



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

Interim Financial Report July - December, 2018



NAME OF ACE: Centre for Research Advancement, Teaching Excellence and Sustainability in Food and Nutrition Security (CREATES-FNS)			
Statement of sources and Uses of Funds for the period ending		July to Dec 2018	
			Cummulative for financial year Ending June 2019
	Sources of Funds	Period Ending 31/12/2018	
	Opening cash balance	10,547.16	
		-	
	Government Funds	-	
	World Bank IDA Funds		
	Refunds to SA/Retirements	15,770.10	
	Credit	220,000.00	
	Total	246,317.26	
	Add receipt		
	Government Funds	-	
	World Bank IDA Funds	-	
	Student Fees	-	
	Others(Funds from ITP)	5,777.05	
	Total Financing	252,094.31	
	Less:Expenditure as per ACE Annual Impelmentation Plan	239,815.45	
	Expenditure		
	Establish Life Sciences / CREATES-FNS experiential based curricula	623.00	
	Improve the CREATES-FNS teaching and learning approach		
	Co-create CREATES-FNS teaching and learning environment	336.10	
	Enroll and support Masters and PhD candidates	121,583.45	
	Strengthen the research framework in CREATES-FNS	6,323.00	
	Improve the CREATES-FNS research approach	25,369.40	
	Quality assurance framework		
	Equity Dimesions		
	Attracting Regional Academic Staff and Students	947.00	
	Engaging National and Regional Academic Partners	12,460.00	
	Attracting National and Regional Sector Partners	993.45	
	International academic collaboration	19,916.27	
	Center Management and Governance	43,279.78	
	Sustainable Financing		
	Monitoring and Evaluation	7,984.00	
	Sub-total	239,815.45	
	Net cash balance as at Dec 2018	12,278.86	

TABLE 17: Name of ACE Centre for Research Advancement,Teaching Excellence and Sustainability in Food and Nutrition Security (CREATES-FNS)						
Uses of Funds(USD) (Breakdown) for the period ending 31/12/2018						
Expenditure	Period ending		Cumulative for Financial year ended 31.12.2018			
	Actual	Planned	Variance	Actual	Planned	Variance
Establish Life Sciences / CREATES-FNS experiential based curricula						
Affirm / validate the curricula review gaps (for 5.1 and 5.2 simultaneously)	-	54,000.00	54,000.00	26,816.98	54,000.00	27,183.02
Inaugurate the Centre and validate the society and industry needs to inform the curricular review and development	-	32,000.00	32,000.00	34,591.33	32,000.00	2,591.33
Conduct working sessions to review the current curriculum and draft four main streams each for PhD and MSc curricula based on the specializations on:	623.00	22,000.00	21,377.00	78,837.45	22,000.00	56,837.45
TCU curriculum approval charges	-	12,000.00	12,000.00	-	12,000.00	12,000.00
International accreditation of curricula	-	-	-	-	-	-
Sub-Total	623.00	120,000.00	119,377.00	140,245.76	120,000.00	20,245.76
Improve the CREATES-FNS teaching and learning approach						
Develop and deliver a T&L module	-	6,000.00	6,000.00	12,471.00	6,000.00	6,471.00
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
Embed the T&L in the PhD and next generation faculty	-	-	-	-	-	-
Sub-Total	-	46,000.00	46,000.00	12,471.00	46,000.00	33,529.00
Co-create CREATES-FNS teaching and learning environment						
Recruit, retain and engage a hybrid and dynamic human resource	-	42,000.00	42,000.00	-	42,000.00	42,000.00
Facilitate experimental / applied opportunities and short internship programmes and exchange for students and faculty in the appropriate industry	336.10	10,000.00	9,663.90	2,336.10	10,000.00	7,663.90
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
Improve software for modeling simulations and laptops/computers to facilitate e-learning and virtual access to international resources (SOFTWARE)	-	40,000.00	40,000.00	-	40,000.00	40,000.00
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
Sub-total	336.10	159,000.00	158,663.90	2,336.10	159,000.00	156,663.90
Enroll and support Masters and PhD candidates						
Support a recruitment process for excellence of MSc and PhD students under CREATES-FNS	-	5,000.00	5,000.00	85,737.22	5,000.00	80,737.22
Offset Tuition fees plus stipend for PhD students under CREATES-FNS	60,220.45	58,250.00	1,970.45	331,481.61	58,250.00	273,231.61
Offset Tuition fees plus stipend for MSc students under CREATES-FNS	61,363.00	85,000.00	23,637.00	131,214.00	85,000.00	46,214.00
Sub-Total	121,583.45	148,250.00	26,666.55	548,432.83	148,250.00	400,182.83
Research Excellence						
Strengthen the research framework in CREATES-FNS	6,323.00			6,323.00	-	6,323.00
Affirm / validate the research gaps (for 5.1 and 5.2 simultaneously)	-	-	-	-	-	-
Validate the society and industry needs to inform the research agenda in alignment with the curriculum	-	-	-	10,627.70	-	10,627.70
Support researches by PhD students in FNS	-	40,000.00	40,000.00	103,763.99	40,000.00	63,763.99
Support researches by Msc students in FNS	-	30,000.00	30,000.00	-	30,000.00	30,000.00
Sub-Total	6,323.00	70,000.00	70,000.00	120,714.69	70,000.00	50,714.69
Improve the CREATES-FNS research approach						
Develop and deliver a R4D module program for faculty	-	-	-	-	-	-
Support Mandela week, exhibitions and innovation sessions	-	20,000.00	20,000.00	3,214.00	20,000.00	16,786.00
Upgrade/ procure extra accessories and equipment including Biorepository for running the laboratory and other research activities (working benches, inverters/generators etc) incubation?	25,369.40	55,000.00	29,630.60	62,872.47	55,000.00	7,872.47
Support publication of research findings	-	5,000.00	5,000.00	2,998.74	5,000.00	2,001.26
Facilitate knowledge exchange activities (attendance and participation in international conferences and competitions)	-	20,000.00	20,000.00	28,618.28	20,000.00	8,618.28
Establish knowledge exchange formats (own Journal, communication, brochures...)	-	-	-	-	-	-
Identify and support research mentorship courses/workshops for supervisory excellence	-	20,000.00	20,000.00	-	20,000.00	20,000.00
Procure and maintain one vehicle for students and faculty	-	80,000.00	80,000.00	-	80,000.00	80,000.00
Sub-Total	25,369.40	200,000.00	174,630.60	97,703.49	200,000.00	102,296.51
Quality assurance framework						
Develop quality assurance Policy (including manual and standard operating procedures (SOPs) as well as audit and measuring tools)	-	15,000.00	15,000.00	755.00	15,000.00	14,245.00
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	26,657.05	24,000.00	2,657.05
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
Support acquisition and retention of ISO 9000 and ISO 17025 certificates	-	10,000.00	10,000.00	-	10,000.00	10,000.00
Sub-Total	-	52,000.00	52,000.00	27,412.05	52,000.00	24,587.95

Equity Dimesions					-	-
Reflect equity within CREATES-FNS faculty, students and management	-	5,000.00	5,000.00	-	5,000.00	5,000.00
Develop an Equity Strategy to guide CREATES-FNS	-	3,000.00	3,000.00	-	3,000.00	3,000.00
Participate in ongoing AWARD activities (mentorship courses, best performance recruitment...)	-	9,000.00	9,000.00	-	9,000.00	9,000.00
Sensitize and engage the public and partners on equity issues	-	-	-	-	-	-
Support SIDO and TIRDO in mobilisation of women and other small scale processors to be involved researches and innovation platforms of NM-AIST - not budgeted	-	-	-	-	-	-
Sub-Total	-	17,000.00	17,000.00	-	17,000.00	17,000.00
Attracting Regional Academic Staff and Students		-	-		-	-
Motivate local and regional faculty as well as students to work at CREATES-FNS	-	-	-	-	-	-
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
Showcase the capacity of CREATES-FNS to faculty, research scientists and students from the region	-	-	-	-	-	-
Sensitize targeted audiences in the region to showcase the programs offered by CREATES-FNS	947.00	10,000.00	9,053.00	26,244.25	10,000.00	16,244.25
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
Support international staff and student information office - together with WISE	-	3,000.00	3,000.00	-	3,000.00	3,000.00
Sub-Total	947.00	17,000.00	16,053.00	26,244.25	17,000.00	9,244.25
Engaging National and Regional Academic Partners		-	-		-	-
Becoming a knowledge translation and exchange hub	6,549.00	-	6,549.00	6,549.00	-	6,549.00
Build capacity for e-communication / knowledge exchange at each key partner site	-	24,000.00	24,000.00	5,440.00	24,000.00	18,560.00
Populate the knowledge registry (list of all experts)	-	-	-	-	-	-
Sensitize targeted audiences in the region to showcase the knowledge products of CREATES-FNS	5,911.00	-	5,911.00	5,911.00	-	5,911.00
Sub-Total	12,460.00	24,000.00	11,540.00	17,900.00	24,000.00	6,100.00
Attracting National and Regional Sector Partners		-	-		-	-
Extending CREATES-FNS' reach multi-level and inter-sectorial	993.45	-	993.45	993.45	-	993.45
Develop and implement an inclusiveness strategy for multi-level and inter-sectorial partners (including a listserv, consistent ways of prioritizing who can participate, transparent)	-	5,000.00	5,000.00	3,560.00	5,000.00	1,440.00
Create evidence-based opportunities to exchange with food, nutrition, health, biodiversity and agriculture sector partners	-	-	-	-	-	-
Promote technological transfer, products and spin-offs across levels and sectors	-	-	-	-	-	-
Strategies to parallel labor market requirements (gap analysis, ongoing monitoring of labor changes and shifts, new working area, alumni-tracking etc)	-	-	-	-	-	-
Quarterly community extension events (work directly with independent farmers, small businesses)	-	-	-	-	-	-
Sub-Total	993.45	5,000.00	4,006.55	4,553.45	5,000.00	446.55
International academic collaboration		-	-		-	-
Sustain bi-lateral presence and involvement of international collaborators	19,916.27	10,000.00	9,916.27	64,464.90	10,000.00	54,464.90
Acknowledge international successes through multiple strategies	-	-	-	-	-	-
sub-total	19,916.27	10,000.00	9,916.27	64,464.90	10,000.00	54,464.90
Center Management and Governance		-	-		-	-
Staff and stabilize key leadership positions in each of the core units	1,792.45	-	1,792.45	1,792.45	-	1,792.45
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)	33,008.62	94,700.00	61,691.38	176,549.32	94,700.00	81,849.32
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
Procurement of equipment, furnishing and office supplies and vehicle and repair and maintenance	1,206.71	62,400.00	61,193.29	153,507.01	62,400.00	91,107.01
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
Support training for finance and other supporting staff	492.00	4,000.00	3,508.00	492.00	4,000.00	3,508.00
Support for conducting sub working group, management and governing board meetings	-	10,000.00	10,000.00	9,441.81	10,000.00	558.19
Support training for Internal Auditor - covered by WISE	-	-	-	-	-	-
Prepare annual procurement plan	-	-	-	-	-	-
Support training for Procurement officer - covered by WISE	-	-	-	-	-	-
Advertise products and services to be procured	-	5,000.00	5,000.00	2,518.23	5,000.00	2,481.77
Facilitate meetings of tender Board and tender evaluation committee	-	4,000.00	4,000.00	204.23	4,000.00	3,795.77
Facilitate travels to two regional ACE meetings each year	6,780.00	4,000.00	2,780.00	6,780.00	4,000.00	2,780.00
Prepare audit report and table it in the Council Audit Committee	-	3,000.00	3,000.00	4,000.00	3,000.00	1,000.00
sub-total	43,279.78	202,100.00	158,820.22	355,285.05	202,100.00	153,185.05
Sustainable Financing		-	-		-	-
Facilitate development of winning proposal grants (grants writing support, seed money, identifying calls) including research chairs	-	20,000.00	20,000.00	19,072.00	20,000.00	928.00
Conduct demand-/ industry-driven short courses and international conferences on a cost-plus basis	-	-	-	-	-	-
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
Sensitize and conduct annual campaigns for philanthropic contributions	-	-	-	-	-	-
sub-total	-	23,000.00	23,000.00	19,072.00	23,000.00	3,928.00
Monitoring and Evaluation		-	-		-	-
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
Conduct Independent Monitoring and Evaluation	7,984.00	-	7,984.00	7,984.00	-	7,984.00
sub total	7,984.00	5,000.00	2,984.00	7,984.00	5,000.00	2,984.00
GRAND TOTAL	239,815.45	1,098,350.00	864,857.55	1,444,819.57	1,098,350.00	346,469.57

Expenditures as per Disbursement Linked Indicators					
Centre for Research Advancement, Teaching Excellence and Sustainability in Food and Nutrition Security (CREATES-FNS)					
July to Dec,2018					
Disbursement Linked Indicators	Action to be Completed	Status of Action Completion	Amount Allocated	Amount Disbursed	Undisbursed Balance
DLI # 1 INSTITUTIONAL READINESS					
DLI 1.1 To meet conditions for Effectiveness	To meet Conditions for Effectiveness:	Completed	600,000	600,000	0
	The Performance and Finance Agreements executed				
	The National Steering Committee created				
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
DLI #2: EXCELLENCE IN EDUCATION AND RESEARCH CAPACITY AND DEVELOPMENT IMPACT					
DLR# 2.1: Timely annual implementation of the plans	At least 85% of activities implemented on timely manner	87 % 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	At least 30% of PhD and Masters candidates enrolled are from the region	The following students were enrolled; ;27 (3 Regional , 11Female)	1,200,000	-	-
	At least 40% of the PhD and Masters candidates are females	PhD students (43 MSc (6 Regional, 23 female)			
	Short courses	Short courses: 104 Participants (23Regional ; 81National) and (Female 19; male 85)			
DLR#2.3: Accreditation of quality of education programs	<ul style="list-style-type: none"> At least three PhD and three At least one PhD and one Master program approved by international accreditation body 	<ul style="list-style-type: none"> Stakeholders validation 10 Draft curricula (5 MSc & 5 PhD) resubmitted to TCU for Accreditation 	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	A total of 15 MoUs were signed (3 private companies & 13 Academic/ Research partners)	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 articulated co-authored by partners, published, annually	48 papers were published in peer reviewed journals:	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	A total of 18 PhD students and faculty staff participated in exchange programme of at least two weeks for research and teaching activities	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		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.	The Centre submitted Institution data for PASET benchmarking exercise	100,000		-
DLI#3: TIMELY, TRANSPARENT AND INSTITUTIONALLY REVIEWED FINANCIAL MANAGEMENT					
DLR#3.1: Timely Withdrawal applications supported by interim unaudited financial reports for each ACE	Timely Withdrawal applications supported by interim unaudited financial reports	Withdrawal Application was submitted by the CENTRES	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.	Three NM-AIST Audit Committee Quarterly meetings were held to discuss Audit findings	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	Quarterly Audits were carried out by the NM-AIST Internal Audit Unit and findings were tabled to the Audit committee of the Institution	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 was updated with information	75000		-
DLI#4: TIMELY AND AUDITED PROCUREMENT					
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 done based on the annual plan developed	150,000		-
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.	Two NM-AIST Audit Committee Quarterly meetings were held to discuss Audit findings	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	Quarterly Auditing were carried out by the NM-AIST Internal Audit Unit and findings were tabled to the Audit committee of the Institution	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 was launched and information/reports are being posted	75,000		-
DLI#4: TIMELY AND AUDITED PROCUREMENT					
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		-