



## National Drought Management Authority

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# CALL FOR APPLICATIONS: RESEARCH BURSARIES FOR ONGOING PHD STUDIES

REFERENCE No: NDMA/EDE -DRMC/SP 6/PHD -B/2019-2020

## TERMS OF REFERENCE

### 1.0 BACKGROUND AND CONTEXT

#### 1.1 Beneficiary country

Kenya

#### 1.2 Contracting Authority

The National Drought Management Authority (NDMA)

#### 1.3 Relevant country background

There is increasing recognition of the devastating socio-economic impact of natural hazards. Drought, in particular, erodes the assets of communities and undermines their livelihood strategies, thereby increasing poverty. To comprehensively address drought risks, the Government of Kenya (GoK) established the National Drought Management Authority (NDMA), which is a permanent and specialised institution. The NDMA was established through Legal Notice N0.171 of 2011 and later through the NDMA Act, 2016. The Act mandates the Authority to exercise overall coordination over all matters relating to drought risk management and to establish mechanisms, either on its own or with stakeholders that will end drought emergencies in Kenya.

The Government has also adopted a strategy called Ending Drought Emergencies (EDE), which emerged in reaction to the 2008-11 droughts in the Horn of Africa. A summit of Heads of State and Government from East Africa and the Horn of Africa region in Nairobi in September 2011 recognised that droughts are slow-onset phenomena which need not, and should not, lead to emergencies if they are properly monitored and managed. IGAD was directed to coordinate

member states to put measures in place to ensure resilience and sustainability in order to end drought emergencies in the region.

The Kenya Country Paper seeks to create ‘a more conducive environment for building drought resilience’ and commits the Government to end drought emergencies within ten years (by 2022). This will be achieved through investments in the critical foundations for development (such as infrastructure, security and human capital) and by strengthening the institutional and financing framework for drought risk management.

The EDE strategy seeks to accelerate investment in these development foundations, as well as strengthen the institutions responsible for managing drought risks. To achieve this, six broad areas called ‘Pillars’ have been identified to meet the EDE objectives;

1. Peace and security
2. Climate-proofed infrastructure
3. Human capital
4. Sustainable livelihoods
5. Drought Risk Management
6. Institutional development and knowledge management.

The EDE, therefore, focuses on measures that make people less vulnerable to the effects of drought and that improve the quality of response when drought strikes. The strategy is part of the Kenya Vision 2030 Second Medium Term Plan, 2013-2017 and the current Third Medium Term Plan for the Vision 2030 (MTP III), 2018-2022. The strategy is implemented through a Common Programme Framework that seeks to ensure stronger alignment and coordination of investment between the National Government, County Governments and Development Partners. Implementation of the EDE is overseen by an inter-governmental committee chaired by the Ministry of Devolution and ASALs and is coordinated by the NDMA.

#### **1.4 Current situation in the sector**

The Government is committed to ending drought emergencies by 2022 as part of its contribution towards the IGAD Drought Disaster Resilience and Sustainability Initiative (IDDRSI). Kenya is actualising this commitment through the EDE strategy, a 10-year programme whose implementation is overseen by an inter-governmental committee chaired by the Ministry of Devolution and ASALs and coordinated by the NDMA.

The EDE Framework involves many partners working together in diverse sectors and at different levels; from community, county and national. A Common Programme Framework for the EDE ensures stronger alignment and coordination of investment and where possible, harmonisation of programming.

Policies and programmes need to be based on evidence generated through research. Currently, the NDMA generates knowledge through programme implementation, which does not always inform decisions. Hence the need for research to support investments and decision making.

## **1.5 Related programmes and other donor activities**

The NDMA ACT tasks the Authority to, among other functions, conduct research on drought management and generate, consolidate and disseminate drought management information. Towards this end, the NDMA is implementing a Knowledge Management Strategy that will inform issues relating to research and partnership with research organisations. At the same time, development of a knowledge-sharing platform is ongoing and this will provide a system for collating and sharing knowledge materials, including research papers. The proposed research will thus feed into the knowledge-sharing platform.

## **2.0 OBJECTIVE, PURPOSE & EXPECTED RESULTS**

### **2.1 Overall objective**

To ensure EDE stakeholders have access to the information and knowledge they require for policy and investment decision-making.

### **2.2 Assignment Purpose**

NDMA seeks to enhance the ability of communities, stakeholders and county governments to prevent, mitigate and prepare for adverse impacts of drought and ensure that drought does not culminate into emergencies. The Authority does this by;

- Leading and facilitating drought risk management.
- Providing drought early warning information.
- Enhancing coordination and capacity building of all stakeholders.
- Serving as the institutional memory/knowledge generation and management for drought risk management and climate change adaptation in Kenya.

Knowledge generation and its management is a key component in ending drought emergencies as it plays a key role in ensuring that decisions are made based on sound evidence. Thus, research contributes extensively to drought risk management and adaptation to climate change. The call for applications for research bursaries is expected to fill existing knowledge gaps and provide information that will be used to develop policy briefs. Moreover, supporting human capital development in the ASALs is a key investment in the foundations for development.

### **2.3 Results to be achieved by the study**

- Detailed research findings – through a thesis - and proposed implementable recommendations.
- An action plan for implementing the proposed recommendations.
- Policy brief for use by NDMA and other Government departments.

## **3.0 ASSUMPTIONS & RISKS**

### **3.1 Assumptions underlying the assignment**

This call for applications for research bursaries is made with the assumption that the successful student will diligently carry out the work and deliver within the set timelines. It is also assumed that exogenous factors will not have significant effect on the research.

### **3.2 Risks**

#### **Identified risks**

Insecurity that may affect execution of the project.

## **4.0 SCOPE OF WORK**

### **4.1 Description of the Assignment**

NDMA calls for applications for partial grants from ongoing PhD students whose research topic and/or area of research is in a drought-related field as specified in Section 6 of this ToR.

#### **4.1 Specific work**

The applicants/students are required to state the geographical area (county) where the research is to be undertaken. This must be in one of the arid and semi-arid areas (ASALs) of Kenya where the NDMA currently operates. These include the following counties: Tana River, Garissa, Marsabit, Lamu, Kwale, Kilifi, Turkana, Mandera, Wajir, Samburu, Isiolo, Meru, Laikipia, Nyeri, Kitui, Makueni, Kajiado, Narok, Baringo, West Pokot, Tharaka Nithi, Taita Taveta and Embu.

As part of the research, the successful applicants will be expected to clearly state the following in their research report:

- Statement of the Research problem.
- Overall research objective, specific objectives and /or questions.
- Target population.
- Methodology.
- Research Findings.
- Implementable recommendations.
- An action plan for implementation of the recommendations.

### **4.2 Project Management**

#### **4.2.1 Responsible Body**

The National Drought Management Authority (NDMA), in the capacity of Contracting Authority, will be responsible body for overall management of the service contract.

#### **4.2.2 Management Structure**

Successful candidates will work under direct supervision of NDMA management representatives (a Research Committee) during the performance of the contract, which will convene review meetings to assess the progress and outcome of the contract implementation. The Committee may incorporate an expert to assist or provide requisite guidance and /or expertise in specific areas where such expertise may be required .

## **5.0 LOGISTICS AND TIMING**

### **5.1 Location**

The project location will be identified by the applicant.

### **5.2 Start date and period of implementation of tasks**

The intended start date is 1<sup>st</sup> December 2019 and the period of implementation of the contract will be twelve (12) months from this date.

## 6.0 REQUIREMENTS

### 6.1 Selection Criteria

#### *Requirements*

- i. Research area must contribute to drought risk management and climate change adaptation.
- ii. The applicant must be a citizen from Kenya, African, Caribbean, Pacific (ACP) or European Union (EU) and registered in an accredited Kenyan institution of higher learning.
- iii. Active PhD students whose proposals have already been approved and have a projected completion date no later than November 2020. Inactive PhD students as a result of lack of funding, but with approved proposals, will also be considered.
- iv. Project/research must target Kenya's arid and semi-arid areas (counties specified under section 4.2).
- v. Applicants **must not** be in receipt of financial support from other sources for the project that is the subject of application.
- vi. Provide detailed (itemised) budget and work/activity plan (including realistic milestones).

### 6.2 Possible thematic areas

- Environmental science
- Rangeland Management
- Drought early warning systems – monitoring / modelling/ forecasting
- Drought vulnerability/risk profiling/targeting
- Natural resource management
- Post-disaster assessment studies (drought loss and damages/risk transfer)
- Food and nutrition security
- Drylands livelihoods, including value addition
- Nature-based enterprises and market access
- Resource use and management /threats of invasive species
- Resource-based conflicts and/or alternative dispute resolution for land use change
- Education and indigenous knowledge in in nomadic communities
- Renewal energy/appropriate technologies for ASALs

### 6.3 Application Process

Applicants must provide the following;

- i. Documentary evidence of all the requirements under the eligibility criteria detailed in 6.1.
- ii. Concept note (max 2 pages) on how their research/thematic area contributes to drought risk management and/or climate change adaptation.
- iii. Brief (max 3 pages) of the research/approved thesis, including a clear and reasonable timetable for the student's work and name and contact of supervisor(s).
- iv. A copy of the approved proposal.
- v. Endorsement/supporting letter from the university's graduate school/college and supervisor(s).
- vi. Clearance by relevant research bodies where applicable.

In addition, applicants must fill in the application form provided in Annex I: Application Form.

Bursaries will be granted on the understanding that the proposed project complies with the safety and ethical regulations of the applicant’s learning institution, and that the requirements of all relevant regulatory authorities are met before the project commences.

## 7.0 Office accommodation

Not applicable

## 7.1 Facilities to be provided by the researcher

None

## 7.2 Equipment to be provided by the researcher

None

## 8.0 EVALUATION

### 8.1 Evaluation of technical proposals

The quality of each technical proposal will be evaluated in accordance with the evaluation criteria detailed in the evaluation grid below. No other award criteria will be used. The award criteria will be examined in accordance with the requirements indicated in the Terms of Reference.

| <b>EVALUATION GRID</b>                                                                                          | <b>Evaluation Criteria</b>       |
|-----------------------------------------------------------------------------------------------------------------|----------------------------------|
| <b>1. Mandatory requirements</b>                                                                                |                                  |
| a) Kenyan citizen, ACP or EU national registered in accredited Kenyan institution of higher learning.           | Met / Not met                    |
| b) Active PhD student as at October 2019, as indicated in reference letters and documents.                      | Met / Not met                    |
| c) Clear concept as detailed in 6.3 above.                                                                      | Met / Not met                    |
| d) Brief of proposed research as in 6.3 above.                                                                  | Met / Not met                    |
| e) A copy of the approved research proposal.                                                                    | Met / Not met                    |
| f) Endorsement / support letter from the University’s graduate school / college and supervisors                 | Met / Not met                    |
| g) Project /Research targets Kenya’s arid and semi-arid areas                                                   | Met / Not met                    |
| h) Complete application form for research bursaries for ongoing PHD studies duly filled and attached (Annex I). | Met / Not met                    |
| i) Demonstration of data collection methods and tools.                                                          | Met / Not met                    |
| j) Clearance by relevant research bodies where applicable.                                                      | Met / Not met/<br>Not applicable |
| <b>2. Technical Evaluation–Maximum score of 100 marks</b>                                                       |                                  |
| a) Research topic contributes to addressing the identified ASAL policy challenges.                              | 10                               |
| b) Research topic contributes to drought risk management and climate change adaptation.                         | 15                               |

|                                                                                                                                                  |            |
|--------------------------------------------------------------------------------------------------------------------------------------------------|------------|
| c) Research topic contributes to Kenya’s strategy for Ending Drought Emergencies (EDE) by 2022 and the Sustainable Development Goals.            | 15         |
| d) Sound research methodologies (proposed sampling, experiment procedures, data collection and analysis) to address the stated research problem. | 20         |
| e) Proposal demonstrates new innovations or indicates the extent to which new ideas may be generated.                                            | 15         |
| f) Proposal demonstrates engagement of communities and /or other relevant stakeholders.                                                          | 10         |
| g) Detailed work plan/work flow.                                                                                                                 | 10         |
| h) Clear demonstration of the need for financial support.                                                                                        | 5          |
| <b>TOTAL</b>                                                                                                                                     | <b>100</b> |

**Note:**

1. Only proposals that meet all the mandatory requirements in section 1 of the evaluation grid shall proceed for technical evaluation under section 2 of the evaluation grid. Proposals not meeting all the mandatory requirements shall be eliminated.
2. Only proposals attaining an average score of 75 marks or more, in the Technical Evaluation score shall proceed for financial evaluation. Proposals not attaining 75 marks and above shall be eliminated.

**8.2 Interviews**

The Evaluation Committee may elect to interview the candidate submitting the proposal after writing provisional conclusions but before concluding the technical evaluation.

**8.3 Financial proposal**

The Financial proposal must be presented as an amount in Kenya Shillings and must be submitted using a detailed format as shown in Annex I of the Terms of Reference.

**8.4 Evaluation of financial proposal**

Upon completion of the technical evaluation, the financial proposals for candidates that were not eliminated during the technical evaluation (i.e. those with an average score of 75 points or more) will be opened. Proposals exceeding the maximum budget available for the contract will be eliminated.

**8.5 Choice of selected tenderer**

The best value for money is established by weighing the technical quality against the financial proposals on an 80/20 basis.

**8.6 Maximum budget**

The maximum budget available for this contract is **one million Kenya shillings (Kshs 1,000,000)**.

**9.0 REPORTING REQUIREMENTS**

**9.1 Reporting requirements**

The candidate will submit the following reports in English:

- a) **Quarterly progress report:** The candidate will submit quarterly reports detailing progress on collection of study materials, data collection, laboratory analysis as may be required, data analysis, challenges encountered and recommendations. Subsequent disbursement of the grant is subject to satisfactory submission of quarterly reports.
- b) **Draft final report:** The candidate will submit final draft thesis report, thesis defense slides and draft publications for peer review journals no later than one month before the end of the period of implementation of the tasks.
- c) **Final report:** Final thesis report and copies of published journal articles will be submitted to the Contracting Authority in both hard and soft copies. The deadline for sending the final report is 14 days after successful defence and publication of journal articles. The journal articles must meet the minimum standards as may be outlined by the Commission for University Education (CUE).
- d) **Seminar on research findings:** The candidate will present research findings and recommendation to NDMA technical team in a half-day workshop at a venue jointly agreed by both parties. The power point presentation shall contain a sufficiently detailed description of the different recommendations to support an informed decision on the research problem identified above. The detailed analyses underpinning the recommendations will be presented in annexes to the main report.

## **9.2 Submission and approval of reports**

The reports referred to above must be submitted to the project manager/committee identified in the contract. The committee or management representatives is responsible for approving the reports.

## **9.3 Visibility requirements**

The final thesis report and copies of published journal articles must indicate the study as having been funded by the NDMA through the financial support of the European Union (EU). Any subsequent publications from the research must be attributed to this funding.

## **10.0 MONITORING AND EVALUATION**

### **10.1 Definition of indicators**

The supervising committee will use the specific tasks as outlined in sections 4 & 6 and deliverables listed in section 9 to assess progress and give direction and the required assistance.

### **10.2 Special requirements**

Not applicable

## **11.0 ADDITIONAL INFORMATION BEFORE THE DEADLINE FOR SUBMISSION OF PROPOSALS**

Applicants may submit questions in writing to the following email address up to 14 days before the deadline for submission of proposals, specifying the Call for Applications reference number and the contract title:

Email: **ede@ndma.go.ke**

The Contracting Authority has no obligation to provide clarifications after this date. Any applicant seeking to arrange individual meetings with the Contracting Authority concerning this contract during the call for applications period may be excluded from application process.

Any clarification will be communicated through the NDMA website [www.ndma.go.ke](http://www.ndma.go.ke) or from the Tenders Portal: <https://www.tenders.go.ke> latest 7 calendar days before the deadline for submission of proposals. No further clarifications will be given after this date.

No information meeting is foreseen. Visits by individual prospective applicants during the call period cannot be organised.

## **12.0 SUBMISSION OF APPLICATIONS**

The deadline for submission of Applications is on **6<sup>th</sup> November 2019 at 2:00 pm**. Applicants must include the requested documents as specified in the Terms of Reference.

All applications must be sent:

**EITHER** by recorded delivery (official postal service) to:

**The Chief Executive Officer  
National Drought Management Authority  
Lonrho House, 8<sup>th</sup> Floor  
P.O. Box 53547- 00200  
Nairobi, Kenya**

**OR** hand delivered (including courier services) directly to the Contracting Authority to the physical address specified below:

**The Chief Executive Officer  
National Drought Management Authority  
Lonrho House, 8<sup>th</sup> Floor, Standard Street  
Nairobi, Kenya**

**Applications submitted by any other means will not be considered.** Applications **must** be submitted using the double envelope system, i.e., in an outer parcel or envelope containing two separate, sealed envelopes, one bearing the words "**Envelope A - Technical proposal** " and the other "**Envelope B - Financial proposal** ". All parts of the application other than the financial proposal must be submitted in Envelope A.

The outer envelope should carry the following information:

- a) the address for submission of the application indicated above.
- b) the reference code of the Call for Applications to which the applicant is responding (i.e., <publication reference>);
- c) the name of the applicant.

### **13.0 COSTS FOR PREPARING THE APPLICATION**

All costs incurred with regard to preparation and submission of the application shall be borne by the applicant and are, therefore, **not** reimbursable.

### **13.1 OWNERSHIP OF APPLICATIONS**

The Contracting Authority retains ownership of all applications received under this call for application process and is, therefore, under no obligation to return them to applicants.

### **14.0 CONFIDENTIALITY**

The entire evaluation procedure is confidential, subject to the Contracting Authority's policy on access to documents. The Evaluation Committee's decisions are collective and its deliberations are held in closed session. The members of the Evaluation Committee are bound to secrecy. The evaluation reports and written records are for official use only and may be communicated neither to the applicants nor to any party **other than** the Contracting Authority, the Commission, the European Anti-Fraud Office and the European Court of Auditors.



|                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
|-------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                   | <p><b>DEAN/DIRECTOR GRADUATE STUDIES/SCHOOL:</b> (This is to certify that the said Student is currently fully registered in this University and His/her research work has been approved and/or is ongoing).</p> <p>Name ..... Signature &amp; Stamp .....</p>                                                                                                                                                                                                                                                                                         |
| <p><b>3.0</b></p> | <p><b>HEAD OF THE UNIVERSITY:</b><br/>         Declares:</p> <ul style="list-style-type: none"> <li>• That this University supports this application and will ensure the project is implemented as scheduled in the postgraduate programme if he/she receives the Grant.</li> <li>• This page to be endorsed by (VC or DVCs or Principal in case of University Constituent Colleges).</li> </ul> <p>Signature: ...                      Date:</p> <p>Title, Name, Official position:<br/>         .....<br/>         .....</p> <p>Official stamp:</p> |

**4.0 PROPOSED RESEARCH**

*(Expand the spaces provided in the form to fit. The proposal should not exceed 25 pages in Times New Roman font size 12, single spacing) excluding relevant appendices e.g. CV, letter of approval from Board of Postgraduate, workplan etc)*

|                                       |
|---------------------------------------|
| <p><b>Title of your Research:</b></p> |
| <p><b>Area of specialization:</b></p> |

**Abstract:** *(Maximum of 300 words)*

*Select 3 – 5 key words describing the project:*

**4.1. Give a background to the proposed research**

*Define the problem that the proposal seeks to address, stating the justification of the project and how addressing the problem is of benefit to the National Drought Management Authority (NDMA)*

**4.2. Up-to-date scholarly knowledge** (*Provide relevant and updated literature review information related to your proposed research to show the existing gaps*)

**4.3. State the objectives of your research**

**4.4. State your hypothesis/research questions (if any)**

**4.5. State clearly the expected outputs of this research and ensure that they are linked with the stated objectives**

**4.6. Identify clearly the potential beneficiaries of the research results and the expected impacts**

## **5.0 RESEARCH DESIGN AND DATA ANALYSIS**

### **5.1 Describe the research Methodology**

*(Provide clearly descriptions of the scientific methodologies you will use in this research, indicating statistical methods, experimental designs and analysis to be used etc) Ensure your clearly indicate the methodologies to be used to achieve the stated objective.*

### **5.2 Identify specialised equipment, facilities and infrastructure required for the project**

### **5.3 For studies using human participants, indicate eligibility (inclusion/exclusion) criteria, access and recruitment, incentives, etc**

## 6.0 PROJECT ACTION PLAN

### Detailed Plan of Activities

Provide a clear indication of the tasks that will be performed to complete the work in the following format. (*Attach the workplan separately*).

## 7.0 FACILITIES AND FUNDING

### 7.1 List facilities relevant to the research project available at your University

### 7.2 List any other funds that you or your institution have obtained or will apply for this particular research project

|  | Donor | Time frame | Amount (Kshs) |
|--|-------|------------|---------------|
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### 7.3 If you have co-funding for your project, please give details of the funding you have received and why this Grant is needed?

### Appendices:

#### The following are mandatory documents to be attached to your application;

- i. Letter from Board of Postgraduate Studies/School to prove the proposal has been defended and approved.
- ii. Copy of the MSc/MA degree certificate.
- iii. Letter of registration from your University.
- iv. Copy of ID or passport.
- v. Letter for affiliation from a local institution (Those registered outside the country)
- vi. Brief CV (Max 2pg).
- vii. Proposed workplan.

## ANNEX II: FORMAT OF FINANCIAL PROPOSAL

### BUDGET

**NOTE that institutional overheads/charges, administration fee are not accepted under this Grant. Emphasis on budget allocation should be placed on expendable supplies. (This Grant does not support the acquisition of: - Laptops; Desktop Computers; Printers; Microscopes; Refrigerators; Deep freezers; Microwaves; Cameras; Mobile phones, tuition fees, professional associations fees, salaries, consultancies fees, contingency, subscription fees, Airtime, Internet bundles, text books). Any equipment procured will remain property of the Contracting Authority.**

*Provide clearly itemised yearly budget. You can add rows to this template to fit list of your budget items (DO NOT include any of the above prohibited items).*

| Budget Items                                                                                                                     | Number of Units / Qty | Unit Cost   | Lumpsum cost (if applicable) | Frequency (if applicable) | Total cost  |
|----------------------------------------------------------------------------------------------------------------------------------|-----------------------|-------------|------------------------------|---------------------------|-------------|
|                                                                                                                                  | <b>Kshs</b>           | <b>Kshs</b> | <b>Kshs</b>                  | <b>Kshs</b>               | <b>Kshs</b> |
| <b>Expendable supplies</b> <i>(please specify)</i>                                                                               |                       |             |                              |                           |             |
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| <b>Sub-total</b>                                                                                                                 |                       |             |                              |                           |             |
| <b>Equipment</b> <i>(Specify and describe each item)</i>                                                                         |                       |             |                              |                           |             |
| <i>*Equipment normally found in most labs may not be supported by this grant</i>                                                 |                       |             |                              |                           |             |
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| <b>Sub-total</b>                                                                                                                 |                       |             |                              |                           |             |
| <b>Travel costs</b> <i>(local traveling costs, accommodations, allowances - should not be more than 20% of the total budget)</i> |                       |             |                              |                           |             |
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| <b>Sub-total</b>                                                                                                                       |  |  |  |  |  |
| <b>Data collection costs</b> <i>(please specify the specific personnel and resources required)</i>                                     |  |  |  |  |  |
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| <b>Sub-total</b>                                                                                                                       |  |  |  |  |  |
| <b>Documentation, publication costs, conferences</b> <i>(please specify – cost of conferences must not exceed 10% of total budget)</i> |  |  |  |  |  |
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| <b>Sub-total</b>                                                                                                                       |  |  |  |  |  |
| <b>Other costs</b> <i>(please specify)</i>                                                                                             |  |  |  |  |  |
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| <b>Sub-total</b>                                                                                                                       |  |  |  |  |  |
| <b>TOTAL AMOUNT APPLIED</b>                                                                                                            |  |  |  |  |  |
| <i>Note: Total amount applied for must not exceed the maximum limit. Any applications exceeding the limit will not be considered).</i> |  |  |  |  |  |

**List the items you requested funding for in the budget, describing their function, explain their cost, and justifying their use in this research** *(Attach clear explanatory notes of the budget).*

**References** (*List all publications/literature materials cited in this application*)

**Supervisors** (*Provide updated contacts of all supervisors: - Telephone and Email*)