



**DURBAN UNIVERSITY OF TECHNOLOGY**  
**INYUVESI YASETHEKWINI YEZOBUCHWEPHESHE**



# STANDARD OPERATING PROCEDURE FOR THE SUBMISSION OF DUT'S CREATIVE OUTPUTS



# PURPOSE FOR THE STANDARD OPERATING PROCEDURE (SOP):

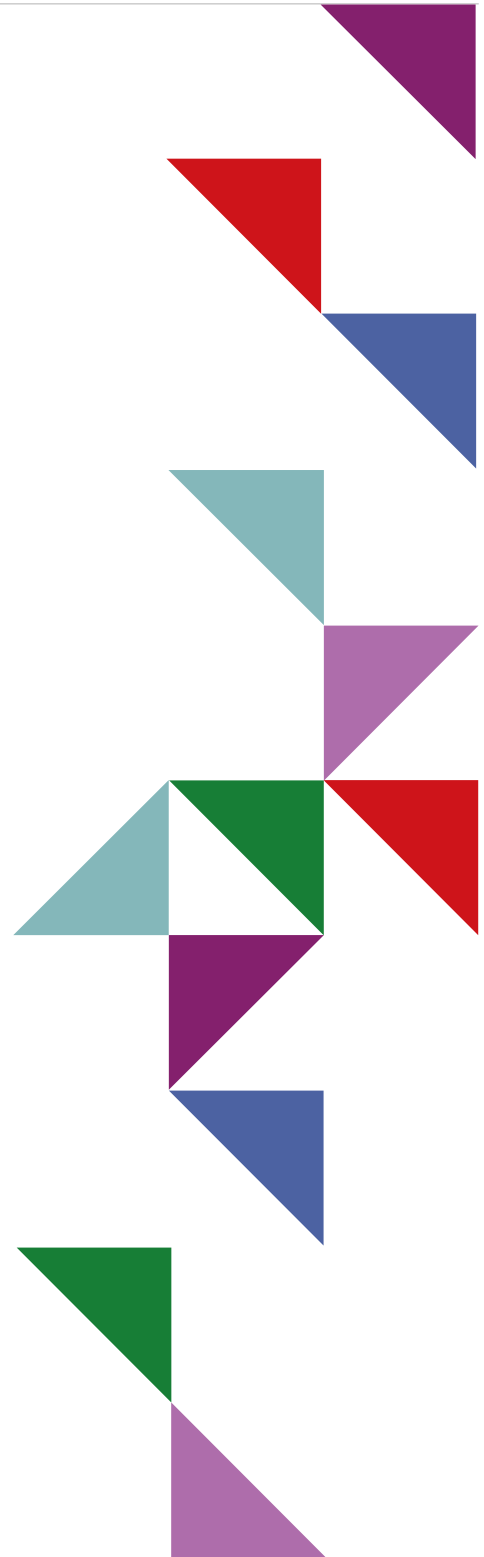
The purpose of the Standard Operating Procedure (SOP) for the Submission of Creative Outputs for **DHET Subsidy purposes** is to provide clear guidelines on the evaluation of Creative Outputs and Innovations for the Durban University Technology. The DHET Policy on the Evaluation of Creative Outputs and Innovations Produced by South African Public Higher Education Institutions, 2017, **recognises and rewards** quality creative outputs and innovations produced by public higher education institutions.

## The policy on Creative Outputs recognises creative outputs according to the following subfields:

- Fine Arts and Visual Arts
- Music
- Theatre, Performance and Dance
- Design
- Film and Television; and
- Literary Arts










## Innovations:

- Patents
- Plant Breeders' Rights



# IMPLEMENTATION PROCESS OF THE DHET POLICY ON THE EVALUATION OF CREATIVE OUTPUTS

The following documents should be utilized for guidance and accurate implementation of the Evaluation of Creative Outputs:

Creative Outputs Policy from DHET, 2017	 DHET-Policy-on-the-Evaluation-of-Creative-
Creative Outputs DHET Implementation Guidelines for the Creative Outputs	 DHET_Implementation guidelines final April
Creative Outputs DHET Implementation Guidelines for Innovations	 Approved implementation guide
Creative Outputs Submissions Checklists	 DUT_Checklist_creative_outputsUpdatedDrJ
DUT Creative Outputs Declaration Document	 DUT_Declaration Template_updateDrJ
DUT Guidelines to assist with the annual submission of DUT's Creative Research Outputs	 DUT_Guidelines_creative OutputsUpdated_I
Creative Outputs Framing Statement Template	 Creative Outputs Framing Statement Te
Declaration letter template to be submitted by the academic/ researcher (postgraduate student)	 DUT_Declaration Template_updateDrJ
Creative Outputs- Critical Path (2021)	 CREATIVE OUTPUTS CRITICAL PATH-Update



# IMPLEMENTATION PROCESS FOR CREATIVE OUTPUTS (CROS)

Submission due date for the Creative Research Outputs to the Department of Higher Education and Training is the **30<sup>th</sup> of November 2021**.

## When submitting to the Department, the Institution must adhere to the following:

- 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 the submitted material in order to ensure policy compliance prior to submission to the Department.
- All claims must be submitted with a letter of declaration signed by the Vice Chancellor (VC), the Deputy Vice Chancellor (DVC) or equivalent on or before the due date. The letter of declaration must reference the internal evaluation committee members.
- Acceptable submissions will be year **n-3**.

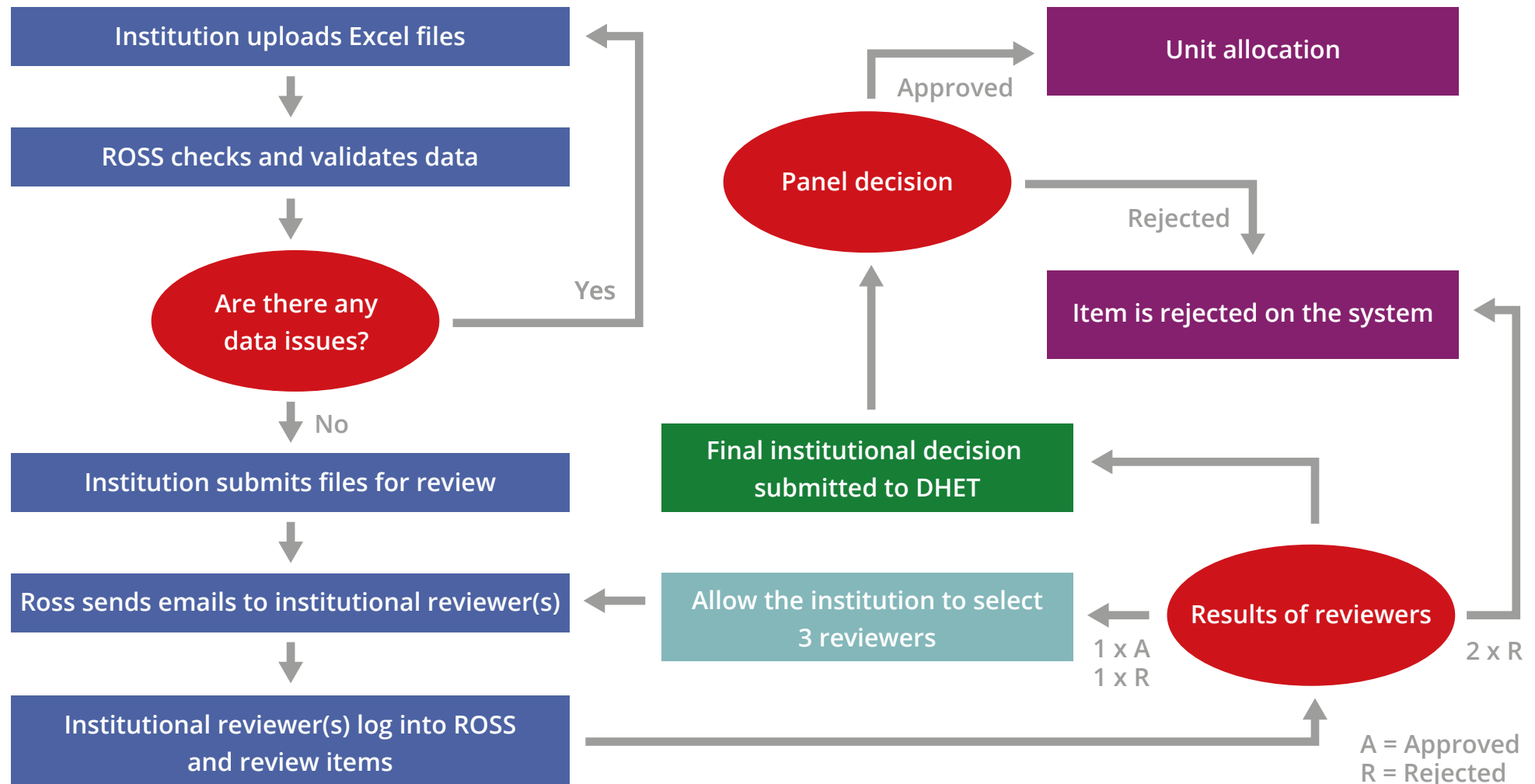
## What to submit to the Department of Higher Education and Training:

- Spreadsheet/template provided by the department capturing all claims.
- Annotation from the applicant briefly contextualising the creative output (500 – 700 words – included in the spreadsheet).
- Proof of any awards received.
- A declaration of originality.
- A declaration of authorship / co-authorship and disclosure of other active participants in the production of the work.
- Two peer reviewer reports.
- Proof of applicant's affiliation.
- A letter of declaration signed by DVC of Research or equivalent.
- Evidence of the creative output (**digital submission**).
- The **ROSS** online system is opened for institutions from **15 April 2021** to upload their submissions.



# DHET - ROSS/NRF

## Submissions Process



## RESEARCH ETHIC AND INTEGRITY:

- DUT researchers are encouraged to uphold the principles of research ethics and integrity when submitting claims to the Department.
- Focus must be on the quality of research, rather than maximising subsidy funds.
- The subsidy for the creative research outputs is allocated to the institution and not the individual scholars/ creators.
- The Department reserves the right to apply punitive measures (such as the docking of units) against institutions which persistently make incorrect claims that compromise the integrity of the scholarship.

## PEER REVIEW PROCESS:

**Peer reviewers will be guided by the following criteria as contained in the template:**

- A short biographical background on area of expertise and how it links to the submission.
- Indication of collaborations with the applicant on any project initiatives.
- Originality of the creative output, i.e. the extent to which the output contributes to new knowledge and insights and or conceptual innovation in the discipline.



# THE PEER REVIEW PROCESS

Action	Responsibility
All institutions must constitute an internal evaluation committee, chaired by the DVC RIE; composed of suitably qualified persons to assess the submissions, and to establish whether they meet the criteria as set out in the policy documents.	<p><b>Coordinator Creative Outputs (RIE &amp; RPS)</b></p> <p>and</p> <p><b>Faculty Research Coordinator</b></p>
Institutions must choose peer-reviewers who have appropriate academic qualifications and/or experience to assess submissions by creative practitioners working in a scholarly framework.	<p><b>Coordinator Creative Outputs (RIE &amp; RPS)</b></p> <p>and</p> <p><b>Faculty Research Coordinator</b></p>
<b>The following general submission procedure shall be followed by DUT</b>	
<p><b>Step one:</b> The applicant provides copies of material to the <b>Faculty Research Coordinator</b> at his/her institution, alternatively the <b>Coordinator Creative Outputs (RIE &amp; RPS)</b>.</p> <p><b>Step two:</b> The <b>internal institutional committee</b> must screen the submitted material.</p> <p><b>Step three:</b> The researcher/ artist must identify three external peer reviewers and sends them copies of the submitted material (<i>this is done through a link on the ROSS system</i>).</p> <p><b>Step four:</b> The peer reviewers write their reports and submit these to the research office (<i>this is done through a link on the ROSS system</i>).</p>	<p><b>Coordinator Creative Outputs (RIE &amp; RPS)</b></p> <p>and</p> <p><b>Faculty Research Coordinator</b></p>



# IMPLEMENTATION GUIDELINES IN ACCORDANCE WITH THE POLICY ON THE EVALUATION OF CREATIVE OUTPUTS AND INNOVATIONS:

## Innovations

Innovations are categorised within the following subfields:

- Registered patents and
- Registered Plant Breeder's Rights

The **Technology, Transfer and Innovations directorate (TTI)** or the institutional research office whichever is relevant must consolidate the evidence for the:

- first granted patent application in a patent family in a jurisdiction with substantive search and examination and
  - the first granted plant breeder's right for a new plant variety in an area with examination for onward submission to the institutional internal evaluation committee.
- The **institutional internal evaluation committee** must screen and verify the submitted material to show compliance prior to submission to the Department for final evaluation and allocation of units.
  - **NIPMO will mine all granted (IP) rights data** from their database and send formal communication to institutions through the **Technology, Transfer and Innovations directorate (TTI)** to send supporting documents.
  - **All submissions will be screened, captured, and prepared by the TTI directorate for the patent and plant breeder's rights verification panel at institutions.**
  - The verification panel comprising representatives from **NIPMO and the Department** will check for compliance.
    - Certificate of Compliance.
    - A copy of granted patent including the allowed claims together with any drawings.
    - Certificate of issuance.
    - A copy of the granted PBR including the technical questionnaire and illustrations.
    - Copy of the Certificate of Registration.
  - The verification panel must confirm that the submission which is being verified is for the first member of the patent family or the first member of the plant breeder's rights family.

### DHET advisory panel

- The DHET will establish a Creative Outputs and Innovations Evaluation Panel. The panel will comprise professionals from the higher education community with a clear understanding of intellectual property, in particular patents and plant breeder's rights, to evaluate all creative outputs and innovations submitted by claiming institutions.

**All submissions will be captured on a spreadsheet provided by DHET and NIPMO for capturing on the ROSS system.**

