



Australian Government

Department of Climate Change

CLIMATE CHANGE ADAPTATION RESEARCH GRANTS PROGRAM

APPLICATION GUIDELINES

**Call for Expressions of Interest addressing priority
research questions in Settlements and Infrastructure**

Closing date for Expressions of Interest: 9 April 2010

For more information go to:

www.nccarf.edu.au or www.climatechange.gov.au

Enquiries can be directed to:

Dr David Ugalde, NCCARF, d.ugalde@griffith.edu.au; 07 5552 8247 or 0466 207 436

Dr Daniel Stock, NCCARF, d.stock@griffith.edu.au; 07 5552 7225 or 0466 130 469

BACKGROUND

The Australian Government is investing \$117 million (from 2008 to 2012) in climate change adaptation policies, programs and research through the Department of Climate Change (the Department). This investment will support implementation of key elements of the National Climate Change Adaptation Framework, endorsed by the Council of Australian Governments (COAG) at its meeting in April 2007.

The Department has the primary role in delivering the Australian Government's investment in climate change adaptation research, in partnership with key researchers and organisations throughout Australia. This partnership is being coordinated mainly through the National Climate Change Adaptation Research Facility (NCCARF), hosted by Griffith University.

As part of the Australian Government's investment, the Department has established the Climate Change Adaptation Research Grants Program (the Program). The Program provides seed funding of up to \$30 million to fund priority adaptation research needs. These priority research needs have been identified in National Adaptation Research Plans, developed by NCCARF in consultation with lead researchers and stakeholders.

NCCARF's current work program is structured around eight priority themes:

- Freshwater biodiversity
- Marine biodiversity and resources
- Terrestrial biodiversity
- Primary industries
- Human health
- Emergency management
- Settlements and infrastructure
- Social, economic and institutional dimensions.

Further information about the Research Program, NCCARF, and the National Climate Change Adaptation Research Plans is at <http://www.climatechange.gov.au> and <http://www.nccarf.edu.au>.

FUNDING AND PROCESS

The Climate Adaptation Research Grants Program has been established by the Department of Climate Change to provide seed funding for research addressing priorities in the eight themes listed in Section 1. These priorities have been identified through a set of National Climate Change Adaptation Research Plans.

This Call for Expressions of Interest addresses research priorities identified in the National Climate Change Adaptation Research Plan for:

- **Settlements and Infrastructure**

This National Adaptation Research Plan can be viewed at www.nccarf.edu.au

The priority research questions identified in this Research Plan are listed in Table 1.

2.1 Funding available

Grants totalling up to \$6.5 million will be available in this round to address research priorities in Settlements and Infrastructure. The size of grants disbursed to individual research projects will vary depending on the scope of the project. Projects requiring support of less than \$50,000 are unlikely to be funded.

Funding can be used for:

- a) Personnel salaries and on-costs, including;
 - Research associates, professional officers, technicians, and laboratory attendants.
- b) Development or purchase of research resources, including:
 - Social Surveys,
 - Software tools,
 - Databases, and
 - Minor items of equipment specifically required to support the research.
- c) Travel and communication costs associated with the research, including costs of
 - Workshops and similar meetings,
 - Face-to-face interviews, and
 - Research planning meetings.

Funding may **not** be used for:

Capital works and general infrastructure,

Salaries of researchers other than those directly employed on the project,

Special Studies Programs,

Student fees or HECS liabilities, or

Computers and other information and communication facilities that duplicate existing capacity.

Funds from the Department (DCC) must be spent by 30 June 2012 and projects completed by 31 December 2012.

2.2 Process for allocating research grants

The process for allocating funds under the Program will be in two stages: first, an open call for Expressions of Interest (EOIs) and second, invitations to shortlisted applicants to prepare full project proposals.

This two-stage process is designed to minimise researcher time spent developing full proposals and to encourage research collaborations where possible prior to the development of full proposals.

The process for allocating research funding is outlined below:

1. Short EOIs are invited from researchers with an interest in undertaking research addressing one or more of the research priorities (see Table 1).
2. EOIs will be put before an independent Science Review Panel, convened by the NCCARF and the Department, for scientific assessment against selection criteria.
3. The Panel reviews the EOIs to identify outstanding proposals. The Panel may seek additional information from proposers, if considered necessary.
4. NCCARF recommends a shortlist to the Department. The Department will invite successful shortlisted applicants to submit full research proposals.
5. NCCARF, in consultation with the Department, may explore, encourage and broker potential research partnerships and/or the development of research consortia. The Adaptation Research Network for Settlements and Infrastructure will support NCCARF in this brokering role.
6. NCCARF and the relevant Networks will assist shortlisted applicants in the development and submission of full proposals.
7. The Science Review Panel conducts a scientific assessment of proposals against selection criteria; NCCARF recommends to the Department a final set of projects eligible for funding .
8. The Department makes an assessment of the projects against the Program Criteria and submits a final package of projects eligible for funding to the Minister for Climate Change and Water for final decision.
9. The Department contacts successful applicants to negotiate grant agreements.
10. The Science Review Panel and the Department may seek additional independent expert advice at any time throughout the process.

2.3 Contractual issues

Successful applicants will be required to sign a funding agreement with the Department before funding commences. This agreement will cover the project budget, financial and performance reporting and acquittal, intellectual property, assets and data requirements.

2.4 Confidentiality

The information provided by applicants in support of their expression of interest will be treated as confidential by NCCARF, the Department and any of the independent expert advisors unless that information is already known to be in the public domain. Applicants should note, however, that information they provide may be provided to the Minister and that NCCARF or the Department may also be required or authorised by law to disclose certain information provided by applicants.

2.5 Intellectual property

Prior to signing the funding agreement, the proposers will be required to describe any existing material¹ relevant to the project for which intellectual property rights are either owned by the organisation or owned by a third party but which the organisation has a licence to use. This is referred to in the Funding Agreement as the “Existing Material”. The intellectual property rights in the Existing Material at all times remains vested in the funding recipient.

The material created by the funding recipient under a Funding Agreement is referred to as the “Contract Material”. Immediately upon creation of that Contract Material, the funding recipient will own the intellectual property rights in the Contract Material.

The funding recipient will grant a licence over the Contract Material to DCC. The nature of this licence is that it will be a permanent, irrevocable, free, world-wide, non-exclusive licence to use, reproduce, adapt and exploit the Contract Material.

The Contract Material will be freely accessible and available to the government, end-users and the general public.

2.6 Timing

Significant dates for applications are:

Call for Expressions of Interest	4 March 2010
Closing date for submission Expressions of Interest	9 April 2010
Invitations for Full Proposals	30 April 2010
Closing date for submission of Full Proposals	28 May 2010
Announcement of successful candidates by	end June 2010
Funding Agreements signed by	July 2010

2.7. Governance arrangements – Role of Minister

The Australian Government Minister for Climate Change and Water has sole responsibility for the final funding decisions. In making a decision, the Minister can draw upon any source of advice, including that from the Department and NCCARF.

¹ Existing Material means all Material in existence prior to the date of the contract, that is either:

- a) Incorporated in; or
- b) Supplied with, or as part of; or
- c) Requested to be supplied with, or as part of

the Contract Material.

CALL FOR EXPRESSIONS OF INTEREST (EOI)

1.1 Application process

An application form for the EOI and other relevant documents can be found on the Department's website at www.climatechange.gov.au and on the NCCARF website at www.nccarf.edu.au.

EOIs (and full proposals) should be submitted electronically via e-mail or by post to:

Dr Daniel Stock
Adaptation Research Grants Program,
NCCARF, Griffith University,
Gold Coast Queensland 4222
Email: d.stock@griffith.edu.au

Enquiries may be directed to:

Dr David Ugalde
Tel: 07 5552 8247
Mob: 0466 207 436
Email: d.ugalde@griffith.edu.au

1.2 Who can apply

EOIs will be accepted from public or private research institutions, consortia of researchers, or individual researchers. The submissions will be considered from all interested parties regardless of any participation in or affiliation with the NCCARF and/or any of the Adaptation Research Networks.

1.3 Selection criteria

Project applications (EOIs and full proposals) will be assessed against the following selection criteria.

Scientific Criteria

1. **Appropriateness** – The extent to which the project addresses one (or more) of the identified research priorities.
2. **Challenge and Innovation** – The extent to which the project addresses a significant gap in scientific knowledge, and/or develops new tools or methods that meet an identified need(s), using approaches that are innovative and/or creative.
3. **Project Design** – The extent to which the project has clearly stated objectives which address research priorities set out in Table 1. Is the project design the best method to address the specific research question?
4. **Feasibility** – Scientific and technical feasibility of the project based on current knowledge and understanding. Are any risks clearly acknowledged and addressed?
5. **Track Record** – The extent to which the proposed researcher/research team have the capacities and competencies necessary to undertake a research project of national importance (including time allocation of key personnel to project).

Program Criteria

6. **Co-funding** – How much co-funding does the project include (both cash and in-kind contributions) from either the proposer and/or other funding sources? Proposers should also indicate the potential for acquiring additional funding for the project in the future.
7. **Value for money** – The extent to which the outputs of the project represent the best value for money available, in relation to national benefit?

PRIORITY RESEARCH QUESTIONS

This call for proposals provides funding for projects addressing the priority research questions identified in the National Climate Change Adaptation Research Plan for Settlements and Infrastructure, and listed in Table 1 below. Proposers are strongly advised to read the Plan before applying (see www.nccarf.edu.au).

Table 1: Priority research questions in the area of Settlements and Infrastructure

<p>1 Urban and Regional Planning and Management</p> <p>1.1 How can existing urban planning principles and practices accommodate climate change and the uncertainty of climate change impacts? How should these principles and practices differ based on the location and spatial scale of the settlement? What can we learn about the adaptive capacity of settlements from responses to stresses in the past?</p> <p>1.2 How can the governance of urban planning in Australia, including formal and informal rules, nationally consistent approaches and guidelines and locally driven standards and outcomes, and the institutions responsible for decision-making, be improved to facilitate planning processes and outcomes which incorporate adaptation to climate change?</p> <p>1.3 What are the particular planning needs of remote and Indigenous settlements under a changing climate?</p> <p>2 Built Environment</p> <p>2.1 What are the design options and principles for adapting new buildings to climate change in different locations and how can these be implemented?</p> <p>2.2 What are the design options and principles for adapting existing buildings to climate change in different locations and how can these be implemented?</p> <p>2.3 What are the full life-cycle costs and benefits of adapting the built environment and how can they be reliably estimated? Who will bear these costs and who will benefit? What financial and other policy instruments can be used to address equity impacts of these costs?</p> <p>3. Vulnerable Coastal Communities</p> <p>3.1 How will demographic pressures and changes in different Australian coastal settlement types affect (1) potential impacts of extreme and gradual climate change, and (2) current policy and regulatory settings which govern the decision-making by government agencies, businesses and individuals? How will planning for coastal climate change impacts respond to local circumstances?</p> <p>3.2 How well do we understand the relationship between climate and coastal processes? How can methods currently used to determine the physical risk on a regional basis of extreme inundation and coastal erosion from climatic and oceanic processes, either singularly or in combination, be improved and new methods developed and applied?</p> <p>4. Infrastructure</p> <p>4.1 What is the vulnerability of infrastructure (individual and interlinked critical sectors) to existing and predicted climate change conditions at various spatial scales, considering average and extreme weather conditions? How can climate-induced service or structural failure thresholds for infrastructure and services be identified in light of the inherent uncertainty in climate projections?</p> <p>4.2 What impacts on key infrastructure may have downstream or cascading impacts during extreme climate events, and how might these impacts be avoided?</p> <p>4.3 What design standards for the Average Recurrence Interval (ARI) and/or Average Exceedance Probability (AEI), and planning periods for the various infrastructure components, should be adopted for particular locations and over what time frames?</p> <p>5. Cross-cutting Issues</p> <p>5.1 What would a climate-adapted Australian settlement look like?</p> <p>5.2 What sectors of society are most vulnerable and least able to adapt to climate change in urban, regional and remote settlements? What are the nature of those vulnerabilities and the barriers to adaptation? How can physical, social, economic and institutional factors reduce their vulnerability and increase their adaptive capacity? At what spatial and temporal scales should adaptation responses for vulnerable communities be developed?</p> <p>5.3 To what extent can geologic/geomorphic/historical/traditional/local knowledge be best applied to assessing vulnerability of existing settlements under different climate change scenarios?</p>

5. APPLICATION FORM

Climate Change Adaptation Research Grants Program

Call for Expressions of Interest in the Area of Settlements and Infrastructure

Closing date: **9 April** 2010

Total Length: *Not exceeding 4 pages*

Title of project:		Priority Question No. (from Table 1)	Ref. No. (please leave blank)
Duration in months:	Proposed Start Date:		Indicative Total Budget:
Principal investigator:		Lead Organisation:	
Contact information: Postal address:			
Email:			
Tel:			
Mobile:			
Objectives (in less than 30 words):			
Brief summary (less than 200 words) outlining justification of proposed work, method and key deliverables:			

Project Details:

In two pages or less (Times New Roman 11 point, margins 2.5 cm all round), in clear English summarise the main points of your proposal taking into account the selection criteria

Project Details (Continued):

Source of Funding:

	2010-2011		2011-2012		2012-2013		Total	
	Cash	Inkind	Cash	Inkind	Cash	Inkind	Cash	Inkind
DCC funds requested								
Lead Organisation contribution								
Other contributions (list)								
Total Project Cost:								

DCC contribution requested:

Item No.	2010-2011	2011-2012	Total
Salaries *			
Operating			
Capital			
Travel			
TOTAL			

*including on-costs