

Austrian Climate Research Programme – ACRP

5th call for proposals

Guide for the submission of proposals

May 2012



Contents

Preface	3
01. The fifth ACRP call at a glance	4
02. Austrian Climate Research Programme	5
03. Objectives and scope of the programme	6
04. Thematic areas	7
4.1 Thematic area 1: Understanding the climate system and consequences of climate change	7
4.2 Thematic area 2: Responding to Austria's policy community	8
4.3 Thematic area 3: The human dimensions of climate change	9
4.4 Thematic area 4: Governance and transformation	10
4.5 General guidelines	10
05. Administrative information	11
5.1 Eligible institutions and persons	11
5.2 Project types	11
5.3 Budget	11
5.4 Costs	11
5.5 Intellectual property rights	13
5.6 Legal basis and EU conformity	13
06. Procedure	14
6.1 Submission and consultation	14
6.2 Selection of projects	14
6.3 Evaluation criteria	15
6.4 Contract	15
6.5 Reports and duties	16
6.6 Modalities of payment	16
07. Contacts	17
7.1 Programme owner and call responsibility	17
7.2 Management of the call	17
08. Appendix	18
8.1 Further information on personnel costs	18

Preface

Climate change has dramatic effects on the ecosystem and mankind. Although it affects all of life's aspects, public awareness for the problem is still limited. The spread of new species due to rising temperatures for instance does not only influence agriculture and forestry but has also a direct impact on the spread of vector-borne diseases and allergies. This in turn affects the health care and economic system as well as the well-being of individuals. Thus an in-depth understanding of the various aspects of climate change and their interdependency is vital – not only to develop sound mitigation and adaptation strategies and measures, but also in order to maintain prosperity, health, economic performance and quality of life in a sustainable way.

In order to meet these requirements, the Climate and Energy Fund has developed its own research programme, the ACRP (Austrian Climate Research Programme). This is the fifth call for proposals within the framework of this programme, focusing on excellent research in the fields of understanding the climate system and the consequences of climate change, responding to Austria's policy community, the human dimensions of climate change and governance and transformation.

Through the ACRP, the Climate and Energy Fund intends to help minimise the damage to be expected from climate change, initiate adaptations strategies and strengthen Austria as a research and business location in the medium and long term. From the very beginning, the Climate and Energy Fund has always made a special effort to incorporate the ACRP into the European climate research environment. The programme was therefore developed not only by the expert advisory board of the Climate Fund, but also by a planning committee with international membership. Thus, national climate research benefits from an excellent opportunity of integration at the European level.

We cordially invite you to use this opportunity to strengthen Austrian climate research and to submit your projects under the ACRP, and we wish the researchers every success in their efforts!



Ingmar Höbarth
Managing Director



Theresia Vogel
Managing Director

01. The fifth ACRP call at a glance

The Climate and Energy Fund (Klima- und Energiefonds) is an important instrument of the Austrian Federal Government for the creation of incentives in the field of climate policy. Within the framework of the Climate and Energy Fund the Austrian Climate Research Programme (ACRP) provides a conceptual and institutional basis for supporting climate research in Austria.

Content of the 5th call:

The Climate and Energy Fund supports a broad range of research topics, the intention being to help Austria deal with climate change through mitigation and adaptation, and to contribute towards building a high level of climate research competence for relevant policy areas in Austria.

The ACRP focuses on issues of climate change and its impacts, adaptation, mitigation, and their mutual interrelation (research focused on technology-specific climate mitigation is financed under the "e!MISSION – Energy Mission Austria" (the energy RTD programme of the Climate and Energy Fund) call and under various calls of the BMVIT – Federal Ministry of Transport, Innovation and Technology – and will not be funded within the ACRP).

The following thematic areas indicate the broad range covered by the ACRP research agenda and serve as a guide for the submission of proposals.

Thematic areas:

Thematic area 1: Understanding the climate system and consequences of climate change

Thematic area 2: Responding to Austria's policy community

Thematic area 3: The human dimensions of climate change

Thematic area 4: Governance and transformation

In a few cases truly innovative research which is not covered by the above themes will also be eligible for funding.

Admissible types of projects:

Research projects can be submitted in all thematic areas mentioned, including activities supporting co-operation and knowledge transfer in Austria (events, workshops, summer schools, post docs, and further networking activities).

Interdisciplinary research teams are encouraged, but in some cases focused disciplinary research will be more effective in addressing the research issues at hand. Thus, a broad range of research will be eligible for funding.

Stakeholder involvement, if relevant, is encouraged in all thematic areas. International participation to enhance international visibility and knowledge transfer to Austria is welcome.

Submission deadline:

14 September 2012 at 17:00 for the application to be submitted on the ACRP platform www.acrp.at.

Submission to:

The project proposals have to be uploaded on the ACRP platform www.acrp.at, the submission of project proposals in paper copies or on electronic data storage media at the KPC Programme Management Office is not possible.

Information and guidance:

Kommunalkredit Public Consulting (KPC)

E-mail: acrp@kommunalkredit.at

www.publicconsulting.at/acrp

www.klimafonds.gv.at

02. Austrian Climate Research Programme

The Austrian Climate Research Programme (ACRP) was created in 2008 under the auspices of the Austrian Climate and Energy Fund (Klima- und Energiefonds), and is a broad policy initiative promoting climate-related and energy-related research in Austria. The ACRP provides a conceptual and institutional framework for supporting climate research in Austria with the following main objectives:

- coordinating and strengthening existing climate research in Austria, and integrating it into international research networks;
- promoting climate research that produces useful results for Austria's scientific, business and public policy communities;
- identifying research on climate issues with potential for international recognition and leadership; and
- strengthening Austria's capacity for advanced (interdisciplinary) analysis and integrated assessment in areas of relevance for policy-making.

In meeting these objectives, the ACRP funds climate research by issuing regular calls for research proposals. In addition, the ACRP welcomes activities undertaken by the recently founded Climate Change Center Austria (CCCA). The goal of the CCCA is to improve the quality and efficiency of climate research in Austria, and to increase its international visibility, by strengthening cooperation among Austrian researchers and research institutions. ACRP activities are guided by an international steering committee.

03. Objectives and scope of the programme

The Austrian Climate Research Programme focuses especially on coordinating and strengthening existing climate research in Austria and on integrating it more effectively into international research networks. With this in mind, the ACRP will invite researchers involved in ACRP projects to engage in communication and integration activities supported by the ACRP throughout the duration of the projects.

The scope of the ACRP encompasses climate change, climate change impacts and response strategies with regard to adaptation and mitigation, and their interrelationship. The focus is on key sectors of the Austrian economy, such as tourism, agriculture and forestry, infrastructure and energy, water and drought/flood management, also including biodiversity and human health. The research programme considers the effects of climate change over the coming decades, as well as other global change phenomena, such as demographic and economic developments or energy and land use issues. Researchers specifically addressing mitigation in the form of sustainable and climate-relevant energy and transport technologies are encouraged to apply to the “e!MISSION – Energy Mission Austria” – the energy RTD programme of the Climate and Energy Fund.

The ultimate objective of ACRP research is to support climate policy at the local, regional, national and international scales, especially as climate policy is relevant to climate adaptation and mitigation in Austria. Special attention is given to the conflicts and synergies arising from the interaction of mitigation and adaptation.

The present call primarily addresses the scientific community and it encourages early interaction with stakeholders, including, for instance, the public, business leaders, NGOs, and governmental/international policy makers.

Interdisciplinary and transdisciplinary project proposals, including proposals which cover several thematic fields, are encouraged. International participation to enhance international visibility and knowledge transfer to Austria is welcome.

Research proposals should:

- identify the research gap they are filling;
- clarify any overlaps with previously funded ACRP research (project descriptions can be found on www.klimafonds.gv.at);
- show specifically if and how the research addresses the needs of Austrian policymakers and/or the scientific community (usable knowledge);
- indicate links to research groups with high competence and relevance to Austrian research and policy needs;
- aim at building Austrian research competence in essential areas not yet well established;
- address the interdisciplinary dimensions of climate change, as well as scientific uncertainties, in a coherent way; and
- link up actively with the international research community by, for example, including foreign researchers if they can make a unique contribution, and delegating Austrian scientists to spend time abroad in the context of international (e.g. EU) network programmes.

As a rough indication, about 15 to 20 projects will be funded under this call, with costs of the individual projects ranging between EUR 20,000.00 and 300,000.00. Projects eligible for funding will range from less costly, focused disciplinary research to large consortia (e.g. working on integrated assessments). The duration of the projects will be between one and three years.

04. Thematic areas

Alongside the mitigation of climate change, reducing or moderating its negative effects – adaptation – is now a central part of the climate policy agenda. International bodies, national governments, municipalities, households, small enterprises, industry, and NGOs are among those seeking to identify mitigation and adaptation needs as well as policy entry points. As many commentators have noted, however, there is a discrepancy between the policies and research needed to promote and support adaptation and mitigation (and their interrelation) and what is currently available. There is also a lack of understanding of the institutional framework responsible for climate policy decisions. This research programme addresses these deficits, especially in the Austrian context.

Proposals are invited that can contribute to achieving the aims of the programme in the following thematic fields (the target budget allocation within these themes is indicated as a % of the total budget):

- Understanding the climate system and the consequences of climate change (25%)
- Responding to Austria's policy community (35%)
- The human dimensions of climate change (30%)
- Governance and transformation (10%)

This target may be adjusted to take account of the quality of the proposals.

Basic, applied, and policy-oriented disciplinary and interdisciplinary research, as well as policy-relevant reviews of literature and practice, are all necessary for this research agenda.

4.1 Thematic area 1: Understanding the climate system and consequences of climate change

While the anthropogenic influence on the global climate is well established, there is a continuing need to gain a more reliable understanding of the current and future climate on a regional scale. We also need to better understand the local and regional impacts of climate change on ecosystems, ecosystem services, social systems and the economy. Understanding and modelling the physical, chemical, biological and societal systems underlying climate change and its impacts on these systems are essential for developing the most cost-effective policy responses.

Although climate change has received high priority in the scientific and policy communities, there remain major research challenges. The impact studies hinge on reliable regional climate scenarios and in-depth expertise about the potential and limits of these results. In a highly complex, non-linear system like the climate, areas which have received little attention in the past have to be addressed more completely in order to define and reduce uncertainty in our understanding of the climate system and its predictability.

Some relevant topics are:

- Limits of local and regional climate change predictions and scenarios: global and regional climate models (GCMs and RCMs) still miss many processes which are essential for adapting to extreme events and other climate change impacts. Can the climate processes (e.g. related to different weather types) be improved with particular emphasis on relevance for Austria?

- Scientific basis of climate change at a regional scale: improved quality and availability of climate scenarios. Expanded sets of homogenised data and proxy data are needed for the calibration of regional models and for assessing the quality and limitations of the models.
- Thresholds and bifurcations: how close are we to critical and potentially irreversible climate thresholds on a regional scale? What are the most likely sub-elements of the system that may be responsible, or those that may be most vulnerable? Is the 2-degree goal (global policy) sufficient to prevent the most severe impacts? What are impacts associated with a 3-4-degree warming?
- Impact studies: can we specify impacts based on multi-factor and multi-level interactions between the climate system and species, ecosystems, forestry, water systems and management etc. based on common scenarios? With regard to extreme weather events, can we specify probabilities for multi-hazard risk taking account of climate change?
- Vulnerability assessments including methods to improve resilience: does climate change alter the spread of pests, vector-borne diseases, allergenic substances and other health risks? What are the options to improve resilience?
- Uncertainty: how can we characterize uncertainties in climate impact assessments? What methodologies are best suited for specifying epistemological and aleatory uncertainty, and how can uncertainties be taken account of in impact assessments and policy analyses?

There may be overlaps in the above topics with thematic area 2. While thematic area 2 defines policy needs, thematic area 1 addresses gaps in scientific knowledge and research questions on the frontiers of this knowledge (the above topics are not exclusive). Creative methods to overcome gaps and more clearly define uncertainties and limits of present knowledge are essential for understanding the complexities of climate change and its impacts.

4.2 Thematic area 2: Responding to Austria's policy community

Research proposals are encouraged that directly respond to the needs of Austrian government policy makers in their efforts to design and implement adaptation and mitigation measures. Policy needs include improved scientific knowledge on the physical impacts

as well as improved ways of learning from stakeholder-driven processes at the local and regional scales.

In the fifth call one project should be funded that deals with the cost of inaction in Austria, reflecting the cost of damages/negative effects that might result from climate change without further appropriate adaptation measures (business-as-usual scenario referring to adaptation) in Austria (for details see: www.klimaanpassung.lebensministerium.at). This topic has high priority and therefore projects submitted to this special topic will be evaluated first and the best (just one) project that meets the ACRP quality criteria will be funded. In the next step the residual budget dedicated to thematic area 4.2 will be allocated to the submitted projects in this area in accordance to the normal evaluation process.

Further topics of special interest for this call are:

- new challenges for catastrophe risk management and taking decisions on extreme events under uncertainty, particularly in light of the recent IPCC report "Managing the Risks of Extreme Events and Disasters to Advance Climate Change Adaptation";
- sustainable forest management in a changing climate;
- horticulture, taking account of climate change and food security;
- new challenges for animal husbandry.

Also of interest are rural planning and land-use practices at the local, country, regional and EU scales, which can lead to adaptation and mitigation, particularly in the context of droughts, floods and other weather extremes.

With respect to, but not limited to, the above topics, policy makers are seeking research support in setting adaptation and mitigation priorities by determining their effectiveness and the resources necessary for their implementation. Economic analyses can help weigh the costs and benefits of adaptation and mitigation policy options, and identify tradeoffs; yet, in carrying out these analyses it is critical to take account of:

- quantifiable and also difficult-to-quantify damages (intra- and intergenerational) from climate change;
- policies and measures that are not directly targeted at climate change adaptation/mitigation, but have a significant indirect impact and spin-off effects;
- co-benefits of targeted adaptation and mitigation measures;

- the interaction of projects, including synergies between adaptation and mitigation; and
- the uncertainties inherent in the analyses, and methodologies for dealing with them.

In many instances, economic analyses will be dependent on deepening the knowledge base pertaining to the social and other impacts of climate change and its response (see thematic area 1).

The identification of cost-effective policy responses does not translate directly into their implementation. Public awareness and communication at all levels (public policy makers, opinion leaders, managers, small enterprises, the public and NGOs) is an essential ingredient of effective policy response. Research on the policy response might include, in addition to communication strategies, the design of effective and simple measures for evaluating and monitoring the implementation strategy.

For a more complete inter-ministerial list of research needs to support the national adaptation strategy, see www.klimaanpassung.lebensministerium.at.

Applicants should consider previously funded research projects in the respective field and determine how their research project differentiates from them. Funding the same research needs in two projects is not desired.

4.3 Thematic area 3: The human dimensions of climate change

The challenge for the scientific community is to provide economically sound as well as politically and socially practicable options for the transition towards low-carbon and adaptive societies. The willingness of governments, firms and citizens to undertake mitigation and adaptation measures depends on their respective costs (risks) and benefits, and also on social, cultural and political factors that provide the scope for opportunities, incentives and limitations for action.

Economic incentives, regulations and other policy interventions (at the international, national and local levels) depend on political will for their implementation, which, in turn, depends to a large extent on the attitudes, preferences and acceptance of the citizens. Even with policy interventions in place, voluntary actions on the part of the public and businesses will be an important component of an effective response to

climate change. Social inequities, exclusive and polarised governance, dysfunctional institutions and the lack of an informed and motivated public are among the many factors limiting this response.

Research is encouraged that identifies economic, political, cultural and social opportunities, constraints and challenges for climate mitigation and adaptation. Relevant topics span a broad range of issues, a few of which are listed below:

- climate change costs and their distribution (e.g. intra- and intergenerational), including indirect effects;
- the economics and political/institutional feasibility of alternative policy strategies (e.g. taxes/quotas versus subsidies) in promoting adaptation and the transition to a low-carbon society;
- mainstreaming climate change into national, provincial and local policies; the role of EU programmes and policies in mainstreaming climate change into Austrian legislation and practices (see also thematic area 4);
- including climate change in impact assessments required by national and EU legislation;
- the societal capacity to respond to climate change: drivers and inhibitors of adaptation and mitigation
 - response capacities at all governance scales;
 - effects of incoherent political and economic objectives promoting adaptation and mitigation and performance indicators, such as climate change impacts and GDP;
- indicators beyond conventional economic accounting systems that can help policy makers assess sustainable and climate friendly development;
- communicating local and scientific knowledge on climate change impacts and adaptation strategies (see thematic area 2);
- effective channels and policies for promoting low-carbon economies, e.g.
 - consumer products and lifestyles;
 - firm and enterprise behaviour;
 - addressing “rebound” effects;
- the potential for behavioural change at the individual scale;
- the potential for human and social capital, in addition to economic factors, to enable mitigation and adaptation measures;
- normative and ethical dimensions (e.g. burden sharing, gender issues) of adaptation and mitigation at all political levels.

Of special interest are trade-offs and synergies among the economic, social, cultural and political drivers of

climate change policies and actions and their counterparts with regard to, for example, energy, transportation, industry, agriculture, urban planning, water, biodiversity, and land-use (see also thematic area 4).

4.4 Thematic area 4: Governance and transformation

The weak international climate agreement reached in Copenhagen and the lack of major progress in Cancun and Durban, together with the global financial crisis, underline the need for reshaping institutions and processes that govern mitigation and adaptation regimes. This is all the more challenging in light of the EU's "20-20-20" mitigation and renewable energy targets, and the roadmap 2050, as well as the real possibility of the need to adapt to warming above 2 degrees. Major social and economic transformation is called for.

Research proposals are encouraged that address the governance and policy issues of social, economic and institutional transformation. A few of the many relevant research topics are listed below:

- development of transformation scenarios and pathways towards a carbon neutral and adaptive society;
- lessons from past and ongoing societal transformations on different scales and issues;
- design, political feasibility and efficacy of international agreements on climate protection in view of strategic behaviour by independent governments and other political actors, and the lack of supranational authorities;
- potential of bottom-up initiatives in climate policy in the absence of top-down agreements; allocation of responsibilities to public and/or private actors;
- governing climate change policy within liberal democracies in a free-market world;
- exploration of synergies with research on post-growth economic concepts and integrated approaches towards social justice, prosperity and well-being;
- the role of the European Union in mainstreaming climate change and advancing transformation in Austria through, for example, Cohesion Policy, Common Agricultural Policy, Multiannual Financial Framework, and relevant directives.

Of special interest is integrated, systemic research which includes climate change mitigation and adaptation as part of sustainable and transformative policy design across different sectors, such as energy, transportation, industry, agriculture, urban planning, water, biodiversity, and land-use. This research may

include an examination of system boundaries and their implications for assessing the sustainability of response strategies (resource constraints, distributional constraints, i.e. winners and losers, etc.).

4.5 General guidelines

- Proposals can address issues within these thematic fields or can cover several thematic fields; the most relevant thematic field has to be identified in the application form.
- Policy-relevant reviews of literature and practice are eligible.
- Interlinkages of adaptation and mitigation issues and policy should be given particular attention.
- Uncertainty should be clearly addressed.
- Interdisciplinary research teams are encouraged, but focused disciplinary research, especially if it is particularly innovative or useful, is eligible.
- Early stakeholder involvement, if relevant, is encouraged at all levels, for instance, incorporating local knowledge and directly involving stakeholders (e.g. from industry, community administrations and NGOs) in policy deliberations.
- Cooperation with international partners is encouraged, and up to a third of the costs can be attributed to foster this collaboration, especially if it serves to enhance Austrian research competence.
- Research proposals should specify their "user value", either to the greater (also international) research community or to the Austrian policy community.
- Applicants should clearly indicate if there are overlaps and synergies with research supported by earlier ACRP calls or other funding sources.
- Recognising the inherent uncertainties of publication processes, research proposals should clearly indicate their anticipated publications, preferably in peer-reviewed, internationally recognised journals, and other dissemination channels.

The scientific community needs to critically reflect its own role in climate change and unsustainable behaviors. Therefore project leaders and partners are expected to address in their submission proposed climate friendly solutions regarding operational aspects, such as travel, meetings, paper, computer and internet use.

05. Administrative information

5.1 Eligible institutions and persons

The following Austrian research institutions are eligible for submitting proposals:

- Universities
- Non-university research institutions in the field of scientific research
- Universities of applied sciences (private universities are excluded based on § 8 UniAkkG)
- Other science-oriented organisations
- Individual researchers from Austria

Project partners are not limited to Austrian research institutions and can include foreign researchers as well as businesses and other practitioners, as long as full publication of results is guaranteed.

5.2 Project types

Within the framework of the ACRP, many types of research activities are funded in the context of research projects. These can include, in addition to research, activities supporting cooperation and knowledge transfer in Austria, such as events, workshops, summer schools and networking activities. Projects can be submitted by individuals or individual institutions (individual projects) or by consortia (cooperative projects). The selection of the project type should be determined by the needs of the project: all necessary qualifications should be included in a manner appropriate to their relevance for the project.

Individual projects

In this case, research is proposed and carried out by an individual or an individual organisation with no partners; however, the project can award sub-contracts.

Cooperative projects

In this case, the research is proposed and carried out by a consortium of several institutions or individuals. The consortium defines an “applicant” (project coordinator) who is in contact with the funding institution, submits the proposal and handles the payment transactions. The applicant (later designated as project leader) is responsible for the coordination of the content of the work and for reporting to the Climate and Energy Fund. The collaborating organisations or individuals are designated as “project partners”.

5.3 Budget

Up to euro 4 million of funds are available under the fifth call of the ACRP.

5.4 Costs

5.4.1 Funding

A project can be funded only if its execution is impossible, or not possible to the extent required, without receiving federal funding.

In addition, all costs attributable to the project (such as personnel costs, workshop costs, and payments for participatory processes), or expenses that are incurred directly and additionally (to the established operating expenses) for the duration of the funded

research activity, are eligible costs. Only those costs are eligible that have been incurred after submission of the funding application to the Programme Management Office of the Climate and Energy Fund (date of successful online submission via ACRP platform).

The partial contribution of own funds (cash funds) or services rendered (provision of personnel, infrastructure) by the applicant or the partners of the consortium is desirable. The applicant is asked to document such "own resources" in the Cost and Financing Plan (funding application).

Proposed projects have no binding legal entitlement to funding.

Costs not eligible for funding:

- costs that are not immediately connected with the funded project, in particular investments in buildings, the purchase of real estate, the purchase of office equipment, and the like;
- costs that were incurred before the funding application was received;
- costs that are not considered eligible costs due to EU competition law regulations;
- costs that are covered by other federal funds or funds provided by the Federal Provinces, i.e. no multiple funding;
- costs incurred by the Republic of Austria as a consumer such as taxes or charge fees.

5.4.2 Cost categories

Personnel costs

Personnel costs of the staff members carrying out research within the project are funded, i.e. researchers, technicians and auxiliary staff working exclusively in research (gross salary costs including non-wage labour costs). The maximum salary schemes and the management of personnel costs in enterprises are listed as examples in section 8.1.

These reference rates are also applicable to managing directors working on the project.

If public sector officials (federal, provincial and municipal civil servants) render services for a funded project, the corresponding costs can, in principle, only be recognised as eligible costs if double cost coverage at the expense of public households can be excluded. Thus, personnel costs for persons already paid from public funds cannot be accounted for again within the framework of a funded project. This provi-

sion does not apply if personnel costs for public sector officials are incurred and/or accounted for as contract work (third-party services).

Overhead costs

Overhead costs are costs that arise due to the research activity, e.g. rental, office material, and shared use of secretarial services for the administration of the funded project. These costs are added to the personnel costs on a percentage basis. In principle, overheads to the amount of 20% (flat rate) of personnel costs are recognised. Higher overhead costs can be accounted for if applicants provide pertinent justification.

Costs accounted for as direct project costs must not be simultaneously included in overhead costs; overheads accounted for under the funded project must not contain any costs that are basically excluded from funding. Such costs include, for instance:

- additional costs incurred through submission of the application;
- catering costs;
- advertising and marketing costs;
- PR costs;
- distribution costs (usually including costs of vehicle fleet);
- booked research expenditure;
- reserves;
- provisions;
- support payments pledged but not received;
- exchange rate differences;
- book values of plant and equipment not recognised as eligible costs;
- losses suffered;
- expenditure incurred in other accounting periods;
- financing costs, interest.

RTD investments/depreciation

If instruments and equipment are used to support the research project for less than the whole of their useful life, the depreciation during the period of the research project, calculated on the basis of good accounting practices, is eligible for funding.

Travel costs, costs of materials

These are costs of expendable materials for research activities, literature, etc., arising solely through the research activity. In addition, travel costs are funded that arise due to the research activity (e.g. field work, research in external and third-party archives, or residency at cooperating research institutions) or through

participation in conferences where the researcher's own research findings are presented.

Subcontracting

These are costs for (research) activities carried out by individuals or organisations other than the consortium partners (contractors); consortium partners must not be subcontractors at the same time. Basically costs for services rendered by third parties (based on work contracts among other things) must not exceed 50% of the total costs within the framework of projects. Sub-contracts with costs exceeding EUR 2,000.00 must be described in detail in the application form. In principle, the maximum rates for personnel costs also apply to subcontracts (see section 8.1).

5.4.3 Funding amounts

Eligible costs are covered up to 100%.

5.5 Intellectual property rights

The exploitation rights are owned by the consortium submitting the proposal. However, there is an obligation to publish the research results and to ensure that the results are accessible for use by the targeted research and policy communities.

Not only the research results developed within the framework of ACRP funding must be easily and freely accessible, but also the source materials, including data, models (open source software) and other analyses leading to the results if they are developed with support from ACRP funding, must be made available on request.

Consortium agreement

Successful applicants are expected to establish intellectual property rights and specify the procedure for publication of their results in a consortium agreement before concluding the funding agreement.

Concluding such a consortium agreement is a necessary prerequisite for funding to be provided.

While the exact details of such an agreement are left to the discretion of the project partners, the Climate and Energy Fund attributes importance to the fact that the rights of individual project partners are safeguarded. This issue has to be evaluated on a case-by-case basis, but it may imply, for instance, that an exclusivity clause for the exploitation rights should not be included. It must be possible for all partners and the

scientific community in general to use the results (data records, models (open source)) for continuing research purposes. At the same time, there is an obligation for the consortium to publish the research results and methods in scientific media, especially books and journals, and to ensure that the results are accessible to the scientific, business and policy communities.

5.6 Legal basis and EU conformity

As the legal basis, the RTD Guidelines according to § 11, sub-paragraphs 1 to 5, of the Forschungs- und Technologieförderungsgesetz (FTFG – Research and Technology Funding Act) of the Federal Ministry of Transport, Innovation and Technology apply as amended on 19 Nov. 2007 (ref. no. BMVIT (Federal Ministry of Transport, Innovation and Technology) 609.986/0011-III/12/2007).

06. Procedure

6.1 Submission and consultation

This section provides a brief overview of procedures for the submission of project proposals. Kommunalkredit Public Consulting GmbH (KPC) has been contracted by the Climate and Energy Fund to serve as programme management office.

Project proposals must be registered on the Climate and Energy Fund website (www.klimafonds.gv.at). The registration number listed on the registration form has to be quoted when submitting the research proposal via the ACRP online platform (for further information on the submission procedure see below).

The guide and the forms for the submission of project proposals are available for downloading from the website of the KPC Programme Management Office (www.publicconsulting.at/acrp). The application forms provided must be used exclusively for the submission of project proposals. The Climate and Energy Fund reserves the right to publish the name of the funding applicant, acknowledgement of project funding, the funding rate, the amount of funding granted, as well as the title and summary of the project, after funding has been approved.

The submission deadline is Thursday, 14 September 2012 at 17.00 for the application to be submitted on the ACRP platform www.acrp.at. There will be no possibility of submitting research proposals after this deadline.

The project proposals are to be uploaded on the ACRP platform www.acrp.at. Submission of project proposals in paper copies or on electronic data storage media at the KPC Programme Management Office is not possible. After successful submission, applicants

will receive an automatically generated confirmation of receipt.

The proposals have to be submitted in English.

6.2 Selection of projects

The project proposals are evaluated in several stages.

Formal check

As a first step, the Programme Management Office checks whether the proposals submitted are formally correct and complete. Correctable errors are pointed out to the applicants with a request for subsequent correction; if the errors cannot be corrected (formal criteria), the project will be excluded for formal reasons.

Formal criteria for rejecting a proposal are the following:

- the funding application is not received in time;
- the form of the funding application is not observed;
- the necessary prerequisites for specific project types are not observed in essentials.

Evaluation

Funding applications that have passed the formal check are then scientifically evaluated by independent international experts. All persons involved in the evaluation procedure are bound by confidentiality regarding information they have received in connection with their function. They are obliged to sign a declaration of secrecy.

After completion of the scientific evaluation, the projects are examined by the Steering Committee of the ACRP and by representatives of the Climate and

Energy Fund. The Steering Committee is entitled to propose merging projects with related themes or with overlapping content.

When selecting the projects to be funded, the Steering Committee will take account of the evaluation by the external reviewers (based on criteria set out in Table 6.3) as well as their own assessments of the proposals. The Committee will strive toward achieving an appropriate balance with regard to:

- basic research (usually one single discipline);
- single-discipline and multi-discipline impact research;
- interdisciplinary, integrated assessments;
- policy-oriented studies, as well as
- the thematic areas.

If a follow-up project is submitted, a clear track record of the previous project has to be demonstrated in the proposal (publications, approved interim report or equivalent).

The target is also to achieve the following balance among the thematic areas:

- Understanding the climate system and the consequences of climate change (25%)
- Responding to Austria's policy community (35%)
- The human dimensions of climate change (30%)
- Governance and transformation (10%)

This target may be adjusted to take account of the quality of the proposals.

The final funding decision is taken by the Board of the Climate and Energy Fund.

6.3 Evaluation criteria

The evaluation criteria for research projects are:

- Scientific quality (weighting factor: 0.40)
- Quality and efficiency of implementation and management (weighting factor: 0.35)
- Impact of results (weighting factor: 0.25)

Evaluation is based on a scale of 0-5. A more detailed description of these criteria is contained in Table 6.3 below.

Furthermore the publication record resulting from ACRP projects of the project leader (linked to the person) will be taken into account by the Steering Committee when evaluating future research proposals.

6.4 Contract

The projects proposed for funding will receive a funding offer from the Climate and Energy Fund that will remain open for a limited period of three months.

If one partner drops out after the funding commitment / start of the project, the consortium has to prove that the competences required for carrying out the project are sufficiently covered by the remaining project partners, otherwise a new partner has to be included in the consortium. In any case, any change in the partner structure requires prior approval by the Programme Management Office of the Climate and Energy Fund. The same rule applies for changes in key scientific personnel.

Scientific quality	Implementation	Impact
Scientific excellence	Quality and efficiency of implementation and management	Potential impact through the development, dissemination and use of project results
<ul style="list-style-type: none"> • Soundness of concept, relevance of the research questions, and quality of objectives • Progress beyond the state of the art • Quality and effectiveness of the scientific methodology and associated work plan 	<ul style="list-style-type: none"> • Appropriateness of the management structure and procedures • Quality and relevant experience of the individual participants • Quality of the consortium as a whole (including complementarity, balance) • International participants • Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment) 	<ul style="list-style-type: none"> • Usefulness of project results to scientific and policy communities (documented, e.g., through letters from ministries) • Conference presentations, publications in peer-reviewed journals and other appropriate dissemination channels

Table 6.3

6.5 Reports and duties

Throughout the project, leaders and partners are expected to contribute actively to the ACRP activities to enhance communication and integration within the climate research community (see section 2). Workshops engaging external experts and/or the Austrian and international climate research communities will be organised (potentially also in cooperation with CCCA) to provide guidance to projects and integrate Austrian research nationally and internationally. After half or two thirds of their duration, depending on the duration of the project, project consortia will be invited to orally present an integrated view of the project at the “Österreichischer Klimatag”. At earlier stages, projects are encouraged to participate with posters or presentations of early results at this conference.

Interim and final evaluations may be performed for projects by international experts at workshops or elsewhere, if requested by the Steering Committee. If deemed necessary by the Steering Committee, additional material can be requested as a basis for evaluation, e.g. manuscripts prepared for publication or interim reports. Negative evaluations will generally have financial implications and can lead to early termination of the project. They may also be taken into account in subsequent ACRP project funding decisions. To ensure early exposure to the peer review process, the publication of partial or preliminary results at scientific conferences is encouraged.

The project leader has to report to the KPC on a regular basis (interim and final activity reports). Furthermore the reporting requirements of the Climate and Energy Fund have to be taken into account. For more information refer to: www.klimafonds.gv.at/service/publikationen-2/richtlinien.

The final deliverables from the research can take two forms:

- Publications submitted or manuscripts for submission to peer-reviewed publications, including books and (preferably international) journals.

If publications are not finalized, a final report will include draft publications and indicate which publications are intended. The interim evaluation(s) will check the progress of early dissemination activities and the preparation of publications. These publications (or the submitted manuscripts) must be supplied within one year after the end of the project.

- Proven usefulness of research for research and policy communities. Results that cannot be published, e.g. data collection and analyses, or targeted research for policy input, will be evaluated with regard to their user value to the targeted audiences.

6.6 Modalities of payment

The declaration of acceptance of the contract concluded between the Climate and Energy Fund represented by Kommunalkredit Public Consulting GmbH and the applicant, as well as the consortium agreement in the case of a cooperative project, have to be sent to KPC. Upon receipt of these documents the first installment is paid provided the conditions specified in the contract have been met.

The mode of payment depends on the duration of the project, provided there is no negative evaluation. A reporting period can comprise a maximum project stage of one year. The final key data of the reporting obligations are specified in the contract.

At the end of the project, a final activity report and final accounts are required. The final report consists of a list of publications and manuscripts, copies of these and/or a report on the usefulness of the research results to research and policy communities (see above).

The final funding installment is paid out only after formal approval by KPC's auditing department on the basis of a positive evaluation of the final activity report.

Payment of funding rates

Duration of the project (months)	1 st maximum funding rate*	2 nd maximum funding rate*	3 rd maximum funding rate*	Maximum final funding rate*
up to 12	40	–	–	60
up to 24	40	40	–	20
from 25	40	20	20	20

* [% of TAF], TAF: total amount of funding

Table 6.6

07. Contacts

7.1 Programme owner and call responsibility

Klima- und Energiefonds (Climate and Energy Fund)

Gumpendorfer Straße 5/22, 1060 Vienna

Tel.: +43/1/5850390 0

Fax: +43/1/5850390 11

E-mail: office@klimafonds.gv.at

www.klimafonds.gv.at

7.2 Management of the call

Kommunalkredit

Public Consulting GmbH (KPC)

Türkenstraße 9, 1092 Vienna

Fax: +43/1/31631 104

E-mail: acrp@kommunalkredit.at

www.publicconsulting.at/acrp

Contact:

Biljana Spasojevic: tel. +43/1/31631 231

Wolfgang Löffler: tel. +43/1/31631 220

Angelika Müller: tel. +43/1/31631 325

Georg Schmutterer: tel. +43/1/31631 354

General information, the guide and the application forms can be found on the website of the Kommunalkredit Public Consulting GmbH (KPC) Programme Management Office at www.publicconsulting.at/acrp.

Documents required for the call:

- Guide for the submission of proposals, including evaluation criteria for evaluators
- Application forms
- Guideline for reporting
- Templates for activity reports (midterm and final) and financial report (final report)

08. Appendix

8.1 Further information on personnel costs

8.1.1 Universities and research institutions

Employees of universities are not paid from the public budget, but from the global budget of the university concerned and are thus eligible for funding. Non-university research institutions are also responsible for their own budgets and are eligible for funding. Basically the general provisions regarding the establishment of personnel costs also apply to university and non-university research institutions. Therefore, the costs of university employees are eligible for funding.

8.1.2 Upper limits of personnel costs

With regard to the issue of the maximum amount of eligible personnel costs there are regulations in the RTD Guidelines (FTE Richtlinien), item 3.3, as well as in the General Framework Directives (Allgemeine Rahmenrichtlinien – ARR 2004), §12 (2), sub-paragraph 9, that are to be applied as regulations subsidiary to the RTD Guidelines in this context. Personnel costs are eligible for funding up to the reference rate specified and/or according to sub-paragraph 8 of the “Verordnung des Bundesministers für Finanzen betreffend Richtlinien für die Ermittlung und Darstellung der finanziellen Auswirkungen neuer rechtssetzender Maßnahmen” (Decree of the Federal Minister of Finance Concerning Guidelines for Determining and Describing the Effects of New Legislative Measures, Federal Law Gazette II No. 50/1999, Annex 3, as amended).

In justified exceptions – in particular, to match the customary international level of payment for special research expertise – it is basically permissible to deviate from the maximum stipulated personnel costs.

Table 8.1, listing the current maximum rates of personnel costs (adjusted hourly rates for 2012), is intended to facilitate the classification of personnel by means of examples. Please note that calculation of the hourly rate for a full-time employee is based on 1,680 hours per year and 14 monthly salaries. For part-time employees or higher salary payments, the gross monthly salary is to be converted to the basis provided (1,680 hours or 14 monthly salaries). The hourly rate is calculated as follows: (gross monthly salary x1.32 (=average employer's contributions) x14)/1,680 (=hours per year with full-time employment of 40 hours per week).

Maximum rates for personnel costs			
Employees according to function	Examples of classification according to function	Annual personnel costs (gross, inc. non-wage labour costs)	Hours per year / adjusted hourly rate 2012
Senior scientist	chief scientist, head of research, head of R&D, university professor	122,113.00	1,680 / 72.69
Scientist	senior researcher, senior expert, team leader, docent, project head	105,669.00	1,680 / 62.90
Junior scientist	junior researcher, associate professor, Ph.D. student, graduand	89,224.00	1,680 / 53.11
Administration	assistant, secretary	47,084.00	1,680 / 28.03
Technician/specialist staff	technician, trained assistant	47,084.00	1,680 / 28.03

In euros per year excluding calculated additional charges
Table 8.1

Imprint:

Editor:
Klima- und Energiefonds,
Gumpendorfer Straße 5/22, 1060 Vienna
Editorial office: Joanne Linnerooth-Bayer, Hartmut Grassl,
Christoph Ritz, Gernot Wörther, Biljana Spasojevic,
Wolfgang Löffler, Angelika Müller, Georg Schmutterer

Concept design: ZS communication + art GmbH,
Westbahnstraße 27-29, 1070 Vienna

Programme management:
Kommunalkredit Public Consulting GmbH (KPC)
Türkenstraße 9, 1092 Vienna

Print: gugler* cross media (Melk/Donau). Production processes carried out with green electricity fulfil both the requirements of the Austrian Environmental Mark as well as the strict eco guidelines of greenprint*. All emissions that are generated during the production process are neutralised in terms of a climate-neutral print production process. One hundred percent of total amounts thus obtained is added to a climate protection project in Utterakhand/India.



greenprint*
klimapositiv gedruckt

Paper: Olin
Place of production: Vienna, May 2012

