

# Austrian Climate Research Programme – ACRP 8<sup>th</sup> call for proposals Guide for the submission of proposals



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# Preface

The impacts of climate change increasingly become visible on local level, as the Austrian Assessment Report Climate Change 2014 revealed. In Austria, the temperature in the period since 1880 rose by nearly 2 degrees Celsius, compared with a global increase of 0,85 degrees. And global warming still continues, 2014 was the warmest year on record ever. Thus tackling climate change by adaptation and mitigation measures is a crucial issue. In addition maladaptation has to be prevented in order to secure lower energy demand and greenhouse gas emissions also in the long run. In future also limits of adaptation at local level have to be discussed, as the technological and economical effort could rise dramatically in particular cases.

Tackling climate change needs profound scientific understanding and sound research results. 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 takers on all levels with valuable insights on climate change. This is the eighth call for proposals within the framework of this programme, focusing on excellent research in the fields of 1) understanding the climate system and the consequences of climate change; 2) responding to Austria's policy community; 3) on the human dimensions of climate change and 4) governance and transformation.

Through the ACRP, the Climate and Energy Fund intends to help minimise the damage to be expected from climate change, initiate adaptations strategies and 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 at the European level.

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



Ingmar Höbarth  
Managing Director



Theresia Vogel  
Managing Director

# 1.0 The eighth 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
- Private universities are also eligible – see § 5.1
- During submission period, intermediate storage of proposal data is possible!
- 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.

## Content of the 8<sup>th</sup> 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 institutional basis for supporting climate research in Austria.

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 "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: Responding to Austria's policy community**

**Thematic area 3: The human dimensions of climate change**

**Thematic area 4: Governance and transformation**

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

## Admissible types of projects:

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

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

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

## Submission deadline:

3<sup>rd</sup> of September 2015 at 17:00 for the application to be submitted on the ACRP platform [www.acrp.gv.at](http://www.acrp.gv.at).

## Submission to:

The project proposals have to be uploaded on the ACRP platform [www.acrp.gv.at](http://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](mailto:acrp@kommunalkredit.at)

[www.publicconsulting.at/acrp](http://www.publicconsulting.at/acrp)

[www.klimafonds.gv.at](http://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 (Klima- und Energiefonds), and is a broad policy initiative promoting climate-related and energy-related research in Austria. The ACRP provides a conceptual and institutional framework for supporting climate research in Austria with the following main objectives:

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

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

# 3.0 Objectives and scope of the programme

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

The scope of the ACRP encompasses climate change, climate change impacts, and response strategies with regard to adaptation and mitigation, and their inter-relationship. 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 2015” – the energy RTD programme of the Climate and Energy Fund.

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

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

Interdisciplinary and transdisciplinary project proposals, including proposals which cover several thematic fields, are encouraged, 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](http://www.klimafonds.gv.at));
- show specifically if and how the research addresses the needs of Austrian policymakers and/or the scientific community (usable knowledge);
- indicate links to research groups with high competence and relevance to Austrian research and policy needs;
- aim at building Austrian research competence in essential areas not yet well established;
- address the interdisciplinary dimensions of climate change, as well as scientific uncertainties, in a coherent way; and
- link up actively with the international research community by, for example, including foreign researchers if they can make a unique contribution, and delegating Austrian scientists to spend time abroad in the context of international (e.g. EU) network programmes.

As a rough indication, about 20 projects will be funded under this call, with costs of the individual projects ranging between EUR 50,000.00 and 300,000.00. Projects eligible for funding will range from less costly, focused disciplinary research to large consortia (e.g. working on integrated assessments). The duration of the projects will be between one and three years.

## 4.0 Thematic areas

Alongside the mitigation of climate change, also adaptation, i.e. reducing or moderating negative effects of climate change, is 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.

Among other challenges, there is especially a lack of understanding of behavioural aspects and the institutional framework responsible for climate policy decisions. This research programme addresses these deficits, especially in the Austrian context. Proposals are invited that can contribute to achieving the aims of the programme in the following thematic fields (the target budget allocation within these themes is indicated as a percent of the total budget):

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

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

Basic, applied, and policy-oriented disciplinary, interdisciplinary and transdisciplinary research, as well as policy-relevant reviews of literature and practice, are all necessary for this research agenda. An essential aspect in all fields is understanding the uncertainty (also of own results) and how to communicate it.

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

Applicants should be aware that a set of bias corrected climate scenarios on a daily basis for temperature, precipitation, and global radiation in a spatial resolution of 1 km for Austria will be made available by the project "ÖKS15 – Klimaszenarien für Österreich", which will be finished at the end of February 2016. These scenarios

represent the entire, currently available ensemble of regional climate simulations from the EURO-CORDEX ([www.euro-cordex.net](http://www.euro-cordex.net)) initiative that are brought from their coarser resolved grid (12.5 km grid spacing) to such a high resolution. The data will be made available via the Climate Data Centre of the Climate Change Centre Austria ([www.ccca.ac.at](http://www.ccca.ac.at)).

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

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

Impact studies hinge on reliable regional climate scenarios and in-depth expertise about the potential and limits of these results. Creative methods to overcome gaps and more clearly define uncertainties and limits of present knowledge are essential for understanding the complexities of climate change and its impacts.

Some relevant topics are:

- A new generation of global climate models with a new approach to scenarios has emerged with the Fifth IPCC Assessment Report. How do these new climate scenarios translate to regional scenarios? Based on these, what new assessments are needed?
- Limits of local and regional climate change predictions and scenarios: global and regional climate models (GCMs and RCMs) still miss many processes which are essential for adapting to extreme events and other climate change impacts. Can the understanding and modelling of climate processes (e.g. related to different weather types) be improved with particular emphasis on relevance for Austria? Have new questions with relevance for Austria arisen from the IPCC AR5 report?

- Scientific basis of climate change at a regional and local scale: improved quality and availability of climate scenarios. Expanded sets of homogenised data and proxy data are needed for the calibration of regional models and for assessing the quality and limitations of the models.
- Thresholds and bifurcations: how close are we to critical and potentially irreversible climate thresholds on a regional scale? What are the most likely sub-elements of the system that may be responsible, or those that may be most vulnerable? Is the 2-degree goal (global policy) sufficient to prevent the most severe impacts? Which impacts are associated with a 3-4-degree warming or beyond? How do they translate to the regional and local level?
- Multi-factor and multi-level impact studies: can we specify impacts based on multi-factor and multi-level interactions between the climate system and species, ecosystems, forestry, water systems and management etc. based on common scenarios? With regard to extreme weather events, can we specify probabilities for multi-hazard risk taking account of climate change?
- Understanding, quantifying and communicating uncertainty: How can we characterise and communicate uncertainties in climate change studies and climate impact assessments? How can economic uncertainties related to climate mitigation, impact and adaptation be assessed? What methodologies are best suited for specifying epistemological and aleatory uncertainty, and how can uncertainties be taken account of in impact assessments and policy analyses? How can uncertainties be communicated in a meaningful way?

There will be overlaps in the above topics with thematic area 2. While thematic area 2 defines policy needs, thematic area 1 addresses gaps in scientific knowledge and research questions on the frontiers of this knowledge (the above topics are not exclusive).

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

Research proposals are encouraged that directly respond to the needs of Austrian government policy makers in their efforts to design and implement adaptation and mitigation measures. In the eighth call projects covering the following topics are of special interest:

- **Providing a scientific basis for Austria's Low Emission Development Strategies (LEDS)**  
National LEDS are due end 2015. The Austrian

Climate research community is intending to support the development of LEDS in a series of open workshops throughout 2015. In the process of producing a consensus paper delineating two or more LEDS based on available research, known and new research needs will become apparent. One or more projects addressing this need and demonstrating a clear relevance for LEDS can be funded within Thematic Area 2. Persons and consortia intending to submit a project on this topic are cordially invited to participate in the assessment process towards the consensus paper.

- **Understanding the social aspects of climate change**

The purpose is to provide transdisciplinary insights into the social aspects of climate change and adaptation measures, especially on health and well-being: how does climate change alter the spread of pests, vector-borne diseases, allergenic substances and other health risks? What parts of the population and 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? Understand urban systems in climate change: Ensuring quality of life and making infrastructure resilient. Exploring the potential of unconventional data sets (such as crowd sourcing etc); Climate change and normative and ethical dimensions (e.g. burden sharing, equity issues) at different political levels;

- **Complementing Austria's adaptation strategy:**

The purpose is to support adaptation, and 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;

- **Communicating and building awareness** for adaptation (see also thematic area 3): 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, among 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?

(Mitigation should be addressed to the extent necessary as both adaptation and mitigation have to take one another into consideration.)

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/acrp\\_ausschreibung.html](http://www.bmlfuw.gv.at/umwelt/klimaschutz/klimapolitik_national/anpassungsstrategie/acrp_ausschreibung.html) (AUSTRIAN CLIMATE RESEARCH PROGRAMME – Possible Topics )

Researchers should address mitigation to the extent that it is a necessary or synergistic component of adaptation; otherwise, mitigation research should be in response to relevant topics in thematic areas 1, 3 and 4.

### 4.3 Thematic area 3: The human dimensions of climate change

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

Economic incentives, regulations and other policy interventions (at international, national and local levels) depend on political will for their implementation, which, in turn, depends to a large extent on the attitudes, preferences and acceptance of the citizens. Even with policy interventions in place, voluntary actions on the part of the public and businesses will be an important component of an effective response to climate change. Social inequities, exclusive and polarised governance, dysfunctional institutions and the lack of an informed and motivated public are among the many factors limiting this response.

Research is encouraged that identifies economic, political, cultural and social opportunities, constraints and challenges for climate mitigation and adaptation.

**Relevant topics span a broad range of issues, a few of which are listed below:**

- benefits and costs of climate change interventions;
- Relevance of time scale;
- the economics and political/institutional feasibility of policy strategies (e.g. taxes/quotas, subsidies and standards);
- mainstreaming climate change into national, provincial and local policies as well as the role of EU programmes and policies;
- indicators beyond conventional economic accounting systems that can help policy makers assess sustainable and climate friendly development;
- effective channels for promoting climate policies, e.g.
  - consumer products and lifestyles;
  - firm and enterprise behaviour;
  - new social media;
  - effectiveness of awareness measures;
- the societal capacity to respond to climate change: drivers and inhibitors at all governmental scales;
- the potential for behavioural change; holistic perspective on technical options and behaviour;
- 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);
- incentivising climate investments: effective mobilisation of climate investments for getting the enabling environment right for scaled up climate investments (as long as issues are not covered by the “Energieforschungsprogramm 2015” of the Climate and Energy Fund).

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 transformation

Based on the growing prospects for a new global agreement on climate policy foreseen for COP 21 in Paris in 2015 and the new set of EU climate policy goals for 2030, there is a need to strengthen institutions and processes that govern mitigation and adaptation regimes in all countries. In addition there is a growing need to adapt to a global mean warming above 2 °C. Major social and economic transformation is called for.

Research proposals are encouraged that address governance and policy issues of social, economic and institutional transformation at global, regional as well as Austrian scales. Austrian policy makers face opportunities and challenges as they operate in the context of European and other international arenas. Like many countries, Austria’s institutional structures, for instance the social partnership, are not geared for coordinated and integrated climate policy formulation and implementation. Institutional reform and transformation at all scales, including the incorporation of bottom-up initiatives, will be necessary for effectively facing the

climate change challenge. Furthermore, innovative approaches on how to implement climate change policy most efficiently within the existing system are of interest.

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

- development of transformation scenarios and pathways towards a carbon neutral and adaptive society;
  - lessons from past and ongoing societal transformations on different scales and issues;
  - comparative studies of Austria with other climate-active societies;
  - impact of and conditions for voluntary climate agreements (social innovations) on mitigation and adaptation (e.g. Climate and energy model regions, Klimabündnisgemeinden, Passivhaus);
  - design, political feasibility and efficacy of international agreements on climate protection in view of strategic behaviour by independent governments and other political actors, and the lack of strong supranational authorities;
  - exploration of synergies with research on economic concepts and integrated approaches towards social justice, prosperity and well-being;
  - mainstreaming climate change in other policy areas at the national and European level (for example, energy, transport and agriculture);
  - potential and challenges for the new loss and damage instrument decided at COP18 in Qatar;
  - the role of Austrian norms and institutions, as well as institutional structures and cultures for climate change policy and societal transformation.
- 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, and 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;
  - Research proposals should specify their “user value”, either to the greater (also international) research community or to the Austrian policy community;
  - Applicants should clearly indicate if 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.

Of special interest is integrated, systemic research, which includes climate change adaptation and mitigation as part of sustainable and transformative policy design across different sectors, such as energy, transportation, industry, agriculture, urban planning, water, biodiversity, and land-use. This research may include an examination of system boundaries and their implications for assessing the sustainability of response strategies (resource constraints, distributional constraints, i.e. winners and losers etc.).

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.

## 4.5 General guidelines

- The focus should be on climate change, its impacts, and the potential to adapt to new circumstances. Proposals can address issues within these thematic fields or can cover several thematic fields; the most relevant thematic field has to be identified in the application form;

# 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. 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 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 6 million of subsidies are available under the eighth 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 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) and not before the funding offer has been accepted.

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).

Costs attributed to International partners can represent 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 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 simultaneously included in overhead costs; overheads accounted for under the funded project must not contain any costs that are basically excluded from funding. Such costs include, for instance:

- additional costs incurred through submission of the application;
- catering costs;
- advertising and marketing costs;
- PR costs;
- distribution costs (usually including costs of vehicle fleet);
- booked research expenditure;
- reserves;

- provisions;
- support payments pledged but not received;
- exchange rate differences;
- book values of plant and equipment not recognised as eligible costs;
- losses suffered;
- expenditure incurred in other accounting periods;
- financing costs, interest.

### RTD investments/depreciation

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

### Travel costs, costs of materials

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

### Subcontracting

These are costs for (research) activities carried out by 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 easily and freely accessible, 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. Projects that 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](http://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 01.01.2015 (ref. no. BMVIT [Federal Ministry of Transport, Innovation and Technology] 609.986/0011 – III/12/2014).

# 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](http://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.public-consulting.at/acrp](http://www.public-consulting.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 Thursday, 3<sup>rd</sup> of September 2015 at 17.00 for the application to be submitted on the ACRP platform [www.acrp.gv.at](http://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](http://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 their own assessments of the proposals.

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.

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

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

- Understanding the climate system and the consequences of climate change (25 %)

- Responding to Austria's policy community (35 %)
- The human dimensions of climate change (30 %)
- Governance and transformation (10 %).

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

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

### 6.3 Evaluation criteria

The evaluation criteria for research projects are scientific quality, quality of consortium/management and

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
Impact	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 will be assessed.

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

Scientific quality	Quality of Consortium and Management	Impact
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
<ul style="list-style-type: none"> <li>• Soundness of concept, relevance of the research questions, and quality of objectives</li> <li>• Progress beyond the state of the art</li> <li>• Quality and effectiveness of the scientific methodology and associated work plan</li> </ul>	<ul style="list-style-type: none"> <li>• Quality and relevant experience of the individual participants and quality of the consortium as a whole (including complementarity, balance)</li> <li>• Enrichment by international participants if deemed necessary</li> <li>• Appropriateness of the management structure and procedures</li> <li>• Appropriateness of the allocation and justification of the resources to be committed (budget, staff, equipment), also in order to achieve impact</li> <li>• Climate "friendliness" of research activities</li> </ul>	<ul style="list-style-type: none"> <li>• Usefulness of project results to scientific and policy communities (documented, e.g. through letters from ministries)</li> <li>• Conference presentations, publications in peer-reviewed journals and other appropriate dissemination channels</li> </ul>

Table 6.3 b | Description of evaluation criteria "Scientific Quality"; "Quality of Consortium/Management"; "Impact".

## 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 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 will be 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](http://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 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 submission 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 have been 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)	1 <sup>st</sup> maximum funding rate*	2 <sup>nd</sup> maximum funding rate*	3 <sup>rd</sup> 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

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[www.klimafonds.gv.at](http://www.klimafonds.gv.at)

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](http://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)

### 7.2 Management of the call

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# 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, collective agreement, a company agreement or the 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 you may insert placeholders by way of exception. You should, however, provide a detailed description of their function in the project.

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 involved in several funded projects simultaneously – 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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