0.00%		0.00%	0	0.00%
Documentary		0.00%	2	14.63%		0.00%		0.00%	2	14.63%
Producing	0	0.00%		0.00%		0.00%		0.00%	0	0.00%
<b>DUT</b>		<b>0.00%</b>	<b>2</b>	<b>14.63%</b>		<b>0.00%</b>		<b>0.00%</b>	<b>2</b>	<b>14.63%</b>
Cinematography		0.00%	2	14.63%		0.00%		0.00%	2	14.63%
<b>WITS</b>	<b>1.6666</b>	<b>12.19%</b>		<b>0.00%</b>	<b>0</b>	<b>0.00%</b>	<b>0</b>	<b>0.00%</b>	<b>1.6666</b>	<b>12.19%</b>
Cinematography		0.00%		0.00%	0	0.00%		0.00%	0	0.00%
Producing	1.6666	12.19%		0.00%		0.00%	0	0.00%	1.6666	12.19%
<b>UP</b>		<b>0.00%</b>		<b>0.00%</b>	<b>1</b>	<b>7.32%</b>		<b>0.00%</b>	<b>1</b>	<b>7.32%</b>
Documentary		0.00%		0.00%	1	7.32%		0.00%	1	7.32%

<b>SU</b>	<b>1</b>	<b>7.32%</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>	<b>1</b>	<b>7.32%</b>
Editing	1	7.32%		0.00%		0.00%		0.00%	1	7.32%
<b>RU</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>
Directing		0.00%		0.00%		0.00%		0.00%		0.00%
Producing		0.00%		0.00%		0.00%		0.00%		0.00%
<b>UL</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>
Documentary		0.00%		0.00%		0.00%		0.00%		0.00%
<b>NMU</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>	<b>0</b>	<b>0.00%</b>	<b>0</b>	<b>0.00%</b>
Documentary		0.00%		0.00%		0.00%	0	0.00%	0	0.00%
<b>UKZN</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>		<b>0.00%</b>
Documentary		0.00%		0.00%		0.00%		0.00%		0.00%
<b>Total</b>	<b>2.6666</b>	<b>19.51</b>	<b>5</b>	<b>36.59%</b>	<b>3</b>	<b>21.95</b>	<b>3</b>	<b>21.95%</b>	<b>13.6666</b>	<b>100.00</b>
		<b>%</b>				<b>%</b>			<b>%</b>	<b>%</b>

#### 4. Innovations

The Department collaborates with NIPMO for the implementation of the innovations portion of the policy and the evaluation of submissions. The Department recognises patents and PBR for the purpose of subsidy claims for innovations. The Department continues to make use of ROSS to receive submissions from institutions, and this is administered by the NRF.

##### 4.2. Verification of data

The Department verifies all submitted claims to confirm compliance with the policy. Contact with universities may occur to request additional information where necessary.

##### 4.3. Evaluation process

An evaluation meeting took place on 13 February 2023 with officials from the Department, the advisory panel chair for innovations, and officials from NIPMO. The evaluations were conducted online, recorded and the evaluated subsidy claims were captured on ROSS.

##### 4.4. Unit allocation

Approved innovation can be awarded 2 units. In the case where the claiming creator is affiliated with multiple institutions, the subsidy is shared amongst the claiming universities.

The evaluation committee ensures fair subsidy sharing by considering ownership/assignee details of the innovation.

The following criteria is used by the Department for unit allocation:

- 1) Criteria include the first patent application or PBR application granted in a specific jurisdiction.
- 2) The policy makes the following provision in paragraph 54.1 “should a granted right be obtained in a jurisdiction not contained in the ‘table of Major jurisdiction that conduct substantive examination of patent application’, proof of substantive examination must be provided in the form of all examination report (also known as official actions) received and the responses provided, including the correspondence indicating the acceptance by the examiner in the relevant jurisdiction.

Each application must be accompanied by the following documentation:

- 1) A copy of the granted patent including the allowed claims together with any drawings
- 2) A copy of the granted PBR including the technical questionnaire and illustrations
- 3) A copy of certificate of registration
- 4) All claims must be submitted with a letter of declaration signed by the DVC on or before the due date. The letter must reference the internal evaluation committee members.
- 5) Outputs submissions for innovations for a three-year period (2019-2022).

#### 4.5. Overall Innovations Submissions

Table 17: Overall Units awarded for Innovations 2019-2022

Innovations								
Institution	2019		2020		2021		2022	
	Units awarded	%of sector units	Units awarded	%of sector units	Units awarded	%of sector units	Units awarded	%of sector units
CPUT	1	1.38%	0	0.00%	0	0.00%	2	3.70%
NMU	6	4.15%	4	7.26%	6	13.98%	2	3.70%
NWU	0	0.00%	14	25.41%	0	0.00%	2	3.70%

RU	2.67	1.85%	1.6	2.90%	0	0.00%	0	0.00%
SU	47	32.49%	5.6466	10.25%	2.5	5.82%	0	0.00%
UCT	39	28.34%	4.334	7.87%	10	23.29%	26	48.15%
UJ	2	1.38%	0	0.00%	0	0.00%	2	3.70%
UKZN	7	4.84%	0	0.00%	0	0.00%	8	14.81%
UP	15	10.37%	21.11	38.32%	14.0332	32.69%	10	18.52%
UNISA	2	1.38%	2	3.63%	4.4	10.25%	2	3.70%
UFS	0	0.00%	0.4	0.73%	0	0.00%	0	0.00%
UWC	5	3.46%	0	0.00%	4	9.32%	0	0.00%
WITS	16	11.06%	2	3.63%	2	4.66%	0	0.00%
UNIVEN	0	0.00%	0	0.00%	0	0.00%	0	0.00%
<b>Total</b>	<b>142.67</b>	<b>100.00%</b>	<b>55.0906</b>	<b>100.00%</b>	<b>42.9332</b>	<b>100.00%</b>	<b>54</b>	<b>100.00%</b>

Table 17 shows units accrued by universities over the last three-year submission cycle. 2019 generated the largest number of units (142.67) awarded. In 2022, there has been a decline in the number of universities submitting their subsidy claims for innovations. Only 9 universities participating in the 2022 submission cycle, accruing a total of 54 units. For the 2022 submission cycle UP and UCT accrued the majority share of the sector proportion accounting for 55.98%.

The decline in the number of innovations application has been anticipated due to the time or period it takes to gain a certificate from an examining jurisdiction. The Department will continue to monitor the overall participation from institutions.

In 2022, forty-two (42) innovations submissions were submitted onto ROSS. Eleven (11) universities participated in the submissions and evaluations. Of the forty-two (42) submissions, twenty-five (25) were approved for subsidy as they met requirements stipulated in the policy. Fifteen (15) submissions were declined due to lack of supporting documentation. Supporting documentation is crucial for meeting policy requirements and ensuring the integrity of the evaluation process.

Table 18: Approval Ration of Innovations 2022

Institution	Number of submitted innovations	Approved	Declined	Units awarded	% of sector total
UCT	13	13		26	48.15%
UP	10	5	5	10	18.52%
UKZN	6	4	2	8	14.81%

WITS	4		4	2	3.70%
UNIVEN	2		2	2	3.70%
UJ	2	1	1	2	3.70%
UFS	1		1	2	3.70%
NWU	1	1		2	3.70%
CPUT	1	1		0	0.00%
UNISA	1	1		0	0.00%
NMU	1	1		0	0.00%
<b>Total</b>	<b>42</b>	<b>27</b>	<b>15</b>	<b>54<sup>6</sup></b>	<b>100.00%</b>

Table 18 indicates the outcomes of the innovation’s submissions in 2022, emphasizing the importance of providing comprehensive supporting documentation for successful subsidy claims. The approval of 25 submissions reflects adherence to policy requirements, while the declination of 15 submissions highlights the need for universities to ensure thorough documentation during the submission process.

## 5. Conclusion

The year 2022 represents a milestone for creative research outputs as this was the fourth year in the implementation of the policy. While this achievement is acknowledged, there are concerns about the low number of institutions participating in the creative research outputs. Out of the 26 public universities, consistent submissions have been observed from around 16 or 17 universities. The Department takes note of the consistent and active involvement of key institutions, and that the fluctuation in submission cycles is possibly influenced by various factors, including institutional priorities, academic calendars, and external circumstances. The Department also observes the lack of participation of historically disadvantaged institutions. The Department further acknowledges the need for potential roadshows to further promote the policy. Roadshows are seen as a way to cater for increased production of creative research and innovations.

The analysis presented captures the potential areas of improvement in the overall implementation and evaluation of the policy, providing valuable insights for universities

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<sup>6</sup> The final units awarded to institution are calculated based on contributor proportion.

who are continuously involved in the evaluation and management of creative research outputs.

For some panels it was noted that there are recurring issues that impact the approval and decline of creative outputs and these are listed as the following:

- Misclassification of submissions: Applicants' uncertainty about where to submit their creative research outputs leads to misclassification under the subfield of fine arts. Many of these items are declined as they do not meet the stipulated criteria in the policy and implementation guidelines.
- Conflict of interest: Applicants and institutions must ensure that the peer reviewers have not participated in the project in the form of commentators, theorists or facilitators as this brings into question subjectivity. Further peer reviews cannot be from the same institution as creators. We encourage universities to make use of the peer review list on ROSS to have a broad array of reviewers.
- Quality of peer reviewer reports: the peer reviewer reports must be rigorous and comprehensive. Ensuring the quality of these reports is crucial to the evaluation process.

The milestone in the policy implementation is acknowledged but concerns about the limited participation of institutions are noted and must be addressed. The potential need for further promotion and the insights for improvement indicate a commitment to refining the policy's implementation. Issues in the evaluation process, such as misclassification, conflict of interest, and the quality of peer reviewer reports, are identified and emphasized as areas for attention and improvement. Additional funds must be set aside for research, and greater collaboration between historically advantaged and disadvantaged universities must be fostered.