



**POLICY ON INCENTIVE SCHEME FOR RESEARCH, CREATIVE AND INNOVATION
OUTPUTS AND NRF-RATING
(Humanities additional guidelines on page 7)**

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¹ Approval must be by the same structure that approved the initial policy.

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1. Preamble

The University of Johannesburg strives to elevate its Global Excellence and Stature and to this end, has developed a plan to increase its research standing. One of the important goals of this plan is to increase the number of NRF-rated researchers and research publication outputs, with particular reference to those published in high impact international peer-reviewed journals, those produced in collaboration with distinguished international scholars, and research publications that are generated via Master and Doctoral studies.

2. Purpose

The purpose of the policy is to define the process of distributing state research and innovation grants for research publication and creative outputs, and qualifying innovations generated by the University of Johannesburg and aligning such distribution with the University's strategic objectives.

3. Scope

This policy has institution-wide application and covers how the subsidy is managed and shared between the various divisions.

4. Definitions and Abbreviations

Category "A" Journal	A journal with an impact factor above the value set by the Faculty/College. These journals should ideally be Tier-1 journals.
DHET	Department of Higher Education and Training.
International accredited publication	DHET accredited publication – in international journals, international conference proceedings, book or book chapters published outside South Africa. This also includes South African journals and publications on international lists such as Scopus, in line with the DHET categorisation of international publications
Nationally accredited publication	DHET accredited publication – in South African accredited journals, national conference proceedings, books or book chapters published in South Africa.
Creative output	The subfields included are Fine arts and Visual Arts; Music; Theatre, Performance and Dance, Design, Film and Television, and Literary Arts [as outlined in the DHET Policy on the Evaluation of Creative Outputs and Innovations produced by Public Higher Education Institutions (2017)].
Innovation	Patents and plant breeders' rights. Only patents granted in countries with substantive examination of applications are considered [as outlined in the DHET Policy on the Evaluation of Creative Outputs and

	<i>Innovations produced by Public Higher Education Institutions (2017)].</i>
Subsidy	A benefit from the Government to the University based on Research Publication, Creative and Innovation Output Units. The amount per unit fluctuates from year to year.
URC	University Research Committee

5. Principle

The University of Johannesburg seeks to promote the production of high impact research publications, creative outputs and innovations as well as that produced in collaboration with distinguished international researchers, on-time graduation of Master's and Doctoral students, the production of publications generated from Master's and Doctoral studies, and rating of scholars by the NRF.

6. Implementation

The implementation of this policy will be driven and stewarded by the Research and Innovation Division in collaboration with the Financial Governance & Revenue Division.

7. Responsible persons for implementation

- 7.1 DVC: Research and Internationalisation.
- 7.2 Chief Financial Officer.

8. Disbursement of subsidy generated by research publications, creative outputs and innovations

- 8.1 The University of Johannesburg receives research subsidies for every accredited research publication unit, creative output and innovation that qualifies for subsidy by the DHET.
- 8.2 The value of a research unit fluctuates from year to year and often does not consider inflation.
- 8.3 The subsidy funds two positions in the Research Office, and 10% is allocated towards the Global and Excellence (GES) initiative.
- 8.4 After deduction of the items indicated in 8.3, from the remaining subsidy funding, 50% is allocated to the University Research Committee, to be utilised for the general enhancement of the research profile of the University, and the remaining 50% allocated to faculties and divisions in line with the approved DHET publication units.

9. Disbursement of the 50% faculty/college share of the research publication output units subsidy.

- 9.1 The disbursement of the 50% faculty's share (in 8.4) will be based on the monetary value of the Approved Publications Output Units generated by an author. A proportion will be paid to the authors' research accounts to be utilised to advance the authors' research activities. The balance will be used by the faculty concerned for the general enhancement of research outputs.
- 9.2 **Nationally accredited publication:** 40% to be paid to a UJ author's research account.
- 9.3 **Internationally accredited publication:** 70% to an author's UJ research account.

- 9.4 **Internationally accredited publication, where the author is NRF rated:** 70% to the author's UJ research account, with the option that a maximum of 20% of the 70% portion may be made available to the author as cash, subject to the tax rules.
- 9.5 **Category "A" internationally accredited journal publication:** 70% to the author's UJ research account, and additionally, with the option that a maximum of 30% of the 70% portion may be made available to the author as cash, subject to the tax rules.
- 9.6 **Category "A" internationally accredited journal publication, where the Author is C or Y NRF Rated:** 70% to the author's UJ research account, with the option that a maximum of 40% of the 70% portion may be made available to the author as cash, subject to the tax rules.
- 9.7 **Category "A" internationally accredited journal publication, where the Author is A, P or B NRF Rated:** 75% to the author's UJ research account, with the option that a maximum of 50% (half) of the 75% portion may be made available to the author as cash, subject to the tax rules.
- 9.8 **Internationally accredited publication, co-published with authors from top 100 universities according to QS ranking:** The percentage that may be made available to the researcher as cash subject to tax rules is increased by 10% in 9.1.2, 9.1.3, 9.1.4 and 9.1.5.
- 9.9 If the author is a postgraduate student or postdoctoral fellow who is no longer with the University of Johannesburg, the payment due will be transferred to a general fund in the faculty/college. The distribution of these funds is at the discretion of the faculty.
- 9.10 If the author is a postgraduate student or a postdoctoral fellow and the supervisor has not been listed as a co-author, then the supervisor will receive the payment due to the postgraduate student or postdoctoral fellow.

10. Disbursement by the faculty of subsidy generated by graduating Master's and Doctoral students.

Incentives to supervisors

- 10.1 This incentive applies for supervision of research Master's and Doctoral graduates that have completed in minimum time as per DHET specification. More specifically, one academic year for a Master's and two academic years for a Doctoral graduate. In addition, the Master's student must have obtained a distinction or mark of 75% for the research degree.
- 10.2 Incentives to supervisors to be paid out in year N+2 and the amount to be paid out per student is specified in 10.8 and 10.9. Although it is expected that supervisors may share the amount with co-supervisors, this is not prescribed. Payments will be made to faculties from URC funding for distribution, and the supervisors of students as identified in the audited HEMIS records will be used.
- 10.3 Allowance will be made for an Executive Dean to motivate the inclusion of students that have completed in a longer period to the Registrar in exceptional circumstances, e.g. seasonal fieldwork or research, and differently-abled students. Although these circumstances are not fully defined, it is expected that it will relate to situations beyond the control of the student and the supervisor, for example, where a student's examination was delayed or exceptionally long and where it is outside the control of the student.
- 10.4 The period of pre-registration, where applicable or relevant, will not be taken into account.

Incentives to students – Completion in minimum time

- 10.5 Incentives to be paid out to the students in the year of graduation. As this is an incentive and not a bursary, the amount will be paid out to all qualifying students after approval by the Executive Dean of the relevant faculty. The process will no longer be initiated by students applying for the incentive but will be done based on ITS recorded information for the student and reflected in the student's account. At a practical level, this is expected to be done monthly from January to April as students meet the requirements. This process will reduce the motivations and administrative burden currently associated with incentive payment.
- 10.6 Allowance will also be made for cases in exceptional circumstances where the Executive Dean might motivate the Registrar to include a student. The pre-registration period will not be included in the determination of the academic years taken by the student to complete their studies.
- 10.7 The incentives that will apply to all students that meet the requirements are as follows:

Incentive for research degree master's student graduates

- 10.8 R10 000 will be paid as an incentive to the student, provided the study was completed within the one year period.

Incentive for doctoral student graduates

- 10.9 R30 000 will be paid as an incentive to the student, provided the study was completed within the two year period.
- 10.10 In exceptional circumstances, the Executive Dean may motivate to the Registrar if there are reasons for exceptions.

11. Disbursement of the 50% faculty/college share of subsidy generated from creative outputs

- 11.1 An amount of 30% to the faculty/college to build a reserve fund to contribute to creative output activities and projects.
- 11.2 The remaining 70% to the creator's UJ research or equivalent cost centre, and in the case of more than one creator, the amount will be split equally between the creative team members.

12. Disbursement of the 50% faculty/college share of subsidy generated from innovations

- 12.1 An amount of 30% to the Technology Transfer Office for renewal costs for the patents.
- 12.2 The remaining 70% to the inventor's research cost centre. In the case of more than one inventor, the amount will be split equally between the inventors to support further research and development, or new research.

13. REVIEW

This policy will be reviewed in its entirety every five years (or earlier if an urgent need should arise).

APPENDIX

- The policy consolidates incentives for research publications, creative outputs, innovations, and the rating of scholars by the NRF.
- The policy provides for differentiated incentives in the case of high impact publication outputs. The home faculty of the discipline is most competent to make a judgement call in this regard.
- The policy provides for the incentivising of on-time graduation of master's and doctoral students, and the production of publications generated from masters and doctoral studies.

The table below captures the distribution applicable to this policy. The percentages provided in the table reflect the researcher's share of the total subsidy income per publication after the top-slicing as indicated under 8 (and not the researcher's share of the 50% faculty's share explained in 8.4).

<u>Characteristics of journal</u>	<u>Allocation</u>
National	40% to the researcher's UJ research account
International	70% to the researcher's UJ research account
If category A journal	70% (70% to the researcher's research account of which 30% may be applied for to be paid to the researcher as taxable remuneration)
If category A journal and researcher rated C or Y by the NRF	70% (70% to the researcher's UJ research account of which 40% may be applied for to be paid to the researcher as taxable remuneration)
If category A journal and a researcher is rated A, P or B by the NRF	75 % to the researcher's UJ research account (of which 50% may be applied for to be paid to the researcher as taxable remuneration)
International journal in collaboration with researchers from any of the top 100 Universities (QS Rankings)	An additional 5% to the above benefits.

APPROVED BY THE SENATE ON 13 SEPTEMBER 2021

Faculty of Humanities additional guidelines

- *Research Associates, Senior Research Associates and Visiting Professors:* The Faculty of Humanities pays R20 000 per research output unit into their cost-centre as soon as the publication is approved. R10 000 will be paid into the department's cost-centre for every research output unit. The subsidy may only be used for research purposes (e.g., to pay for travel and fieldwork costs) and is not available as cash. The funds cannot be used to purchase computers.
- *Student publications:* The faculty pays R20 000 per research output unit for students who publish. The money is paid into their student accounts.
- *Postdoctoral Research Fellows (PDRFs):* PDRFs receive R20 000 per research output unit only if they publish more than the expected two research output units per year. The expected two research output units do not receive incentive funds. Postdoctoral research fellows may cash out the incentive subject to tax rules.