

## **RULES FOR THE INCENTIVES FOR RESEARCH, INNOVATION AND CREATIVE OUTPUTS (IRICO)**

### **1 Preamble**

Against the background of the dream to be an internationally recognised university in Africa, distinguished for engaged scholarship, social responsiveness and an ethic of care, the council of the North-West University has adopted these Rules for the Incentives for Research, Innovation and Creative Outputs (IRICO).

### **2 Purposes of IRICO**

- 2.1 The purpose of IRICO is to recognise the contribution made by employees and students whose research, innovation and creative outputs attract Department of Higher Education and Training (DHET) subsidies to the NWU by making a financial grant (incentive) to such contributors.
- 2.2 The purposes for the provision of incentives as a strategic imperative for accredited research articles are to increase the number of accredited national and international publications and the overall publication units within the university, to motivate employees and students to publish regularly, to increase the quality of publications, to increase the conversion rate of masters' and doctoral outputs into publications, to encourage the registration of intellectual property rights in support of innovation, and to stimulate the production of artistic works.
- 2.3 Incentives are provided for outputs recognised by the DHET Policy on Research Outputs and Policy on the Evaluation of Creative Outputs and Innovations Produced by Public Higher Education Institutions as follows:
  - 2.3.1 Research Outputs for authors: DHET approved journal articles, conference proceedings papers, chapters, and books.
  - 2.3.2 Innovation outputs for inventors: registered patents (first granted patent application in a patent family in a jurisdiction with substantive search and examination) and registered plant breeders' rights (first granted plant breeders' right for a new plant variety in an area with examination).
  - 2.3.3 Creative outputs for creators in the subfields of fine arts and visual arts; music; theatre, performance and dance; design; film and television; and literary arts. Refer to Annexure 1 for further subcategories.

### **3 Beneficiaries**

- 3.1 The IRICO are available to employees appointed permanently, on fixed term or temporarily (e.g., extraordinary appointments), and to postdoctoral research fellows who have during their term of appointment, contributed (as authors or co-authors, inventors or co-inventors, or creators or co-creators) towards the NWU research, innovation, or creative output, and are still employees or postdoctoral fellows by the time the IRICO pay out.
- 3.2 If a student co-authors a publication with an employee, is an inventor or a co-inventor with an employee on a patent or is a creator or a co-creator with an employee of a creative output and has been appointed as an employee of the NWU by the time the IRICO pays out, such a person is entitled to the relevant portion of the incentive.
- 3.3 Where the co-author of a research output is a student, the relevant portion of the incentive is awarded to the research entity or school to which the student is affiliated. Should the student still be a registered student by the time the IRICO award is paid out, the research entity or school director or coordinator

may grant an appropriate portion of the award disbursed to the research entity or school to the student in the form of a bursary.

Where the inventor or co-inventor of an innovation output, or the creator or co-creator of a creative output is a student, the incentive or the relevant portion thereof is awarded to the research entity or school to which the student is affiliated. Should the student still be a registered student by the time the IRICO award is paid out, the research entity or school director or coordinator may grant an appropriate portion of the award disbursed to the research entity or school to the student in the form of a bursary.

#### 4 Forfeiture

An employee forfeits any claim to IRICO funding at the time of termination of service. Any balance on the IRICO account is forfeited to the relevant faculty. In the event of the death of an author of a publication, any balance on the IRICO account is forfeited to the relevant faculty.

#### 5 Cash benefit

Up to a maximum of fifty per cent (50%) of the incentive may upon request be paid to the beneficiary from the relevant IRICO account within a year after the announcement of the award. Should less than fifty percent be claimed, the unclaimed percentage may not be claimed in subsequent years. The remainder of the allocation must be used by the beneficiary for further research and development in agreement and with the approval of faculty management, the research entity or school director in accordance with the financial policies of the NWU.

#### 6 Capital items

All capital items purchased from IRICO funds are deemed to be assets of the University and must be recorded in the University's assets register, in accordance with the relevant NWU Capital Assets Management Rules. Such items remain the property of the University after termination of association of the beneficiary with the university.

#### 7 Calculation of incentives

The rules for calculating the total IRICO incentives per beneficiary for research, innovation and creative output is done on a sliding scale with different weights for first, second and >2 articles as set out in Tables 1, 2 and 3. The rand value of R100,000 is an illustrative amount per unit. It should be noted that the actual amounts fluctuated between R80,000 and R123,000 over 10 years.

Table 1: Incentives for Research Outputs

	Incentives for Research Outputs -	
Rand Value of 1 Article Equivalent Unit	R100,000	
Category	Percentage	Rand value
First Local	14%	R14,000
Second Local	16%	R 16,000
> 2 local	20%	R20,000
First International	32%	R 32,000
Second International	34%	R34,000
> 2 Intl	36%	R36,000

Example:

Name	1st local	2nd local	>2	Total local units	1st int	2nd int	>2	Total int units	IRICO Amount
NN	14%	16%	20%		32%	34%	36%		
Article equivalent units	1 (sole author)	0.25 (1 of 4 authors)		1.25	1 (sole author)	0.5 (1 of 2 authors)	0.33 (1 of 3 authors)	1.83	
	R14,000	R4,000	R0		R32,000	R17,000	R12,000		R79,000

Table 2: Incentives for Innovation Outputs

	Incentives for Innovation Outputs	
<b>Rand Value of 1 Innovation Unit (note that DHET awards 2 units per innovation category below)</b>	<b>R100 000</b>	
<b>Category</b>	<b>Percentage</b>	<b>Rand value</b>
First patent application of a patent family granted in a particular substantive examination jurisdiction	32%	R32 000
First Plant Breeders Right of a PBR family granted in a particular substantive examination jurisdiction	14%	R14,000

Examples:

Example	Patent ownership	Number of NWU inventors named on the patent (beneficiaries)	Calculation	IRICO amount
1	NWU 100%	1	2 units x R100 000 x 32%	R64 000
2	NWU 100%	4	2 units x R100 000 x 32% x 0.25	R16 000 per inventor/beneficiary
3	NWU 50%, Other HEI 50%	2	1 unit x R100 000 x 32% x 0.50	R16 000 per inventor/beneficiary

Table 3: Incentives for Creative outputs

	Incentives for Creative outputs	
<b>Rand Value of 1 Creative output Unit (note that DHET awards 0.5, 1.0, or 2 units per creative output)</b>	<b>R100,000</b>	
<b>Category</b>	<b>Percentage</b>	<b>Rand value</b>
Creative output	23%	R23,000

### Example

		Number of NWU creators	Calculation	IRICO amount
1	2 units awarded	1	2 units x R100 000 x 23%	R48 000
2	1 unit	3	1 units x R100 000 x 23% x 0.3333	R7 659 per beneficiary (R23 000 total)
3	0.5 units awarded for a locally reviewed creative output	2	0.5 units x R100 000 x 23% x 0.50	R6 500 per creator/beneficiary (R 11 500 total)

## 8 Administration of the IRICO

- 8.1 Research Support Department calculates the total research, innovation and creative output incentive per beneficiary as illustrated in the tables. A database reflecting research, innovation and creative outputs per individual, campus, department, and research entity or school must be made available.
- 8.2 The maximum IRICO amount payable to a beneficiary is R350 000 per annum. Amounts above this threshold accrue to either the research entity or the school in which the beneficiary is working.

**Fine Arts and Visual Arts Outputs:**

- Fine Arts: Painting, sculpture, drawing, photography, installation, printmaking, mixed media work
- Book arts and illustration
- Video art, multimedia art - criteria intersects with that of Film and television.
- Film and Television - fiction and documentary film, includes directing, producing, acting, set design, script writing and more.
- Performance art and performance intervention - criteria intersects with that of theatre/ performance art.
- Design - communication, graphic, information and multimedia design.
- Theatre - includes directing, dramaturgy, acting, design (set, costume, lighting etc), script writing, and more).
- Curatorial research projects (not currently recognised by DHET, but the DHET sub-committee is currently motivating for its recognition).

**Literary Arts Outputs**

- Novel
- Novella
- Collection of short stories
- Collection of poetry
- Creative non-fiction

**Music Outputs:**

- Music Composition
- Music performance (inclusive of solo and group performance, conducting and directing)

**Film and Television**

- Directing
- Script Writing
- Acting
- Producing
- Cinematography
- Editing
- Production design

**Theatre, Performance and Dance**

- Directing
- Theatre-making/Dramaturgy/Choreography
- Writing
- Performance/Acting
- Oral Performance
- Scenography/Design/Performance Technology (Entertainment technology)

**Design: Architecture and Built Environment**

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