CARRY FORWARDS

10th ANNUAL RESEARCH ADMINISTRATOR WORKSHOP 2019

8 October 2019

By: Cebsile Makhanya
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Purpose

Grantholders are expected to expend 100% of their grant within the funding year. In cases where there are valid reasons for non-expenditure of a portion of the grant within the funding year, they should inform, and thoroughly motivate to, the NRF, in good time, so that their respective grants are adjusted. This could be done throughout the year of funding.

NB: The NRF reserves the right to reject such motivations if it deems the motivation to be insufficient or not appropriately documented.
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Purpose continued

The CF process is intended to –

- allow grant-holders the flexibility of using grant funds appropriately during the duration of their approved projects;
- avoid withdrawing funds from institutions at which commitments have been made by the grant-holder, but not yet expensed; and
- make best possible use of the limited grant funds and therefore minimize money that is tied up but not being used.
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General Rules

- A grant holder, whose grant shows unspent or unclaimed operating costs by grant year-end (including running, sabbatical and equipment costs) **must:**
  - justify the non-expenditure of the grant;
  - strongly motivate the CF amounts within the progress report (PR) completion process.

- The NRF may not allow funds to be carried forward if less than 70% is spent within the operating expenses, **unless** it is supported, with documentation, of committed but unpaid funds, OR extremely well motivated. This should be supplied within the CF process and be recommended by the Financial Officer (FO) during the process.

- NRF staff will consider the motivations, together with the objectives of the grant, and the progress made, before approving/rejecting the request for CF.
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General Rules continued

- At the end of a multi-year grant, or final year of funding of a grant, **only** committed and unpaid expenses will be considered for CF.

- Unspent funds, already brought forward (BF) from the previous grant year, may not be carried forward for a second time with the exception of:
  - National Equipment Programme;
  - LEAP-Agri; and
  - Competitive Grants for Y-rated Researchers.
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General Rule Continued

- Institutions must provide the 1:1 commitment on CF funding that has been approved by NRF, where an institutional contribution is a requirement (i.e. Thuthuka). Carry Forward Guidelines - 2019-20- ver 2 5

- Grants allocated on an annual basis (eg. Thuthuka), will not accept motivations for CF of activities (including equipment not purchased) that have not occurred in the year of the award.

- Approved CF funds must be claimed before the 2020 award. CF funds not claimed by end June will be taken back after processing the June claims without notification to the graltholder or the Research Office.
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Exceptions

No CF of unspent funds will be considered for:

- Scholarships or grantee-linked student funding;
- Postdoctoral Fellowships;
- Collaborative Postgraduate Training Programme;
- Professional Development Programme; and
- Incentive Funding for Rated Researchers Programme.
Carry Forwards

Carry Forward Processes and Time Lines

This information has been sent through to all institutions. Kindly refer to the email sent by Ms Bettie De Beer on 27 September 2019.

Thank you