



Programme Document 2014 Support for the Establishment and Operation of Christian Doppler Laboratories

**Programme Document
in accordance with Point 5.1 of the RTD Guidelines
for the Christian Doppler Research Association**

ref.: BMWFJ-97.430/0026-C1/9/2013

Approved on 20.11.2013

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Disclaimer

Every effort has been made to ensure the accuracy of this translation. Nevertheless, the Christian Doppler Research Association cannot assume responsibility for any errors that may inadvertently have occurred. In the event of any discrepancy, the German version is to be taken as valid. TRANSLATED 26.06.2014

Original document in German:

Programmdokument 2014 zur Förderung der Einrichtung und des Betriebs von Christian Doppler Labors. Programmdokument gemäß Punkt 5.1. der FTE-Richtlinien für die Christian Doppler Forschungsgesellschaft. GZ.: BMWFJ-97.430/0026-C1/9/2013, genehmigt am 20.11.2013.

In English:

Programme Document 2014. Support for the Establishment and Operation of Christian Doppler Laboratories. Programme Document in accordance with Point 5.1. of the RTD Guidelines for the Christian Doppler Research Association. Ref.: BMWFJ-97.430/0026-C1/9/2013, approved on 20.11.2013.

0. Preamble

0.1. History and organization

The *Christian Doppler Forschungsgesellschaft* (Christian Doppler Research Association, CDG) has been in existence since 1988, when it was established, initially under the name *Christian Doppler Gesellschaft* (Christian Doppler Association), within the framework of the ÖIAG as an institution for promoting research. In 1993 the ÖIAG was reorganized from an industrial concern to an agency for participation and privatization, thereby necessitating a structural and conceptual reform to the CDG. A new basis for funding work was created in 1995 and the Association was restructured. At the same time, financial responsibility was transferred to the Federal Ministry responsible for economic affairs. From 1995 until 2007 the legal basis for funding was provided by the Research Organization Act (*Forschungsorganisationsgesetz*, FOG).

The Programme Document, approved in 2008, completed the transition of the legal basis for funding from the FOG to the Research and Technology Promotion Act (*Forschungs- und Technologieförderungsgesetz*, FTFG) and support for the Christian Doppler Laboratories (CD Laboratories) was thereby made subject to the programmes in the “Guidelines for the promotion of technical research by the private sector and of technological development” in accordance with § 15 FTFG (RTD Guidelines). These programmes were notified by the EU and promulgated by the Federal Minister of Economics and Labour on 07.12.2007. The changes to the legal basis for funding by the CDG were made in a manner that ensured the greatest possible continuity with the research undertaken prior to the conversion.

The CDG’s particular structural characteristics include especially

- its support from companies that perform research,
- its autonomy in all scientific matters,
- its flexible and adaptable structure and
- its longstanding experience in the culture of collaboration between science and the private sector.

In the past, the funding programme has developed into a model of public-private partnership (PPP) in the Austrian research environment, in which above all the chosen legal form of a non-profit making organization (Verein) has proven itself over time to be a flexible element worth retaining.

Despite its name, the Christian Doppler Research Association is not itself active as a true research association, i.e. with its own research staff. Thus it is not a recipient of the programme’s funding but rather the funding organization (management agency) in the sense of the RTD Guidelines. The actual research takes place in dedicated research units (Christian Doppler Laboratories and Josef Ressel Centres) established at university or non-university research institutions (CD Laboratories) or at Universities of Applied Science (JR Centres). The formal funding recipients are thus the institutions that host the research units.

The present document, the 2012 Programme Document, regulates the support for CD Laboratories. The Federal Ministry of Economy, Family and Youth is the official funding agency, with the CDG acting as funding institution and management agency and the universities or non-university research institutions acting as funding recipients. The results of the comprehensive evaluation undertaken in 2011, during which the Laboratories' usefulness, the CD Laboratory programme and the entire system were assessed, have been incorporated in the programme and the system of goals and indicators has been adapted to the requirements of effect-oriented budget management.

0.2. Contribution to Austria's Strategy for Research, Technology and Innovation (March 2011)

The Christian Doppler Research Association has always enjoyed a pioneer role in the cooperation between science and the private sector. It managed the first programme to bridge research by companies and academia and became the model for the early programmes to establish Centres of Excellence. At the same time, its main aim from the very start has been to couple scientific excellence with strict criteria for scientific assessment.

The Federal Ministry of Economy, Family and Youth, as the programme's funding organization, has emphasized the importance of cooperation between science and the private sector in ensuring that Austria remains an attractive location for private companies and for research. It sees the Christian Doppler Research Association and the programme run by the Association as a cornerstone of the national system for scientific innovation and a type of research funding that should be extended in the future. In March 2011 the Austrian government approved a strategy for research, technology and innovation that contained the explicit provision for "the further development ... of models for basic research addressed at particular topics (such as the CDG)." The present Programme Document represents the implementation of this measure.

1. Aims of the programme

1.1. Economic and sociopolitical goals

Within the "overall goal" of all RTD funding programmes (RTD Guidelines Point 2.1) – stimulating increased research activity and technology development by companies, universities and research institutions – the following economic and sociopolitical goals are pursued:

- the strengthening of application-oriented basic research;
- the strengthening of Austria as a location for private companies (i.e. companies' innovative power and competitiveness);
- the strengthening of universities and research institutions;
- the structural improvement of the national system for scientific innovation;

- the promotion of young scientists.

In line with these goals, the following points are characteristic of the programme and receive special attention:

- (1) the intended strengthening takes place through concrete collaborations between one (or more) companies and scientific institutions;
- (2) in these collaborations the focus is on application-oriented basic research;
- (3) collaborations are planned for periods that are long in the business context;
- (4) cooperation represents a goal in itself and is not subject to thematic restrictions or limitations from the funding organization (*bottom-up principle*);
- (5) support is provided for the establishment of small or mid-sized research groups (ca 3-20 persons) for a limited period of time to work on a research topic derived from the company partner's practical experience.

1.2. Operational goals

The following list of precise goals has been prepared to assist an effect-oriented budget management. It is intended to make the goals more concrete and to connect them to indicators for assessing whether they have been reached (cf. Point 11). The programme addresses the following operational goals:

- Duration and intensity of collaboration
The programme should provide an incentive for companies undertaking research not to outsource it in the short term but to improve their own research performance by long-term collaboration with academic institutions, in effect leading to a networking of research expertise. The long-term nature of the collaboration, involving commitment to a research topic and to a collaboration partner for up to seven years, is a prerequisite for sustainability of the results. Innovation is increasingly in need of research with a "longer half-life".
- Generation of results from basic research at a high level
The programme is directed at research activity addressed at solving precise problems and particularly at the further development of the underlying basic science. The ideal ratio of basic research to industrial research is about 30% to 70%. Experimental development is not an object of the programme.
- Research relevant to practice
Another goal is the establishment of basic scientific knowledge relevant to questions faced by the private sector. The selected research themes are derived from particular problems faced by companies in a competitive environment. The problems must to a large extent be such that they cannot be solved by the mere application of existing knowledge.
- Technological leverage
The aim is to perform research not only to give rise to results that are to be made widely available

(through publications) but also to produce results of technological relevance that may be applied to the company's work.

- Knowledge transfer

A further aim is the exchange of technologically relevant knowledge in both directions. In addition to classical knowledge transfer from science to the private sector it is important to transfer know-how from the company to universities and research institutions, in particular relating to an improved understanding of company research culture.

- Development of human resources

The aim is to improve the training and career possibilities for young scientists in relation both to an academic career and to making scientific personnel available to the private sector. Support for teaching at universities should be a further indirect result (through Master's/diploma theses, doctoral theses with topics close to practical cases and the mediation of contacts to companies, as well as through professorial qualifications obtained in CD Laboratories).

- Improved international contacts

An additional goal is the establishment of international research partnerships, in particular within the European Research Area. To this aim, companies outside Austria may participate in CD Laboratories. Under certain circumstances, CD Laboratories (cf. Point 4.3) or individual modules (cf. Point 4.4) may be established outside Austria. By the build-up of such transnational structures the Austrian companies should gain substantial know-how and their international networking should be significantly improved. Furthermore, Austrian scientists should be better able to orient themselves to the worldwide level of knowledge in the field.

In addition, the CDG funding model should benefit from increased international visibility and its status as best practice in the international research scene should be further consolidated.

2. Legal basis

- Research and Technology Promotion Act (FTFG);
- Guidelines for the promotion of technical research by the private sector and of technological development in accordance with § 15 FTFG (RTD Guidelines), 30.11.2007 (or, when these guidelines expire on 31.12.2013, the sets of guidelines that come into force to replace them);
- EU Framework for governmental support for research, development and innovation (ABl. C 323, 30.12.2006), or corresponding subsequent provisions;
- if appropriate, the General Block Exemption Regulation (*Allgemeine Gruppenfreistellungsverordnung*, ABl. L 214/3 of 09.08.2008) or corresponding subsequent provisions.

The provisions of the RTD Guidelines are to be applied in a subsidiary manner when the Programme Document does not include more detailed provisions.

3. Duration

The duration of the programme is from 01.01.2013 until 31.12.2017. In the year 2016 at the latest the programme will again be subjected to an evaluation. The results will be taken into account in any extension.

4. Types of project that may be funded

The following types of project are distinguished in the programme:

- Christian Doppler Laboratory (CD Laboratory) (including Lectureships/Heads of Laboratory endowed by the CDG)
- Christian Doppler Pilot Laboratory (CD Pilot Laboratory)
- International CD Laboratory
- International module of a CD Laboratory

4.1. Christian Doppler Laboratory (CD Laboratory)

CD Laboratories represent the main form of individual initiative to receive support. They are operative research units established at Austrian universities or extra-university research institutes for the purpose of reaching the goals of the funding programme. The private-sector partners may be Austrian companies or foreign companies.

Duration	7 years: 2-year introductory phase 3-year first phase of extension 2-year second phase of extension
Financing from public purse	50 % of eligible costs 60% if SMEs are involved (in proportion to involvement)
Min. annual budget	EUR 110.000
Max. annual budget	EUR 700.000
Proportion basic research	Ca. 30 % (scientific freedom)
Proportion industrial research	Ca. 70 %
Proportion exp. development	none

4.1.1. Principle of the laboratory unit

Irrespective of the precise nature of their financing, CD Laboratories form a unit throughout the various contractual phases.

4.1.2. Project contents (responsibilities of the CD Laboratory)

CD Laboratories are made up of small to medium-sized research groups (ca 3-20 persons) under the leadership of highly qualified scientists who work at a university/research institution to produce results on questions raised by the commercial cooperation partner (Point 4.2 no. 7 of the RTD Guidelines). The emphasis should be placed on application-oriented basic research (in the sense of Point 4.2 no. 3 of the RTD Guidelines). The goal of producing results by high quality basic research to advance the relevant scientific field is particularly relevant to the “30 % scientific freedom for basic research” that is foreseen in the CD Laboratories’ research programme. The results of this basic research should be published in an appropriate way. The manner of publication of other research results should take account of the industrial partner’s commercial interests (e.g. in patenting).

4.1.3. Organization by modules

To the extent that it is necessary or appropriate, the work of any CD Laboratory may be organized into modules. A CD Laboratory module is interpreted to mean an organizational level in the sense of personnel or theme. Collaboration with the commercial partners takes place at the level of modules. Organization into modules represents a flexible and variable structure for the work. Thus new modules, with new commercial partners or with commercial partners already collaborating with the Laboratory, may be established while the CD Laboratory is running or existing modules may be discontinued. Such changes are to be treated formally as alterations to the funding contract (cf. Points 4.1.7 and 9.4) and require the agreement of the appropriate organs of the CDG.

Provided that the basic principles of Point 4.1.1 are observed, modules may be established at a university/research institution other than the one hosting the CD Laboratory (external modules). If the module in question is established at an organization outside Austria it is known as an International Module (cf. Point 4.4).

The duration of any newly established module (cf. Point 4.1.7) is limited to the conclusion of the CD Laboratory.

Without influencing the legal status of their funding, several CD Laboratories may be grouped into thematic clusters. Individual CD Laboratories within a thematic cluster should work towards closer collaborations, provided that doing so makes scientific sense. There are no provisions for establishing management structures for such clusters.

4.1.4. Head of Laboratory

It is envisioned that each CD Laboratory will be lead by a single Head of Laboratory. In particular cases, which require justification, two persons (Head and Co-Head) may perform this function jointly. The Head of Laboratory must be in possession of a valid contract of employment

with the funding recipient (but cf. Point 4.1.5: Lectureships/Heads of Laboratory endowed by the CDG). To ensure that the partners collaborating in the CD Laboratory remain independent from one another, it is not permitted for the Head of the Laboratory to be employed even part-time by a commercial partner, nor may she or he be otherwise in a position to exert a substantial influence on the company management.

The funding recipient must ensure that there are appropriate measures in place to enable the Head of the Laboratory to conclude legal contracts on behalf of the funding recipient (if the 2002 Universities Act is applicable, in accordance with § 28 together with the responsibilities arising from funding in relation to § 27 para. 1 point 2). A change to the Head of Laboratory requires agreement from the funding organization following a hearing with the appropriate evaluation committee.

The Head of the Laboratory receives an honorarium at a level set by the CDG Executive Board (cf. Point 5.3.1 in relation to the honorarium for Heads of Laboratories) for leading the Laboratory.

4.1.5. Lectureships/Heads of Laboratory endowed by the CDG

If the Head of the Laboratory does not have a valid contract of employment with the funding recipient and if the lack of such a contract represents the only reason why a request for support for establishment of a CD Laboratory cannot be granted, the Association may waive this requirement in certain instances. In exceptional cases of this kind, the salary of the Head of the Laboratory may be included under the project costs. The university/research institution must enable the Head of the Laboratory to be employed and remunerated for the lifetime of the Laboratory.

In such cases the Head of the CD Laboratory is to be declared a “Lecturer endowed by the CDG”. Should the Head of Laboratory in question not have completed a Habilitation” (professorial qualification), the title of “Lecturer endowed by the CDG” should be replaced by “Head of Laboratory endowed by the CDG”. The CDG Executive Board may decide to amend this term to include the name of a person prominent in the history of science.

4.1.6. Integration in the organization of the funding recipient

The basis for the establishment of a CD Laboratory is a precise agreement between the funding recipient and the CDG (cf. Point 9.1.3). Support from the public purse for the establishment and running of a CD Laboratory by the funding recipient is regulated by the individual Funding Contract (cf. Point 9.1.4).

In this Contract, the funding recipient must undertake to incorporate the CD Laboratory, which is under the responsibility of the Head of the Laboratory, into its organization in an appropriate manner.

Unless otherwise specified in the following sections (in particular Point 5.3), the funding recipient's infrastructure is available to the CD Laboratory to the extent necessary for the Laboratory to meet its responsibilities and without incurring additional charges.

4.1.7. Establishment of a new module or expansion of an existing module

CD Laboratories are organized in a flexible enough way to permit the research agenda to be expanded and/or new commercial partners to join the collaboration at any time. The change may be effected by the establishment of a new module, replacing a module that has been concluded or by expanding an existing module. The module in question may also be established at an Austrian university/research institution other than that running the existing CD Laboratory. The operation of the new module may not continue after closure of the CD Laboratory.

4.2. Christian Doppler Pilot Laboratory (CD Pilot Laboratory)

Christian Doppler Pilot Laboratories represent a special form of the introductory phase of CD Laboratories. An application for establishment of a (regular) CD Laboratory (in accordance with Point 4.1) may be approved in this form if the primary reason for not approving establishment of a regular CD Laboratory is that the topic to be studied is associated with a high level of risk and/or there are doubts about the suitability of the Head of the Laboratory, although the possibility of her or his suitability cannot be completely excluded. In any event, there must be sufficient scientific value to the topic to be studied and sufficient sociopolitical interest in research in the area to justify the establishment of a CD Laboratory.

Duration	2 years After which possible conversion to a regular CD Laboratory (with the status of the first phase of extension)
Financing from public purse	50 % of eligible costs 60 % if SMEs are involved (in proportion to involvement)
Min. annual budget	EUR 110.000
Max. annual budget	EUR 700.000
Proportion basic research	ca 30 %
Proportion industrial research	ca 70 %
Proportion exp. development	none

Christian Doppler Pilot Laboratories are more closely monitored by the CDG. There are no differences from regular CD Laboratories in terms of budget and organization. Generally the evaluation takes place at an earlier date and takes into account the special requirements (and, if appropriate, conditions) and clarifies whether conversion to a regular CD Laboratory is possible and appropriate.

4.3. International Christian Doppler Laboratory (located abroad)

CD Laboratories may also be established at universities/research institutions (funding recipients) abroad or may be operated abroad by Austrian universities/research institutions in accordance with a collaboration contract with a university/research institute outside Austria. In the latter case, the funding recipient is the Austrian university/research institution.

4.3.1. Preconditions

- Requirement for scientific expertise: The scientific expertise required to study the industrial partner's topic is not available within Austria or its quality within Austria is not appropriate.
- Value for Austria as a location, either economically or scientifically: The topic to be researched is of economic or public interest to Austria.
- It can be plausibly demonstrated that the particular project will benefit Austria as a commercial venue (e.g. by presenting the expected knowledge gain for the Austrian private sector) and for science in Austria (e.g. by planned collaborations with Austrian research institutions).
- Commercial partner: The commercial partner can demonstrate sufficient added value and research expenditure within Austria.
- Funding recipient: The funding recipient is prepared to accept the legal framework associated with a CD Laboratory and to make information available to Austrian authorities or persons delegated by them.

As far as possible, the organizational structure of CD Laboratories abroad should be based on the organizational form of CD Laboratories within Austria. The provisions regarding duration, extent of research, evaluation and budgetary levels are the same as those for CD Laboratories in Austria.

4.3.2. Collaboration between non-Austrian companies and International CD Laboratories

It is not the aim of the programme to support research at non-Austrian universities/research institutions in collaboration with non-Austrian companies. Nevertheless, non-Austrian companies may collaborate (with a status comparable to that of Austrian companies) provided that such collaborations are in the interest of the Austrian partners and that any financial support required is made available from a funding organization outside Austria.

4.3.3. Quota for International CD Laboratories

A maximum of 15 % of the programme's operational funding is available for International CD Laboratories.

4.4. International module of a CD Laboratory

CD Laboratories may choose to operate one or more of their modules outside Austria. The preconditions are analogous to those for an International CD Laboratory and must be checked if a new module is to be added to an existing CD Laboratory. An independent Head of Module should be appointed at the site. These provisions also apply if an existing module within Austria is to be relocated abroad.

5. Type and extent of support and costs that may be covered

5.1. Type of support

Support is payable in the form of non-refundable subsidies.

5.2. Extent of support

The level of support is determined by the financial requirements. The following rates and upper limits apply:

5.2.1. for CD Laboratories, CD Pilot Laboratories and International CD Laboratories as well as for International modules of a CD Laboratory:

- 50 % of eligible costs;
- 60 % of eligible costs if there is collaboration with SMEs, in proportion to the extent of this collaboration (cf. Point 4.1);

The upper limit for the Laboratory budget is EUR 700.000 per year.

5.2.2. for Lectureships/Heads of Laboratory endowed by the CDG

- up to 100% of the personnel costs in accordance with the salary scale

In the application for establishment of a CD Laboratory, the university/research institution must justify why it is requesting an endowed Lectureship/Head of Laboratory and must detail the provisions for providing employment and remuneration for the future Head of Laboratory for the lifetime of the CD Laboratory. The costs for each Lectureship/Head of Laboratory endowed by the

CDG will be a matter for negotiation with the university/research institution. The university/research institution will be expected to contribute to the costs, as far as this is possible. In calculating the amount of funding, grants from other public funding organizations must be taken into account.

5.3. Eligible costs

Eligible costs include all expenditure and costs that result directly, actually and in addition (to the normal operational costs) for the duration of the research activities supported.

5.3.1. Personnel costs

Costs for scientists, technicians and others are eligible, provided they are employed at the university/research institution and directly assigned to the research project. Personnel costs that may be considered as representing a proportion of the funding recipient's administrative costs are not eligible. Personnel costs may be paid up to the indicative levels given in Point 8 of the "Decree of the Federal Minister of Finance in relation to the guidelines for the appraisal and presentation of the financial consequences of new legal measures" (BGBl. II Nr. 50/1999, Annex 3 in the currently valid version), provided that this decree is applicable to the particular case, either directly or by analogy. Alternatively, and if this simplifies administration and leads to cost savings, the CDG as administrative body may develop a structured salary scale based on the salaries currently paid by the Austrian Science Fund (FWF). The salary scale may be continuously adjusted to reflect specific market forces. Salary scales based on the current collective contract for the universities or on any other collective contract (e.g. the collective contract for non-university research institutions) will be accepted. Salary components that exceed the CDG's salary scale and that are not compulsory as a result of the collective agreement in force at the university/research institution are not eligible for support from the CDG.

With the exception of Lectureships/Heads of Laboratory endowed by the CDG, no personnel costs may be paid to the Laboratory Head (cf. Point 4.1.4). Instead, an honorarium for heading a Laboratory may be included, the level of which is determined by the CDG Executive Board. Additional voluntary payments to the Laboratory Head that are not compulsory as a result of the collective agreement in force at the university/research institution are not eligible for support from the CDG.

5.3.2. Material costs that do not represent fixtures

The following material costs that do not represent fixtures are eligible, provided the items are used for the research project:

- low-value assets (items with a purchase price of up to EUR 400 excl. VAT) without limitation;

- acquisitions with a purchase price exceeding EUR 400 excl. VAT that are not intended to be used permanently for the CD Laboratory's business or research
- materials and consumables.

5.3.3. Fixtures (inventory items) as defined by the UGB

The Austrian Business Enterprise Code (UGB) defines fixtures (inventory items) as objects with a purchase price of EUR 400 or more excl. VAT that are intended to form a lasting part of the CD Laboratory's business or research equipment.

The purchase costs of such items are eligible for support if the equipment is necessary or advantageous for the operation of the CD Laboratory, if it is in operation and continuously devoted to particular scientific work of the CD Laboratory during the period of the Laboratory's operation. Costs associated with the transport, installation and adaptation of such equipment, as well as with its service and repair, may also be claimed as eligible for support.

In the event of the premature termination of the CD Laboratory, the funding recipient shall be obliged to refund to the funding agency the proportion of the residual value that was covered by the public purse. In addition, in the event of a change to the institution hosting the CD Laboratory the funding recipient shall be obliged to relinquish to the new host the equipment that supports the operation of the CD Laboratory, insofar as it is required for the CD Laboratory's continued operation.

Costs for basic infrastructure are not eligible unless they relate directly and technically to the research project. Costs for buildings and premises are not eligible.

5.3.4. Costs for third-party services

Costs for third-party services necessary or advantageous for the research project are eligible, in particular:

- acquisition of research or advisory services;
- sample preparation, external measurements and material tests;
- special IT services;
- maintenance, repair, installation and modification of facilities and equipment in the CD Laboratory;
- pro rata costs for the use of facilities and large-scale items of equipment (e.g. measurement and testing facilities, electron microscopes, computing time on large mainframe computers, use of clean rooms or similar) relating to the research project.

Financial returns to the commercial partners are generally not permitted. Under exceptional circumstances, however, such costs may be deemed eligible, e.g. if there is no technically or economically justifiable alternative for preparing samples. In each case the CDG Executive Board

will decide whether an exception is justified. On no account may any profit derived by the commercial partner be eligible for support.

5.3.5. Travel costs

Travel costs from persons immediately involved with the CD Laboratory's research work are eligible, in accordance with the valid guidelines for reimbursement of travel costs at the host university or, in a subsidiary manner and in the case of extra-university research institutions, the Federal guidelines for reimbursement of travel costs. Costs for attendance of conferences and other scientific events are eligible if it can be shown that participation serves to present the CD Laboratory's research results (lecture, poster, publication in proceedings) or to provide Laboratory members with knowledge necessary or appropriate for the research project (building up expertise within the CD Laboratory).

5.3.6. Other costs

Other running costs of the CD Laboratory are eligible, in particular

- scientific literature and journals, access to online media etc.;
- workshops, lectures by visiting scientists, presentations.

Costs for reserves and savings are not eligible unless these are explicitly required by the terms of a collective contract (cf. Point 5.3.1).

6. Funding recipients

Funding recipients may be:

- Austrian universities in accordance with § 6 of the 2002 Universities Act (represented by the intended Laboratory Head or the head of the host institution, in accordance with § 28 and 27 para. 1 point 2 of the 2002 Universities Act), as well as the Danube University Krems;
- non-university research institutions within Austria (including the non-university institutes of the Austrian Academy of Sciences and comparable scientific establishments but not colleges of higher education);
- non-Austrian universities and extra-university research institutions.

The State has decreed that private universities, in accordance with § 8 of the 1999 University Accreditation Act, may not be funding recipients.

During the procedure from application until conclusion of an individual funding contract, the term "funding recipient" will be replaced by "applicant for funding".

The companies collaborating with the funding recipient are not themselves funding recipients but instead contribute (generally) 50 % of the funds that are channelled into the research institution. To guarantee the long-term economic relevance of the research they have an immediate influence on the choice of research topic and enjoy priority access to the results (in particular to the inventions), provided that the principles of this Programme Document do not require them to be made public. In this way, funding from the public purse is of immediate benefit to the universities/research institutions and of indirect benefit to the collaborating companies and the participating scientists.

7. Basic principles of the procedure

7.1. Evaluation committee

Responsibility for the evaluation of applications for support is delegated to the CDG Scientific Board. This Board comprises two Commissions: the CD Commission is responsible for assessing applications in relation to CD Laboratories, while the JR Commission is responsible for assessing applications in relation to JR Centres.

7.2. Application (submission of requests for funding)

7.2.1. Applications

Requests for funding must be submitted in accordance with the application procedure (Point 2.3. of the RTD Guidelines) and are to be made in writing to the CDG, following the guidelines for establishment of a CD Laboratory. The procedure enables applications for support to be placed at any time; there are no calls for applications or deadlines.

An application must contain at least:

- a detailed description of the research project (status of research, approaches to the problem, planned work, development of the underlying science);
- research plan, time plan and cost plan (in detail for the initial two years of research, in overview for the subsequent three years);
- information on the available infrastructure (space, equipment) foreseen for the CD Laboratory (or for the separate CD Laboratory module);
- documentation relating to the planned Laboratory Head to enable an assessment of her or his scientific qualifications;
- evidence that the person planned to head the Laboratory is authorized to represent the funding recipient (or a statement of intent on the part of the applicant for funding);
- information on the commercial partners.

The CDG offers information and advice in advance of the (formal) submission of an application. Applications may be withdrawn at any time and may be modified until they have formally been considered by the CD Commission or following an invitation from the Commission to improve or rework them.

7.2.2. Initial check

Applications will be submitted to a formal check by the management agency (the CDG Secretariat) and forwarded to the CD Commission, which is entrusted with the scientific assessment. Applications that contain formal errors will be returned for correction. If there is any doubt whether formal criteria have been met, the CDG Executive Board will decide.

7.3. Assessment and decision-making criteria

Two aspects are primarily considered in assessing whether an application merits funding:

- (1) the scientific quality of the research work described in the application;
- (2) the scientific qualifications of the person planned to head the Laboratory and her or his ability to lead a research group.

7.3.1. The scientific quality of an application is assessed according to the following criteria

- Is the research programme at a high scientific level?
- Are the overall aims clear and realistic?
- Will the results advance the state of basic research in the scientific discipline?
- How do you judge the technical innovation in this proposal?
- Is the theoretical background adequately described?
- Does the planned methodology show a high promise of success?
- Are the intended resources sufficient and well focussed?
- How suitable is the planned form of academic and non-academic collaboration?
- What is the level of economic or public interest in the research proposal?

7.3.2. The assessment of the qualifications of the Head of the Laboratory is based on the following criteria

- How high is the international scientific standing of the laboratory head (based in particular on publication activity)?
- Does the future Head of the Laboratory have sufficient knowledge of the scientific discipline (in particular, does she or he have a *Habilitation* in a relevant discipline, is she or he working towards a *Habilitation*, or does she or he have comparable qualifications)?

- Does the future Head of the Laboratory have experience leading scientific projects (e.g. projects funded by the FWF)?
- Is she or he suitable to head a group of scientists?
- Does she or he have an appropriate position in the organization applying for funding and is she or he sufficiently well integrated in this organization?
- Are there any personal or organizational factors that could hinder the operation of a CD Laboratory?

7.4. Assessment procedure

7.4.1. Requests to establish a CD Laboratory

Assessment is performed by the CD Commission and is based on at least three reviews from external international experts (peer review). In exceptional cases, decisions may be taken when only two reviews are available. The assessment criteria should be transmitted to the external referees, e.g. in the form of a standard list of questions. To be sent for external review, an application must have a certain standard of quality: the CD Commission will decide whether the required level is reached.

A positive recommendation for funding requires a hearing for the person who will head the Laboratory in which she or he has the opportunity to present the research project. The CD Commission will decide whether such a hearing is to take place based on advice from the external referees.

7.4.2. Applications to establish an International CD Laboratory or a CD Laboratory with International modules

In principle, the procedure is the same as that for CD modules in Austria. However, the assessment must also consider the scientific aspects of the special preconditions for an International CD Laboratory (cf. Point 4.3) or an International module (cf. Point 4.4).

7.4.3. Applications to establish an additional module or to expand substantially an existing module

Assessment is the responsibility of the CD Commission, which may decide to obtain an evaluation from an external referee. If it is planned to establish several additional modules in a single CD Laboratory or if the requested establishment of an additional module or expansion of an existing module would cause the Laboratory budget to rise by more than 50 % of the original costs, an evaluation from an external referee is required before the CD Commission may decide what recommendation to make to the CDG Executive Board. There will not be a fresh hearing with the Laboratory Head.

7.4.4. Applications for endowment of a Lectureship/Head of Laboratory

Assessment takes place during the evaluation of the application to establish the CD Laboratory. Particular attention is to be paid to the organizational position of the Head of the Laboratory.

7.4.5. The CD Commission may decide

- to recommend funding (perhaps with particular terms or conditions or with certain recommendations);
- to recommend funding in the form of a CD Pilot Laboratory (perhaps with particular terms or conditions or with certain recommendations);
- to recommend the CDG Executive Board to decline the application;
- to delay a decision to allow the application to be improved or reworked;
- to recommend not continuing with the evaluation because certain minimum criteria are not met (no assessments will be obtained from external referees).

7.5. Decision-making process

7.5.1. Requests to establish a CD Laboratory

The decision on whether to grant support is taken by the CDG Executive Board on behalf of the State. A positive decision requires approval of the representative from the Federal Ministry of Economy, Family and Youth r on the Executive Board (the funding Ministry enjoys a veto right). The decision is taken on the basis of the CD Commission's recommendation, taking into account issues of eligibility for funding and desirability from the point of view of science policy and with regard to the availability of the budget necessary for the Laboratory. The Executive Board takes the funding decision immediately following its decision (effective within the CDG) on whether to establish a CD Laboratory or a CD Pilot Laboratory.

7.5.2. The Executive Board may decide

- to approve support (perhaps with particular terms or conditions or with certain recommendations)
- to approve support in the form of a CD Pilot Laboratory (perhaps with particular terms or conditions or with certain recommendations);
- to endow a Lectureship/Head of Laboratory (perhaps with particular terms or conditions or with certain recommendations);
- to return the application to the CD Commission for further consideration;
- to reject the application.

Decisions are to be communicated to applicants in writing. If applications are rejected or returned to the CD Commission for further consideration, the applicants should be notified of the most important reasons for the decision.

7.6. Evaluation handbook and Guidelines

7.6.1. Evaluation handbook

As the management agency, the CDG should include information on the procedure for evaluation, the process of checking and establishing whether the assessment and decision-making criteria have been met and the external peer review in an evaluation handbook.

The evaluation handbook should be approved by the Federal Minister of Economy, Family and Youth.

7.6.2. Guidelines

The CDG should describe the assessment and evaluation criteria in more detail in a set of guidelines (for applicants).

8. Procedure for contract extension

8.1. The first phase of extension

A positive evaluation in accordance with Point 12.2.1 is absolutely required before an extension of State support for three years (the first phase of extension) beyond the introductory phase may be granted. The funding recipient does not have to submit a special application for extension but documents relating to the future research work (research plan, time plan and cost plan) must be made available during the evaluation and more detailed information must be provided on demand.

In accordance with Point 12.2.1, the referee chosen by the CD Commission prepares a written report based on the evaluation meeting and the evaluation report and this is submitted to the CD Commission.

The CD Commission's recommendation is based on

- the evaluation report;
- the research plan, time plan and financial plan presented by the funding recipient (in detail for the third and fourth years of research, in overview for the fifth to seventh years);
- the evaluation hearing;
- the evaluator's review.

In the case of assessment of a CD Pilot Laboratory, evaluation should take account of the conditions that led to this particular choice of support.

8.1.1. The CD Commission may recommend

- continuation of funding for the CD Laboratory (perhaps with particular terms or conditions or with certain recommendations);
- continuation of funding and conversion of a CD Pilot Laboratory to a regular CD Laboratory in the first phase of extension (perhaps with particular terms or conditions or with certain recommendations);
- a further review by an external referee;
- rejection of the request for extension of the CD Laboratory (but approval of a phasing-out period);
- rejection of the request for extension of the CD Laboratory.

The decision on the extension will be taken by the Executive Board based on criteria analogous to those applied in decisions on applications to establish CD Laboratories. A positive decision requires approval of the representative from the Federal Ministry of Economy, Family and Youth on the Executive Board (the funding Ministry enjoys a veto right).

8.1.2. The Executive Board may decide

- to extend the funding of the CD Laboratory (perhaps with particular terms or conditions or with certain recommendations);
- to convert a CD Pilot Laboratory to a regular CD Laboratory in the first phase of extension (perhaps with particular terms or conditions or with certain recommendations);
- to return the application to the CD Commission for further consideration;
- to reject the request for extension of the CD Laboratory but to grant funding for a phasing-out period;
- to reject the request for extension of the CD Laboratory.

Decisions, together with any terms, conditions and recommendations, are to be communicated to applicants in writing. If applications are rejected, the applicants should be notified of the most important reasons for the decision.

8.2. The second phase of extension

A positive evaluation in accordance with Point 12.2.2 is absolutely required before an extension of State support for two years beyond the first phase of extension (the second phase of extension) may be granted.

The essential provisions relating to the procedure for the first phase of extension should be applied.

9. Funding contracts and regulations relating to changes

The contracts to be concluded in relation to funding are arranged in a hierarchical structure and together regulate the organization of CD Laboratories.

9.1. Types of contract

In relation to establishment, to operation and to funding, contracts are concluded with the institutions hosting CD Laboratories, both at the general level (containing conditions for all CD Laboratories and modules at the university/research institution) and for particular CD Laboratories. These contracts define contractual responsibilities, both between the CDG and the host institution and, independently, between the State and the host institution. The following types of contract may be distinguished:

9.1.1. General agreement with host institution (*Generelle Betreibervereinbarung*)

concluded between the CDG, on its own behalf, and the host institution. This gives general conditions governing all CD Laboratories at the host institution:

- the relationship between the host institution and the CDG (both as an Association and as a funding agency in its own right);
- the use of equipment funded by the CDG;
- IPR regulations;
- responsibilities to the CDG from the relationship host institution – company partner (member of the Association);
- responsibilities to the NSFTE (in the case of CD Laboratories funded by endowments) or, if appropriate, other Federal funding agencies.

9.1.2. General funding contract - State support (*Generalförderungsvertrag*)

concluded between the CDG, representing and on behalf of the State, and the host institution as funding recipient and regulating generally for all CD Laboratories with Federal funding:

- the legal relationship between the State and the host institution as recipient of State funding under the programme;
- the relationship between the host institution and the CDG (as the State's management agency).

9.1.3. Concrete agreement with the host institution (*Konkrete Betreibervereinbarung*)

concluded between the CDG, on its own behalf, and the host institution and regulating the establishment and running of a particular CD Laboratory, including all provisions not contained in the general agreement with the host institution, e.g. research plan, time plan and financial plan. If the CDG has not (yet) concluded a general funding contract with the host institution, the concrete agreement with the host institution must contain all necessary provisions pertaining to support.

9.1.4. Individual funding contract - State support (*Einzelförderungsvertrag*)

concluded between the CDG, representing and on behalf of the State, and the host institution as funding recipient and regulating the precise form of support in accordance with the present Programme Document, as far as this is not already specified by the general funding contract. If the funding recipient does not (yet) have a general funding contract, the individual funding contract must contain all necessary provisions pertaining to support.

9.1.5. Contractual document

The provisions of the contracts referred to in points 9.1.1 and 9.1.4, or in points 9.1.3 and 9.1.4, may instead be included in a single, joint contract, provided that the legal relationships to be regulated are clearly differentiated.

9.2. Conclusion of general funding contracts with research institutions

General funding contracts (9.1.2) are to be concluded with Austrian universities/research institutions. On the basis of these contracts, the State's individual funding contracts are to be concluded. These latter contracts must take into account the FTFG (the Research and Technology Promotion Act) as well as the provisions of the RTD Guidelines, in particular Annex I of the RTD Guidelines, and of this Programme Document in addition to any relevant provisions of the laws governing research funding.

9.3. Conclusion of individual funding contracts

If funding is granted, individual funding contracts (9.1.4) from the State, represented by the CDG as management agency, are to be concluded with the funding recipients for the introductory phase. The relevant options for the two phases of extension should be included in the contracts.

If there is no general funding contract in accordance with 9.1.2, the provisions that would be contained therein are to be included in the individual funding contracts.

Individual funding contracts must regulate not only the research plans, the time plans and the financial plans but also and in particular the responsibilities arising from the funding programme. Attention is drawn especially to:

- the provisions for reclaiming funding (in accordance with Point 5.3.5 of Annex I of the RTD Guidelines);
- the inclusion of sufficient reporting requirements;
- participation in financial controlling (in accordance with Point 5.3.3 of Annex I of the RTD Guidelines);
- the obligation to use the correct billing address (“Christian Doppler Laboratory for ...”);
- the obligation to make reference to the BMWA in all publications;
- the transfer of responsibilities in subcontracts (e.g. the regulations governing confidentiality in contracts of employment, in service contracts and in contracts for works and services);
- the statement on data protection (in accordance with Point 5.3.6 of Annex I of the RTD Guidelines);
- other terms of the contract, to be agreed in accordance with the RTD Guidelines (in particular Annex I of the RTD Guidelines) and the Programme Document.

9.4. Changes to individual funding contracts

9.4.1. Establishment of a new module

The establishment of an extra module (cf. Point 4.1.7) means a change (extension) to the funding and requires a corresponding funding decision by the Executive Board. A positive decision requires approval of the representative from the Federal Ministry of Economy, Family and Youth on the Executive Board (the funding Ministry enjoys a veto right).

The decision is based on the recommendation from the CD Commission, which must assess the scientific case for expansion of the CD Laboratory (cf. Point 7.4.3).

9.4.2. Extension of an existing module

The extension of an existing module (cf. Point 4.1.7) means a change (extension) to the funding and requires a corresponding funding decision by the Executive Board. A positive decision requires approval of the representative from the Federal Ministry of Economy, Family and Youth on the Executive Board (the funding Ministry enjoys a veto right).

Depending on the extent of the change, the Executive Board may decide to obtain the advice of the CD Commission (cf. Point 7.4.3).

9.4.3. Other contractual changes

The Executive Board may take decisions relating to small adaptations to the funding (below the level where Points 9.4.1 and 9.4.2 come into effect) and to other contractual changes, including a change to the funding recipient (e.g. in the event of relocation of a CD Laboratory to another university/research institution) without necessarily consulting the CD Commission.

9.5. Special cases

If a contractual phase of a CD Laboratory is funded by other than State money and if as a result the present Programme Document is not applicable, the Laboratory's support should be transferred to the funding programme by means of appropriately modified individual funding contracts if continuation of support is to come from State money, assuming that the same preconditions apply as those regulated in the Programme Document.

10. Termination of support and phasing-out period

10.1. Provisions relating to termination of support

The support of individual CD Laboratories ends, without legal prejudice to any claims for repayment of financial support in accordance with the RTD Guidelines, on:

- reaching the seven-year maximum period of support (in addition to a possible phasing-out period of up to 12 months in accordance with Point 10.2.1);
- the absence of a positive decision to extend funding in accordance with Points 8.1 or 8.2. In such cases funding for a phasing-out period of up to a maximum of 12 months can be agreed in accordance with Point 10.2.2;
- failure to reach the lower level for the Laboratory budget of EUR 110.000 as a result of the cessation of collaboration with a company. However, the funding recipient must be granted appropriate time to make good the deficit by substituting another company partner: in such cases a phasing-out period of up to 12 months may be agreed in accordance with Point 10.2.3.

10.2. Provisions relating to the phasing-out period

Funding during phasing-out periods should be granted in a restrictive manner. Decisions on individual cases are taken by the Executive Board, if necessary after consultation with the CD Commission. The maximum duration of a phasing-out period is 12 months.

10.2.1. Phasing-out after seven years of operation

The normal phasing-out period serves to enable the completion of any masters and diploma theses as well as of doctoral theses that despite careful planning could not be finalized during the regular seven-year lifetime of the CD Laboratory as a result of particular scientific considerations or for other, non-foreseeable reasons. The phasing-out period should not be viewed as an automatically granted eighth year of research funding. It represents very much an exception and should not be taken into account in the time plans that underlie the CD Laboratory's research work.

Personnel costs are eligible for support, together with necessary travel costs and material costs. Equipment purchased during the phasing-out period is not eligible for support.

10.2.2. Phasing-out after non-extension

Analogously to Point 10.2.1, phasing-out funding may also be granted in cases when continued funding for a Laboratory is not approved (cf. Point 8.1.1, 4th sub-point) but when it would be desirable to complete particular pieces of scientific work (as defined in Point 10.2.1).

10.2.3. Phasing-out as interim financing

The closure of a CD Laboratory as a result of the cessation of an industrial collaboration (or if the lower level of EUR 110.000 for the laboratory budget is not met) can be postponed by approval of funding for a phasing-out/interim period, thereby avoiding significant damage to the CD Laboratory. Phasing-out/interim funding of this kind serves both to safeguard the Laboratory's scientific achievements to date and to enable the new ties to commercial partners necessary to enable the normal continuation of the CD Laboratory, when feasible.

Personnel costs are eligible for support, together with necessary travel costs and material costs. Equipment purchased during the phasing-out period is not eligible for support.

If the CD Laboratory is extended, the phasing-out period is shortened as appropriate. In any event, the duration of the phasing-out or interim support will be taken into account in calculations of the total lifetime of the CD Laboratory.

11. Indicators of whether goals have been reached

The indicators serve to assess whether the operational goals have been reached (cf. Point 1.2). A distinction is made between quantitative and qualitative indicators. The indicators serve primarily to evaluate the programme but also indirectly to evaluate individual CD Laboratories. However, it should be noted that in accordance with the programme's basic principle of autonomy in all scientific matters the way indicators are applied to the scientific evaluation of CD Laboratories is itself subject to the

opinion of experts. Because of the wide range of scientific disciplines supported, it can be assumed that the weightings assigned to the various indicators will differ.

The parameters are largely calculated from information contained in the CD Laboratory's reports, in the database relating to the processes and the programme (cf. Point 12.2.5) and in responses to questionnaires.

Correlation between goals and indicators:

Programme goal	Indicators
duration and intensity of collaboration	<ul style="list-style-type: none"> • number of companies • length of collaboration • number of and reasons for premature withdrawals • level of interconnections • new modules, extensions to modules • collaboration with other CD Laboratories and JR Centres • collaboration with COMET • other collaborations • fluctuation within the research group
results from basic research at a high level	<ul style="list-style-type: none"> • refereed publications • non-refereed publications • conferences • scientific awards and prizes
research relevant to practice	<ul style="list-style-type: none"> • applicability of the research theme • type and intensity of the collaboration between partners from research and industry
technological leverage	<ul style="list-style-type: none"> • inventions • patents • implementation of follow-up activities • further research projects arising
knowledge transfer	<ul style="list-style-type: none"> • innovations to processes • innovations to products • development of the research partner's level of research contracts
development of human resources	<ul style="list-style-type: none"> • diploma theses • doctoral theses • "Habitations" • offers of chairs • scientific awards and prizes • transfer of Laboratory personnel to industry
commercial development	<ul style="list-style-type: none"> • change in turnover • change in number of employees • number of staff undertaking research • development within the company of the division to which the CD Laboratory is assigned

Programme goal	Indicators
improved international contacts	<ul style="list-style-type: none">• number of company partners outside Austria• International CD Laboratories• International modules• international visibility of the CDG

12. Monitoring and evaluation

Two levels of evaluation need to be distinguished: the project level, i.e. monitoring the funded project (the CD Laboratory); and the programme level, i.e. evaluation of the cumulative extent to which the research programme's goals have been reached, as specified in the present Programme Document.

12.1. Programme level

By the end of 2016 (cf. Point 3) a comprehensive evaluation of the programme is to take place. Based on the example of the assessment of the usefulness, programmes and system that was undertaken in 2011, the evaluation should again assess the CDG's structure and processes and thus provide an overall evaluation of the funding organization and the programme it administers. The selection and appointment of international experts will be undertaken by the Federal Ministry of Economy, Family and Youth after a call made in accordance with the regulations governing the award of contracts.

The evaluation has the purpose of assessing the programme's results and its effectiveness within the overall portfolio for science funding in Austria, as well as its impact on further developing the innovation system in Austria. In undertaking the evaluation, the extent to which the various operational goals (cf. Point 1.2) have been reached, assessed by means of the indicators (cf. Point 11), should be determined and an overall evaluation of the improvements to the scientific and economical usefulness should be performed. The evaluators should use the results as a basis for preparing recommendations on the continuation of the funding programme.

The quantitative results of the evaluation should be put in relation to the corresponding results of the evaluation performed in 2011 to enable the programme's development to be visualized on the basis of the defined indicators.

12.2. Project level

12.2.1. Scientific evaluation after two years

At the end of the introductory phase (before the close of the second year of research) the CDG should undertake a scientific evaluation of each CD Laboratory. The primary goal of the evaluation is to assess the progress of the basic research.

The assessment is based on an evaluation hearing at the university/research institution, involving at least one international expert. Experts undertake the scientific evaluation of the results in a standardized manner (e.g. by means of a list of standard questions), taking the particular features of the scientific discipline into account.

The quality of the CD Laboratory is assessed by means of the following criteria:

- Is the research at a high level based on international standards?
- Is basic research being carried out in an appropriate manner?
- Have there been any deviations from the original research plan, time plan and financial plan and if so are they justified?
- Have any terms and conditions imposed when the funding decision was taken been observed and have any recommendations made at that time been taken into account?
- How has the publication activity been, in terms of quality and quantity, in relation to the international level in the discipline?
- Are there relevant scientific collaborations and if so how can these be assessed?
- Are appropriate measures in place to ensure knowledge transfer to the industrial partner?
- Is sufficient attention being paid to training and supervising young scientists?
- How can the research programme for the subsequent funding period be assessed in relation to the results obtained thus far?

For an evaluation after two years, the Head of the Laboratory must submit an evaluation report and present it verbally during the hearing (presentation of the research results). The evaluation report must be prepared in accordance with guidelines to be issued by the CDG. On the basis of the evaluation report and the evaluation hearing, the referee will prepare a written review for presentation to the CD Commission.

12.2.2. Scientific evaluation after five years

By the end of the first phase of extension (before the close of the fifth year of research) a further evaluation should be undertaken in accordance with to the rules for evaluation after two years but taking into account the results expected from five years of research..

12.2.3. Economic evaluation

There is no special economic evaluation of the progress of the work while the CD Laboratory is running. The present programme operates under the principle that economic value is guaranteed by the industrial partner's readiness to continue to contribute 50% (or 40% for SMEs) of the project costs (in cash). However, economic aspects are taken into consideration in the evaluations performed after two and five years and represent an important point in the evaluation of the benefits (cf. Point 12.2.8).

12.2.4. Final evaluation

A final evaluation is to be performed immediately following the closure of each individual CD Laboratory with the aim of analysing the Laboratory's contribution to the programme goals, in particular relating to the academic area, the industrial partner, the improvement to the national innovation system and the support of young scientists. The final evaluation includes the submission of a final report, in which the scientific results of the final period of support are documented, as well as collecting the required data, generally by means of a questionnaire completed by the Laboratory Head. The final report is to be prepared in accordance with guidelines that are to be issued by the CDG.

12.2.5. Monitoring of the scientific development of the CD Laboratories

There is a continuous scientific monitoring of CD Laboratories by evaluation reports (substantive report in accordance with Point 5.3.3 of Annex I of the RTD Guidelines) as well as by the gathering of appropriate data. Information will be collected relating to the CD Laboratory's structure, describing the project's progress and permitting an assessment of the extent to which the programme's goals have been attained. The data will include in particular information on personnel, number and type of academic degrees, transfer of staff to other employers, project output (publications, participation in conferences, patents, inventions), knowledge transfer with the industrial partner, collaborations, additional projects and grants as well as scientific prizes, the organization of scientific events, applications for follow-up projects etc. The data permit a statistical analysis and form the basis for evaluations. Monitoring will be supported by a database to be operated and extended by the CDG and containing information about the processes and the programme.

12.2.6. Proof of appropriate use of support

The CDG's auditing procedures continuously verify whether the support is being used in conformance with the regulations. Within first twelve months of the start of research work the CDG is to examine on site the funding recipient's financial structures for the CD Laboratory. The funding recipient must be required to submit at least annual reports on the disposition of funds in accordance with Point 5.3.3. of Annex 1 of the RTD Guidelines. The CDG will reimburse the funding recipient for a financial report on the funding programme containing and summarizing the individual invoices.

Furthermore, as management agency the CDG is required to carry out spot checks of whether the research funding is used appropriately (assessment of subjective and financial regularity). Each CD Laboratory will generally be checked once per calendar year (or more often if there is need for additional clarification) and checks will also extend to the support provided by other funding institutions within the CD Laboratory's overall funding.

12.2.7. Financial Controlling

The funding recipient is to be obliged to participate in the CDG's financial controlling of the CD Laboratory. The controlling must include at least the following points:

- half-yearly reports from the CD Laboratory to the CDG;
- comparison of planned and actual costs;
- necessary participation in checks carried out on site.

The costs in the financial controls are to be broken down in a manner to be agreed upon between the funding agency and the CDG.

12.2.8. Assessment of benefits within the programme evaluation

The programme evaluation is to include an assessment of the programme's benefits. This should consider the results from all CD Laboratories that have closed since the previous assessment on the basis of the following documents, which permit data storage and statistical analysis throughout the entire period of the individual CD Laboratories:

- the request for establishment of a CD Laboratory and the referees' reports;
- the evaluation reports and the referees' reports;
- the final report;
- statistic data gathered annually and after conclusion of the CD Laboratories.

Several CD Laboratories are considered together in a single benefit analysis both to produce more readily comparable data and to save costs.

The benefit analysis serves to assess the extent to which the programme's goals are realised and is directly useful at the programmatic level (cf. Point 12.1). It is carried out exclusively by external experts during the evaluation of the programme. The evaluators are selected following a call in accordance with the valid rules for the award of contracts. The evaluators will correlate the size of input (level of support, number of coworkers etc.) with the output (number of publications, dissertations, patents etc.) by examining the data gathered during the CD Laboratory's lifetime. The results will be directly related to the results of the evaluation undertaken in 2011.

13. Interim provisions

13.1. Continued validity of existing general funding contracts

Until new general funding contracts are concluded (cf. Point 9.1.2), existing general funding contracts concluded on the basis of the previous Programme Document ref. BMWA-97.430/0011-C1/9/2007 will be applicable also to further support that is granted.

13.2. Continued use of existing individual funding contracts

In principle, individual funding contracts that have previously been concluded remain in force for the funding period to which they relate. However, any changes necessitated as a consequence of the present Programme Document will come into effect when new General funding contracts (Point 9.1.2 in association with Point 13.1) enter into force.

13.3. Entry into force of the provisions relating to level of funding in the event of participation by SMEs

The provisions that regulate the level of support in the event of participation by SMEs (cf. Point 5.2.1) will come into effect for all funding granted on or after 01.01.2014. Funding granted before 01.01.2014 will continue to be subject to the corresponding regulations in the previous Programme Document ref. BMWA-97.430/0011-C1/9/2007. This previous Programme Document also applies to any additional phases of extension to the contract.

13.4. Relinquishment of equipment

The scientific equipment that until the end of 2013 was held in the equipment pool and made available to individual CD Laboratories to carry out their research work should be transferred to the possession of the appropriate host institutions. The equipment pool is being discontinued.

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