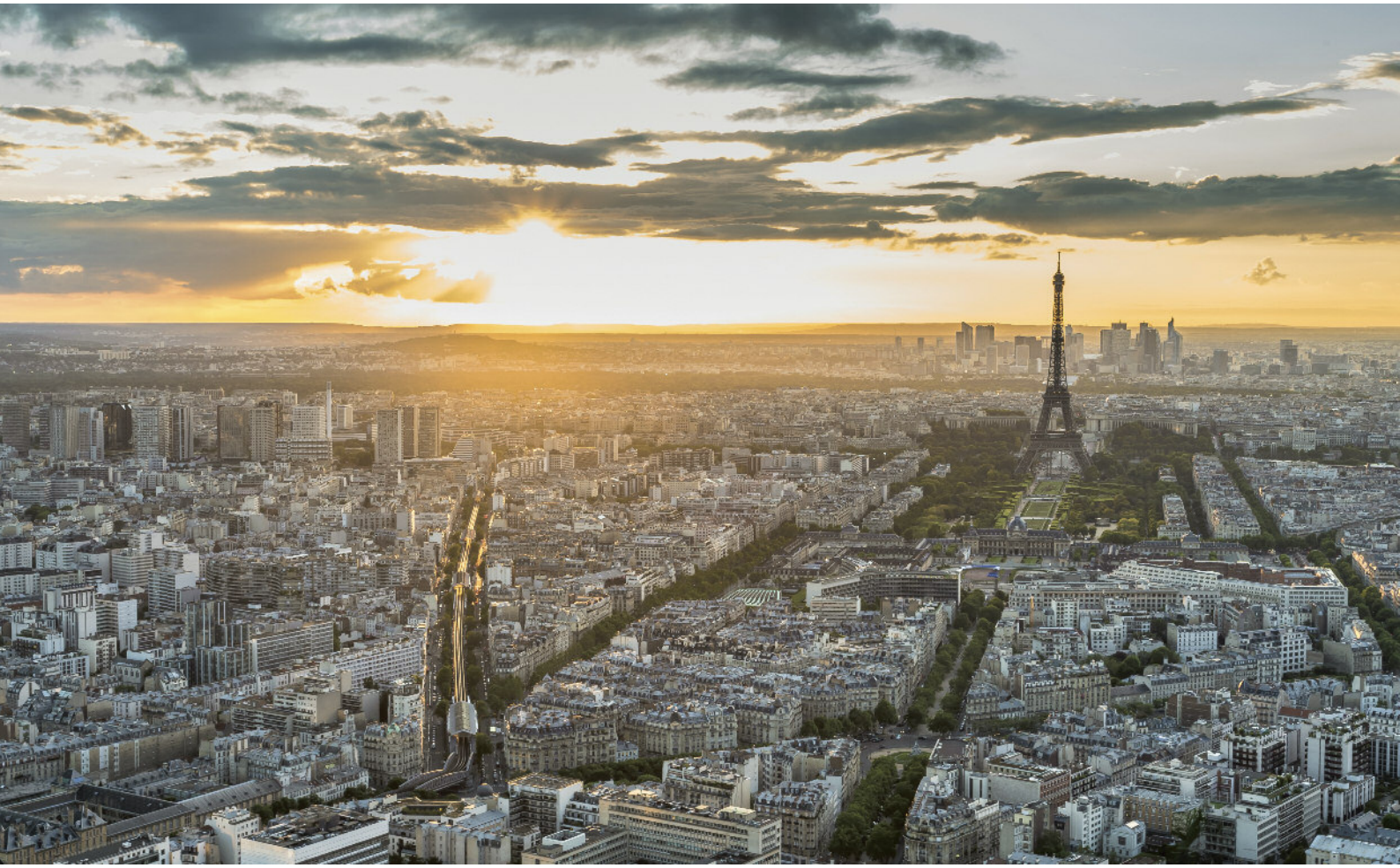
Austrian Climate Research Programme – ACRP

9th Call for Proposals

Guide for the Submission of Proposals



Vienna, June 2016, V2.0 including Addendum

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Preface

The Paris Agreement, a landmark in international climate politics, sets the framework for countries, businesses and scientists in the coming years. By taking a close look at the ambitious goals of the agreement, it becomes evident that a prolongation of business as usual is no longer a valid option if the targets are to be met. Therefore, new challenges and questions arise, also for the Austrian research community. The current ACRP Call reflects these new research challenges.

While adapting to the new international framework, the underlying focus of ACRP still holds true: Tackling climate change needs profound scientific understanding and sound research results. Thus, the Climate and Energy Fund has developed the Austrian Climate Research Programme ACRP, by far the largest research programme in this field in Austria. It has helped to develop a highly capable research community which investigates climate change in all relevant aspects for Austria and provides decision makers on all levels with valuable insights into climate change. The 9th Call for Proposals within the framework of this programme focuses on excellent research in the fields of 1) understanding the climate system and the consequences of climate change; 2) specific support for Austria's policymakers; 3) systemic transformation – the human dimension; 4) governance and institutions – towards systemic transformation and an APCC Special Report on health, demography and climate change.

Through the ACRP, the Climate and Energy Fund intends to help minimise the damage to be expected from climate change, initiate adaptation strategies and to 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 and Energy Fund but also by a planning committee with international members. Thus, national climate research benefits from an excellent opportunity of integration on 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

1.0 The 9th ACRP Call at a Glance

Important:

- The evaluation criteria reflect the ACRP's emphasis on international collaboration, scientific excellence and implementation of results – for further information see § 6.3
- During the submission period, intermediate storage of proposal data is possible!
- Private universities are also eligible – see § 5.1.
- The publication record resulting from past ACRP projects of the project leader (linked to the person) will be taken into account by the Steering Committee when evaluating research proposals.
- As a rule, funding for follow-up project proposals from earlier ACRP calls will not be considered until the outcome of the prior proposal has been evaluated and accepted.
- Maximum funding per project is EUR 250,000 only in rare and justified cases may this limit be exceeded.

Content of the 9th Call:

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 an institutional basis for supporting climate research in Austria.

The Climate and Energy Fund supports a broad range of research topics, with the intention to help Austria deal with climate change through mitigation and adaptation, and to contribute to 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 "Energieforschungsprogramm 2015" (the energy RTD programme of the Climate and Energy Fund) 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:	**Specific support for Austria's policymakers**
Thematic Area 3:	**Systemic transformation – the human dimension**
Thematic Area 4:	**Governance and institutions – towards systemic transformation**
APCC Special Report:	**Health, demography and climate change**

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 cooperation and knowledge transfer in Austria (events, workshops, summer schools, post docs and further networking activities). It is intended to fund one Special Report to the Austrian Panel on Climate Change. Proposals will be subject to a separate weighting of criteria depending on Thematic Area. 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 also encouraged.

Submission deadline:
19th of September, 2016, at 17.00 for the application to be submitted on the ACRP platform www.acrp.gv.at.

Submission to:
The project proposals have to be uploaded on the ACRP platform www.acrp.gv.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

2.0 Austrian Climate Research Programme

The Austrian Climate Research Programme (ACRP) was created in 2008 under the auspices of the Austrian Climate and Energy Fund and is a broad policy initiative promoting climate- 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
- strengthening Austria's capacity for advanced (interdisciplinary) analysis and integrated assessment in areas of relevance for policymaking

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 Climate Change Centre 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.

3.0 Objectives and Scope of the Programme

The Austrian Climate Research Programme supports high-quality research and other activities aimed at advancing the science and practice of climate change adaptation and mitigation in Austria. Following the Paris Agreement signed by 195 parties to the United Nations Convention on Climate Change, particular emphasis will be on reaching its ambitious goals. Broken down to the EU and further through the EU effort sharing to Austria, a GHG emission reduction goal in the non ETS domain will evolve that will pose a significant challenge to Austria. The ACRP is intended to help meet this challenge.

To exploit synergies across Austria's research communities and to promote interdisciplinary and transdisciplinary projects, proposals that involve researchers from diverse institutions and international partners are encouraged. In addition, the ACRP will invite researchers to present their projects at the annual Austrian Climate Day conference (Österreichischer Klimatag).

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 "Energieforschungsprogramm 2016" – the energy RTD programme of the Climate and Energy Fund.

The ultimate objective of ACRP research is to support climate policy on the local, regional, national and international scales, especially as climate policy is relevant to climate adaptation and mitigation in Austria and its efforts to meet the challenging EU effort sharing goals. 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 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 Areas, are encouraged as well as international participation to enhance the quality of project applications and international visibility and knowledge transfer to Austria.

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
- 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 20 projects will be funded under this call, with costs of the individual projects ranging between EUR 50,000 and maximum 250,000. 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.

One Special Report to the Austrian Climate Change Assessment Report can be funded, the earmarked budget being limited to EUR 300,000.

4.0 Thematic Areas

Following the Paris Agreement, there are new challenges for climate research in Austria, especially as it will transition towards greenhouse neutrality early in the second half of this century – which has been deemed necessary to reach the global target of a maximum mean global warming well below 2 °C (aiming at 1.5 °C) in relation to the preindustrial level. Another challenge is to adapt to a mean global warming of beyond 3 °C later this century if the world community fails to implement the Paris Agreement. This suggests a forward-looking precautionary strategy for Austria – to mitigate to +1.5 °C global average and adapt to at least +3 °C (global average) and greater in Austria.

Achieving such an ambitious mitigation goal will require that all countries to decarbonise their energy use system within the next few decades. Adapting to a +3°C world is equally challenging. International bodies, national governments, municipalities, households, small enterprises, industry and NGOs are among those who will need to transform their activities to meet this goal. Alongside the mitigation of climate change, therefore, adaptation remains 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.

This research programme addresses this challenge, especially in the Austrian context. The expected GHG emission reduction goals for Austria within the EU effort sharing will pose a significant challenge to Austria. Proposals are invited that can contribute to achieving the aims of the programme in the following Thematic Areas (the target budget allocation for each theme is indicated as a percent of the total budget):

- Understanding the climate system and the consequences of climate change (25 %)
- Specific support for Austria' s policymakers (35 %)
- Systemic transformation: the human dimension (30 %)
- Governance and institutions: towards systemic transformation (10 %)

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

Basic, applied and policy-oriented disciplinary, interdisciplinary and transdisciplinary research as well as policy-relevant reviews of literature and practice are all necessary for this research agenda. Essential aspects are understanding and communicating uncertainty in the research results. Engineering and technical research topics are not part of this call as they are covered by complementary programmes.

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

As a rule, funding for follow-up proposals to projects from earlier ACRP calls will not be considered until the outcome of the prior proposal has been evaluated and accepted.

Note: A set of bias-corrected climate projections (based on the GHG scenarios RCP4.5 and RCP8.5) on a daily basis for temperature, precipitation, and global radiation for Austria will be made available in summer 2016. These ÖKS15 projections represent a subset of regional climate simulations (due date June 2015) from the EURO-CORDEX (www.euro-cordex.net) initiative that are brought from their initial grid (12.5 km grid spacing) to a nominal spatial resolution of 1 km by means of statistical downscaling. The data will be made available via the Climate Data Centre of the Climate Change Centre Austria (www.ccca.ac.at).

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 still a need for more reliable understanding of the current and future climate on the regional and local scales, and the impacts of gradual climate change and extreme events on ecosystems, ecosystem services, social systems and the economy.

Understanding and modeling the physical, chemical, biological and societal systems underlying climate change and its impacts on these systems are essential for developing cost-effective and sustainable policy responses.

Seemingly simple questions like "What trees to plant where?" can evolve into complex research tasks, often requiring the contribution of multiple disciplines, including natural science, modelling, economics and other social sciences. Some illustrative research questions rooted in complex systems are:

- Which measures should be recommended to stabilize and further improve carbon stocks in forests and agricultural soils and why?
- Where will irrigation be needed for which crops in Austria and what alternative technologies are available producing little or no carbon emissions?
- What water management infrastructure is needed if extreme precipitation events grow faster than the Clausius-Clapeyron equation indicates (> +8 % per °C)?
- What are the consequences of greenhouse gas neutrality for food consumption?
- Can tipping points at all levels be ruled out when the Paris Agreement goal of well below 2 °C is reached?

Impact studies hinging on bias-corrected regional climate projections are asked to make use of the daily high resolution (1 km) ÖKS15 projections for temperature, precipitation, and incoming solar radiation provided via the Climate Data Centre of the Climate Change Centre Austria (CCCA), at least for comparison.

Some further relevant topics are:

- Establishment of expanded sets of homogenised data and proxy data for calibrating regional models and assessing the quality and limitations of the models;
- Multi-factor and multi-level impact studies: Can impacts caused by the interaction between the climate system and species, ecosystems, forestry, water systems and management etc. be specified, based on the climate change scenarios provided by CCCA?
- Specification of probabilities for multi-hazard risks caused by extreme weather events under climate change;
- Understanding, quantifying and communicating uncertainty: How can we characterise and communicate uncertainties in climate change studies and climate impact assessments?

There will be overlaps in the above topics with Thematic Area 2. While Thematic Area 2 is driven by policy needs, Thematic Area 1 addresses gaps in scientific knowledge and research questions at the limits of this knowledge. The above topics are not exclusive.

4.2 Thematic Area 2: Specific support for Austria's policymakers

Research proposals are encouraged that directly respond to the needs of Austrian government policymakers in their efforts to design and implement adaptation and mitigation measures. For this Call, projects in the following subject areas are of special interest:

- Complementing Austria's adaptation strategy: The purpose is to support adaptation, particularly implementation of concrete actions, for example, by weighing the positive and negative attributes of different policy options, addressing competing objectives, providing support for setting priorities and advancing more integrated and holistic approaches.
- Tools for evaluation of adaptation measures: The development of methods to evaluate the progress being made in implementing adaptation measures is a very important issue. Research on this topic could be a valuable contribution for the second progress report, on adaptation to climate change in Austria. Based on the approach taken in the first progress report concrete recommendations for further methodological improvements and enhancement of a tight but efficient evaluation concept would be of great interest.
- Understanding the societal aspects of climate change: The purpose is to provide transdisciplinary insight into the social aspects of climate change and adaptation measures, especially into health and wellbeing. How does climate change alter the spread of pests, vector-borne diseases, allergenic substances and other health risks? What groups in the population and aspects of the health system are most vulnerable? What are the options to strengthen resilience? What monitoring systems and assessments are needed to adapt the public health system to climate change?
- Beyond the health issue, exploring the potential of unconventional data sets (such as crowd sourcing) for climate change research would be of interest as well as the normative and ethical dimensions of climate change and climate change policies (e.g. burden sharing, equity issues) at different political levels.
- Communicating and building awareness for adaptation: Building on the extensive involvement of actors in developing Austria's adaptation strategy, the purpose is to communicate and enhance awareness of adaptation by politicians, opinion setters, management, firms, the public and others. How can the use of electronic and other modern communication

media motivate climate-aware behaviour, how effective are different awareness-building measures and what are the conditions necessary for awareness to lead to action?

(In this Thematic Area, mitigation should be addressed to the extent necessary as both adaptation and mitigation are interdependent.)

For a more complete interministerial list of research needs to support the national adaptation strategy, see www.bmlfuw.gv.at/umwelt/klimaschutz/klimapolitik_national/anpassungsstrategie.html

4.3 Thematic Area 3: Systematic transformation – the human dimension

Research proposals are encouraged that investigate the human dimensions of adapting to and mitigating climate change and their relationship. The IPCC distinguishes between incremental adaptation, where the aim is to maintain the essence and integrity of a system, and transformational adaptation that changes the system's fundamental attributes in response to climate and its impacts. Especially for decisions involving long lifetimes, transformational adaptation should be investigated. This may involve, for example, far-reaching changes in structures of governance, economic and social relations, shifts in locations or activities or changes in lifestyles.

Incremental and transformational changes are needed to meet the challenges posed by the Paris Agreement both at the national and international level. There is growing recognition that incremental change in prevailing social and economic structures will not suffice to achieve the goal of an increase in global temperature well below 2°C compared to pre-industrial levels. Deep transformative changes towards low carbon structures will be necessary, changes that encompass broad deployment of technological, economic and social innovations.

For both adaptation and mitigation, the challenge for the scientific community is to improve and enhance analyses and models that support the analyses for evaluating long-run perspectives of economic and social development. This will necessarily require research on equity and responsibility in sharing the climate adaptation and mitigation costs and burdens, which is more urgent than ever following the Paris Agreement. The historic International Loss and Damage Mechanism agreed as a third pillar in Paris fosters the continued leadership of developed countries in climate action while for the first time bringing all nations into a common cause based on their historic, current and future responsibilities. Moreover, many interventions for incremental and transformative change in Austria will complement and merge with another major international agenda – achieving the Sustainable Development Goals.

Relevant research that addresses Austria's adaptation and mitigation challenges spans a broad range of topics, a few of which are listed below

- Enhancing conceptual, economic and social modeling instruments in order to capture deep structural change and transformation processes
- The societal capacity to respond to climate change: drivers and inhibitors at all governmental scales
- The potential for behavioural change; holistic perspectives on social, economic, technical and institutional options that can support behavioural change
- Detection of causes of maladaptation to climate change driven by short-term economic aspects and/or subsidies in many sectors (e.g. agriculture, tourism, fossil fuel use)
- Assessment and development of financial mechanisms and tools that align public and private sources to enable the transition towards low-carbon and climate-resilient pathways, with a specific focus on the Austrian context (e.g. tools for investments in Austria and for Austrian investments abroad)
- Possible effects of enhanced divestments and the consequences for Austria
- Shifting the analytical focus from traditional measures of economic performance that mainly focus on flows to a stronger wellbeing-oriented perspective that focuses on functionalities which are the outcome of a combination of stocks (infrastructure) and flows (energy, material)
- Modelling the interactions of pathways for meeting the goals of the Paris Agreement with meeting the Sustainable Development Goals; assessment of the costs and benefits of action to meet Austria's commitments, how these costs and benefits are distributed and policy options to promote equity
- Potential and challenges for the Loss & Damage Mechanism and Austria's role in the international debate.

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.

4.4 Thematic Area 4: Governance and institutions – towards systemic transformation

The Paris Agreement, although not yet a legally binding treaty, is nonetheless powerful as an overlapping set of national commitments brought about by a broad conglomeration of parties and stakeholders. It will be up to nations to implement the agreed commitments. The strength of the Agreement may be in this bottom-up process.

If Austria is to adapt to inevitable warming and if zero net emissions are achieved in the second half of the century, implementation of the Agreement requires both incremental changes and even transformation in societal problem solving, that is, in governance and institutions. Negotiators in Paris recognised that many diverse institutional and private actors – government, business, philanthropy, civil society and academia – all have a role to play in addressing the climate adaptation and mitigation challenges.

Research proposals are encouraged that address pathways for an equitable and effective transition in governance and institutions necessary for reaching the Paris goals and for continuing efforts for adapting to a warmer climate. Research that informs and facilitates transformation at all scales – global, European, national and local – will be necessary for effectively facing the post-Paris climate challenges.

A few of the many relevant research topics are listed below:

- Understanding the fragmented landscape of public and private organisations and actors that comprise Austria's "climate regime complex"
- Crossing the divides in science, in governance and between the two: for example, integrated assessments across sectors (e.g. the nexus of water, energy and land use) and across societal objectives (Sustainable Development Goals) or enhancing effective science-based policy
- Comparative studies of governance/institutions in Austria with other climate-active societies, including mechanisms to ensure accountability, transparency and ambition in the government's implementation of its commitments
- Diagnosis of obstacles with current governance structures for meeting Austria's climate commitments and options for institutional reforms to address these obstacles
- Identification and assessment of novel and effective practices for climate action across businesses, NGOs, local governments, and other actors to inform policy and practices in Austria
- Identifying and analysing the special and promising role of cities for climate mitigation and adaptation across the world with lessons for Austria
- Practices and new mechanisms for national, regional and local governments to encourage open climate policy dialogue and create an operating environment for civil society's engagement in climate policy as well as new forms for citizen engagement, e.g. through social media.

4.5 APCC Special Report: Health, demography and climate change

The health sector may be severely affected by climate change. Demographic trends as well as the invasion of new species and disease vectors may increase stresses and risks to public health and the public health system. Because of its potential importance, the ACRP will support one Special Report on the topic of "health, demography and climate change".The purpose of the report is to summarise and assess the state of knowledge of all aspects of this topic. For this reason, the report should have contributions by the large community of relevant Austrian researchers and experts. By providing more specifics on the special topic, assessment reports are expected to follow up and expand on the Austrian Climate Change Assessment Report (AAR14) published by the APCC in 2014.

The report should cover all facets of health, including societal and economic aspects. The production of the report should be given special attention. IPCC or APCC quality standards may provide a good guideline. Involvement of international partners as review editors is recommended. The dedicated budget for the Special Report is EUR 300,000 and the final report must be submitted to the Climate and Energy Fund no later than the 31st August, 2018.

4.6 General guidelines

The focus should be on climate change, its impacts, mitigation and the potential to adapt to new circumstances. Proposals can address issues within these Thematic Areas or can cover several Thematic Area; the most relevant Thematic Area 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 and subcontractors is encouraged. Up to a third of the total granted costs can be attributed to foster this collaboration, especially if it serves to enhance Austrian research competence and the transfer of research tools such as models or data
- 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 whether the application is a follow-up project within the ACRP Programme or 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 behaviours. 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.

5.0 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
- 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. In addition to research, these can include activities supporting cooperation and knowledge transfer in Austria, such as events, workshops, summer schools, networking activities and one Special Report. Projects can be submitted by individual researchers or 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 researcher or individual organisation with no partners; however, the project can award subcontracts.

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

5.3 Budget

Up to EUR 5.15 million of subsidies are available for research projects and activities supporting cooperation and knowledge transfer in Austria plus EUR 300,000 for special assessment report under the 9th 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 subsidy.

In addition, all costs attributable to the project (such as personnel costs, travel 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 activit, 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) and not before the funding offer has been accepted.

The partial contribution of one's 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 "one's own resources" in the Cost and Financing Plan (funding application).

Costs attributed to international partners can amount up to a third of the total granted project costs.

Submitted projects have no binding legal entitlement to funding.

Costs not eligible for funding:

- Costs that are not directly 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 submission of the funding application and before the acceptance of the funding offer
- 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 is allowed
- 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 eligible, i.e. researchers, technicians and auxiliary staff working exclusively in research (gross salary costs including non-wage labour costs). For further details, see also § 8.0 Appendix.

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. Overheads to the amount of 25 % (flat rate) of personnel, material and travel costs as well as RTD investment are recognised.

Costs accounted for as direct project costs must not be included 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 or 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 individual researchers 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 eligible costs within the framework of projects. Subcontracts with costs exceeding EUR 2,000.00 must be described in detail in the application form.

5.4.3 Amounts of the subsidy

Eligible costs are covered up to 100 %.

5.5 Intellectual property rights

All the research results developed within the framework of ACRP must be accessible easily and freely, and 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.

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.

The Climate Data Centre being set up by the Climate Change Centre Austria is conceived as the central data access to all climate-relevant data. Researchers who cannot assure the availability of their data for an extended period of time after completion of the project are advised to inform themselves in time regarding data formats supported by the Climate Data Centre (www.ccca.ac.at).

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 and 2 of the Forschungs- und Technologieförderungsgesetz (FTFG – Research and Technology Funding Act) of the Federal Ministry of Transport, Innovation and Technology apply as amended on 1st of January, 2015 (ref. no. BMVIT [Federal Ministry of Transport, Innovation and Technology] 609.986/0011 – III/12/2014).

If the applicant is subject to the European Competition Law according to Article 107ff AEUV, the funding will be awarded on the basis of the Commission Regulation (EU) No 651/2014 (General Block Exemption Regulation) as currently in force.

6.0 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 download from the website of KPC, the Programme Management Office (www.publicconsulting.at/acrp). The application forms provided must be used exclusively for the submission of project proposals. After the subsidy has been granted, the Climate and Energy Fund reserves the right to publish the name of the applicant, acknowledgement of project funding, the funding rate, the amount of subsidy granted as well as the title and summary of the project. Grants under these guidelines cannot be awarded for projects which have already received support from other sources of Austrian federal funding (i.e., multiple federal grants are not permitted).

The submission deadline is Monday, **19th of September, 2016 at 17.00** for the application to be submitted on the ACRP platform www.acrp.gv.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.gv.at. Submission of project proposals in paper copies or on electronic data storage media at KPC, the Programme Management Office is not possible and will be considered as a formal error. 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.

If necessary, further documents concerning the economic efficiency of the applicant may be separately requested from the Programme Management Office.

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 b) as well as by their own assessments of the proposals, including the relevance of the project for the call.

The Steering 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

The target is also to achieve the following balance among the Thematic Areas:

- Understanding the climate system and the consequences of climate change (25 %)
- Specific support for Austria's policymakers (35 %)
- Systemic transformation: the human dimensions (30 %)
- Systemic transformation: governance and institutions (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, quality of consortium/management and societal resonance impact. The weighting factor depends on the Thematic Area selected:

Criteria	Thematic Areas 1, 3, 4	Thematic Area 2
Scientific Quality	45	30
Quality of Consortium/Management	30	30
Societal Resonance	25	40

Table 6.3 a | Weight given to the different criteria

A more detailed description of the criteria given in Table 6.3 a is contained in Table 6.3 b below. Furthermore, the adequacy of the costs in relation to the planned activities and results is assessed.

The publication record resulting from ACRP projects of the project leader (linked to the person) are also taken into account by the Steering Committee when evaluating research proposals.

Scientific quality	Quality of Consortium and Management	Societal Resonance
Scientific excellence	Scientific qualifications and participation of international researchers Quality and efficiency of implementation and management	Potential impact through the development, dissemination and use of project results
• 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 • Publications in peer-reviewed journals	• Quality and relevant experience of the individual participants and quality of the consortium as a whole (including complementarity, balance) • Enrichment by international participants if deemed necessary • Appropriateness of the management structure and procedures • Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment), also in order to achieve impact • Climate "friendliness" of research activities	• Usefulness of project results to scientific and policy communities (documented, e.g. through letters from ministries) • Conference presentations, and other appropriate dissemination channels

Table 6.3 b | Description of evaluation criteria "Scientific Quality", "Quality of Consortium/Management", "Societal Resonance"

The APCC Assessment Report must be open to participation by the entire relevant scientific community in Austria. In evaluating the proposal, evaluators will consider:

- the selected scope in view of system boundaries and availability of pertinent studies for Austria (25 %)
- the conceptual structure of the assessment (10 %)
- the consortium (see also Table 6.3b) with special

focus on inclusion of all major players and of senior scientists (25 %)
- the management structure and Climate-"friendliness" of activities (15 %)
- the quality assurance procedures including measures to safeguard readability and usability (25 %)

Groups planning to submit a proposal are advised to check the CCCA rules regarding the criteria and procedures to be fulfilled for a Special Report to qualify as APCC Assessment.

6.4 Contract

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

The project itself should start within the first semester after final funding decision.

If one or more partners drop 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 of the Programme Management Office of the Climate and Energy Fund. The same rule applies for changes in key scientific personnel or any cost shiftings.

6.5 Reports and duties

6.5.1 ACRP activities

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 are required to orally present an integrated view of the project at the "Österreichischer Klimatag" (Austrian Climate Day). At earlier stages, projects are encouraged to participate with posters or presentations of early results at this conference.

6.5.2 Regular reporting

The project leader has to report to KPC on a regular basis (interim and final activity reports). A reporting period can comprise a maximum project stage of one year. 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/foerderungen/richtlinien-fuer-foerderwerbende

The interim evaluation(s) will also check the progress of early dissemination activities and the preparation of publications.

Interim and final evaluations may be performed 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 might 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.

6.5.3 Final deliverables

The final deliverables from the research projects can take two forms and must be supplied within one year after the end of the project:
- Publications submitted or manuscripts for submission to peer-reviewed publications, including books and (preferably international) journals. If publications are not finalised, a final deliverable will include draft publications and indicate which publications are intended. The publications resulting from ACRP projects should be mentioned in future submissions of the project leader (linked to the person) within ACRP Calls and will be taken into account by the Steering Committee when evaluating those future research proposals,
- 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 prior to project start. Upon receipt of these documents and information concerning the project start, the first installment is paid provided the conditions specified in the contract are met.

The mode of further payments depends on the duration of the project, provided there is no negative evaluation of the reports. The final key data of the reporting obligations are specified in the contract.

For the final payment at the end of the project, the final reports and final accounts are required. The final funding installment is paid out only after approval by KPC´s auditing department on the basis of a positive evaluation of the final activity report and accounts.

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

Table 6.6 | * (% of TAF), TAF: total amount of funding

7.0 Contacts

7.1 Programme owner and Call responsibility

Klima- und Energiefonds (Climate and Energy Fund)
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7.2 Management of the Call

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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 (interim and final) and financial report (final report)

8.0 Appendix – further information on personnel costs

8.1 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.

8.2 Personnel costs

The following regulations apply to:

- employed project staff
- freelancers
- public sector employees
- shareholders involved in the project

Personnel costs are to be determined on the basis of the gross wages and salaries including related charges (ancillary wage costs). Other payments or payments in kind (e.g. dirty work allowance, overtime allowance, benefits in kind) can be charged. Personnel costs are eligible to the extent that they are prescribed by law, a collective agreement, a company agreement or an employment contract with legally binding effect.

Shareholders actively involved in a project (sole proprietors, persons holding interests in partnerships or interests in limited liability companies exceeding 25 %, owners actively involved in the project and managing directors issuing invoices for their services) and association officials registered in the association register may charge a **fixed hourly rate** of a maximum of EUR 35 within the scope of eligible costs. If this option of direct costing is used, a maximum annual amount of EUR 60,200 can be charged per company.

Personnel costs for **freelancers** shall be calculated according to the same principles as for employed project staff. In cases where the full project staff is not known during the planning stage placeholders may be inserted by way of exception. However a detailed description of their function in the project should be provided.

Personnel costs of **public sector employees** may be charged as part of a funded project if the services provided by them are outside the responsibility of public administration. University employees are not considered public sector employees.

A fixed **denominator** of 1,720 **annual hours** shall be applied for full-time employees (this also includes overtime allowances or all-in contracts). For part-time project staff the denominator must be reduced accordingly.

Research institutions as per EU definition may use 1,290 annual hours as a denominator for calculating the hourly rate for full-time employment. This is **only possible,** however, if the difference to the fixed denominator of 1,720 annual hours relates to activities in support of the institution' s research activities (e.g. dissemination of research know-how, scientific training etc.). For project staff working fewer hours, the denominator must be reduced accordingly.

Please note that annual project hours charged per person – especially if the person is simultaneously involved in several funded projects – must not exceed the annual working hours used as the denominator. Persons employed by different funding recipients can be charged at a maximum rate of 1,720 or 1,290 hours for all funded projects in which that person is involved.

Alternatively, hours of attendance can be used as a denominator subject to the condition that an appropriate time recording system is in place.

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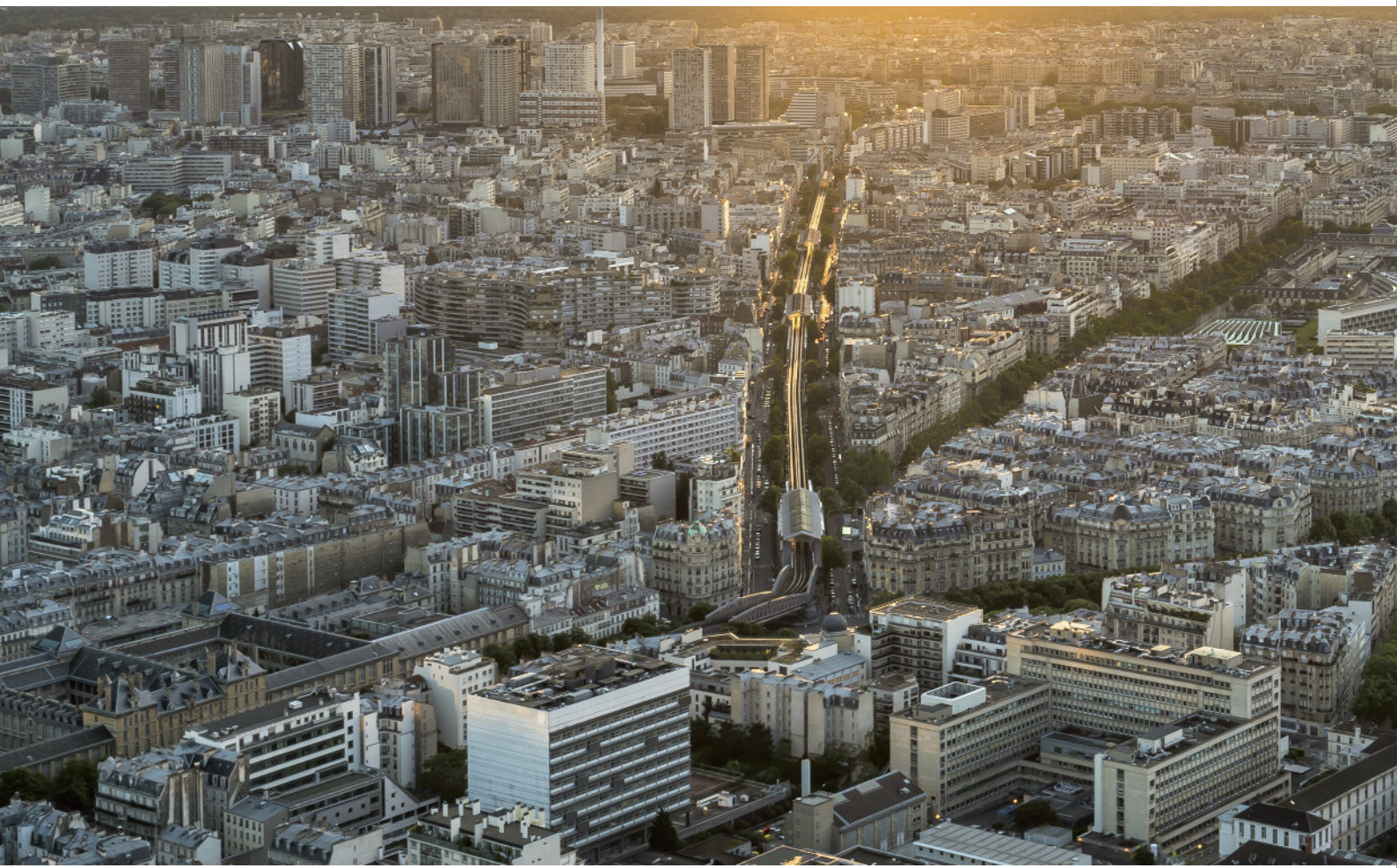

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