

Austrian Climate Research Programme – ACRP 3rd Call for proposals Guide for the submission of proposals

June 2010



Contents

Preface	3
01. The third 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: Responding to Austria's policy community	7
4.2 Thematic Area 2: Understanding the climate system and consequences of climate change	8
4.3 Thematic Area 3: The economics of climate change	8
4.4 Thematic Area 4: The political, cultural and social dimensions of climate change	9
4.5 Thematic Area 5: Reshaping Science and Governance in the Post-Copenhagen Environment	9
4.6 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	15
6.6 Modalities of payment	16
07. Contacts	17
7.1 Programme owner and call responsibility	17
7.2 Management of the call	17
8. Appendix	18
8.1 Further information on personnel costs	18

Preface

Over the past few years, the effects of climate change have clearly shown that the foundations of human civilisation are faced with massive changes. These changes illustrate the close links between the interdependence of ecological and economic factors. Thus, the interaction of climate-related and energy-related issues is obvious, since the energy sources of the future, the renewable energies, are largely dependent on the local climate. For example the heating or cooling requirements of buildings will no longer be established on the basis of the status quo, but the changing needs of the coming decades. There are many such examples.

In order to maintain prosperity, economic performance and quality of life in a sustainable way, adaptation measures will have to be taken on the basis of well-founded projections of future developments.

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 third call for proposals within the framework of this programme, focusing on investigating the national and international developments and effects of climate change and on determining the need for adaptations. Estimating the costs and benefits of climate protection and adaptation measures will be an important supplementary aspect in the decision-making processes for sectors of industry, regions and communities.

Through the ACRP, the Climate and Energy Fund intends to contribute to minimizing the damage to be expected and to strengthening Austria as a 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!



DI Ingmar Höbarth
Managing Director



DI Theresia Vogel
Managing Director

01. The third 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 Climate and Energy Fund framework, the Austrian Climate Research Programme (ACRP) provides a conceptual and institutional framework for supporting climate research in Austria.

Content of the 3rd 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 "Neue Energien 2020 (New Energies 2020) calls 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 can serve as a guide for the submission of proposals.

Thematic areas:

Thematic Area 1: Responding to Austria's policy community

Thematic Area 2: Understanding the climate system and consequences of climate change

Thematic Area 3: The economics of Climate Change

Thematic Area 4: The political, cultural and social dimensions of climate change

Thematic Area 5: Reshaping Science and Governance in the Post-Copenhagen Environment

Admissible types of projects:

Research projects can be submitted in all thematic areas mentioned, including activities supporting cooperation 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.

Submission deadline:

15 September 2010 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 aimed at furthering the central objectives of:

- 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 a 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 pursues two interconnected activities. It supports and funds climate research by issuing regular calls for research proposals. In addition, the ACRP is planning to initiate a platform – the ACRP Forum – to ensure the integration, mutual cooperation, external visibility and international outreach of ACRP-funded research activities. 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, an ACRP Forum will be established, which will serve as a communication and integration platform for ACRP-funded projects and the climate research community in general.

The scope of the ACRP encompasses climate change, climate change impacts and response strategies with regard to adaptation and its interrelation with mitigation. 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 "Neue Energien 2020" (New Energies 2020) programme.

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.

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

Interdisciplinary and transdisciplinary project proposals, also cutting across the 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, as well as their relevance to scientific and policy issues (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
- 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, focussed 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 – has emerged on the climate policy agenda. 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, their interrelation, and what is currently available. There is also a deficit with regard to full comprehension 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:

- Responding to Austria's policy community
- Understanding the climate system and the consequences of climate change
- The economics of climate change
- The political, cultural and social dimensions of climate change
- Reshaping science in the post-Copenhagen environment

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: Responding to Austria's policy community

In the post-Copenhagen environment, national and regional policies take on more significance in shaping responses aimed at mitigating and adapting to climate change. Research proposals are thus encouraged that directly respond to the needs of Austrian government policy makers in their efforts to design and implement adaptation and mitigation interventions.

With regard to adaptation policies in Austria, topics of special interest include:

- Development and application of methodologies to assess the cost effectiveness of adaptation measures;
- Challenges in catastrophe risk management;
- Sustainable management of forests in the context of climate change;
- Agriculture in the context of climate change and food security;
- New challenges for animal health and husbandry practices;
- Communicating climate change science and policy to the public.

For a more complete inter-ministerial listing of research needs to support the national adaptation strategy, see www.umwelt.net.at/article/archive/7073

4.2 Thematic Area 2: Understanding the climate system and consequences of climate change

There is a continuing need to gain a clearer understanding of the current and future climate, as well as 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 policy responses.

Although climate change has received high priority in the scientific and policy communities, there remain major research challenges. In a highly complex, non-linear system like climate, it is essential that areas having received little past attention 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) do not include many processes, like precipitation, essential for adapting to extreme events and other climate change impacts. How can we better understand the limits of local and regional climate change scenarios (even bias corrected) and their application in impact and adaptation assessments?
- Thresholds and bifurcations: How close are we to critical and potentially irreversible global climate thresholds? What are the most likely sub-elements of the system that may be responsible, or those that may be most vulnerable? Should we plan to expect the unexpected?
- New areas of climate physics or re-assessing traditional areas: e.g., exploring cosmic radiation and its impacts on cloud formation; re-exploring the influence of changes in solar irradiance on climate
- Impacts of 2-degree warming: e.g. can a 2-degree limit (EU policy goal) on global warming avert the most negative climate change impacts, or are there domains and/or geographic zones, e.g. the Alpine region or downstream communities, that would still be at risk to climate impacts?
- Multiple stress factors influencing invasive species, particularly allergenic plants that may impact public health: e.g. can one distinguish between the influence of climate and land-use/land-management practices in the rate of species invasion?

There may be overlaps in the above topics with Theme 1. The distinction is the emphasis that this theme places on filling gaps in scientific knowledge and addressing research questions on the frontiers of this knowledge (the above topics are not exclusive but meant to highlight areas with large knowledge gaps.) 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.

4.3 Thematic Area 3: The economics of climate change

The challenge for the scientific community is to provide economically sound and politically practicable options for transitioning towards low-carbon economies and adapting to climate change, where the willingness of governments, firms and citizens to undertake mitigation and adaptation measures depends to a large extent on their respective costs (risks) and benefits. Research into informed decision making should thus address, among many other possible topics, the following:

- Assessing the magnitude and distribution of climate change costs across different regions and economic agents over time (e.g. intra- and inter-generational burden sharing), and including potentially important indirect effects, such as climate change induced migration
- Exploring how endogenous technological change and innovation affect the attractiveness of alternative regulatory strategies e.g. emission taxes/quotas as compared to R&D subsidies, taking into account uncertainties on the drivers of technological progress and the damages associated with climate change
- Analysing the economic impacts of the transition towards low carbon economies: What are the risks and the chances of fundamental structural changes in production and consumption patterns to accommodate a large reduction in greenhouse gas emissions
- Assessing an unilateral action and implications for policy design emerging from international feedback effects on the demand and supply side (carbon leakage, green paradox etc: How effective and politically (legally) attractive are alternative policy instruments to cope with counterproductive demand- or supply-side responses to unilateral emission regulation?)

4.4 Thematic Area 4: The political, cultural and social dimensions of climate change

The willingness of governments, firms and citizens to adopt climate change mitigation and adaptation measures depends not only on their costs (risks) and benefits, but also on the social, cultural and political factors that frame 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 importantly on the attitudes, preferences and advocacy of the citizenry. 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 polarized governance, dysfunctional institutions and the lack of an informed and motivated public are among many of the factors limiting this response.

Research is encouraged that identifies political, cultural and social constraints, challenges and opportunities for climate mitigation and adaptation, and proposes and analyses private and public innovations and interventions to address the challenges. Relevant topics span a broad range of issues, a few of which are listed below:

- Perceptions of and attitudes toward climate change and its mitigation and/or adaptation;
- Behavioural biases influencing individual and firm choices
- Communicating climate change risks and policy interventions
- Effective channels and policies for influencing public attitudes and response:
 - Consumer products and lifestyles
 - Firm and enterprise behaviour
 - Addressing “rebound” effects
- The potential for human and social capital, in addition to economic factors, to condition the capacity to mitigate and adapt
- Normative and ethical dimensions of adaptation and mitigation at all political levels:
 - Impacts on the most vulnerable
 - Fair burden sharing
 - Gender issues
 - Fair process

4.5 Thematic Area 5: Reshaping Science and Governance in the Post-Copenhagen Environment

The weak international climate agreement reached in Copenhagen leaves room for science to shape the next rounds of negotiations, as well as the post-Copenhagen regime architecture. The failure of a strong Copenhagen outcome, and the pre-Copenhagen attention to deficits in scientific process, reinforces the need to improve the conduct of science, to better communicate scientific results and to complement basic science with knowledge application. The Copenhagen Accord also raises many issues on the potential of decentralised (fragmented) regimes, where national and regional policies take on more significance. Finally, the pace of science, for example, new developments on geoengineering, raises additional issues for post-Copenhagen science and governance.

Research proposals are encouraged that address the science and governance issues of the post-Copenhagen regime. A few of the many relevant research topics are listed below:

- Science
 - The role and conduct of climate science
 - “New science” that better responds to post-Copenhagen needs
 - Communicating uncertain science
 - Science and governance of controversial technologies
- Government and governance
 - 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
 - Opportunities for and limits to democratic governance (especially in light of the complexity of the issues and in some political contexts, polarisation of the public and issues)
 - Challenges and opportunities of a decentralised, fragmented international regime; addressing capital flight for go-it-alone national/regional regimes
 - International, national and local institutions and institutional change; designing architectures for global adaptation governance
 - Options for embedding national climate policies within transnational governance structures in order to overcome incentives to free-ride
 - Steering and evaluating novel types of market-based governance mechanisms

4.6 General Guidelines

- Proposals can address issues within these thematic fields or cutting across them
- 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
- 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 50% 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
- 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

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.

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 5 million of funds are available under the 3rd 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).

There is no legal claim that proposed projects receive funding.

Costs not eligible for funding:

- Costs that are not immediately connected with the project funded, 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.

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

provision 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 included in overhead costs at the same time.

Overheads accounted for under the funded project must not contain any costs that, as a matter of principle, are 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 derecognised plant and equipment
- losses suffered
- expenditure incurred in other accounting periods
- financing costs, interest

RTD Investments / Depreciation

Costs of instruments and equipment:

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. Furthermore, travel costs are funded that arise due to the research activity

(e.g. field work, research in dislocated 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. As a matter of principle, costs for services rendered by third parties (based, among others, on work contracts) must not exceed 50% of the total costs within the framework of projects. Subcontracts with costs exceeding EUR 2,000.00 have to 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, in principle, to publish the research results and to ensure that the results are accessible for use by the targeted research and policy communities.

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. In principle, it must be possible for all partners to use the results (data records, models) 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, or to ensure that the results are accessible to the scientific, business or 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 Minister for 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.

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 abstract of the project, after funding has been approved.

The submission deadline is Wednesday, 15 September 2010 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 funding institution checks whether the proposals submitted are formally correct and complete. Remediable deficiencies are pointed out to the applicants with a demand for subsequent correction; if the deficiencies cannot be remedied (formal criteria), the project is excluded for formal reasons.

Formal criteria for rejecting a proposal are the following:

- the funding application is not received in due time
- the form of the funding application is not observed in principle
- the necessary project-type-specific prerequisites are not observed in principle

Evaluation

Funding applications that have passed the formal check are then 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 Statement of Confidentiality.

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. They are entitled to propose the merging of thematically related projects or of projects with overlapping content.

When selecting the projects to be funded, the aim is to achieve 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

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

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 is valid for changes in key scientific personnel.

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.

6.5 Reports and duties

Throughout the project, leaders and partners are expected to contribute actively to the ACRP Project Forum (see section 2). Workshops engaging external experts and/or the Austrian and international climate research communities will be organised to provide guidance to projects and integrate Austrian research nationally and internationally. Interim evaluations may be performed for projects, if requested by the Steering Committee.

Scientific Quality	Implementation	Impact
Scientific excellence (relevant to the topics addressed by the call)	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 forms of dissemination

table: 6.3

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. To ensure early exposure to the peer review process, the publication of partial or preliminary results at scientific conferences is encouraged. 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 finalised, a final report will include draft publications and indicate which publications are intended. The interim evaluation(s) will check progress on early dissemination and the preparation of publications. These publications (or the submitted manuscripts) must be supplied within two years 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.

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

The final funding instalment is paid out only after formal approval by KPC's auditing department on the basis of a positive evaluation of the final report. The publication record will be taken into account when evaluating future research proposals.

6.6 Modalities of payment

Upon return of the signed contract concluded between the Fund and the applicant and fulfilment of all requirements (if applicable), the consortium agreement (in the case of a cooperative project) has to be sent to KPC. The next step is payment of the 1st funding instalment.

The mode of payment depends on the duration of the project, with a maximum requirement of annual financial reports, or financial reports corresponding to the project milestones, followed by payment of a further funding instalment, provided there is no

Payment of Funding Rates				
Duration of the project (months)	1st maximum funding rate*	2nd maximum funding rate*	3rd 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

Documents required for the call:

- Guide for the submission of proposals, including evaluation criteria for evaluators
- Application forms

7.2 Management of the call

Kommunalkredit

Public Consulting GmbH (KPC)

Türkenstraße 9, 1092 Vienna

Contact:

DI Wolfgang Löffler, MSc

Phone: +43/1/31631-220

Fax: +43/1/31631-99220

E-Mail: acrp@kommunalkredit.at

www.publicconsulting.at/acrp

DI Biljana Spasojevic

Phone: +43 (0)1 31631 231

Fax: +43 (0)1 31631 104

E-Mail: acrp@kommunalkredit.at

www.publicconsulting.at/acrp

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

08. Appendix

8.1 Further information on personnel costs

8.1.2 Universities and research institutions

Employees of universities are not paid from the public budget, but from the global budget of the university concerned. Non-university research institutions are also responsible for their own budgets. As a matter of principle, 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.

8.1.3 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), subparagraph 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 subparagraph 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. 50/199, Annex 3, as amended).

As regards the funding of research of international excellence, it may be necessary, in principle, to exceed the maximum level of personnel costs provided for. In justified exceptions – in particular, to match the customary international level of payment for special research expertise – it is permissible, in principle, to deviate from the maximum personnel costs provided for.

Table 8.1 below, listing the current maximum rates of personnel costs (adjusted hourly rates for 2010), 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 x 1.32 (= average employer's contributions) x 14) / 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	Classification by group according to service level	Annual personnel costs (gross, inc. non-wage labour costs)	Hours per year / adjusted hourly rate 2010
Senior Scientist (F)	Senior Researcher	VB-HL-Höh. Dienst 2	104,943.07	1,680 / 62.47
Scientist (E)	Researcher	VB-HL-Höh. Dienst 3	88,610.87	1,680 / 52.74
Administration (F)	Assistants	VB-HL-Gehob. Dienst 1	46,760.78	1,680 / 27.83
Technicians / specialist staff	Technicians	VB-HL-Gehob. Dienst 1	46,760.78	1,680 / 27.83

In euro per year excluding calculated additional charges
Table 8.1

Imprint:

Editor: Klima- und Energiefonds
Gumpendorfer Str. 5/22, 1060 Vienna
Editorial office: Martin Beniston, Christoph Böhringer,
Helga Kromp-Kolb, Joanne Linneroth-Bayer, Wolfram Mauser,
Stefan Schleicher, Wolfgang Löffler, Gernot Wörther
Concept design: ZS communication + art GmbH,
Westbahnstraße 27-29, 1070 Vienna
Programme Management:
Kommunalkredit Public Consulting GmbH
(KPC), Türkenstr. 9, 1092 Vienna
Coverphoto: Photocase©steve

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 Karnataka/India (uploads/myclimate_portfolio.pdf).



greenprint*
Climate-neutral print.

Paper: Olin

Production site: Vienna, June 2010

