

# **Call for proposals for centres of excellence for a sustainable energy system**

Ref. no. 2020-020480

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# 1 The Call for Proposals in Brief

By creating centres of excellence, you can make a contribution to increasing collaboration, the relevance of energy research and to speeding up the implementation of results. At the same time, you are training a new generation of researchers with profound knowledge of the challenges and opportunities presented by the energy transition.

Our energy system is on the cusp of major changes, which are posing new demands on the stakeholders involved and on the knowledge and expertise that will be required for this transition. This call for proposals will be funding internationally competitive centres of excellence where universities and research institutes in partnership with the enterprise sector and public sector conduct excellent needs-based research relating to the challenges for which the solutions are vital to societies' transition to a sustainable energy system.

The call for proposals is aimed at groups of stakeholders with a shared vision and strategic idea for the creation of a research environment that is based on the ambitions above.

The call for proposals opens on 1 October 2020 and closes on 31 May 2021. A decision concerning funding is expected no earlier than at the end of 2021 and new centres of excellence can begin operating in 2022.

The call for proposals signifies a new start in the Swedish Energy Agency's investment in centres of excellence. The objective of this venture is to create an open and predictable process with long-term but time-limited investments in energy-related research and capability development. Regular recurring calls for proposals result in natural renewal of the pertinent areas for operational centres of excellence.

## 2 What do we want to achieve through this funding?

The energy system is totally central to society, which means that the energy transition is of major significance to many of the challenges faced by society and to the possibility of achieving the sustainable development goals in Agenda 2030. Sweden needs to combine its resources in order to become the world's first fossil-free welfare state. However, the energy transition is not just about climate and the transition to a fossil-free energy system. There are many other aspects such as circular flows, biodiversity and an inclusive transition that are vital in order to achieve sustainability. This is dependent on a systemic transformation, in other words changes in all areas of society, all sectors and all branches of the economy.

Research contributes to building knowledge and expertise and to producing new solutions. It is vital that this knowledge does not simply remain within academia but is instead passed on in an effective way to innovative and forward-looking companies. It is only then that innovations emerge and it is through these that the pace of transition is increased and Sweden's competitiveness is reinforced.

Sweden has the conditions and potential to be an active player and driving force in the global energy transition. Researchers and companies in Sweden are world leaders in several energy-related areas and Swedish energy transition policy is held up as a model in international comparisons. All in all, the energy transition can be regarded as an area where Sweden is strong. New innovations can contribute to both increased growth in Sweden and reduced impact on the environment and climate throughout the world. Strong research and innovation environments are a prerequisite if leading companies and researchers are to be attracted to Sweden.

### 2.1 Expertise for a sustainable society

This call for proposals allows you to apply for funding for internationally competitive centres of excellence. At these centres, excellent needs-based research is conducted into the solutions that are required for the transition to a sustainable energy system, in partnerships between universities, research institutes, the enterprise sector and the public sector.

The Swedish Energy Agency's overall aim for this venture is to make a contribution to achieving the energy and climate policy objectives of a sustainable energy system and a fossil-free welfare state. The aim is also to make a contribution to achieving the research and enterprise policy objectives of being a world-leading research and innovation nation with a

competitive enterprise sector. The centres of excellence venture is contributing to this by encouraging:

- Long-term collaboration between universities, research institutes, the enterprise sector and the public sector
- The creation of internationally attractive research environments that conduct excellent, needs-based research
- Development of capabilities relating to issues of strategic importance to the sustainable energy system of the future
- Capability development that strengthens Sweden's competitiveness in the enterprise sector and society as a whole

## **2.2 A long-term investment in several stages**

The Swedish Energy Agency's plan for calls for proposals within the centres of excellence venture is to hold recurring calls for proposals every five years. The first call for proposals is opening now in 2020.

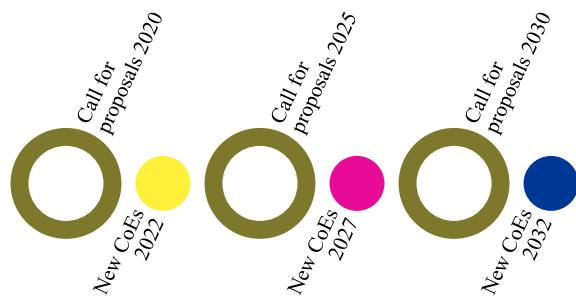


Figure 1. Schedule for the Swedish Energy Agency's centres of excellence calls for proposals

The call for proposals will be open for a long time in order to make it easier to put together new consortia. The first call for proposals is open from 1 October 2020 until 31 May 2021, inclusive. A decision concerning funding is expected no earlier than at the end of 2021 and new centres of excellence can begin operating in 2022.



Figure 2. Schedule for the Swedish Energy Agency's centres of excellence call for proposals 2020.

The centres of excellence are being provided with long-term conditions, with a planned lifespan of ten years in order to create long-standing cooperation between the partners. The Swedish Energy Agency will be providing support to centres of excellence for two times five years, with the second five-year period being conditional on established operations and good results.

A centre of excellence that loses its support from the Swedish Energy Agency, after either five or ten years, may, if necessary, be offered tailored support for winding-up. This support can be for the purpose of, for example, completing doctoral study programmes that have been started or establishing innovation clusters in order to commercialise solutions that have been developed. The support for winding-up is applied for and assessed separately in conjunction with the end of the funding period decided on.

Through this call for proposals, the Swedish Energy Agency is allocating SEK 130 million per year to fund centres of excellence. The Swedish Energy Agency's funding will equate to a maximum of one third of the total cost of each centre of excellence. Universities and research institutes are expected to fund at least one third of the cost of each centre of excellence and other funding bodies are expected to contribute at least one third. Further information can be found in section 8.

### **2.3        What is a centre of excellence?**

The aim of the centre of excellence model is to strengthen collaboration between the enterprise sector, the public sector and universities and research institutes, at the same time as contributing to faster dissemination of results and expertise that are being demanded by stakeholders in society.

A centre of excellence that is granted support is characterised by:

#### **Excellent and needs-based research**

The term excellent is to be interpreted as meaning that the results of the research are of a high academic quality and adhere to good research

practice<sup>1</sup>. Needs-based research means that it meets the enterprise sector's and society' needs for new knowledge and expertise relating to the transition to a sustainable and competitive energy system.

#### **Active collaboration**

Activities are planned, established and run through active collaboration between all of the centre's partners. Better conditions for increased mobility between the partners are part of active collaboration. Experience from previous ventures has taught that long-term perspective, clear organisation of activities and shared responsibility for funding the centre of excellence has been shown to contribute to building trust between partners. Dealing at an early stage with contractual issues such as rights to the results of research is also important.

A variety of experiences and starting points among participants creates a good dynamic that is a strength in the partnership; this is especially the case in exploratory phases. Including both small and large companies and having the centre work actively to involve knowledge-intensive small and medium-sized companies in its operations can make a contribution to this. In this way, a broader composition of stakeholders from various parts of the value chain and other societal stakeholders can contribute to increasing the dynamism.

#### **Knowledge development and provision of skills that are tailored to needs**

The aspiration for the centres of excellence is that they will contribute to long-term research and innovation that is vital for a sustainable society and future competitiveness and skills needs. Examination of doctoral students and providing junior researchers with qualifications are central aspects in all centres of excellence. Centres of excellence that receive funding are to work in a structured way that is tailored to the target group so that they contribute to improving the knowledge and skills of relevant target groups in the short and long terms. Bringing knowledge created in the centres of excellence into new or existing courses can strengthen both courses and study programmes.

#### **International attractiveness and competitiveness**

The centres of excellence should have a specialist profile and their research should be of such quality that they become attractive partners for leading groups in their respective fields both in Sweden and internationally. The basic funding that is granted to centres of excellence may create the conditions under which other external funding is attracted. Centres granted funding are expected to have a strategy and action plan for increasing and developing the centre's international attractiveness and competitiveness. An academic council composed of international

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<sup>1</sup> See <https://www.vr.se/analys/rapporter/vara-rapporter/2017-08-29-god-forskningsse.html>.

members that supports and develops its operations has proved in previous centres of excellence to be a factor that contributes to success.

#### **Active leadership**

A well-functioning centre of excellence with active collaboration between all relevant partners requires active leadership. In addition to having an understanding of the area, a director of a centre of excellence should also understand how the centre is able to deal with challenges at the interface between the public sector and the enterprise sector. It is also important to be able to demonstrate that the senior management of a centre has the ability to get individuals and teams to function, deliver and develop by utilising everyone's expertise and know-how. Successfully leading and organising the work of a centre of excellence requires the courage to dare to try out new ways of organisation operations and cooperation between the various stakeholders and the environments in which they operate. An attentive leadership with the propensity for change and that has a good ability to adapt to new challenges and requirements is also an important factor that contributes to success.

#### **Equal opportunities for all**

The Swedish Energy Agency and all higher education institutions are tasked with integrating gender equality with the aim of contributing to the gender equality policy goal that women and men shall have the same power to shape society and their own lives.

It is therefore important, when planning and implementing the centres of excellence projects, to identify what challenges and opportunities linked to gender equality there are within the research area and to work to resolve these challenges. One important aspect is to analyse and adopt a position on relevant gender equality aspects (sex and/or gender) that are linked to the thematic area and innovation processes. Another important aspect is that both women and men have equal participation and influence in activities and ventures. The Swedish Energy Agency will be requiring an even gender distribution in the centre's programme council, i.e. at least a 40/60 distribution.

## **2.4        Orientation of the Swedish Energy Agency's                 Centres of Excellence**

The research is oriented towards areas and problems where capability development is of vital strategic importance to the sustainable energy system of the future and are both academically challenging and central to companies and society as a whole. Consequently, a thorough strategic analysis and detailed description and justification of the expertise required is a very important part of the application.

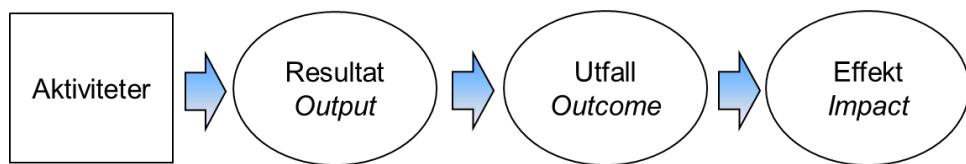
Activities in the Swedish Energy Agency's centres of excellence shall be guided by the Agenda 2030 principles of a comprehensive view of the

concept of sustainability that includes not only environmental sustainability, but also economic and social sustainability. The challenges associated with the energy transition are both numerous and complex and cannot be dealt with by individual actors or in isolation from other challenges. The research therefore needs to be structured as and constitute an integral part of the energy system and to deal with various perspectives simultaneously. This does not mean that the centre of excellence must have broad delimitations and stakeholder groups. What is important is to understand and describe how the current delimited area relates to the rest of the system.

Stakeholders in all of the areas encompassed by the aim of the call for proposals are welcome to apply. The Swedish Energy Agency's commentary to the research policy<sup>2</sup> points to some areas<sup>3</sup> that are vital to develop over the years ahead if the climate policy objectives are to be achieved. They are examples of areas that are of strategic importance to the energy system of the future.

## 2.5 Impact logic model for centres of excellence

The Swedish Energy Agency uses a schematic impact logic model as an aid to the design of centres of excellence:



In the short term, an array of concrete activities (often implemented in projects) generate a similarly concrete array of results. If the results are usable, it will be possible to utilise and transform them in order to lead in the next stage to the creation of an outcome, which will be perceived as an early effect and an impact on the system.

By creating and applying outcomes it is possible in the longer term to obtain impacts, which are synonymous with achieving energy and climate policy and enterprise policy objectives such as efficient energy use, renewable electricity production, reduced greenhouse gas emissions and increased competitiveness, which are all parts of the long-term vision

<sup>2</sup> <http://www.energimyndigheten.se/forskning-och-innovation/forskning-och-innovation-2021-och-framt/>

<sup>3</sup> The areas identified are electrification, energy storage, digital transformation, negative emissions, circular flows, economic and social sustainability, and sustainable communities.

according to the Swedish Energy Agency's assignment (see section 2.1 above).

Applicant centres of excellence are expected to provide an account of the organisation's results objectives over the first five years and how these contribute to the outcome targets and, by extension, the impact objectives. Examples of results objectives and outcome objectives from centres of excellence are provided below.

### **2.5.1     *Results objectives***

Results of research shall be usable in order to achieve the energy and climate policy objectives. The Agenda 2030 principles of a broad perspective on sustainability serve as a guide to the research at the centre of excellence. Examples of results objectives:

- Excellent needs-based research is being conducted in active collaboration, the majority of the results of which are published in peer-reviewed articles.
- Patents and other rights
- Graduated doctoral students and completed postdocs
- Increased national and international exchange both between different higher education institutions/research institutes and between the enterprise sector/public sector and higher education institutions/research institutes (in both directions), e.g. visiting researchers, adjunct professors or externally employed doctoral students
- Expanded links and partnerships between universities, research institutes, the enterprise sector and the public sector within the area in question, e.g. more participating stakeholders and more co-authored publications
- Development and evaluation of new energy-related solutions, e.g. proof of concept, test results
- Increased familiarity with and experience of the energy solutions produced and their significance to the entire energy system
- Data for analysing the contribution the solutions produced make to a sustainable energy system

### **2.5.2     *Outcome objectives***

The direct results of the centre of excellence's research activities can, for example, contribute to achieving the following outcome objectives:

- Long-term collaboration between universities/research institutes and the enterprise sector/public sector
- Research areas that are central to the energy and climate transition have been reinforced
- An excellent research environment is established and is conducting leading research within the area
- An established international network for research cooperation in which the centre of excellence is known and recognised
- The knowledge produced/research conducted shall have made a clear impression in the courses and study programmes the higher education institution offers in the area
- Rapid implementation of the results by participating companies and other societal stakeholders

#### **2.5.3      *Impact objectives***

In the long term, the results of activities at the centre of excellence are expected to have the following impacts:

- Achieve the energy and climate policy objectives and the vision of a sustainable energy system and a fossil-free welfare state.
- Achieve the research policy and enterprise policy objectives and the vision of being a world-leading research and innovation nation with a competitive enterprise sector.

#### **2.6            *Reporting and evaluation***

The centres of excellence granted funding will be monitored annually by the Swedish Energy Agency via annual reporting. To support the case for a potential extension following the initial five years, an independent evaluation will be conducted at the end of the five-year period. The evaluation is being initiated by the Swedish Energy Agency, which is also appointing evaluators and financing this.

Annual reporting takes place through the director of each centre of excellence submitting a written report concerning the centre of excellence's operations and a set of financial statements. The report should contain qualitative accounts of ongoing projects, results that have been achieved, how well targets have been achieved and information of a more quantitative nature that is used in order to capture overall results and impacts within the centre. The financial statements shall summarise the financial performance of the centre in relation to the Swedish Energy Agency's decisions. All of the other funding bodies' cash contributions

and self-financing shall also be appended to the financial statements. Templates for financial reporting can be found on the Swedish Energy Agency's website.

Evaluation after five years is conducted in order to constitute one of many pieces of evidence on which to base a decision as to whether the centre will receive a further five years of funding in a second stage. Prior to such a decision, an application for this extension stage also needs to have been received by the Swedish Energy Agency. The evaluation is based on factors including compilations of data from annual reports and interviews with representatives of the centre.

### 3 Who is the call for proposals aimed at?

The call for proposals is aimed at groups of stakeholders with a shared vision and strategic idea to create a research environment that is based on excellent needs-based research for a sustainable energy system.

The principal applicant (coordinator) has to be a university that is applying together with companies, research institutes and other societal stakeholders that are providing co-funding. The higher education institution is able to cooperate with other higher education institutions in a joint application but one of the higher education institutions has to be the principal applicant in such cases. It is very important that the applicant higher education institutions are able to demonstrate that the application is consistent with the university's overall strategy for research and capability development.

# 4 Assessment of applications received

## 4.1 What are we assessing?

The centres of excellence that are described in the applications are assessed on the basis of the following criteria:

- 1) Relevance and potential for the role played by the research area in the energy system of the future
  - a) What potential the research area has to develop the sustainable energy system of the future
  - b) What potential the research area has to encourage the enterprise sector to invest in the energy system's transformation
  - c) The centre of excellence's contribution to strengthening the competitiveness of the stakeholders involved
  - d) The centre of excellence's contribution to enabling the enterprise sector or public sector to confront structural changes
- 2) Potential for improving expertise within the area
  - a) What potential the centre of excellence has to strengthen or complement existing activities within the research area in question (strategic innovation areas, existing centre projects, etc.)
  - b) What potential the centre of excellence has to create new networks and structures
  - c) The position of the centre of excellence in comparison to competing centres internationally
  - d) The number of planned doctoral students and postdocs in relation to the size of the centre of excellence
  - e) Is knowledge that is created at the centre of excellence appropriate for the purpose of strengthening first-cycle courses and study programmes at the higher education institution/institutions?
- 3) Feasibility
  - a) Credibility of the approach, organisation, involvement of and collaboration between project partners in order to achieve the vision and objectives of the centre of excellence
  - b) A well-thought-out plan for the development of the centre of excellence over the coming five years
  - c) Are the centre's objectives measurable, tangible, well defined and reasonably ambitious?
  - d) Are the budget and funding reasonable in relation to the intended contributions and objectives?
  - e) Plan for communication and dissemination of results
  - f) The opportunities to move between academic employment and employment in the enterprise sector

- g) The composition of the centre of excellence on the basis of a gender and gender equality perspective, as well as a plan for gender integration in the work of the centre of excellence, including engagement and influence
- 4) Group of stakeholders
- a) What expertise, capability and ambition the partners have in order to strengthen the research area
  - b) The current scientific excellence of the partners involved in an international perspective
  - c) How comprehensively the involvement by the enterprise or public sector covers the entire value chain or systemic solutions that are to be studied
  - d) What expertise, capability and commitment the director of the centre and its senior management have in terms of leading and organising the centre
  - e) A distribution of small, medium and large companies that is representative of the area

#### **4.2 How is our assessment conducted?**

Applications received are reviewed and assessed in four stages.

1. In the first stage, a review is conducted to determine whether the application is complete and to ensure that all formal requirements under section 6 are fulfilled before the application is sent to the external assessment group.
2. The members of the assessment group review and assesses the applications on the basis of the assessment criteria. The applications that are deemed best are recommended for the next stage.
3. In the third stage, representatives of each application are interviewed by the Swedish Energy Agency, together with representatives of the assessment group, in order to gain an even more detailed impression of the planned centre of excellence. The assessment group then submits a recommendation to the Swedish Energy Agency.
4. The Swedish Energy Agency then makes the final selection of centres of excellence that will receive funding.

The plan is for this process to take five to six months, which means that the centres of excellence chosen by the Swedish Energy Agency to receive funding will receive a decision at the end of 2021.

## 5 How to apply

Applications can be submitted via the Swedish Energy Agency's online portal for research funding, E-kanalen. The first step is to apply for authorisation to use E-kanalen. Consider starting well in advance of the deadline.

The content of the application is shown in the application templates that are provided via the call for proposals' website. The content of the application is shown in the application templates that are provided via the call for proposals' website. A completed application template with other appendices shall be appended to the application submitted to the Swedish Energy Agency. You are welcome to refer to the application template to answer the question in the application form in E-kanalen. The form in E-kanalen includes a cost schedule divided into various cost items. You only need to fill in the centre of excellence's total budget under other costs and refer to the budget appendix to provide more details.

It is the application template (or your own document with corresponding headings), together with the enclosed appendices, that will form the basis on which the application is assessed.

The Swedish Energy Agency may subsequently update the information about how the application is to be submitted. If so, this will be done well in advance of the call for proposals closing and will be done by updating the information on [the call for proposals' website](#).

Submit your application no later than 31 May 2021. We are providing support until 16:00 on that day.

## 6 What shall be included in the application?

The following formal requirements apply in order to enable an application for support to be approved:

- Applications shall be written on the template that is available in conjunction with the call for proposals, it may not be longer than 25 pages of 11-point text. The headings shall be strictly adhered to.
- The coordinator must be a university.
- A brief CV of the intended key individuals shall be appended, focussing on qualifications that are relevant to their intended role at the centre of excellence. CVs shall be written using the template that is available in conjunction with the call for proposals.
- Statements of intent from each of the partners participating in the application shall be provided and these shall be written using the template available in conjunction with the call for proposals.
- The coordinator shall have a statement of intent signed by the vice-chancellor of the higher education institution or a person to whom the vice-chancellor has delegated this responsibility. This shall clearly state how the application fits into the overall strategy of the higher education institution.
- The application shall contain a budget broken down annually in which the university/institute and enterprise sector/public sector, respectively, each provide joint funding of at least the same amount being sought from the Swedish Energy Agency.
- The partners in the centre are legal entities.

As an external assessment group consisting of both Swedish and international experts will be used to assess the applications, applications in English are preferred. Applications in another language are sent for translation by the Swedish Energy Agency without the opportunity for subsequent revision by the applicant. No supplementary submissions can be made after the call for proposals have been closed unless the Swedish Energy Agency requests these.

## 7     What are we funding?

The Swedish Energy Agency's funding takes place through grants and in this call for proposals, support can only be provided to universities and research institutes. With regard to research institutes, the activities are to be conducted as part of the institute's non-economic activities. For institutes that conduct both economic and non-economic activities, it is necessary for the institute to clearly separate its economic activities from its non-economic activities and to report the costs, funding and revenue from its economic activities separately from those of its non-economic activities.

Our contribution shall primarily fund excellent needs-based research at universities and research institutes. A small portion can be used to coordinate the centre of excellence and to disseminate the results of the research.

## 8 What size of grant are we awarding?

The funding of a centre of excellence shall be divided into three parts between the Swedish Energy Agency, a university/research institute and the enterprise sector/public sector. The Swedish Energy Agency's portion can vary each year between SEK 5 million and 20 million and is conditional on the university/research institute and enterprise sector/public sector, respectively, each providing joint financing of at least the same amount. Research institutes are in the same category as universities and are subject to the condition that their activities are run within the institute's non-economic activities (see section 7 above). Support from the Swedish Energy Agency can only go to participating higher education institutions and research institutes, while companies and other participating stakeholders have to jointly fund activities either through cash contributions or through contributions in kind.

For newly started centres of excellence, it may take time to get operations fully up and running. A stepping-up of the annual budget applied for may therefore be appropriate.

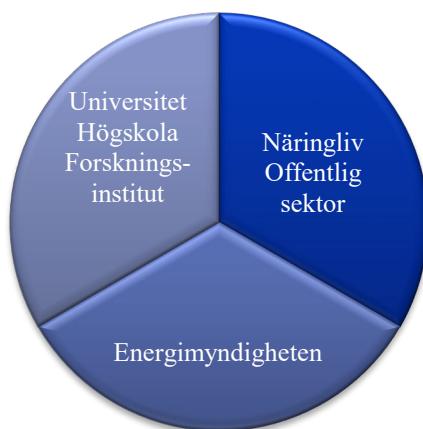


Figure 3. Funding is divided one third each between the Swedish Energy Agency, the academic partners, including research institutes, and the enterprise sector and public sector.

Joint funding can consist of cash contributions or contributions in kind, e.g. in the form of working hours. Section 3 of the General Conditions for Support, which can be found in connection to the text of the call for proposals, specifies which contributions in kind can be counted as joint funding and which requirements are placed on these.

# 9 Decisions and conditions

## 9.1 Information about our decisions

The Swedish Energy Agency's decisions are public.

## 9.2 Conditions for approved grants

The Swedish Energy Agency's general conditions for support apply to approved grants.

In addition to our general conditions, a number of specific conditions apply to centres of excellence. The implications of these include that a centre of excellence shall have a director and a programme council. The programme council shall work actively in the interests of the centre and is tasked with ensuring on an overarching level that its operations adhere to decisions from the Swedish Energy Agency and to the intentions of other partners. The vice-chancellor of the higher education institution appoints the director, decides who will participate in the programme council and makes decisions on support for projects and the annual budget on the basis of recommendations from the programme council. The programme council is led by a chair and shall consist of members at least half of whom come from the enterprise sector or non-academic organisations. The Swedish Energy Agency is not a member of the programme council, but shall be given the opportunity to gain insight by being allowed to attend programme council meetings and being given access to documentation used at meetings.

A balanced gender distribution shall be sought all around within the centre of excellence, and the programme council shall have a gender distribution within the 40/60 range.

The first payment of funds to a centre of excellence is conditional on the partners involved having signed a centre agreement (see 9.3 below) that includes the requisite agreements on joint funding from all parties to the agreement.

The specific conditions will be used for approved centres of excellence and they will be specified in the decision concerning support.

## 9.3 Centre agreement

A centre of excellence's operations shall be governed by an agreement between the university that is coordinating the centre of excellence and all other participating partners. The Swedish Energy Agency is not party to this agreement but the agreement shall be consistent with the conditions of the Swedish Energy Agency's decision concerning support. The agreement shall govern the partners' rights and obligations and be signed in stages (five years). Rights to the results of projects shall be regulated in

the agreement in accordance with the applicable rules on state aid. Ownership of and right to use results of projects shall be regulated in accordance with the European Commission's Framework for State aid for research and development and innovation (2014/C 198/01) Transfer or granting of results may not lead to indirect state aid. It is possible to base the agreement on the templates (Swedish and English) provided by the Swedish Energy Agency

## 10 Contact

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## 11 Who is able to read applications?

Applications submitted to use become official documents but we do not disclose information concerning individuals' commercial or operational circumstances, inventions and research findings if it may be assumed that any individual will suffer damage if this information is disclosed.

## 12 Appendices

The following documents are linked to the call for proposals:

- Application template
- Budget template
- CV template
- Statement of intent template
- Centre agreement template
- Guide for calculating salary cost that are entitled to support

## 13 Appendix – Conditions for approved projects

The conditions that apply to approved projects will appear on the Swedish Energy Agency's decision to grant the support. A description of the conditions follows below.

### **Definitions**

In these conditions, 'beneficiary' means the organisation or organisations that pursuant to the Swedish Energy Agency's decision are receiving support from the Swedish Energy Agency.

In projects with more than one participating organisation, 'project partners' means the organisations taking part in the project (but not organisations that are providing consultancy service on behalf of the beneficiary).

In projects with more than one project partner, 'coordinator' means the project partner that is coordinating the project, receiving the support from the Swedish Energy Agency and forwarding support to other beneficiaries that are participating with the project in accordance with the Swedish Energy Agency's decision.

### **Section 1 General**

The support is granted for the purpose of funding the implementation of the project specified in the Swedish Energy Agency's decision concerning support.

The beneficiaries are only entitled to the funds decided on if the Swedish Energy Agency receives the requisite funds from the Swedish Government.

The beneficiary shall fund that part of the costs that are not covered by the support from the Swedish Energy Agency with its own funds or with funds from another funding body. The beneficiary is responsible for funding any cost increases that occur during the project period.

Each time the project is presented, it must be specified that the work has been conducted with support from the Swedish Energy Agency (the name is rendered in English as the Swedish Energy Agency).

## **Section 2 The coordinator's commitments in projects with more than one project partner**

In projects with more than one project partner, the coordinator has the following commitments, in addition to that which applies to all beneficiaries. It is incumbent on the coordinator

- to have the authority to represent other beneficiaries in respect of the project in dealings with the Swedish Energy Agency
- to receive payments of support from the Swedish Energy Agency
- to transfer support from the Swedish Energy Agency to other beneficiaries in accordance with the agency's decision concerning support
- to, at the Swedish Energy Agency's request, provide evidence that each payment has been distributed among the other beneficiaries
- to immediately pass on to other beneficiaries the Swedish Energy Agency's decisions, amending decisions and other information from the Swedish Energy Agency of relevance to beneficiaries
- to conduct reporting during the project period in accordance with the Swedish Energy Agency's decisions and instructions as set out in Section 7
- to ensure that the Swedish Energy Agency is informed immediately should the circumstances described in Section 8 arise
- to apply to make changes to the project in accordance with Section 8.

## **Section 3 Costs eligible for support**

### **3.1 General requirements**

'Costs eligible for support' means the costs that are used to calculate the support from the Swedish Energy Agency. Which costs are eligible for support in a specific project and what portion of these costs the beneficiary is able to receive support for is dependent on which of the grounds for support the Swedish Energy Agency has used as the basis of its decision concerning support. The grounds for support are specified in the Swedish Energy Agency's decision.

These general conditions apply in order for a cost to be entitled to support:

- The cost shall be reasonable.
- The cost shall have arisen for the implementation of the project.
- The cost shall be actual and auditable, which means that it shall be possible to locate in the beneficiary's accounts. For example, it is

not possible for a beneficiary to receive support for work that is performed unpaid. The cost may also not be estimated.

- The cost shall be borne by the beneficiary, which means that a beneficiary may only include costs recorded in its own accounts.
- The cost shall be established in accordance with generally accepted accounting principles.
- The cost shall have arisen in the project and during the project period specified in the decision. Costs that have arisen prior to or after the project period specified in the decision are not eligible for support.

The project costs shall be reported in the beneficiary's accounts in such a way that it is possible to differentiate them from the beneficiary's other transactions.

### **3.2 Specific information about payroll costs**

Direct staffing costs (gross salaries and payroll overheads) shall be reported as payroll costs to the extent that these people are working on the project. Payroll overheads are statutory social security contributions, obligatory pension provisions, obligatory insurance policies and charges and holiday allowance. Payroll costs shall be auditable. It shall be possible to present time reporting when requested to do so by the Swedish Energy Agency.

- *Beneficiaries that are universities* are able to receive support for direct payroll costs in accordance with the full costing principle that they apply.
- For *other beneficiaries* (that are not universities), the total payroll costs eligible for support can amount to an average cost of up to SEK 800/hour. As set out in the general requirements in 3.1, the cost shall be actual, which means that the cost may not be a standardised cost. This means that if the actual payroll costs are higher than SEK 800/hour, it is a maximum of SEK 800/hour that is eligible for support. Conversely, if the actual costs are less than SEK 800/hour, the lower, actual costs are applicable. Average cost means that if a beneficiary has several people on different salaries working on the project, the average payroll expense may amount to a maximum of SEK 800/hour in order to be eligible for support. The calculation shall be performed on the basis of the total actual payroll costs, divided by the total number of hours spent on the project. If the result of the calculation is over SEK 800/hour, the payroll costs shall be reduced when reporting them to the Swedish Energy Agency.

### **3.3 Specific information about indirect costs**

Indirect costs (overheads) are general overheads that do not arise as an immediate consequence of the project during the project period. For example, this applies to salaries and remuneration to staff that are not working specifically on the project (e.g. staff who work in finance or administration that is not project specific), office supplies and IT systems.

- *Beneficiaries that are universities* are able to receive support for indirect costs in accordance with the full costing principle that they apply.
- *Beneficiaries that do not run economic activities* are able to receive support for indirect costs at a rate of up to 30 % of their eligible direct staffing costs (salaries and payroll overheads). This also applies if a beneficiary runs both economic and non-economic activities, provided that the project is conducted as part of its non-economic activities and that the beneficiary clearly differentiates its non-economic activities, its costs and funding from its economic activities.
- *Beneficiaries that are companies* (beneficiaries that run economic activities) are not able to receive support for indirect costs. This also applies if a beneficiary runs both economic and non-economic activities and the project is conducted as part of its economic activities.

### **3.4 Specific information about consultancy costs**

Remuneration to people who are not employed by a beneficiary shall be reported as bought-in services (consultancy costs). Remuneration for bought-in services shall be at the market rate. It is not permitted for a project partner to be a subcontractor within the project to another project partner.

## **Section 4 Payment of grants**

The payment plan is set out in the decision concerning support. Payment of grants takes place without a preceding requisition unless otherwise specified in the decision. The grant only covers value added tax if this arises as a net cost to the beneficiary. The beneficiary shall submit receipts for its reported costs if requested to do so by the Swedish Energy Agency. The Swedish Energy Agency is entitled to withhold payments of support if the beneficiary has not utilised at least 90 per cent of the fund already paid for the same project.

## **Section 5 Employer relationships**

The Swedish Energy Agency is not the employer or client of the beneficiary or anyone else they engage for the project. Accordingly, the Swedish Energy Agency does not make deductions for taxes, social security contributions etc.

## **Section 6 Obligation to provide notification concerning funding**

The beneficiary shall immediately notify the Swedish Energy Agency if the beneficiary applies for or receives funds for the project from another funding body. This also applies to other changes to the funding of projects compared with that which is set out in the Swedish Energy Agency's decision concerning support.

## **Section 7 Reporting and follow-up**

Reporting and follow up shall take place in accordance with the Swedish Energy Agency's instructions and decision concerning support.

## **Section 8 Changes to the project**

The beneficiary shall apply to the Swedish Energy Agency in writing in advance for permission to make changes to the implementation plan and cost schedule that are set out in the Swedish Energy Agency's decision concerning support. This also applies to, for example, the replacement of project managers, replacement of beneficiaries, changes to the project period, changes to implementation or extensions to deadlines for reporting to the Swedish Energy Agency. Changes of up to ten (10) per cent between types of cost within the cost schedule set out in the Swedish Energy Agency's decision are acceptable. The beneficiary shall apply to the Swedish Energy Agency for changes that exceed ten (10) per cent if the amount is greater than SEK 50,000.

The beneficiary shall immediately notify the Swedish Energy Agency in writing if the project is terminated or delayed, if the beneficiary becomes insolvent or if another circumstance of material significance occurs. The beneficiary shall also immediately notify the Swedish Energy Agency of any changes to names and addresses.

## **Section 9 Amendment of a decision**

Amendments or addenda to the Swedish Energy Agency's decision concerning support are only applicable if they are drawn up in writing by the Swedish Energy Agency.

## **Section 10 Rights to results**

The beneficiary or the holder of the rights to the results has the right to use results that are generated within the project. The results of the project may be transferred or granted to third parties. However, beneficiaries may not transfer or grant results of projects, or take any action in some other way that results in this becoming a question of indirect state aid.

## **Section 11 Right to audit**

The Swedish Energy Agency or a third party appointed by the Swedish Energy Agency (e.g. an authorised public accountant) has the right to monitor the work and to study documents that contain information about, for example, the technical and financial development of a project. The

Swedish Energy Agency is entitled to issue special instructions for reporting in order to enable the review.

The Swedish Energy Agency has the right to follow-up completed projects by requesting follow-up reports that are to be structured and submitted in accordance with the Swedish Energy Agency's instructions. Such reports can be requested on three occasions within a ten-year period, calculated from the date of the end of the project.

### **Section 12 Repayment of unused funds**

Granted and disbursed funds that have not been used by the beneficiary shall be returned to the Swedish Energy Agency. Following submission of the final financial statements, the Swedish Energy Agency announces whether there is an obligation to repay funds and the amount to repay.

### **Section 13 Sanctions**

The Swedish Energy Agency may decide that support which has been granted shall be repaid in full or part if

- 1) the person that has applied for support has, by providing incorrect information or in some other way, caused the support to be granted erroneously or at too high an amount,
- 2) the support has, for some other reason, been granted erroneously or at too high an amount and the beneficiary should have realised this, or
- 3) the conditions for the support have not been complied with.

The beneficiary is obliged to repay if any of the grounds specified under points 1–3 above are applicable. In such cases, the Swedish Energy Agency may demand repayment of the support plus interest in accordance with the Interest Act (1975:635).

In the event that the support from the Swedish Energy Agency constitutes illegal state aid, the beneficiary is obliged to repay the support if repayment is unavoidable under EU law. This is set out in Section 3 of the Act (2013:388) on the Application of the European Union's State Aid Rules. In such cases, the Swedish Energy Agency shall demand repayment of the support plus interest payable from the date on which it was paid out.

The Swedish Energy Agency is able to withhold payment of support until further notice if the agency is considering but has not yet decided on sanctions. The agency is also able to choose not to pay out support if an investigation concerning sanctions in respect of the same beneficiary is ongoing in another project being funded by the Swedish Energy Agency.

### **Consent to the release of information**

The Swedish Energy Agency makes information about projects that it is funding available on its website ([www.energimyndigheten.se](http://www.energimyndigheten.se)). The general public can search on the website for information about ongoing and completed research projects based on various keywords such as

research subject, research organisation, project title and project manager. The beneficiary is responsible for ensuring that the holder of any copyright has consented to the release of this information and shall ensure that the copyright holder is entitled to provide consent in each individual case. A consent form for the release of information accompanies the Swedish Energy Agency's decision to grant funding. By signing this document, an authorised representative of the beneficiary consents/does not consent to information in the project that is encompassed by confidentiality under the Public Access to Information and Secrecy Act (2009:400) being released to the general public.

### **Consent to processing of personal data**

The Swedish Energy Agency makes information about projects that it is funding available on its website ([www.energimyndigheten.se](http://www.energimyndigheten.se)). A consent form for the processing of personal data accompanies the Swedish Energy Agency's decision to grant funding. By signing this form, the project manager consents/does not consent to their personal data being processed by the Swedish Energy Agency in order to be released to the general public via the agency's website. More information about how the Swedish Energy Agency processes personal data can be found on the Swedish Energy Agency's website ([www.energimyndigheten.se](http://www.energimyndigheten.se)).

### **Official documents and confidentiality**

Essentially all mail and email sent to the Swedish Energy Agency becomes official documents. The implications of this include that the public and mass media are able to request to access their contents. Official letters and decisions sent from the Swedish Energy Agency are also official documents. The right to access official documents is part of the principle of public access to official documents.

However, the Energy Agency is not permitted to disclose information that is subject to confidentiality pursuant to the Public Access to Information and Secrecy Act. This means that a document or certain information in a document may be protected by confidentiality. Consequently, a confidentiality assessment is conducted on a case-by-case basis before a document is released.

Confidentiality applies to, for example, information about an individual's business or operational circumstances, inventions or research findings if it may be assumed that the individual will suffer damage if the information is disclosed.