

# Guide for the Submission of Proposals Austrian Climate Research Programme – ACRP

11<sup>th</sup> Call for Proposals

A funding programme of the Climate and Energy Fund  
of the Austrian Federal Government



Vienna, June 2018

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# Preface

Both on international as on national level political efforts to mitigate climate change and to adapt to the impacts of climate change are gaining speed. Following the Paris agreement, the Austria government has presented an integrated national climate and energy strategy in 2018. By taking a closer look on the ambitious goals of the strategy it becomes evident that a prolongation of business as usual is no longer a valid option when the targets are to be met. Therefore, a lot of new challenges and questions arise, for policy makers and the Austrian research community. The current ACRP Call focuses on climate change impacts and their solutions, adaptation, mitigation and their interrelationships. As a new aspect, attention should be given to the finance sector and its relevance for climate policy issues. The intent is to provide scientific background for the implementation of the national climate and energy strategy of the Austrian government (mission2030) and the Paris Agreement in Austria.

While adoption to the new national developments and the international framework the underlying focus of ACRP still holds true: Tackling climate change needs profound scientific understanding and sound research results. Thus the Climate and Energy Fund has developed the Austrian Climate Research Programme ACRP, by far the largest research programme in this field in Austria. It has helped to develop a highly capable research community which investigates climate change in all relevant aspects for Austria and provides decision makers on all levels with valuable insights on climate change. The eleventh call for proposals within the framework of this programme, focuses on excellent research in the fields of

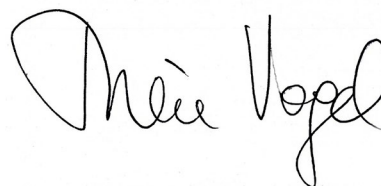
- 1) understanding the climate system and the consequences of climate change,
- 2) specific Support for Austria's policy makers,
- 3) systemic transformation – the human dimension,
- 4) governance and institutions – towards systemic transformation,
- 5) APCC Special Report on Land use, land management and climate change.

Through the ACRP, the Climate and Energy Fund intends to help minimise the damage to be expected from climate change, gain insights for future 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 call, and we wish the researchers every success in their efforts!



Ingmar Höbarth  
Managing Director



Theresia Vogel  
Managing Director

# 1.0 The 11<sup>th</sup> ACRP Call at a Glance

## Important

- The evaluation criteria reflect the ACRP's emphasis on international collaboration, scientific excellence and implementation of results – for further information, see § 6.3
- During the submission period, intermediate storage of proposal data is possible.
- Resubmission of proposals is not encouraged unless the proposal rejection was based solely on lack of sufficient funding or the feedback provided at the proposal rejection has been fully addressed.
- Private universities are also eligible – see § 5.1.
- The publications of the project leader (linked to the person) resulting from past ACRP projects will be taken into account by the Steering Committee when evaluating research proposals.
- As a rule, funding for follow-up project proposals from earlier ACRP calls will not be considered until the outcome of the prior proposal has been evaluated and accepted.
- Maximum funding per project is EUR 250,000; only in rare, justified and well argued cases may this limit be exceeded up to EUR 350.000. No more than 3 projects of this type will be funded. In general they will run for 3 years, include more than 3 partners, address complex problems and/or involve co-design and co-production.
- The Climate Data Centre (CCCA Datenportal) set up by the Climate Change Centre Austria is conceived as the central data access to climate-relevant data. Researchers who cannot assure the availability of their data for an extended period of time after completion of the project as required by the ACRP programme are advised to feed their data into the Climate Data Centre and to inform themselves in time regarding its data formats and data privacy options ([www.ccca.ac.at](http://www.ccca.ac.at)).
- Project consortia are required to make a poster presentation on the project at the Austrian Climate Day conference (Österreichischer Klimatag). The presentation should provide an integrated view of the project.

## Content of the 11<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, with the intention to help Austria deal with climate change through mitigation and adaptation, and to contribute to building a high level of climate research competence for relevant policy areas in Austria.

The ACRP focuses on climate change impacts and their solutions, adaptation, mitigation and their mutual interrelation. The intent is to provide scientific background for the implementation of the Austrian strategy for adaptation to climate change, the Climate and Energy Strategy of the Austrian government (#mission2030) and the Paris Agreement in Austria. Research focused on technology-specific climate mitigation is financed under the 'Energieforschungsprogramm 2018' (the energy RTD programme of the Climate and Energy Fund) and under various calls of the Federal Ministry of Transport, Innovation and Technology (BMVIT) and will not be funded by 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:

- |                             |  |
|-----------------------------|--|
| <b>Thematic Area 1:</b>     | <b>Understanding the climate system and consequences of climate change</b> |
| <b>Thematic Area 2:</b>     | <b>Specific support for Austria's policymakers</b>                         |
| <b>Thematic Area 3:</b>     | <b>Systemic transformation – the human dimension</b>                       |
| <b>Thematic Area 4:</b>     | <b>Governance and institutions – towards systemic transformation</b>       |
| <b>APCC Special Report:</b> | <b>Land use, land management and climate change</b>                        |

In special 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 the above Thematic Areas, including activities supporting cooperation and knowledge transfer in Austria (events, workshops, summer schools, postdocs and further networking activities). In addition, the ACRP will fund one Special Report for the Austrian Panel on Climate Change with the topic 'Land use, land management and climate change'.

Proposals will be subject to a separate weighting of criteria depending on the Thematic Area. Interdisciplinary research teams are encouraged, but in some cases focused disciplinary research will be more effective in addressing the research issues at hand. Thus, a broad range of research will be eligible for funding.

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

### Submission deadline:

February, 1<sup>st</sup> 2019 at 12:00

### Submission to:

The project proposals must be uploaded on the ACRP platform [www.acrp.gv.at](http://www.acrp.gv.at) by the deadline. 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 and is a broad policy initiative promoting climate- and energy-related research in Austria. The ACRP provides a conceptual and institutional framework for supporting climate research in Austria with the following main objectives:

- Coordinating and strengthening existing climate research in Austria and integrating it into international research networks
- Promoting climate research that produces useful results for Austria's scientific, business and public policy communities
- Identifying research on climate issues with potential for international recognition and leadership
- Strengthening Austria's capacity for advanced (interdisciplinary) analysis and integrated assessment in areas of relevance for policymaking

In meeting these objectives, the ACRP funds climate research by issuing regular calls for research proposals.

In addition, the ACRP welcomes activities undertaken by the Climate Change Centre Austria (CCCA). The goal of the CCCA is to improve the quality and efficiency of climate research in Austria and to increase its international visibility by strengthening cooperation among Austrian researchers and research institutions.

ACRP activities are guided by an international Steering Committee.

# 3.0 Objectives and Scope of the Programme

The Austrian Climate Research Programme supports high-quality research and other activities aimed at advancing the science and practice of climate change adaptation and mitigation in Austria. The intent is also to provide scientific background for the implementation of the Austrian strategy for adaptation to climate change, the Climate and Energy Strategy of the Austrian Government (#mission 2030) and for the implementation of the Paris Agreement in Austria. The ACRP also supports research that enhances Austria's role in the global climate research and policy communities.

Following the Paris Agreement enacted on November 4, 2016, and the increasing urgency for action, particular emphasis is on reaching the ambitious goals set out in Paris. The evolving targets for emission reductions outside the EU Emissions Trading System will pose a significant challenge to Austria. Apart from providing new scientific expertise on climate change, impacts and adaptation options, the intent of the ACRP is also to help meet mitigation challenges.

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

The scope of the ACRP encompasses climate change, climate change impacts and response strategies with regard to adaptation and mitigation and their interrelationships. The focus is on all relevant areas of activity in Austria, such as tourism, agriculture and forestry, infrastructure and energy, water and drought/flood management, and including biodiversity and human health. As a new aspect, attention should be given to the financial sector and its relevance for climate policy issues. 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, energy and land use issues and synergies or tradeoffs with the sustainable development goals. Researchers specifically addressing mitigation in the

form of sustainable and climate-relevant energy and transport technologies are encouraged to apply to the 'Energieforschungsprogramm 2018' – the energy RTD programme of the Climate and Energy Fund.

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

The present Call primarily addresses the scientific community and encourages early interaction with stakeholders, including, for instance, the public, businesses, NGOs and governmental/international policymakers.

Interdisciplinary and transdisciplinary project proposals, including proposals which cover several Thematic Areas, are encouraged as is 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)<sup>1</sup>
- 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

<sup>1</sup> To facilitate the interaction between the scientific community and governmental agencies an informal workshop is planned.

As a rough indication, about 20 projects will be funded under this Call, with costs of the individual projects ranging between EUR 50,000 and maximum 250,000. Projects eligible for funding will range from less costly, focused disciplinary research to large consortia (e.g. working on integrated assessments). The duration of the projects will be between one and three years. In rare, justified and well argued cases projects with costs up to EUR 350.000 will be funded (not more than 3 per call).

In general they will run for 3 years, include more than 3 partners, address complex problems and/or involve co-design and co-production.

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

## 4.0 Thematic Areas

Recent years have seen significant international political developments in the fields of climate policy, energy transition and sustainable development, notably:

- The Paris Climate Agreement that entered into force in 2016 with its challenging adaptation and mitigation goals and a new International Loss and Damage Mechanism.
- The EU policy frameworks for climate, energy and sustainable finance that aim at achieving more competitive, secure and sustainable energy and finance systems and at meeting the long-term target of cost-effectively achieving decarbonisation by 2050.
- The UN Sustainable Development Goals<sup>2</sup> agreed on in 2015 that prescribe urgent action to combat climate change and its impacts. The climate goal and the 16 addition goals appear to be partly synergistic and partly contradictory.

On the national level, climate policies and strategies have become more concrete (e.g., mission 2030 in Austria) although they are not yet reflected in emission balances the world over. Pressure for more stringent policies comes from such diverse stakeholders as cities, industry, trade unions, insurance and financial sectors as well as judicial systems.

At the same time, evidence that climate change continues to progress and that natural and managed systems have higher sensitivities to climate change than expected makes the need for adaptation increasingly clear [IPCC Climate Change - Synthesis Report 2014]. The Austrian Adaptation Strategy addresses many of the issues, but

adapting to a +2 to +3°C world in Austria is challenging and requires research ranging from atmospheric sciences and impact assessments to socio-economic topics. International bodies, national governments, municipalities, households, small enterprises, industry, the financial sector and NGOs are among those who will need to transform their activities to meet this goal. Alongside the mitigation of climate change, therefore, adaptation remains a central part of the climate policy and research agenda, including issues of maladaptation and mitigation-adaptation interactions.

Issues that need to be addressed by climate research have thus become broader, and to a certain extent more urgent. The climate research community must embrace new fields and develop new capacities, while old issues still await resolution. In an open participatory process, the Climate Change Centre Austria has developed a Science Plan that describes research needs based on political developments as well as on international research programmes and the research needs defined in the 2014 Austrian Assessment Report on Climate Change. Proposals are invited that can contribute to achieving the aims of the programme in the following Thematic Areas (the target budget allocation for each theme is indicated as a percentage of the total budget):

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

<sup>2</sup> UN 'Transforming our world: The 2030 Agenda for Sustainable Development'.

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

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

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

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

Resubmission of proposals is not encouraged unless the proposal rejection was based solely on 'lack of sufficient funding' or the feedback provided at the proposal rejection has been fully addressed.

Note: A set of bias-corrected climate projections (based on the GHG scenarios RCP4.5 and RCP8.5) on a daily basis for temperature, precipitation and global radiation for Austria is available. These ÖKS15 projections represent a subset of regional climate simulations for the 21<sup>st</sup> century from the EURO-CORDEX ([www.euro-cordex.net](http://www.euro-cordex.net)) initiative that are brought from their initial grid (12.5 km grid spacing) to a nominal spatial resolution of 1 km by means of statistical downscaling. The data are available via the Climate Data Centre of the Climate Change Centre Austria ([www.ccca.ac.at](http://www.ccca.ac.at))<sup>3</sup>.

For a sub-set of 4 ÖKS15 scenarios additionally the variables wind speed and relative humidity will be localized and available at the data centre in summer 2018.

ÖKS15 based climate indices, produced by different research projects like ÖKS15 itself or ClimaMap (<https://data.ccca.ac.at/group/climamap>), are also available at the data centre.

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

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

While the anthropogenic influence on the global climate is well-established, there remains a need for more reliable information on the current and future climate at regional and local scales, and the impacts of climate change and extreme events on ecosystems, ecosystem services, social systems and the economy.

Understanding and modeling the physical, chemical, biological and societal systems underlying climate change, and their impacts on these systems, is essential for developing cost-effective and sustainable policy responses. Climate research, thus, spans a wide range from disciplinary via interdisciplinary to transdisciplinary projects that are needed to reach sustainable policy responses. Projects in the following (non-exclusive) research areas are welcome:

##### **Improved understanding of climate processes on regional and global levels**

Besides global climate change, anthropogenic influences on the bio-geo-chemical cycles alter regional climate. Example for climate process studies are:

- Understanding altered precipitation patterns both as a consequence of regional land use changes and global climate change
- Understanding altered regional circulation patterns caused by shrinking Arctic sea ice

##### **Extreme events**

Some meteorological and hydrological extremes have already changed and will change further due to continued global climate change. However, it is difficult to estimate the current and future risks due to a lack of long-term observations. Hence, special care has to be taken to use homogenised long time series for more robust statements on changed extremes and for the calibration of models used for projections of extremes. Because of

<sup>3</sup> see also: [www.bmnt.gv.at/umwelt/klimaschutz/klimapolitik\\_national/anpassungsstrategie/klimaszenarien.html](http://www.bmnt.gv.at/umwelt/klimaschutz/klimapolitik_national/anpassungsstrategie/klimaszenarien.html)



Austria's comparatively long and dense observations in geosciences, researchers are better positioned for estimating risks. Examples of research topics include:

- Improved dynamic downscaling of extreme events in order to estimate the probabilities of new extremes
- Joint evaluation of several long time series to explain the higher probability of occurrence for extremes of certain meteorological and hydrological parameters
- Estimating probabilities for multi-hazard risks caused by extreme weather events under climate change

**Further questions for interdisciplinary and transdisciplinary climate research are:**

- Which measures can be recommended to stabilise and further improve carbon stocks in forests and agricultural soils?
- Where will irrigation be needed for which crops in Austria?
- What water management infrastructure is needed if extreme precipitation events grow faster than the Clausius-Clapeyron equation indicates?
- What are the consequences of greenhouse gas neutrality for food consumption?
- What are climate change impacts caused by the interaction between the climate system and species, ecosystems, forestry, and water systems based on the climate change scenarios provided by CCCA?
- Can tipping points be ruled out if the Paris Agreement goal of warming well below 2°C is reached?

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

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

## 4.2 Thematic Area 2:

### Specific support for Austria's policymakers

Research proposals are encouraged that directly respond to the needs of Austrian government policymakers in their efforts to design and implement adaptation (and mitigation) measures. In the 11<sup>th</sup> Call, projects in the following Thematic Areas, among others, are of special interest:

- **Optimising adaptation paths:** The purpose is to support adaptation and particularly implementation of concrete actions 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
- **Conflicting targets:** Climate change might provoke conflicts of objectives and of interests even in Austria; Competing interests as concerns e.g. fresh water resources or land use and spatial planning are already being experienced. Which problems might arise in this context? How to overcome them in an environmentally sound and socially acceptable way?
- **New challenges in nature protection:** Climate change will have substantial impact on ecosystems and biodiversity in Austria. The adverse effects of a changing climate add to the man-made stressors and are a new threat to nature and eco-systems that are already under pressure. Therefore, the protection of biodiversity will face great challenges in the upcoming years.
- **Which measures to strengthen the resilience of ecosystems are highly recommendable?** Which measures should be taken to avoid negative effects of enhanced renewable energy use on ecosystems and natural habitats? How to prevent conflicting targets and promote synergies? Which new approaches could be recommended given the complexity of the issue?
- **Understanding the social aspects of climate change and adaptation policies:** The purpose is to provide further insights into the social aspects of climate change and adaptation measures, especially on health and well-being
- **People who live in poverty may have less abilities to cope with the expected changes, they have limited financial resources to restructure, refurbish or even rebuild their homes, to relocate or respond to increases in the cost of food. Older adults, too, may be especially vulnerable to the adverse effects of climate change. Which measures should be taken in advance to efficiently counteract such negative impacts?**

- What are the options to strengthen resilience? What kind of monitoring systems and assessments could prove useful, which criteria should be selected to shed light on the societal impacts of climate change?
- What about possible ethical dimensions on different political levels as concerns climate change, mitigation and adaptation?
- What might be potential entry points for alternative and private resources that the Austrian government could tap to further scale up funding for climate 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 [https://www.bmnt.gv.at/umwelt/klimaschutz/klimapolitik\\_national/anpassungsstrategie.html](https://www.bmnt.gv.at/umwelt/klimaschutz/klimapolitik_national/anpassungsstrategie.html)

### 4.3 Thematic Area 3: Systemic transformation – the human dimension

Incremental interventions with the aim to maintain the essence and integrity of the system can be distinguished from transformational interventions that change the system's fundamental attributes in response to climate and its impacts. Especially for decisions involving long lifetimes, transformative interventions should be investigated. Research to explore incremental and transformational systemic change requires an integrated assessment of social, economic, technological and political drivers of a sustainable and climate-neutral society.

Systemic change is especially needed to meet the challenges posed by the Paris Agreement both on national and international levels. There is growing recognition that incremental change in prevailing social, technological and economic structures will not suffice to achieve the goal of limiting the increase in global temperature to well below 2°C compared to pre-industrial levels. Major transformative changes towards sustainable structures/systems will be necessary – changes that encompass broad deployment of technological, economic and social innovations. This might require significant upfront financing that can enable economic savings and environmental and social co-benefits in the long term. For both adaptation and mitigation, the challenge for the scientific community is to improve and enhance analyses, and models that support the analyses, for evaluating long-run perspectives

of economic and social development. Systemic research will be necessary to assure an equitable and inclusive policy response.

Research on the social and human dimensions of climate policy interventions, especially as they affect the poor and vulnerable, will be necessary to complement economic and technological research. Developing equitable, responsible and socially inclusive pathways is essential for Austrian and international climate policy. The historic Warsaw International Mechanism (WIM) on Loss and Damage, endorsed in Paris, fosters the continued leadership of developed countries in climate action while for the first time bringing all nations into a common cause based on their historic, current and future responsibilities. Moreover, many interventions for incremental and transformative change in Austria will complement and merge with another major international agenda – achieving the Sustainable Development Goals.

Relevant research that addresses incremental and transformational systemic change spans a broad range of topics, a few of which are listed below:

- Modeling the interactions of pathways for meeting the goals of the Paris Agreement with meeting the Sustainable Development Goals for both mitigation and adaptation
- Models and indicators of well-being for current and future generations (e.g. by focusing on functionalities) and integrated, sustainable and climate-neutral paths for reaching social goals
- 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)
- Design of social policies for distributing the burdens and benefits of transitional and transformational change, including innovative forms of job-sharing and attention to gender issues
- Transitioning buildings or transforming mobility to reach full reliance on renewable energy, and at the same time assuring inclusive and affordable housing and transport
- Comprehensive recycling of consumer and investment goods based on renewable energy
- Assessment and development of financial mechanisms and tools that align public and private resources to enable the transition towards sustainable and climate-resilient pathways
- Possible effects of enhanced divestments and the consequences for Austria

- Potential and challenges for the Loss & Damage Mechanism and Austria's role in the international debate
- Educational mainstreaming to foster transitional and transformative adaptation and mitigation
- Understanding the specific information needs of stakeholders for a sustainable transition and communicating knowledge in view of uncertainties in climate change studies and impact assessments

Of special interest are trade-offs and synergies among the economic, social, cultural and political drivers of climate change policies and actions and their counterparts with regard to, for example, energy, transportation, industry, agriculture, urban planning, water, biodiversity and land use.

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

Negotiators in Paris recognised that many diverse institutional and private actors – government, business, philanthropy, civil society and academia – have a role to play in addressing the climate adaptation and mitigation challenges. Institutional inertia, scientific uncertainty, long time frames and influential groups opposing change are some of the challenges for transforming towards a sustainable future. Measures to help trigger far-reaching change include building coalitions, creating new institutional actors, adjusting legal rights and responsibilities as well as changing ideas and accepted norms and expectations. Beyond governments, the climate governance agenda necessitates involvement of a range of institutional and private actors and the development of diverse methods for participatory processes and citizen engagement. In the research community the further development of action research methods is required.

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

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

- Understanding the fragmented landscape of public and private actors that comprise Austria's 'climate regime complex' and the obstacles/opportunities for meeting Austria's climate commitments
- Identifying across all levels of governance and all regions of Austria centres and nodes of activity towards achieving the Sustainable Development Goals, especially Climate Action (SDG13) and understanding what drives them, and what leverage points could best support their activities
- Understanding the legal context for climate action and liability (including issues of climate change attribution) and potential development/reforms of the legal regime in Austria, the EU and on a global scale
- Identification and assessment of novel and effective practices for climate action across businesses, NGOs, local governments and other actors to inform policy and practices in Austria
- Identifying and analysing the special role of cities, sub-national actors, and financial actors with regard to climate mitigation and adaptation across the world, with lessons for Austria
- Practices and new mechanisms for national, regional and local governments to engage civil society and other stakeholders in climate policy and its implementation (action research)
- Addressing the specific risks for and needs of actors and institutions that take an active role in advancing climate action
- Identification of governance structures that are resilient to political and social perturbations and conducive to achieving the climate goals
- Clarifying the equity principles underlying national and international climate policy, in particular the role of compensation for loss and damage due to climate extremes

## 4.5 APCC Special Report: Land use, land management and climate change

Land management is an important driver of climate change, e.g. through emissions from agriculture, forestry and land-use change, and affects other policy goals such as biodiversity conservation, health and well-being. Agriculture and forestry and other key functions of ecosystems are affected by climate change through changes in temperature, precipitation, extreme events, pests, etc. These impacts and adaptation issues will be covered in the report.

Biota and soils store carbon and can contribute to climate-change mitigation, if these C stocks are increased, e.g. through afforestation and restoration. Biomass from agriculture and forestry is indispensable for feeding humans and livestock, and demand for these products has an essential influence on GHG emissions (e.g. diets, reduction of losses in supply chains). Depending on technologies and land management, agriculture and forestry can provide low-GHG emitting products that can replace high-GHG products (fossil fuels, construction materials). Evaluating the full GHG effects of substitution requires consideration of the global supply chains of biomass-based products and hence foreign trade of these products. Local, national and global competition for land that may result from future changes in supply and demand of biomass, and the related trade-offs and synergies, are critical in this regard.

Specific aspects to be covered include soil sealing due to construction, including possible responses from spatial planning and other related national as well as European policies, alpine pastures, alpine development, wetlands, as well as possible contributions from organic agriculture and interactions with nature conservation.

Austrian farmers have experienced considerable losses over the last years due to extreme events like late frosts, drought, etc. The report needs to consider regional vulnerabilities, predictive skills, effective adaptation measures, economic and legal aspects.

To address these multi-faceted challenges, including their economic importance for Austria, the ACRP will support one APCC assessment report on the topic of 'Land use, land management and climate change'.

This report will summarise and assess the state of knowledge of all aspects of the above-outlined topic. The project team should reflect the spectrum of leading research institutions in Austria and needs to be based on and open for contributions by the full community of relevant Austrian researchers and experts. This assessment report is expected to follow up and expand on the Austrian Climate Change Assessment Report (AAR14) and reflect (interim or final) results from the ongoing IPCC special report Climate Change and Land as well as other related publications and assessments.

The production process of the report must be given special attention. IPCC or APCC quality standards provide helpful guidelines. Involvement of international partners as review editors is recommended. The dedicated budget for the Special Report is EUR 300.000,-.

## 4.6 General guidelines

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

- Policy-relevant reviews of literature and practice are eligible.
- Particular attention should be given between interlinkages of adaptation and mitigation issues and policy
- Uncertainty should be clearly addressed.
- Interdisciplinary research teams are encouraged but focused disciplinary research, especially if it is particularly innovative or useful, is eligible.
- Early stakeholder involvement, if relevant, is encouraged at all levels, for instance, incorporating local knowledge and directly involving stakeholders (e.g. from industry, community administrations and NGOs) in policy deliberations.
- Cooperation with international partners and subcontractors is encouraged. Up to a third of the total granted costs can be attributed to foster this collaboration, especially if it serves to enhance Austrian research competence and the transfer of research tools such as models or data.

- Research proposals should specify their 'user value', either to the greater (also international) research community or to the Austrian policy community.
- Applicants should clearly indicate whether the application is a follow-up project within the ACRP Programme or if there are overlaps and synergies with research supported by earlier ACRP calls or other funding sources.
- Recognising the inherent uncertainties of publication processes, research proposals should clearly indicate their anticipated publications, preferably in peer-reviewed, internationally recognised journals and other dissemination channels.

The scientific community needs to critically reflect its own role in climate change and unsustainable behaviours. Therefore, project leaders and partners are expected to address climate-friendly solutions regarding operational aspects, such as travel, meetings, paper, computer and internet use, in their submission.

## 5.0 Administrative Information

### 5.1 Eligible institutions and persons

The following Austrian research institutions are eligible for submitting proposals:

- Universities
- Non-university research institutions in the field of scientific research
- Universities of applied sciences
- Private universities
- Other science-oriented organisations
- Individual researchers from Austria

Project partners are not limited to Austrian research institutions and can include foreign researchers as well as businesses and other practitioners as long as full publication of results is guaranteed.

### 5.2 Project types

Within the framework of the ACRP, many types of research activities are funded in the context of research projects. In addition to research, these can include activities supporting cooperation and knowledge transfer in Austria, such as events, workshops, summer schools, networking activities and one Special Report. Projects can be submitted by individual researchers or institutions (individual projects) or by consortia (cooperative projects). The selection of the project type should be determined by the needs

of the project: All necessary qualifications should be included in a manner appropriate to their project's relevance.

#### 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 4 million of subsidies are available for research projects and activities supporting cooperation and knowledge transfer in Austria plus EUR 300.000,- for the special assessment report under the 11<sup>th</sup> 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 one's own funds (cash funds) or services rendered (provision of personnel, infrastructure) by the applicant or the partners of the consortium is desirable. The applicant is asked to document such 'one's own resources' in the Cost and Financing Plan (funding application).

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

Submitted projects have no binding legal entitlement to funding.

#### **Costs not eligible for funding:**

- Costs that are not directly connected with the funded project, in particular investments in buildings, the purchase of real estate, the purchase of office equipment and the like
- Costs that were incurred before the submission of the funding application and before the acceptance of the funding offer
- Costs that are not considered eligible costs due to EU competition law regulations
- Costs that are covered by other federal funds or funds provided by the Federal Provinces, i.e. no multiple funding is allowed
- Costs incurred by the Republic of Austria as a consumer such as taxes or charge fees

### 5.4.2 Cost categories

#### **Personnel costs**

Personnel costs of the staff members carrying out research within the project are eligible, i.e. researchers, technicians and auxiliary staff working exclusively in research (gross salary costs including non-wage labour costs). For further details, see also § 8.0 Appendix.

If public sector officials (federal, provincial and municipal civil servants) render services for a funded project, the corresponding costs can, in principle, only be recognised as eligible costs if double cost coverage at the expense of public households can be excluded. Thus, personnel costs for persons already paid from public funds cannot be accounted for again within the framework of a funded project. This provision does not apply if personnel costs for public sector officials are incurred and/or accounted for as contract work (third-party services).

#### **Overhead costs**

Overhead costs are costs that arise due to the research activity, e.g. rental, office material and shared use of secretarial services for the administration of the funded project. Overheads to the amount of 25 % (flat rate) of personnel, material and travel costs as well as RTD investment are recognised.

Costs accounted for as direct project costs must not be included simultaneously in overhead costs; overheads accounted for under the funded project must not contain any costs that are basically excluded from funding.

Such costs include, for instance:

- Additional costs incurred through submission of the application
- Catering costs
- Advertising and marketing costs
- PR costs
- Distribution costs (usually including costs of vehicle fleet)
- Booked research expenditure
- Reserves
- Provisions
- Support payments pledged but not received
- Exchange rate differences
- Book values of plant and equipment not recognised as eligible costs
- Losses suffered
- Expenditure incurred in other accounting periods
- Financing costs, interest

### **RTD investments/depreciation**

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

### **Travel costs, costs of materials**

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

### **Subcontracting**

These are costs for (research) activities carried out by individual researchers or organisations other than the consortium partners (contractors); consortium partners must not be subcontractors at the same time.

Basically, costs for services rendered by third parties (based on work contracts among other things) must not exceed 50 % of the total eligible costs within the framework of projects. Subcontracts with costs exceeding EUR 2,000.00 must be described in detail in the application form.

### **5.4.3 Amounts of the subsidy**

Eligible costs are covered up to 100 %.

## **5.5 Intellectual property rights**

All the research results developed within the framework of ACRP must be accessible easily and freely, and also the source materials, including data, models (open source software) and other analyses leading to the results if they are developed with support from ACRP funding, must be made available on request.

The exploitation rights are owned by the consortium submitting the proposal. However, there is an obligation to publish the research results and to ensure that the results are accessible for use by the targeted research and policy communities.

The Climate Data Centre built up by the Climate Change Centre Austria is conceived as the central data access to all climate-relevant data. Researchers who cannot assure the availability of their data for an extended period of time after completion of the project as required by the ACRP programme, are advised to feed their data into the Climate Data Centre and to inform themselves in time regarding data formats and data privacy options 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 attaches 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, subparagraphs 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 January 1, 2015 (ref. no. BMVIT [Federal Ministry of Transport, Innovation and Technology] 609.986/0011 – III/12/2014).

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

# 6.0 Procedure

## 6.1 Submission and consultation

This section provides a brief overview of procedures for the submission of project proposals.

Kommunalkredit Public Consulting GmbH (KPC) has been contracted by the Climate and Energy Fund to serve as Programme Management Office.

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

The submission deadline is **Friday, February 1<sup>st</sup>, 2019 at 12:00** 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.

Proposals must be submitted in the proposal forms for the present call. Except for the explanatory notes forms are not to be modified.

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 by the Programme Management Office.

Formal criteria for rejecting a proposal are the following:

- The funding application is not received in time
- The form of the funding application is not observed
- The necessary prerequisites for specific project types are not observed in essentials

### Evaluation

Funding applications that have passed the formal check are then scientifically evaluated by independent international experts. All persons involved in the evaluation procedure are bound by confidentiality regarding information they have received in connection with their function. They are obliged to sign a declaration of secrecy.

After completion of the scientific evaluation, the projects are examined by the Steering Committee of the ACRP and by representatives of the Climate and Energy Fund. The Steering Committee is entitled to propose merging projects with related themes or with overlapping content.

When selecting the projects to be funded, the Steering Committee will take account of the evaluation by the external reviewers (based on criteria set out in Table 6.3 b) as well as by their own assessments of the proposals, including the relevance of the project for the Call.

The Steering Committee will strive toward achieving an appropriate balance with regard to:

- Basic research (usually one single discipline)
- Single-discipline and multi-discipline impact research
- Interdisciplinary, integrated assessments
- Policy-oriented studies
- The Thematic Areas

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

- Understanding the climate system and the consequences of climate change (25 %)
- Specific support for Austria's policymakers (35 %)
- Systemic transformation: the human dimensions (30 %)
- Governance and institutions – towards systemic 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 societal resonance. The weighting factor depends on the Thematic Area selected:

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

Table 6.3 a | Weight given to the different criteria

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

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

Scientific Quality	Quality of Consortium and Management	Societal Resonance
Scientific excellence	Scientific qualifications and participation of international researchers, quality and efficiency of implementation and management	Potential impact through the development, dissemination and use of project results
<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> <li>• Publications in peer-reviewed journals</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 and other appropriate dissemination channels</li> </ul>

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

The **APCC Special Report** must be open to participation by the entire relevant scientific community in Austria.

In evaluating the proposal, evaluators will consider:

- the selected scope in view of system boundaries and availability of pertinent studies for Austria (25 %)
- the conceptual structure of the assessment (draft outline of the report) (10 %)
- the consortium (see also Table 6.3 b) with special focus on inclusion of all major players and of senior scientists and the procedures to involve the relevant scientific community and to select the Coordinating Lead Authors (25 %)
- the management structure and climate-‘friendliness’ of activities (15 %)
- the quality assurance procedures including measures to safeguard readability and usability (25 %)

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

## 6.4 Contract

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

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

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

## 6.5 Reports and duties

### 6.5.1 ACRP activities

Throughout the project, leaders and partners are expected to contribute actively to the ACRP activities to enhance communication and integration within the climate research community (see Section 2). Workshops engaging external experts and/or the Austrian and international climate research communities will be organised (potentially also in cooperation with the CCCA) to provide guidance to projects and integrate Austrian research nationally and internationally. Project consortia are required to orally present an integrated view of the project at the ‘Austrian Climate Day’ (Österreichischer Klimatag). The timing of the presentation can be chosen by the consortium. However, final payment will only be made after a presentation at the ‘Austrian Climate Day’ (Österreichischer Klimatag).

### 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 projects can take two forms and must be supplied within one year after the end of the project:

- Publications submitted or manuscripts for submission to peer-reviewed publications, including books and (preferably international) journals. If publications are not finalised, a final deliverable will include draft publications and indicate which publications are intended. The publications resulting from ACRP projects should be mentioned in future submissions by 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. The ACRP research programme aims at providing research results to support evidence-based policy decisions. This can be either through advancing the scientific evidence and/or by directly informing policy decisions. The final deliverable should, thus, indicate how the research results are translated for and diffused to the scientific and policy communities and other stakeholders. This includes science- and policy-relevant presentations, media interactions, policy-oriented workshops, policy briefs etc. Like publications, this information should be mentioned in future submissions by 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.

### 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 the project start. Upon receipt of these documents and information concerning the project start, the first installment is paid, provided the conditions specified in the contract are met.

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

Before final payment, at least one presentation of the project at the Austrian Climate Day ('Österreichischer Klimatag') (see § 6.5.1) must be held.

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

### Payment of funding rates

Duration of the project (months)	1st maximum funding rate*	2nd maximum funding rate*	3rd maximum funding rate*	Maximum final funding rate*
up to 12	40	–	–	60
up to 24	40	40	–	20
from 25	40	20	20	20

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

# 7.0 Contacts

## 7.1 Programme owner and Call responsibility

### **Klima- und Energiefonds (Climate and Energy Fund)**

Gumpendorfer Straße 5/22, 1060 Wien

Telefon: 01/585 03 90 - 0

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

#### **Contact**

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

## 7.2 Management of the Call

### **Kommunalkredit Public Consulting GmbH (KPC)**

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

# 8.0 Appendix – Further Information on Personnel Costs

## 8.1 Universities and research institutions

Employees of universities are not paid from the public budget, but from the global budget of the university concerned and are, thus, eligible for funding. Non-university research institutions are also responsible for their own budgets and are eligible for funding. Basically, the general provisions regarding the establishment of personnel costs also apply to university and non-university research institutions.

Therefore, the costs of university employees are eligible for funding.

## 8.2 Personnel costs

The following regulations apply to:

- Employed project staff
- Freelancers
- Public sector employees
- Shareholders involved in the project

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

Furthermore persons actively involved in a project such as shareholders, sole proprietors, 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 40 within the scope of eligible costs. If this option of direct costing is used, a maximum annual amount of EUR 68,800 can be charged per company.

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

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

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

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

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

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

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