

KFS Account Control Sheet – External funding (SOF 2, 3 and 5)

- Complete in each applicable instance the contract's page and reference number in the blue fields to support info, e.g. p 50; 1.7.
- Mark the option you choose with an **X** unless you need to enter a value or other information.
- If the form is incomplete or incorrect the account application will be disapproved.
- Please refer to the guidelines available on the KFS website: <http://services.nwu.ac.za/financial-systems/kfs-coa>
 - How to complete this form: Account Control Sheet - External Funding Guidelines
 - Information on all the different Account Types etc.: Account Type Guidelines
- If you have any questions, please contact your Fin Planning Accountant responsible for the approval of the account application.

Please note: The purpose of this form is to provide information ONLY regarding this NEW account application and the funding received for this specific purpose. The fields/questions you complete must only reflect the purpose of this specific account and funding.

1	Doc no.:		Name of Account:	
2	Please give a short explanation of the purpose of the account:			
3	Please note: Accounts may NOT be used for any other purpose than it was initially created for.			Agree:
4	You are responsible to close this account as soon as the project/purpose was completed.			Agree:
5	Fiscal Officer (FO) Delegate.	Staff number:	Staff number:	Staff number:

Funding								Contract reference
6	Is a contract applicable?	Yes:	Attach the final, signed contract. (Signed by all parties)				Confirm:	
		No:	Attach any other supporting correspondence, emails, letters, etc.				Confirm:	
	Contract Start Date:		Contract End Date:		Contract Amount Excluding VAT:			
7	Please note:	You are responsible to provide GRT with renewed contracts and/or addendums.					Agree:	
8	Choose best explanation of contract type:	Service delivery contract:	Research project / contract:	Co-operation agreement:	Other – Please describe:			
9	The SOF indicates the origin of the income – please choose the appropriate SOF for this specific account:		SOF 2 – Research Councils e.g. NRF, MRC, WRC etc.:					
			SOF 3 – Industry funds (Local / RSA):					
			SOF 5 – Foreign funds (International):					
			Attach the currency converter to SOF 5 applications.				Confirm:	
10	Local as well as foreign funds? Indicate the % split:		Local %:		Foreign %:			
11	Name the external party where the NWU will <u>directly</u> receive the funds from:							
12	Is the NWU responsible to contribute to a certain ratio or amount?				Yes:	No:		
13	If yes, indicate the ratio/amount & which account will contribute:		Ratio / amount:		Account:			
14	Restricted or unrestricted funds?	Restricted funds: received in terms of a legal requirement that may only be used for specified purposes e.g. bursaries.						
		Unrestricted funds: may be used (by institution's controlling body/council) for any purpose it deems necessary.						

Deliverables / results							Contract reference
15	Are the deliverables / results for the use of:		NWU only?	INDUSTRY only?	INDUSTRY as well as NWU?		
16	Please give a short description of the deliverables:						

Account type / purpose											Contract reference				
17	What is the main request, what is expected of NWU?	Service delivery with NO research. All external income activities which are not associated with research. E.g. hosting a workshop/conference, consultation services with no research involved, sales of products etc.													
		Service delivery is the request and main purpose. Research is only a small aspect of the services rendered. Deliverable result to the Industry. Contracts/invoices apply.													
		Service delivery AND research? Indicate %			% Service delivery:				% Research:						
		Research – with deliverable result to industry. Research funded by a grant to enhance University's skills. Main purpose is research, not service delivery. Funding is in the form of a grant / award or contribution - not payment for services rendered. Contracts/invoices apply.													
		Research – funded by a grant (similar to donations) to enhance University's skills. No formal contracts. Letters/invoices can apply. NO deliverables to Industry. Industry/individual may request recognition.													
		Other – Please describe:													
18	Service delivery	The services will be delivered to:		A RSA recipient:		A foreign recipient:		A branch of a foreign company in RSA:							
		Is there any research in delivering the service?						Yes:		No:					
		Identify the type of service e.g. Consultation:													
19	Research	Type of research:				Basic:		Applied:		Contract:					
		Nature of funding?	Industry funding (No government relation):		Government or Research council / entity funding. E.g. NRF, WRC, DSI, DAC, CSIR, ARC, TIA, etc.:			Other – Please Describe:							
		What is the purpose of the research?													
		What is the benefit of the research to the funder? Does the funder acquire any rights to the outcome of the research?													
		Will there be NWU student/staff publications resulting from the research?						Yes:		No:					
20	Student involvement	Conducting research:			Receiving bursaries:										
		Publications:			Rendering service:										
		Other – Please describe:													
21	Bursaries	Are bursaries awarded to students from other universities?						Yes:		No:					
		Are bursaries awarded to NWU student(s)?						Yes:		No:					
		Will the full bursary amount be transferred to the student's NWU student account?						Yes:		No:					
		Will any bursary funds remain in this account for other expenses managed on behalf of the student(s)?						Yes:		No:					
		If other expenses are applicable – what type of expenses?					Research:		Other:						
		If not only bursary funds – indicate the % split				% Bursaries:		% Other expenses:							
		Indicate % under-/postgraduate funding:				% Undergraduate:		% Postgraduate:							
22	NRF funds 2S / 2SS	Award letter with grant/UID and reference number must be attached.								Confirm:					
		Is an institution contribution applicable?						Yes:		No:					
		If YES – indicate the SOF 1 E-doc application no. or the SOF 1 account no.:													
23	Hosting of a conference / workshop (3/5B account)	Local and international attendees? Indicate % split:			% Local:		% International:								
		Donation or sponsorship applicable?			None:		Donation:		Sponsorship:						
		Will students also attend?						Yes:		No:					
		Is it mandatory for students to attend?						Yes:		No:					
		Is it part of the students' curriculum / formal studies?						Yes:		No:					

Account type / purpose (continue)							Contract reference
24	Presenting a short course	SCAS approved? (attach approval letter if YES)	Yes:		No:		
		SCAS approval period/date still valid?	Yes:		No:		
25	Receiving Donations	Is there any direct or indirect valuable benefit to the donor?	Yes:		No:		
		If it is a donation, is a 18A Certificate applicable?	Yes:		No:		
		Please send 18A Certificate as soon as possible to Chimone.Barends@nwu.ac.za				Confirm:	
26	Receiving Sponsorship	The sponsor gets a benefit (marketing / recognition) through sponsoring. Explain the benefit:					
27	Staff development	Please ensure that you familiarize yourself with the policy in this regard.				Confirm:	
28	Commercialization	Will commercialization occur in/with this account/funding?	Yes:		No:		
29	Other	Other account types include: (Refer to the Account Type Guidelines)	Select and explain the purpose of this account application:				
		H - Residences (Only used by Residence and Catering Services)					
		GH - Project Surplus Distribution (Used by Financial Planning)					
		GX - Undefined Project Budgets – SOF 2 (Budget only!!)					
		GY - Undefined Project Budgets – SOF 3 (Budget only!!)					
		GZ - Undefined Project Budgets – SOF 5 (Budget only!!)					
		Other - Please explain:					

Any other information regarding the account:

Approval (Name and Signature please):

We, the undersigned,

- confirm that the account will be utilized in accordance with the relevant contract, if applicable, as well as the NWU's financial policies and guidelines.
- acknowledge that all capital items (if applicable) acquired in the account remain the property of the NWU and will be made available for physical verification upon request.
- understand that the information provided by us is used to assign valuable attributes to an account. These attributes include: Account type, SOF (Source of funds), Sub-Fund Code, Higher Education Function Code, Interest and VAT. These attributes determine where the transactions are recorded in the financial statements.
- understand that the information in this form will be used for audit purposes.
- confirm that all the information completed on this form is correct and complete.

Initiator:	Project leader:	Fin Planning Accountant:	Director/Organisation Manager:
Date:	Date:	Date:	Date: