WRC Research Proposals for Open and Directed Call

Guidelines for Proposal Preparation and Submission

WRC Research Proposals for Open and Directed Call

Proposals must be submitted in English, via the WRC Website on the Fund Management System (FMS)

These guidelines are intended to provide the proposer with details of the information required when submitting a proposal. Certain fields and supporting documentation are mandatory and you will not be able to submit the proposal unless these fields and/or supporting documentation have been completed and uploaded. It is advisable to be as thorough as possible in addressing the remaining fields as a proposal that is incomplete is far less likely to be considered for funding.

Notes:

(i) *You are strongly advised to prepare your proposal fully before logging into the Internet-based system to enter your data. This will enable you to ensure that you have all the necessary data ready and will greatly facilitate the time taken to capture your proposal into the system for submission*

(ii) *It is preferable to use Plain Text when entering information in the data fields; the Internet-based submission system does not support text formatting.*

(iii) *For consistency, use the same Terminology throughout, especially in related fields such as Title, Motivation, Aims and Methodology.*

(iv) *Monetary values: These should be rounded off to the nearest Rand and must NOT include VAT. When entering Rand amounts, do not include the Rand symbol. Rand values must be entered as a single number (no cents), with no spaces, commas or colons (e.g. enter R100 000.00 as 100000).*

(v) *Date format: dd/mm/yyyy (the system will check for months with both 30 and 31 days and for February having either 28 days or 29 days for a leap year)*

(vi) *Caution: If your internet options are set to use the AutoComplete facility, then you will need to ensure that data captured using this functionality is correctly saved to the system; the AutoComplete function is not always reliable.*

Any prolonged period of inactivity (more than 15 minutes) will result in a Time-out error. Therefore, it is important that you SAVE your data regularly when entering your proposal into the system (this is especially important if you are typing in a large amount of text; you still need to press the SAVE/UPDATE button every 10-15 minutes to ensure that the data is not lost by Time-out.

Login Procedures

1. First-time users are required to register as New Users of the WRC's Internet-based Fund Management System (FMS) by completing a User Details registration form
2. Access is based on a valid User EMail address and Password *(case sensitive)*
3. Once you have registered as a User, you will have access (as an Registered User) to both the Open and Directed proposal Submission systems

Note*:*
The User will automatically be logged in the system as a Research PROPOSER, so this needs to be considered if the Proposer intends getting someone else to do the data entry on his/her behalf.

The user registration details are extremely important as the Research Manager will need them in order to contact the proposer with feedback and follow-up communication.

Register a New Proposal

1. Login to the system using your registered User EMail and Password
2. The system will open at the Proposal Registration screen

Open Proposals

In order to qualify for consideration, a research proposal must be relevant to, and directed at, any one of the WRC's Key Strategic Areas (KSAs). Moreover, the proposed research must be clearly aligned with a recognised Thrust and Programme within the KSA.

Note:
Funds will not always be available for all KSAs or for all Thrusts and Programmes within a particular KSA. Make sure you refer to the Availability of Funds and Fund Allocation information provided on the WRC's website. This will also include an indication of the preferred Thrusts and Programmes for the financial year under consideration.

Step 1: Select the relevant KSA

Step 2: Select the appropriate Thrust and Programme

Note:
The word 'Programme' is abbreviated, e.g. P1, P2, etc)

Directed Proposals

Step 1: Select the relevant KSA

Step 2: Select the appropriate Proposal title from the list provided

Note:
It is important that your submission complies with the pre-determined Terms of Reference (ToRs) for the project. The ToRs for each listed Directed Projects will be available as a downloadable PDF file. ***You are strongly advised to keep a copy available when preparing your submission.***

1. The system will automatically register a proposal for you and provide you with a UNIQUE Proposal Number

Note:
*Once you have registered a proposal, you can display a list of your current proposals by selecting the '**My Current Proposals**' link on the Menu Bar (available on all data entry screens). The 'My Current Proposals' link will display all proposals that -*

- *are still **In Progress***
- *have been **Completed and Submitted to the WRC NB:** Submitted proposals, although listed, will no longer be available for editing. So please make sure you are fully satisfied with your proposal before finally submitting it to the WRC*
- *are registered in the current Proposal Submission system for a particular financial year's Call for Proposals (i.e. proposals that were not completed and submitted during the current financial year's submission cycle will not be listed under 'My Current Proposals' in the following cycle)*

Proposal Details

Note:
*The **KSA, Thrust, Programme** and **Proposer** fields will display the details selected during Login and Registration. These fields cannot be edited as the registration of a new proposal is dependent on these initial steps.*

- **Proposal title**: A descriptive title is mandatory and should be as concise as possible. *(A Directed research proposal title should be identical to the title given in the published Terms of Reference (ToRs))*
- **Start** and **End dates:** The start date should fall within the financial year (1 April – 31 March) following that of the Call for Proposals, unless otherwise indicated or agreed to by the WRC. As these dates are mandatory, please make sure values entered are valid dates that conform to the required format. *(Allow final 20% of contract value in financial year)*

Research Location

Select the province or region where the research activity will take place.

Research Category

Select one or more appropriate categories for the proposed research.

Organisation Details

The Organisation details will need to be entered into the submission system before Researchers (associated with the organisation) can be captured.

Lead Organisation

- **Name**
- **SMME:** *(Characteristics of a SMME: Fewer than 200 employees; annual turnover of less than R64 million; capital assets of less than 23 Million and direct managerial involvement by owners)*
- **HDI:** *(Historical disadvantaged Institutions in SA)*
- **Name of department/division**
- **Postal address**: PO Box, City/Town, Postal code
- **Physical address**: Street + Street number, City/Town, Postal code
- **Contributions**: Give an indication of the nature and extent of in-kind contributions (e.g. facilities, equipment, human resources) to be made by the organisation (in addition to those financed by the WRC) *(Indicate the monetary value of the specified contributions. Do not include direct financial contributions here. These must be recorded in the* ***Additional funds*** *section)*
- **Tax Clearance, BEE and Company Registration Certificates** : Upload certificates

Contract Signatory

Correspondence details are mandatory for the person duly authorised to sign the contractual Research Agreement on behalf of the Lead Organisation (i.e. the 'Contractor' in the Agreement). The data cannot be captured until the lead organisation details have been entered.

- **Full name**: Title, Initials, Last name and First name
- **Position/Capacity**: *i.e.* in the Organisation
- **Gender, Race, Nationality, Citizenship, Country of Origin**
- **EMail address, Telephone, Cell**
- **Physical address**: *i.e. address* to which official documents should be delivered (domicilium citandi et executandi)

Research Office Contact Person

Refers to the contact charged with managing WRC research contracts for the organisation as well as follow-ups regarding supporting documentation i.e. Tax Clearance and BEE Certificates, etc.

- **Full name**: Title, Initials, Last name and First name
- **Position/Capacity**: *i.e.* in the Organisation
- **EMail address, Telephone, Cell**
- **Physical address**: *i.e. address* to which official documents should be delivered (domicilium citandi et executandi)

Finance Office Contact Person

Refers to the contact charged with financial management on the WRC-funded project i.e. invoicing, auditing

- **Full name**: Title, Initials, Last name and First name
- **Position/Capacity**: *i.e.* in the Organisation
- **EMail address, Telephone, Cell**
- **Physical address**: *i.e. address* to which official documents should be delivered (domicilium citandi et executandi)

Collaborating Organisation(s)

Provide details of all organisations that will participate in/contribute to the research. *(Do not enter the Lead organisation's details again)*

- **Name**
- **Department**
- **Contribution**
- **Address: i.e. Postal or Physical**
- **Is this an international cooperation**
- **Is this a Public-Private Partnership (PPP)**

Research Team

Note:

*This does not include Casual labour; include Casuals under **Running Expenses: Casual Labour** (see **Budget details** section below). Basic details for project leader and researchers are mandatory.*

- **Full name**: Title, Initials, Last Name, and First Name
- **Role**: *i.e.* Project leader, Principal researcher or Researcher
- **ID/Passport number**
- **Gender, Race, Nationality, Citizenship, Country of origin**
- **Years experience**: This refers to the individual's number of years of relevant experience concerning the proposed research (e.g. 15)
- **Qualifications**: Briefly specify those qualifications directly relevant to the proposed research *(CV details are not required)*
- **Email, Telephone, Cell**

Rationale

The potential value of the output yielded by the research, including a clear, concise explanation of the extent of the problem and the reasons why the research is necessary, should form the basis of each of the rationale focus areas.

Motivation

Provide a clear concise explanation of the extent of the problem and the reasons why the research is necessary. This field should address the need for new knowledge or knowledge enhancement in the specific area. Cite relevant literature references, only where necessary. *(Do not give a complete reference list here; these can be included under the General Information section)*

Contextualisation

Any WRC funded project must have one or more of the following desired outcomes:

Transformation and Redress, Sustainable development solutions, Empowerment of communities, Informing policy and decision making, Human Capital Development in Water and Science sectors and New products and services for economic development. Provide a description of how this proposal will address the above domains.

Outcomes and Expected Impact

List the outputs and expected impacts of this research. *(Do NOT list the deliverables)*

Aims

Each research aim (objective) must be entered separately. The aim or objective must be stated concisely (preferably in **one sentence**) and should focus on a key output. A minimum of one Aim is mandatory.

Note:
Research tasks or activities do not qualify as aims; these should be included under Methodology.

Each aim entered is given a sequential number by the system. These numbers are clearly indicated next to each aim data entry field. If you intend referring to your aims by number, make sure you enter the aim in the correctly numbered field (to avoid confusion later on)

Methodology

The methodology should describe appropriate research methods that will:-

(i) solve the problems or generate the knowledge identified in the Motivation
(ii) achieve the Aims of the proposed research.

Indicate, concisely (~ 3000 words max):

(i) where the research will be carried out;
(ii) what facilities and materials will be used;
(iii) what procedures or experimental techniques will be applied (justify the choice); any variables which can affect results (indicate their relative importance and describe how they will be monitored and/or accounted for).

Deliverables

Each deliverable must be entered separately. Identify achievable, clearly defined deliverables that will achieve the Aims of the research. A minimum of one Deliverable is mandatory. ***(****Deliverables must be measurable and a print ready Final report is a compulsory deliverable****)***

Please take special note of the following information regarding the relationship between the Deliverables and Total Budget*:*

*(i) The **Deliverables Total** cost for a specific financial year **must equal** the **Budget Total** for the same financial year (i.e. the total cost involved in the production of each deliverable will include all related costs, including staff remuneration).*

*(ii) The **Grand Deliverables Total**, for the total duration of the project (i.e. for all financial years involved), **must equal** the **Grand Budget Total**. Remember to structure the Deliverables for a specific financial year such that they meet the necessary Cash Flow requirements for that year.*

- **Deliverable title/name**: Concise title/name (preferably no more than **5 words**)
- **Task description**: Brief description of the activity required to produce the deliverable
- **Financial year**
- **Target date**: Allocation of a realistic time frame within which the deliverable will be produced.

- **Amount**: Total cost of producing the deliverable (including the associated resource costs)

Each deliverable entered is given a sequential number by the system. These numbers are clearly indicated next to each deliverable entry field. If you intend referring to your deliverables by number, make sure you enter the deliverable in the correctly numbered field (to avoid confusion later on)

Products

Each research product must be entered separately. Identify each major research product (e.g. a new process, methodology, guidelines, a mathematical model or inputs to an existing model) *(In some cases, deliverables and products may be the same)*

- **Product title/name**: The title/name must be concise (preferably no more than **5 words**)
- **Target group:** Identify, as concisely as possible, the target group(s) at which the product is aimed (e.g. local authorities, irrigators, regulators, DWAF)
- **Product application**: Briefly describe the potential practical application(s) of the research product. State where and how the product will find application
- **Financial year**

Each product entered is given a sequential number by the system. These numbers are clearly indicated next to each product entry field. If you intend referring to your products by number, make sure you enter the products in the correctly numbered field (to avoid confusion later on)

Budget Details

Refer to the Deliverables section (above) for important information regarding the relationship between the Deliverables and Total Budgets

Once all the expenses have been entered, you can open the Budget Summary screen to view all totals for each financial year and confirm that the Grand Budget Total equals the Grand Deliverables Total. NB: As per the memorandum of Agreement a 20% retention will apply to every project budget. The retention will only be paid once all project requirements have been met and the final deliverable which should ideally be the Final Report has been submitted to and approved by the WRC.

Human Resource Costs

Human resource costs comprise all payments to project research team members. Only personnel requesting remuneration from the project budget need to be specified in this section. Rates for each financial year must be entered separately. A minimum of one human resource cost is mandatory.

Note:

(i) Human resource costs can only be entered once the organisation and research team members have been entered into the system

(ii) Casual labour costs must not be entered under Human Resource costs (include Casual labour under the Running expenses: Labour section below)

- **Researcher**: Names will be available from a dropdown list; hence it is essential to Add researchers before entering their remuneration rates
- **Financial year**
- **Remuneration rate per day**: *The following should be noted:*
  - *(i) Rates in **excess of R4 600 per day** will not be acceptable*
  - *(ii) Remuneration rates will include overhead costs*

(iii) Rates charged for individual researchers must be commensurate with qualifications and experience and will be queried if this appears not to be the case
(iv) It is permissible to include time for project management in calculating human resource costs although the WRC reserves the right to query the percentage time allowed for this

- **Total days per year**
- **Amount**

Capital Expenses

Each capital item (apparatus/equipments) that needs to be purchased must be entered separately.

Note:
The following items are NOT to be included as Capital expenses:
(i) any capital items supplied by the Lead or Collaborating organisation(s)
(ii) PC or laptop equipment (these items will NOT be approved for funding)

- **Capital item description**: Keep this as concise as possible (preferably in **one sentence**)
- **Motivation**: Indicate the purpose for which the item will be used and why funds should be made available
- **Financial year**
- **Amount**

Running Expenses

The 5 running expense options are provided in a dropdown list. Select the appropriate option and give the corresponding financial amount for the selected financial year.

- **Expense Item:** *Casual labour: select the running expense option from the dropdown list provided*
  Subsistence and Travel: S&T should include accommodation costs
  General maintenance: e.g. repairs to laboratory equipment
  Meetings/Workshops: include sundry costs e.g. printing of reports
  Contingencies: i.e. provision for unexpected expenses
- **Financial year**
- **Amount**

Minor Expenses

Each additional expense item/group of items (*e.g.* laboratory glassware, consumables, etc) that needs to be specified must be entered separately.

- **Expense Item description**
- **Financial year**
- **Amount**

Dissemination/Uptake Activity Expenses

- **Expense Item description**
- **Financial year**
- **Amount**

Knowledge Dissemination

The dissemination and transfer of new knowledge are crucial steps in the R&D process. Please provide information on planned activities (scientific and/or popular publications, conference presentations, technology-transfer workshops, etc) in this regard (~ 2000 words max).

Innovation

Provide details (~ 2000 words max) of the following anticipated research outcomes:-

(i) potential patents and/or trademarks to be applied for
(ii) computer software that may be created
(iii) potential commercialisation initiatives (specify partners and industrial sector involved)

Note:
Information on ownership of background intellectual property or prior expenditure on development of potentially commercialisable products which impact on intellectual property and licensing rights should be included under the General Information: Intellectual Property section below.

Intellectual Property

This pertains to historical data relating to relevant intellectual property issues. Include details (~ 500 words max) of patents and intellectual property agreements involving the lead and/or collaborating organisations that existed prior to the proposal being submitted or the project commencing. Please note that, unless otherwise agreed by the parties, the proprietorship of all background intellectual property disclosed in terms of this section shall continue to vest in the party who was proprietor at the time of the disclosure

Capacity and Competency Development

The WRC actively supports capacity and competency development initiatives through its research projects. In order to enhance the national competency base, the active participation of historically disadvantaged individuals and groups is regarded as a high priority. Broadening research participation can be effected through inter-institutional collaboration, subcontracting, mentoring and training. The commitment and innovation reflected in the proposal will be critically evaluated. Capacity and Competency Development initiatives are subdivided into 3 separate categories. For each category, indicate ***how*** and ***to whom*** it is envisaged to **transfer skills** developed as a result of the research.

Individual Development

Student details: Full names, ID, Gender, Race, Nationality, Country of origin, Citizenship, Institution, Degree (for each applicable Financial Year)

Note:
Student's information need to be verified on an annual basis by submitting a colour copy of the student's ID and Registration documents.

Information relating to race and gender is required to enable the WRC to monitor trends in the demographics of water research participants

Institutional Development

- **Institution name**
- **Nature of the development**

Community Development

- **Community name**
- **Nature of development/benefits**

Additional Funds

Details of funds contributed by the Lead or Collaborating Organisations, or from other sources.

- **Organisation name**
- **Financial year**
- **Amount**

Additional Information

Literature References
List references to all literature cited in the proposal (~ 1000 words max).

Additional Comments
Be as concise as possible (~ 1000 words max).

CV Details
Abridged CV of the Project leader, including relevant track records (including date and institution), relevant experience, lists of most relevant projects and publications (max of 5 each). Full CV may be uploaded with the link provided.

Declaration of Interest

To be downloaded, completed and uploaded via link provided

Print Proposal Report

At any stage during the process of entering your proposal into the Internet-based Proposal Submission system, you can print a report of the data captured at that stage. The **'Print Report'** link is available on the Menu bar on all data entry screens. The report will be in Adobe Acrobat (PDF) format and can be viewed, printed or downloaded.

Submit a Completed Proposal to the WRC

When you are satisfied that your proposal is complete, click on the **'Submit Proposal'** link (available on the Menu Bar on all data entry screens). Depending on the completeness and validity of the data you have captured, submission will either succeed or fail.

Successful Submission
The system will require you to confirm that you are ready to submit your proposal. *(Remember that you cannot edit a proposal once it has been transferred to the WRC. You will only be able to see it listed on the '**My Current Proposals**' list display under the section Completed and Submitted to the WRC)*
Once you confirm your intent to submit, the system will generate a submission confirmation message screen.
You will also receive an email confirming that your proposal has been successfully transferred to the WRC. The email will contain a copy of the full proposal report (PDF file) as an attachment.

Note:

Should you need to communicate with the WRC concerning your proposal (prior to the proposal submission deadline date), then contact the KSA to which your proposal was directed and quote the Proposal Number (You can also contact the KSA Coordinators)

Failed Submission

The system will not accept a proposal if any mandatory fields have not been completed, supporting documentation uploaded or if there is invalid data. You will receive a message indicating the sections to check. Only when all the essential data has been captured, uploaded or data corrected, will the submission be accepted.