



The Nelson Mandela African Institution of Science and  
Technology (NMAIST)  
African Centre for Research, Agricultural advancement,  
Teaching Excellence and Sustainability (CREATES)

# Unaudited Financial Report

## January – December 2017



## Statement of sources and Uses of Funds for the period of January-December, 2017

<b>NAME OF ACE: Centre for Research Advancement, Teaching Excellence and Sustainability in Food and Nutrition Security (CREATES-FNS)</b>				
<b>Statement of sources and Uses of Funds for the period of January-December,2017</b>				
	<b>Sources of Funds</b>	<b>Note</b>	<b>Period Ending 31/12/2017</b>	<b>Cumulative for financial year Ending 31.12.2017</b>
	Opening cash balance		-	-
			-	-
	Government Funds		-	-
	World Bank IDA Funds		-	-
	Student Fees		-	-
	Others		-	-
	<b>Total</b>		-	-
	<b>Add receipt</b>			
	Government Funds		-	
	World Bank IDA Funds	1	1,096,278.00	1,096,278.00
	Student Fees		-	
	Others	2	50,267.00	50,267.00
	<b>Total Financing</b>		<b>1,146,545.00</b>	<b>1,146,545.00</b>
	<b>Less: Expenditure as per ACE Annual Implementation Plan</b>		494,352.42	-
	<b>Expenditure</b>			
	Establish Life Sciences / CREATES-FNS experiential based curricula		111,252.03	-
	Improve the CREATES-FNS teaching and learning approach		12,471.00	-
	Co-create CREATES-FNS teaching and learning environment		2,000.00	-
	Enroll and support Masters and PhD candidates		163,352.36	-

	Strengthen the research framework in CREATES-FNS		10,672.02	-
	Improve the CREATES-FNS research approach		25,454.02	-
	Quality assurance framework		755.00	-
	Equity Dimensions		-	-
	Attracting Regional Academic Staff and Students		9,995.00	-
	Engaging National and Regional Academic Partners		-	-
	Attracting National and Regional Sector Partners		3,560.00	-
	International academic collaboration		13,350.00	-
	Center Management and Governance		141,490.99	-
	Sustainable Financing		-	-
	Monitoring and Evaluation		-	-
	<b>Sub-total expenditure to December,2017</b>		<b>494,352.42</b>	<b>-</b>
	<b>Net cash balance as at December 2017</b>		<b>652,192.58</b>	<b>1,146,545.00</b>
<i>Note 1</i>	<i>Cumulative disbursement from World Bank IDA Funds</i>			
<i>Note 2</i>	<i>Refunds/Credits from Other NM-AIST project for their pre finances funded by CREATES</i>			



	curricula								
	<b>Sub-Total</b>	<b>26,816.98</b>	<b>54,000.00</b>	<b>27,183.02</b>	<b>26,816.98</b>	<b>54,000.00</b>	<b>27,183.02</b>		<b>5</b>
5.1.2	<b>Improve the CREATES-FNS teaching and learning approach</b>								
	Develop and deliver a T&L module	12,471.00	6,000.00	-6,471.00	12,471.00	6,000.00	-6,471.00	The funds were spent to support delivery of two short courses; Plant Metabolism and ecological modeling. The allocated amount was smaller than the actual amount spent	5
	Support short course and exchange programs on T&L for faculty and CREATES-FNS team	-	40,000.00	40,000.00		40,000.00	40,000.00	The Centre planned to support students exchange to other institution during their research work .Also will support short course trainings to staff in 2018	5
	Embed the T&L in the PhD and next generation faculty	-	-	-	-	-	-	No Funds allocated	5
	<b>Sub-Total</b>	<b>12,471.00</b>	<b>46,000.00</b>	<b>33,529.00</b>	<b>12,471.00</b>	<b>46,000.00</b>	<b>33,529.00</b>		<b>5</b>
5.1.3	<b>Co-create CREATES-FNS teaching and learning environment</b>								
	Recruit, retain and engage a hybrid and dynamic human resource	-	42,000.00	42,000.00	-	42,000.00	42,000.00	The process of recruiting Post-Doc is underway	5
	Facilitate experimental / applied opportunities and short internship programmes and exchange for students and faculty in the appropriate industry	2,000.00	10,000.00	8,000.00	2,000.00	10,000.00	8,000.00	The fund will support students and faculty members during exchange visits to the partner institutions	5
	Open opportunities for key partner to create their own set of environments for T&L	-	12,000.00	12,000.00	-	12,000.00	12,000.00	Waiting for signing MoUs with Key partner Institutions	5
	Improve software for modeling simulations	-	40,000.00	40,000.00	-	40,000.00	40,000.00		5

	and laptops/computers to facilitate e-learning and virtual access to international resources (SOFTWARE)								
	Upgrade/ procure extra accessories and equipment including Bio repository for running the laboratory and other teaching activities (working benches, inverters/generators etc) incubation?	-	55,000.00	55,000.00	-	55,000.00	55,000.00	The procurement process of power generator started and CREATES will contribute some funds. Also other funds planned to purchase equipments and reagents for students during their research work	5
	<b>Sub-total</b>	<b>2,000.00</b>	<b>159,000.0</b>	<b>157,000.00</b>	<b>2,000.00</b>	<b>159,000.0</b>	<b>157,000.00</b>		5
5.1.4	<b>Enroll and support Masters and PhD candidates</b>								
	Support a recruitment process for excellence of MSc and PhD students under CREATES-FNS	1,821.36	5,000.00	3,178.64	1,821.36	5,000.00	3,178.64	Scholarship advertisement and interview for selection of the best students was carried out	5
	Offset Tuition fees plus stipend for PhD students under CREATES-FNS	91,680.00	58,250.00	- 33,430.00	91,680.00	58,250.00	- 33,430.00	The amount allocated for student's tuition fees and stipends was smaller compared to the number of students enrolled. The funds were reallocated from other activities.	5
	Offset Tuition fees plus stipend for MSc students under CREATES-FNS	69,851.00	85,000.00	15,149.00	69,851.00	85,000.00	15,149.00	The amount was used to cover tuition fees and stipends for MSc students but also the remained amount were reallocated to cover the additional cost for PhD students	5
	<b>Sub-Total</b>	<b>163,352.36</b>	<b>148,250.0</b>	<b>- 15,102.36</b>	<b>163,352.36</b>	<b>148,250.0</b>	<b>- 15,102.36</b>		5
5.2.1	<b>Research Excellence</b>								

<b>Strengthen the research framework in CREATES-FNS</b>									
	Affirm / validate the research gaps (for 5.1 and 5.2 simultaneously)	-	-	-	-	-	-	-	5
	Validate the society and industry needs to inform the research agenda in alignment with the curriculum	10,627.70	-	- 10,627.70	10,627.70	-	- 10,627.70	No allocated budget for this activity but fund was reallocated from activity 5.1 and 5.2	5
	Support researches by PhD students in FNS	44.32	40,000.00	39,955.68	44.32	40,000.00	39,955.68	Students were not yet started their research work	5
	Support researches by Msc students in FNS	-	30,000.00	30,000.00	-	30,000.00	30,000.00	Students were not yet started their research work	5
	<b>Sub-Total</b>	<b>10,672.02</b>	<b>70,000.00</b>	<b>59,327.98</b>	<b>10,672.02</b>	<b>70,000.00</b>	<b>59,327.98</b>		5
<b>5.2.2 Improve the CREATES-FNS research approach</b>									
	Develop and deliver a R4D module program for faculty	-	-	-	-	-	-		5
	Support Mandela week, exhibitions and innovation sessions	3,214.00	20,000.00	16,786.00	3,214.00	20,000.00	16,786.00	CREATES participated in Mandela week exhibition and innovation on August, 2017	5
	Upgrade/ procure extra accessories and equipment including Biorepository for running the laboratory and other research activities (working benches, inverters/generators etc) incubation?		55,000.00	55,000.00		55,000.00	55,000.00	The amount of funds allocated will be used to support students researches	5
	Support publication of research findings	2,998.74	5,000.00	2,001.26	2,998.74	5,000.00	2,001.26	One student was supported to publish his research findings	5
	Facilitate knowledge exchange activities (attendance and participation in	19,241.28	20,000.00	758.72	19,241.28	20,000.00	758.72	Centre leaders visited International Partner Institutions for initiating collaborations	5

	international conferences and competitions)								
	Establish knowledge exchange formats (own Journal, communication, brochures)	-	-	-	-	-	-	No funds allocated	5
	Identify and support research mentorship courses/workshops for supervisory excellence	-	20,000.00	20,000.00	-	20,000.00	20,000.00	The Centre is organize to conduct pedagogical training to faculty staff in 2018	5
	Procure and maintain one vehicle for students and faculty	-	80,000.00	80,000.00	-	80,000.00	80,000.00	Procurement for the Centre vehicle is on process	5
	<b>Sub-Total</b>	<b>25,454.02</b>	<b>200,000.0</b>	<b>174,545.98</b>	<b>25,454.02</b>	<b>200,000.0</b>	<b>174,545.98</b>		5
5.3.0	<b>Quality assurance framework</b>								
	Develop quality assurance Policy (including manual and standard operating procedures (SOPs) as well as audit and measuring tools)	755.00	15,000.00	14,245.00	755.00	15,000.00	14,245.00	Centre supported development of the quality assurance policy	5
	Training all CREATES-FNS faculty on Quality Assurance (short-course) in combination with Monitoring and Evaluations (relevant for 5.1. and 5.2.)	-	24,000.00	24,000.00	-	24,000.00	24,000.00	Planned to be conducted in the next year	5
	Participate in the Partnership of Applied Sciences, Engineering and Technology (PASET) benchmarking exercise.	-	3,000.00	3,000.00	-	3,000.00	3,000.00	Planned to be conducted in the next year	5



	Support acquisition and retention of ISO 9000 and ISO 17025 certificates	-	10,000.00	10,000.00	-	10,000.00	10,000.00	Planned to be conducted in the next year	5
	<b>Sub-Total</b>	<b>755.00</b>	<b>52,000.00</b>	<b>51,245.00</b>	<b>755.00</b>	<b>52,000.00</b>	<b>51,245.00</b>		5
5.4.0	<b>Equity Dimensions</b>								
	<b>Reflect equity within CREATES-FNS faculty, students and management</b>	-	5,000.00	5,000.00	-	5,000.00	5,000.00	To be done next year	5
	Develop an Equity Strategy to guide CREATES-FNS	-	3,000.00	3,000.00	-	3,000.00	3,000.00	To be done next year	5
	Participate in ongoing AWARD activities (mentorship courses, best performance recruitment...)	-	9,000.00	9,000.00	-	9,000.00	9,000.00	To be done next year	5
	Sensitize and engage the public and partners on equity issues	-	-	-	-	-	-	No fund allocated	5
	Support SIDO and TIRDO in mobilization of women and other small scale processors to be involved researches and innovation platforms of NM-AIST - not budgeted	-	-	-	-	-	-	No fund allocated	5
	<b>Sub-Total</b>	<b>-</b>	<b>17,000.00</b>	<b>17,000.00</b>	<b>-</b>	<b>17,000.00</b>	<b>17,000.00</b>		5
5.5.0	<b>Attracting Regional Academic Staff and Students</b>								
	<b>Motivate local and regional faculty as well as students to work at CREATES-FNS</b>								5

	Organize familiarization events for new staff and students (orientation through novel technologies such as e-readers etc.)		1,000.00	1,000.00		1,000.00	1,000.00	Orientation of the new students was conducted	5
	<b>Showcase the capacity of CREATES-FNS to faculty, research scientists and students from the region</b>								5
	Sensitize targeted audiences in the region to showcase the programs offered by CREATES-FNS	9,995.00	10,000.00	5.00	9,995.00	10,000.00	5.00	Sensitization was carried out by the Centre team to show case programs offered by CREATES	5
	Support e-recruitment and e-admission portal and update it regularly (Budget under ICT)		3,000.00	3,000.00		3,000.00	3,000.00		5
	Support international staff and student information office - together with WISE		3,000.00	3,000.00		3,000.00	3,000.00	The Centre is on the process of establish the international office	5
	<b>Sub-Total</b>	<b>9,995.00</b>	<b>17,000.00</b>	<b>7,005.00</b>	<b>9,995.00</b>	<b>17,000.00</b>	<b>7,005.00</b>		5
5.6.0	<b>Engaging National and Regional Academic Partners</b>								
	<b>Becoming a knowledge translation and exchange hub</b>								5
	Build capacity for e-communication / knowledge exchange at each key partner site		24,000.00	24,000.00		24,000.00	24,000.00	To be done with key partners	5
	Populate the knowledge registry (list of all experts)							No budget allocated	5
	Sensitize targeted audiences in the region							No budget allocated	5

	to showcase the knowledge products of CREATES-FNS								
	<b>Sub-Total</b>	-	<b>24,000.00</b>	<b>24,000.00</b>	-	<b>24,000.00</b>	<b>24,000.00</b>		5
5.7.0	<b>Attracting National and Regional Sector Partners</b>								
	<b>Extending CREATES-FNS' reach multi-level and inter-sectorial</b>								5
	Develop and implement an inclusiveness strategy for multi-level and inter-sectorial partners (including a listserv, consistent ways of prioritizing who can participate, transparent)	3,560.00	5,000.00	1,440.00	3,560.00	5,000.00	1,440.00	Funds were allocated to other activities	5
	Create evidence-based opportunities to exchange with food, nutrition, health, biodiversity and agriculture sector partners	-	-	-	-	-	-	No budget allocated	5
	Promote technological transfer, products and spin-offs across levels and sectors	-	-	-	-	-	-	No budget allocated	5
	Strategies to parallel labor market requirements (gap analysis, ongoing monitoring of labor changes and shifts, new working area, alumni-tracking etc)	-	-	-	-	-	-	No budget allocated	5
	Quarterly community extension events (work directly with independent farmers,	-	-	-	-	-	-	No budget allocated	5

	small businesses)									
	<b>Sub-Total</b>	<b>3,560.00</b>	<b>5,000.00</b>	<b>1,440.00</b>	<b>3,560.00</b>	<b>5,000.00</b>	<b>1,440.00</b>			
5.8.0	<b>International academic collaboration</b>									
	Sustain bi-lateral presence and involvement of international collaborators	13,350.00	10,000.00	- 3,350.00	13,350.00	10,000.00	- 3,350.00	Centers leaders visited some key international partners	5	
	Acknowledge international successes through multiple strategies	-	-	-	-	-	-	No budget allocated	5	
	<b>sub-total</b>	<b>13,350.00</b>	<b>10,000.00</b>	<b>- 3,350.00</b>	<b>13,350.00</b>	<b>10,000.00</b>	<b>- 3,350.00</b>			
5.9.0	<b>Center Management and Governance</b>									
	<b>Staff and stabilize key leadership positions in each of the core units</b>	-	-	-	-	-	-		5	
	Hire staff and incentivize leaders and other staff (to build the CREATES-FNS admin team – incentives will be through conference attendance, short course and seminar participation etc. and not in monetary terms)	91,480.07	94,700.00	3,219.93	91,480.07	94,700.00	3,219.93	Four staff were hired and paid their monthly salaries and other benefits	5	
	Provide training on management and leadership for Centre leaders – training will be in joint collaboration with WISE – FUTURES and the other two ACEs at SUA	-	7,000.00	7,000.00	-	7,000.00	7,000.00	The Centre leaders will attend on leadership on leadership skills on January 2018	5	

Procurement of equipment, furnishing and office supplies and vehicle and repair and maintenance	42,439.30	62,400.00	19,960.70	42,439.30	62,400.00	19,960.70	Procurement of equipment, furnishing and office supplies and vehicle was conducted	5
Prepare annual budget and action plan and support the National ACE Steering Committee	-	8,000.00	8,000.00	-	8,000.00	8,000.00	Annual budget for year two will be prepared	5
Support training for finance and other supporting staff	-	4,000.00	4,000.00	-	4,000.00	4,000.00	The activity not implemented	5
Support for conducting sub working group, management and governing board meetings	5,053.39	10,000.00	4,946.61	5,053.39	10,000.00	4,946.61	Centre leaders attended the National Steering Committee meetings	5
Support training for Internal Auditor - covered by WISE	-	-	-	-	-	-	No fund allocated	5
Prepare annual procurement plan	-	-	-	-	-	-	No fund allocated	5
Support training for Procurement officer - covered by WISE	-	-	-	-	-	-	No fund allocated	5
Advertise products and services to be procured	2,518.23	5,000.00	2,481.77	2,518.23	5,000.00	2,481.77	Different Centre products and services to be procured were advertised	5
Facilitate meetings of tender Board and tender evaluation committee	-	4,000.00	4,000.00	-	4,000.00	4,000.00		5
Facilitate travels to two regional ACE meetings each year	-	4,000.00	4,000.00	-	4,000.00	4,000.00	Centre leaders are expecting to attend Regional Technical Advisory meeting on May,2018	5
Prepare audit report and table it in the Council		3,000.00	3,000.00		3,000.00	3,000.00	Annual financial statement Auditing will next year	5

	Audit Committee								
	<b>sub-total</b>	<b>141,490.99</b>	<b>202,100.0</b>	<b>60,609.01</b>	<b>141,490.99</b>	<b>202,100.0</b>	<b>60,609.01</b>		5
5.1.0	<b>Sustainable Financing</b>								
	Facilitate development of winning proposal grants (grants writing support, seed money, identifying calls) including research chairs	-	20,000.00	20,000.00	-	20,000.00	20,000.00		5
	Conduct demand-/industry-driven short courses and international conferences on a cost-plus basis	-	-	-	-	-	-	No fund allocated	5
	Prepare an ethical framework for provision of consultancy services to the industry and society	-	3,000.00	3,000.00	-	3,000.00	3,000.00	This will be done in year 2	5
	Sensitize and conduct annual campaigns for philanthropic contributions	-	-	-	-	-	-	No fund allocated	5
	<b>Sub-Total</b>	<b>-</b>	<b>23,000.00</b>	<b>23,000.00</b>	<b>-</b>	<b>23,000.00</b>	<b>23,000.00</b>		5
5.1.1	<b>Monitoring and Evaluation</b>								
	Develop a Monitoring and Evaluation Framework (shared across all key partners, including equity indicators)	-	5,000.00	5,000.00	-	5,000.00	5,000.00	The IUCEA M&E framework is currently used to monitor the key performance indicators	5
	Conduct Independent Monitoring and Evaluation	-	-	-	-	-	-	No fund allocated	5

	<b>Sub-Total</b>	-	<b>5,000.00</b>	<b>5,000.00</b>	-	<b>5,000.00</b>	<b>5,000.00</b>		5
	<b>Total</b>	<b>494,352.42</b>	<b>1,098,350</b>	<b>603,997.58</b>	<b>494,352.42</b>	<b>1,098,350</b>	<b>603,997.58</b>		

**Statement of Reimbursable Eligible Expenditure Programs (EEPs) for the period ending December, 2017**

<b>Eligible Expenditure Program(EPP)</b>	<b>Period ending December, 2017</b>	<b>Cumulative for financial year 2017</b>
EEP 1: Salaries	1,870,396.51	1,870,396.51
EEP 2: Non-procurable expenditure as defined in Financing Agreement	500,701.39	500,701.39
<b>Total EEPs</b>	<b>2,371,097.9</b>	<b>2,371,097.9</b>

## Expenditures per Disbursement Linked Indicators

<b>Centre for Research Advancement, Teaching Excellence and Sustainability in Food and Nutrition Security (CREATES-FNS) Ending December, 2017</b>					
Disbursement Linked Indicators	Action to be Completed	Status of Action Completion	Amount Allocated	Amount Disbursed	Undisbursed Balance
<b>DLI # 1 INSTITUTIONAL READINESS</b>					
DLI 1.1 To meet conditions for Effectiveness	To meet Conditions for Effectiveness: <ul style="list-style-type: none"> <li>• The Performance and Finance Agreements executed</li> <li>• The National Steering Committee created</li> </ul>	Completed	600,000	600,000	0
DLI 1.2 Development Of Detailed Implementation Plans	Implementation plan approved by the Ministry of Education, Science, Technology and Vocational Training and accepted by the IUCEA/WB	Completed	500,000	500,000	0
<b>DLI #2: EXCELLENCE IN EDUCATION AND RESEARCH CAPACITY AND DEVELOPMENT IMPACT</b>					
DLR# 2.1: Timely annual implementation of the plans	At least 85% of activities implemented on timely manner	45 % of the planned activities implemented	500,000	-	-
DLR #2.2: Newly enrolled students in the ACE of which at least 20% must be regional (African) students	<ul style="list-style-type: none"> <li>• At least 30% of PhD and Masters candidates enrolled are from the region</li> <li>• At least 40% of the PhD and</li> </ul>	The following students were enrolled; <b>18 MSc</b> (11 Fe; 7 Me) whereby:	1,200,000	-	-



	Masters candidates are females	<p>-14 come from Tanzania (9 Fe; 5Me)</p> <p>-4 come from the region (Kenya, Rwanda, Malawi and Comoros) (2Fe; 2Me)</p> <p><b>20 PhD</b> ( 9 Fe; 11 Me) whereby</p> <p>-16 come from Tanzania ((9 Fe;7Me)</p> <p><b>Short courses:</b> 30 Participants (12 Fe; 18 Me)</p> <p>-4 come from the region (Zambia, Uganda, Mozambique and Cameroun (2Fe; 2 Me)</p>			
DLR#2.3: Accreditation of quality of education programs	<ul style="list-style-type: none"> <li>• At least three PhD and three MSc programs approved by national accreditation body.</li> <li>• At least one PhD and one Master program approved by international accreditation body</li> </ul>	Five draft MSc/PhD curricula developed were submitted to TCU for approval	600,000	-	-
DLR#2.4: Partnerships for collaboration in applied research and training collaboration	At least 8 MoUs are signed annually: 4 with academic institutions, 1 with industry / research institute and 3 with partner institutions	2 MoUs with Academic Research partner institutions &- 2 MoUs with Private/Industrial Institutions	200,000	-	-

DLR#2.5: Peer-reviewed journal papers or peer-reviewed conference papers prepared collaboratively with national, regional or international co-authors	At least 20 internationally peer reviewed research articles co-authored by partners, published, annually	20 Internationally peer-reviewed papers were published	300,000	-	-
DLR#2.6: Faculty and PhD student exchanges to promote regional research and teaching collaborations	At least 16 students with at least two week internship in a private sector company or a local institution or international institution  At least 12 academic staff with at least two week internship in a private sector company or a institution or international institution	2 PhD students participated in exchange programme and 4 Faculty staff also participated in exchange programme	500,000	-	-
DLR#2.7: External revenue generation	At least \$31,000 in year one, \$351,700 in year two, &722,700 in year three and \$602,700 in year four, of external funds generated	744,800 USD joint proposal on Commercial and Value Addition on Sea Weed in Coastal Regions of East Africa under Bio-innovate African program.  CREATES developed a post-doctoral program following a request from COSTECH and the program will be hosted by CREATES	900,000	-	-

DLR#2.8: Institution participating in benchmarking exercise	CREATES-FNS participates in the Partnership of Applied Sciences, Engineering and Technology (PASET) benchmarking exercise.	-	100,000	-	-
<b>DLI#3: TIMELY, TRANSPARENT AND INSTITUTIONALLY REVIEWED FINANCIAL MANAGEMENT</b>					
DLR#3.1: Timely Withdrawal applications supported by interim unaudited financial reports for each ACE	Timely Withdrawal applications supported by interim unaudited financial reports	-	75,000	-	-
DLR#3.2 : Functioning audit committee under each Eastern and Southern African Higher Education Institutions	The University Council Audit Committee meets at least four times in a year.	NM-AIST Audit Committee Quarterly meeting was held	75,000	-	-
DLR#3.3: Functioning internal audit unit for each Eastern and Southern African Higher Education Institution	Project accounts audited annually and submitted to the Ministry and the IUCEA/WB within six months after the end of the financial year	-	75,000	-	-
DLR#3.4: Transparency of financial management (audit reports, interim unaudited financial reports, budgets and Annual Work Programs are all web accessible)	All the audit reports, interim financial reports, budgets and annual work plan published on the university website	Centre Website is under construction	75,000	-	-
<b>DLI#4: TIMELY AND AUDITED PROCUREMENT</b>					
DLR# 4.1 Timely procurement audit report for each ACE	Procurement audit report tabled in the Council Audit Committee on quarterly basis	Procurement Audited report was developed and tabled at the Council Audit Committee	150,000	-	-

DLR#4.2: Timely and satisfactory procurement progress report for each ACE	Procurements are done in accordance with an annual procurement plan, advertised and approved by the s of tender Board	Procurement done based on the annual plan developed	150,000	-	-
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