# Austrian Climate Research Programme – ACRP

## 2nd Call for proposals December 2009

## Guide for the submission of proposals

Photo: stockxpert

An initiative sponsored by the Climate and Energy Fund of the Austrian Federal Government

# 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, for instance, is obvious, since the energy sources of the future, the renewable energies, are largely dependent on the local climate. 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 second call for proposals within the framework of this programme, focusing on investigating the national developments and effects of climate change and on determining the need for adaptations. The regional climate scenarios and methods of analysis should be made generally available. 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 minimising 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 for integration at the European level.

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

DI Ingmar Höbarth
Managing Director

# Contents

# 01. The second 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 2nd 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:
- Assessment and management of climate impacts
- National climate policy: options, instruments and implementation
- European and global climate policy.

**Admissible types of projects:**
Research projects can be submitted in all thematic areas mentioned, including activities supporting co-operation and knowledge transfer in Austria (events, workshops, summer schools, post docs, and further networking activities).
Interdisciplinary research teams are encouraged, but in some cases focused disciplinary research will be more effective in addressing the research issues at hand. Thus, a broad range of research will be eligible for funding.

Stakeholder involvement, if relevant, is encouraged in all thematic areas.

**Submission deadline:**
**26 March 2010 at 24:00** 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: KPC@kommunalkredit.at
www.publicconsulting.at
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), which is a broad policy initiative promoting climate-related and energy-related research in Austria. The ACRP provides a conceptional 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.

The Austrian Climate and Energy Fund provides financial support for the period from 2008 to 2010, starting with EUR 4 million in 2008 and providing substantial funds every subsequent year.

# 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 (see above). 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 micro, meso and macro levels, i.e. at the level of households, farms, firms, and other micro actors; NGOs and other intermediary (meso) institutions; and local, national and international governance institutions – as climate policy is relevant to climate adaptation and mitigation in Austria.

The present call is addressed primarily to the scientific community and 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, the reduction or moderation of its negative effects – through 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 and policy entry points. As many commentators have noted, however, there is a 'discrepancy' between the policies and research needed to promote and support adaptation, mitigation and 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 a number of these deficits, especially in a specifically Austrian context, with a focus on sectors/problem areas which include:

- Agriculture and forestry
- Biodiversity
- Energy
- Extreme events
- Health
- Infrastructure
- Tourism and
- Water

Proposals are invited that can contribute to achieving the aims of the programme in the following thematic fields:

- Assessment and management of climate impacts
- National climate policy: options, instruments and implementation
- European and global climate policy

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

## 4.1 Thematic area 1: assessment and management of climate impacts

At the first level, research is needed to better understand the current and future climate, as well as the local and regional impacts of climate change on eco-systems, eco-system services, social systems and the economy. Understanding and modelling the physical, chemical, biological and human systems underlying climate change and its impacts are necessary for developing policy responses.

Disciplinary projects focusing on the impacts of climate change will thus be eligible for funding, especially if they address gaps that are essential for integrated assessments and policy studies. Priority, however, will be given to impact studies that are integrated within a policy analytical framework, that is, interdisciplinary projects that assess the social, economic and ecological impacts and evaluate options and strategies for their management. This can include standard policy assessment tools (such as cost-benefit or multi-attribute analyses) and stakeholder involvement. Where relevant, the research can go beyond deterministic impact assessment to estimate probabilities of losses and damage. The research should take into account the effects of climate change over the next decades, as well as economic, demographic, land-use and other relevant natural or anthropogenic dynamics. It should consider the contrasting options of action vs. inaction or the case that no policy decisions are taken on mitigation or adaptation.

Options for reducing impacts and risks through adaptation and mitigation should be evaluated. Irreversible damage and cases where risks cannot be reduced to acceptable levels should be identified. Management strategies can be transformational,

e.g. including far-reaching changes in our economic and social systems. An important aspect for some topics is the need for fundamental or transformational change in our energy, transportation and other carbon-intensive systems, if climate change is to be kept within limits that are considered acceptable. Integrated assessments require interdisciplinary teams to cover all aspects of the project that are to be addressed.

The topics of this first thematic area include, but are not limited to:

- **Climate change data and modelling, e.g.**
  - collecting and verifying relevant data;
  - understanding feedbacks;
  - down-scaling global climate models;
  - constructing relevant scenarios;
  - identifying systemic interactions, i.e. of the climate system with other systems that can influence its evolution;
  - assessing and expressing uncertainties.
- **Impact estimation, e.g.**
  - historical case study analyses;
  - modelling weather hazards/extremes;
  - addressing collateral effects of extremes on, e.g., slope instabilities or damage to infrastructure;
  - modelling gradual slow-onset impacts;
  - addressing non-linear impacts and tipping points;
  - assessing and expressing uncertainties.
- **Vulnerability assessments, e.g.**
  - estimating exposure;
  - estimating sensitivity and resilience of exposed systems; and
  - assessing and expressing uncertainties.
- **Assessment of economic and social impacts**
- **Management strategies**
  - risk perception and communication;
  - institutional opportunities and constraints;
  - stakeholder discourse and involvement;
  - transformational change;
  - interaction of adaptation and mitigation strategies.

Proposals are particularly welcome that address research fields linked to current policy issues as defined, e.g., by ministerial or communal needs. You should justify the relevance of your research in the context of policy pressures and demands. As one possibility, you can refer to the homepage of the Federal Ministry of Agriculture, Forestry, Environment and Water Management (www.umweltnet.at/article/archive/7073), which lists research topics of special interest for this Ministry. Your proposal will be strengthened by a letter of support from the intended user(s) explaining how they will make use of your research results.

## 4.2 Thematic area 2: national climate policy: options, instruments and implementation

The intent of thematic area 2 is to provide useful information to decision-makers on the options available for adaptation (and the interrelation with mitigation), and to identify mechanisms to implement them efficiently on all political levels, from the community level to the level of global treaties. Research in this theme is differentiated from Theme 1 by its emphasis on understanding the institutions and procedures necessary for implementing climate policies.

The policy environment involves multiple actors, agendas and interests operating within a dynamic legal and political context. Improved scientific and practical knowledge of climate impacts and vulnerabilities, as well as better understanding of how this knowledge is useable in the policy arena, are paramount for progress on managing climate change risks. Bridging the science-policy gap will require the provision of information useful to this process, including information on impact assessments, risk analyses, integrated assessments, and also on the costs and benefits of relevant adaptation options and their uncertainties. It will also require an improved understanding of the policy context in which scientists operate. With this understanding, analysts can actively contribute to designing and implementing participatory processes that influence climate management processes.

As in theme 1, research exploring creative ways to fundamentally and transformationally reform policy and policy systems is welcome.

The topics of the second thematic area include, but are not limited to:

- **Understanding the Austrian climate policy context:**
  - Institutions, legal frameworks, networks;
  - Stakeholder agendas, arguments, discourses;
  - Expert knowledge and uncertainties;
  - Climate change research policy.

- **Austrian opportunities and responsibilities in the post-Copenhagen environment**
  - Analysis of the Copenhagen-agreed outcome and its relevance for Austria;
  - Discussion of its opportunities, challenges and responsibilities.
- **Best practice for managing and mainstreaming climate risks**
  - Evaluating and documenting cases where adaptation plans have been developed;
  - Outlining challenges to effective adaptation.
- **Developing and testing climate-risk governance approaches**
  - Climate risk communication;
  - Participatory, deliberative processes;
  - Engagement with policy makers.
- **Regulatory issues**
  - Efficiency implications of overlapping climate policy regulations;
  - Interactions of multiple regulatory instruments (taxes, quotas, standards, etc.);
  - Political economy of climate policy instruments (e.g., regulation).
- **Social and economic transformations**
  - New paradigms for wealth and development;
  - New forms of decision and governance processes;
  - Acceptability and legitimacy of climate strategies in a pluralistic society.

## 4.3 Thematic Area 3: European and global climate policy

Austrian policy makers are not only called upon to design and implement climate and energy policy in Austria, but can also influence climate policy deliberations at the European and international levels. The ACRP supports research to better inform these deliberations.

The topics of the third thematic area include, but are not limited to:

- **Economic and social evaluation of EU and global climate change policy**
  - Cost of delay;
  - Policy coherence (overlapping regulations);
  - Options for improving policy.
- **Governance, burden/effort sharing and political conflicts arising from different options**
  - Implications of 2°C (5°C) in terms of burden sharing;
  - Governance of transnational mitigation and adaptation strategies;
  - Existing and potential social and political conflicts.
- **Linkage of climate policy to other transnational issues**
  - Mainstreaming climate change into trade policy, fiscal policy, development policy, energy policy;
  - Effects of the financial and economic crisis on energy and climate;
  - Other systemic risks.
- **Looking forward**
  - Linking mitigation and adaptation;
  - Policy beyond 2°C stabilisation;
  - Strategies to hedge against or survive catastrophic climate changes;
  - Transformational change in production/consumption patterns, energy use.

## 4.4 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 on 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 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
- 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 4 million of funds are available under the 2nd 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 (for further information on the submission procedure, see below).
The guide and the forms for the submission of project proposals are available for downloading from the website of the KPC Programme Management Office (www.publicconsulting.at). 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 Friday, **26 March 2010**, at 24:00 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.

## 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 6.1 below.

## 6.4 Contract

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

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

## 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. All other projects will be evaluated on the basis of their presentations at ACRP workshops. If deemed necessary by the Stee-

| **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** |
| • Soundness of concept, relevance of the research questions, and quality of objectives<br>• Progress beyond the state-of-the-art<br>• Quality and effectiveness of the scientific methodology and associated work plan | • Appropriateness of the management structure and procedures<br>• Quality and relevant experience of the individual participants<br>• Quality of the consortium as a whole (including complementarity, balance, international participants)<br>• Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment) | • Usefulness of project results to scientific and policy communities; (documented e.g. through letters from ministries)<br>• Conference presentations, publications in peer-reviewed journals and other appropriate forms of dissemination. |

**Table 6.1**

ring 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.

## 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 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.

**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 6.2**

# 07. Contacts

## 7.1 Programme owner and call responsibility

**Klima- und Energiefonds**
**(Climate and Energy Fund)**
Gumpendorfer Straße 5/22, 1060 Vienna
Tel: +43/1/5850390-0
Fax: +43/1/5850390-11
E-Mail: office@klimafonds.gv.at
www.klimafonds.gv.at

## 7.2 Management of the call

**Kommunalkredit**
**Public Consulting GmbH (KPC)**
Türkenstraße 9, 1092 Vienna

Contact:
DI Eva Maria Plunger, MSc
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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

**Documents required for the call:**

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

# 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 Richtinien), Item 3.3, as well as in the General Framework Directives (Allgemeine Rahmenrichtlinien – ARR 2004), §12 (2), sub-paragraph 9, that are to be applied as regulations subsidiary to the RTD Guidelines in this context.

Personnel costs are eligible for funding up to the reference rate specified and/or according to sub-paragraph 8 of the "Verordnung des Bundesministers für Finanzen betreffend Richtlinien für die Ermittlung und Darstellung der finanziellen Auswirkungen neuer rechtssetzender Maßnahmen" (Decree of the Federal Minister of Finance Concerning Guidelines for Determining and Describing the Effects of New Legislative Measures, Federal Law Gazette II No. 50/199, 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) x14)/1,680 (=hours per year with full-time employment of 40 hours per week).

**Maximum rates for personnel costs**

| Employees according to function | Examples of classification according to function | 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 | 102,885.36 | 1,680 / 61.24 |
| Scientist (E) | Researcher | VB-HL-Höh. Dienst 3 | 86,873.40 | 1,680 / 51.71 |
| Administration (F) | Assistants | VB-VD-Gehob. Dienst 1 | 45,843.90 | 1,680 / 27.29 |
| Technicians / specialist staff | Technicians | VB-VD-Gehob. Dienst 1 | 45,843.90 | 1,680 / 27.29 |

In euro per year excluding calculated additional charges

**Table 8.1**

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