

# Call for proposals to establish and implement Strategic innovation programmes within the energy and climate area



STRATEGISKA  
INNOVATIONS-  
PROGRAM

## 1. Summary

Vinnova, the Swedish Energy Agency and the Swedish Research Council Formas announce a call for proposals to establish and implement Strategic innovation programmes. This is the fourth call for proposals within the initiative for Strategic innovation areas.

The purpose of investing in Strategic innovation areas is to lay the foundations for sustainable solutions to global social challenges and international competitiveness by means of new, long-term and in-depth national and international collaboration, joint initiatives and renewal. Strategic innovation programmes concentrated on global social challenges within the energy and climate area can be financed in this call.

This call allows the actors applying to establish and implement a programme aimed at strengthening a strategic innovation area – a Strategic innovation programme – via:

- funding for the organisation and operation of the Strategic innovation programme
- a reserved budget for initiatives within the Strategic innovation programme.

The call for proposals will be carried out in one step through complete applications describing the potential for the strategic innovation area, the actors involved in the strategic innovation programme and its proposed implementation plan.

Current information on the call can be found on the authorities' websites, [www.energimyndigheten.se](http://www.energimyndigheten.se) and [www.formas.se](http://www.formas.se). The invitation, templates and link to the proposal service are found at [www.energimyndigheten.se/sio](http://www.energimyndigheten.se/sio).

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## **2. Description of the SIO initiative**

### **2.1. Background and rationale**

In the 2012 Research and Innovation Bill (2012/13:30), and the Research and Innovation for a Long-Term Sustainable Energy System Bill (2012/13:21), the Swedish government proposes an increase in appropriations to Vinnova, the Swedish Energy Agency and the Swedish Research Council Formas to jointly support strategic innovation areas (SIO) in Swedish areas of strength. This lays the foundations for new, long-term and in-depth collaboration between universities, research institutes, the business sector, the public sector, civil society and other actors.

The goal of the collaboration should be to achieve a renewal of Swedish areas of strength, to stimulate future areas of strength through the development of new value chains and changes to existing ones, or reinforced cross-sector expertise, knowledge, technical development and service development.

The purpose of investing in strategic innovation areas is to lay the foundations for sustainable solutions to global social challenges and international competitiveness by means of new, long-term and in-depth national and international collaboration, joint initiatives and renewal.

Earlier calls have resulted in the establishment of 16 strategic innovation programmes in a wide variety of innovation areas. Vinnova, the Swedish Energy Agency and the Swedish Research Council Formas expand the investment with strategic innovation programmes within the energy and climate area (programmes only directed at climate associated challenges are not included in this call).

### **2.3. Result and impact goals**

The combined impact goals and contributions to society of the entire SIO initiative are described in the Figure 1 below.

The prerequisites for an individual strategic innovation programme to contribute to these goals are a clearly delineated research and innovation agenda within an innovation area with potential; a national collaboration and joint initiatives regarding common goals and visions; and a well-supported strategy with clear leadership.

Each individual SIO programme must clearly describe its vision and goals and define the specific measures, results and impacts necessary to achieve them. In addition, they must clearly describe how these goals contribute to achieving the overall impact goals of the programme.

The goals for any individual SIO programme are however not expected to fulfil all of the combined impact goals; rather, they should contribute to addressing two or more of them.

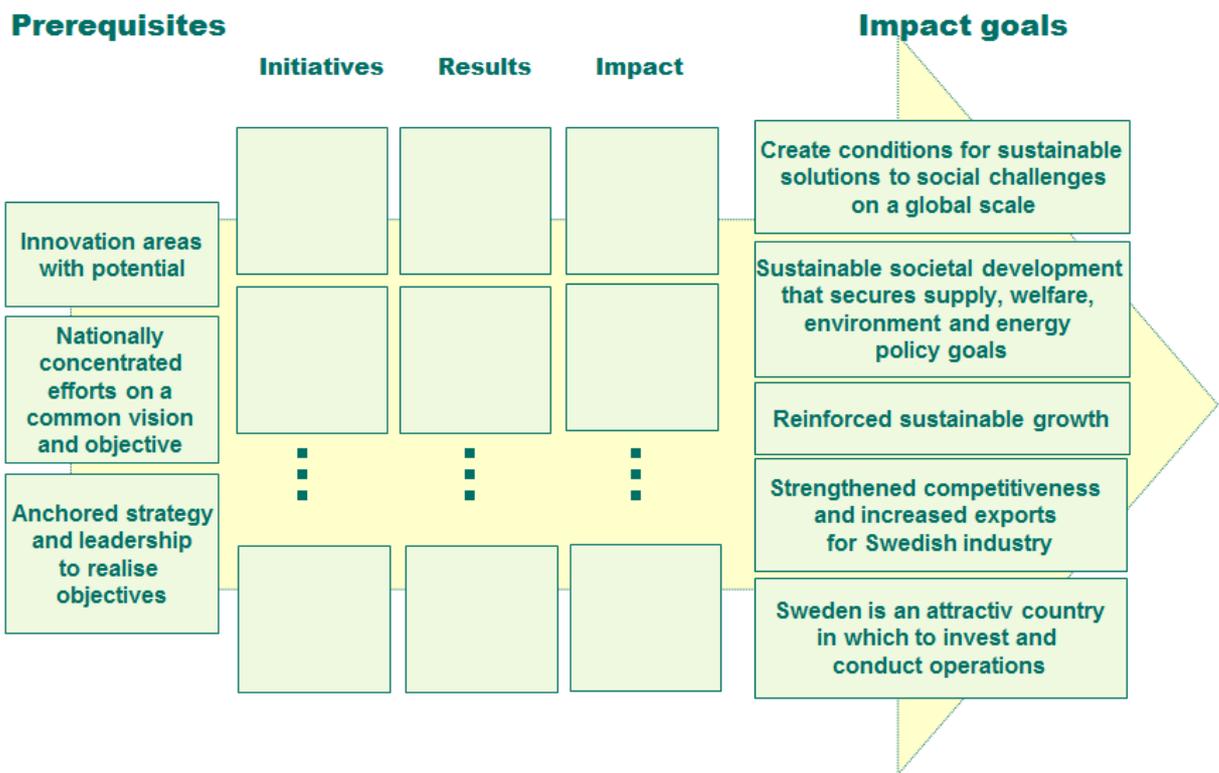


Figure 1: The most important prerequisites for an individual SIO programme and the impact goals of the combined investment in strategic innovation areas.

One of the impact goals is to lay the foundations for sustainable solutions to global social challenges. In this call for proposals, aid can only be granted to strategic innovation programmes focused on sustainable solutions to social challenges within the climate and energy area. In addition, a strategic innovation program must focus at least one of the other impact goals.

### **3. Call for proposals to establish and implement a Strategic innovation programme**

This is the fourth call for proposals within the initiative for Strategic innovation areas. Strategic innovation programmes **concentrated** on global social challenges within the energy and climate area can be financed in this call.

#### **3.1. Target group**

This call is intended for actors who at the time of submitting the proposal have:

- a nationally established research and innovation agenda, which concentrates on global social challenges within the energy and climate area, see section 8.2.2.
- a concrete plan for a strategic innovation programme.
- been entrusted with nationally representing the key actors in the innovation area, such as major companies, small and medium-sized companies, the public sector, universities and research institutes.

#### **3.2. Purpose of the call**

The purpose of this call for proposals is to give actors within Swedish areas of strength or future areas of strength an opportunity to join forces and lay the foundations for sustainable solutions to global social challenges and international competitiveness.

This call allows the actors applying to establish and implement a programme aimed at strengthening a strategic innovation area – a Strategic innovation programme – via:

- funding for the organisation and operation of the Strategic innovation programme.
- a reserved budget for initiatives within the Strategic innovation programme.

In this call, Strategic innovation programmes concentrated on global social challenges within the energy and climate area can be financed. The proposals found to have the greatest potential to contribute to renewal and/or development of their innovation area will be funded.

#### **3.3. Implementation of the call**

The call for proposals will be carried out in one step through complete applications describing the potential for the strategic innovation area, the actors involved in the strategic innovation programme and its proposed implementation plan.

Representatives of the proposals that are assessed to have the strongest potential will be interviewed.

This call includes the opportunity for funding of 1-2 new strategic innovation programmes.

## **4. Description of a Strategic innovation programme**

A strategic innovation programme should be based on a national research and innovation agenda (see section 8.2.2). The description of the SIO programme must clearly depict the initiatives required in order to achieve the objectives specified in the research and innovation agenda. The programme description must also specify how the initiatives are to be followed up.

### **4.1. Organisation and management**

A strategic innovation programme must have an organisation in order to ensure that the goals can be met, and in order to be able to adapt activities and initiatives to external changes. Its management should be proactive and have the trust of actors in the field.

The organisation must at the very least consist of a board of directors and have an active programme management that sees to the operations of the SIO programme. The chairman of the board of the SIO programme should be one of the requirement owners in the field. Requirement owners should also form the majority of the SIO programme's board of directors. Requirement owners, in this context, refer to members of business sector or public sector who will be able to use the results of the SIO programme. The expectations for the Strategic innovation programme's organisation are as follows:

- keep the SIO programme's agenda and strategies up to date and develop them as necessary.
- promote openness, renewal and transparency.
- promote the interests of the requirement owners.
- maintain a dialogue with actors in the innovation area regarding goals, vision and strategy.
- create the conditions for success for all projects carried out under the SIO programme.
- create meeting places that bring together actors with common interests and needs.
- identify and disseminate information about all funding that can be sought nationally and internationally for actors in the field.
- develop supplementary initiatives to the measures being carried out in the field.
- follow up the goals and results of initiatives.
- Groups within the programme (for example, the board of directors, lead team, etc.) are expected to be composed with respect to equality and diversity.

### **4.2. Initiatives and other activities**

A strategic innovation programme can develop and implement a number of initiatives and activities. The goal of these is to develop the field and therefore target all actors who in some way can contribute to the achievement of the goals.

The purpose of initiatives is to fund research, development and utilisation. Initiatives might include announcements of grants for research and development, funding of demo facilities, or other measures to promote innovation and growth. Announcements of grants will be formulated and implemented in collaboration with the funding authorities. To ensure openness, any actors are eligible to apply for these funds.

Activities aim at enhancing the role of the strategic innovation programme in bringing together actors with common interests and needs and/or stimulating the dissemination of knowledge. Activities may include major conferences, EU coordination, consulting activities, reports and analyses. Activities are implemented as individual projects.

### **4.3. Budget and funding**

Strategic innovation programmes are long-term initiatives and can last as long as 12 years. The programmes are allotted a reserved budget, three years at a time, by the authorities.

All strategic innovation programmes are evaluated every third year according to an evaluation model developed by the authorities. Funding of a programme will be granted in stages based on the result of the evaluation. Specific terms for each stage will be determined based on the programme's stated goals and results.

#### **4.3.1. Start-up phase 2017**

An approved strategic innovation programme will be awarded a start-up phase running from January 1st 2017 through September 1st 2017. During this phase, the programme is expected to establish its leadership and organization, develop and finalize its impact logic, update the programme's innovation agenda and programme description and plan the programme's first initiatives and activities.

For the start-up phase funding can be granted with up to 2 million SEK. Funding for organizing and leading the programme from September 2nd to December 31st 2017 can be granted up to 1 million SEK.

#### **4.3.2. Funding of the 1st stage 2018-2020**

An approved strategic innovation programme will be allotted a reserved budget for a three year period. The first stage runs from January 1<sup>st</sup> 2018 through December 31<sup>st</sup> 2020. The budget of the funding authorities allows for the funding of 1-2 programmes with a reserved budget of 20-40 million SEK per program per year.

Whenever a programme plans on implementing an initiative or an activity, a dialogue with the authorities is necessary since the decision for funding is made by the authorities for each individual initiative or activity.

Funding for organizing and leading the programme can be granted with up to 3 million SEK per year from 2018 to 2020. These funds are a part of the total allotted budget.

To ensure the relevance of activities and initiatives, it is desirable that the requirement owners of the programme (business or public sector) fund a part of project costs. The level of support from the authorities may differ depending on the type of activity and initiative, but will always follow the applicable regulations for financial support (see section 9). The contributions of the

participants in the projects should be significant. As a whole, the programme's initiatives and activities are expected to be co-funded by the requirement owners by at least 50 percent of the costs. The organization and leading of the strategic innovation programme does not have to be co-funded.

## 5. Time plan

The following dates apply to the call. Note that the dates are preliminary and changes may be made, even after the call has ended. For up-to-date information, more information can be found at the Swedish Energy Agency's website.

Call opens:	March 22 <sup>nd</sup> 2016
Information meeting:	April 7 <sup>th</sup> 2016
Proposals deadline:	September 1st 2016, at 24:00 <sup>1</sup>
Interviews:	October 25 <sup>th</sup> -27 <sup>th</sup> 2016 <sup>2</sup>
Decision on funding:	Week 48 2016
Start of up-start phase:	January 1st 2017

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<sup>1</sup> Technical support for the E-kanalen will not be available after 16:00.

<sup>2</sup> Specific interview days will be determined on October 19<sup>th</sup>.

## **6. Formal requirements**

To be considered for assessment in accordance with the criteria specified in 7.2, the following requirements must be met for the conceptual sketch and the complete proposal.

- The proposal must be based on a research and innovation agenda (see section 8.2.2)
- Applicants must be one or more legal entities
- The programme description must follow the relevant template (see section 8.2.1)
- The obligatory appendix with letters of intent. This appendix must include a cover page following the relevant template. Relevant letters of intent must be attached. For an individual letter of intent to be considered it must be signed by an authorised person, see section 8.2.3.
- Obligatory appendix for CV (see section 8.2.4).

Formal requirement for funding

- In this call, strategic innovation programs with a main focus on sustainable solutions for social challenges within the energy and climate areas can be funded. Programmes with a main focus on the climate area alone cannot be funded in this call.

## **7. Assessment**

Only the applications that fulfil the formal requirements and the purpose of the call will be assessed (see section 6).

The applications together with the appendices will be sent to external assessors. The applications are evaluated based on the assessment criteria potential, actors and implementation.

### **7.1. Assessment process**

The proposals are evaluated by international and national assessors together with Vinnova, the Swedish Energy Agency and the Swedish Research Council Formas. The external assessors provide a recommendation to the authorities. The decisions on which programme is offered the possibility to establish and implement a strategic innovation programme are made by Vinnova, the Swedish Energy Agency or the Swedish Research Council Formas. The decision on funding and reservation of budget in this call is made by the Swedish Energy Agency.

The proposals will be assessed in competition with others based on the following assessment criteria.

### **7.2. Assessment criteria**

The following criteria will be applied when assessing proposals.

#### **Potential:**

- The innovation area's significance for the energy and climate area and its potential to contribute to a secure, environment-friendly and efficient energy system,
- The innovation area's potential for sustainable growth
- The market position, assets<sup>3</sup> and scientific quality of the field and the actors
- The potential of the strategic innovation programme to renew the strategic innovation area
- The potential of the strategic innovation programme to contribute to sustainable solutions to social challenges within the energy and climate area and to other impact goal (see section 2.3) which the program focuses on

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<sup>3</sup> "Assets" here refers to the innovation infrastructure and other assets that currently give Sweden a competitive edge, such as research-intensive companies, structure in the public sector, research infrastructure, intellectual assets etc.

**Actors:**

- Support for and commitments to the Strategic innovation programme among key actors in the innovation area
- Legitimacy and expertise of the Strategic innovation programme's organisation and management
- Renewal, interdisciplinary and trans-border work among the actors in the Strategic innovation programme.

**Implementation:**

- The SIO programme describes relevant and focused initiatives and activities aiming to achieve the goals and vision of the agenda
- How well the SIO programme contributes to the interdisciplinary dissemination of knowledge and expertise
- Ability to take advantage of new knowledge from external sources and to stimulate renewal of the field
- The position of the SIO programme in relation to ongoing initiatives that is relevant to the field nationally and internationally.

## 8. Proposal

### 8.1. How to apply

Proposals are submitted electronically via the proposal service in the e-services Portal [E-kanalen](#). This is accessed via the Calls for Proposals page on Swedish Energy Agency's website.

To submit a proposal, a user account must first be created with Swedish Energy Agency's [E-kanalen](#). This may then be used to access the proposal service. An existing user account with Swedish Energy Agency may be used. The individual submitting the proposal must be authorised to do so on behalf of their organisation, since the organisation itself becomes the applicant.

**Please note that proposals must be received no later than 24.00 on the proposal deadline. The system closes at this time and it will no longer be possible to submit proposals to Swedish Energy Agency's.** Also, no additions may be made to submitted proposals after the deadline unless specifically requested by Swedish Energy Agency.

Please be aware that it can take time to fill in, upload and submit a proposal, especially if the volume of proposals is large. Start filling in the proposal in good time. Please note that changes and additions may be saved up until the proposal is submitted.

### 8.2. Proposal content

The proposal consists of several electronic pages to be filled in by the applicant (see the instructions to applicants) and the attached appendices to be uploaded through the E-kanalen are:

- **Proposal for a Strategic innovation programme** according to the template (max 30 A4 pages).
- **Associated Research and innovation agenda.**
- **Letters of intent and summary of them.**
- **CV appendix.**

*Note that if the number of pages exceeds the maximum permitted, the additional pages will be removed before the proposal is sent in for assessment.*

#### 8.2.1. Proposal for a Strategic innovation programme

The proposal for the programme should be formulated according to the template, which can be accessed from the call webpage. The description should not exceed 30 A4 pages of 12-point font. It should follow the structure and headings in the template. The proposal can be written in English or Swedish. It is preferable if it is written in English as parts of the assessment are carried out by international assessors. Proposals written in Swedish will be translated to English by the authorities before the assessment.

### **8.2.2. Research and innovation agenda**

A research and innovation agenda is a strategy document developed jointly between actors in the innovation area. The agenda should describe a common vision and goals, the potential and assets of the innovation area, obstacles to achieving this vision (problem formulation) and a plan for how the vision is to be realised. The format of the agenda is up to the applicant.

A research and innovation agenda may be developed within the framework of Vinnova's and the Swedish Energy Agency's previous announcements of funding for strategic research and innovation agendas, or in another way. This should be done in a process involving the active participation of relevant actors in the field. It should also be clearly stated which organisations are behind the conclusions of the agenda.

The strategic innovation agendas funded by the authorities and that are associated to this calls' proposals for strategic innovation programmes must have registered a final report by September 1<sup>st</sup> 2016 to be eligible.

### **8.2.3. Letters of intent**

The attached letters of intent should clarify expectations and strengthen the commitments from the organisations and individuals who are active in the SIO programme's organisation and management.

The letters of intent for universities must be signed by the Vice Chancellor. For the business and public sectors and research institutes, the letters of intent must be signed by an authorised signatory for the company or other persons with the right to sign research undertakings on behalf of the organisation. They must be a maximum of one A4 page with 12-point font.

The letters of intent should clarify:

- why the SIO programme is important to the organisation in question
- what the organisation intends to contribute to the programme in terms of financing or own initiatives.

The appendix with all the letters of intent should have a covering letter (according to template) that summarises the contents of the letters of intent with the aim of creating a clear overview of which actors are behind the programme, their expectations and contributions.

### **8.2.4. CV appendix**

The CV appendix should comprise:

- a title page with a summary of the key persons: name, organisation, title, age, gender, position in the programme and scope of involvement
- the CVs of the key persons in the proposed organisation and management. Each CV must be a maximum of two A4 pages in 12-point font.

Key persons are those actively involved in the running and coordination of the programme.

## 9. Requirements

Contributions from Vinnova and the Swedish Energy Agency that are granted to companies and other organisations carrying out economic activities are limited by the regulations on government funding.

The regulations for the Swedish Energy Agency are as follows: Ordinance (SFS 2008:761) on state support for R&D and innovation in the energy field and Ordinance (2003:564) on contributions to measures for efficient and environmentally adapted power supply. See <http://www.energimyndigheten.se/sv/Forskning/Sok-stod-for-forskning-ochteknikutveckling/>

More information concerning regulations for funding can be found on [Swedish Energy Agency's website](#) (not available in English).

## **10. Terms & conditions**

The Swedish Energy Agency's general terms and conditions for grants apply to this call for proposals. They include rules on reporting, follow-up, audit, conditions for payment, etc.

Additional specific terms and conditions may be decided on for individual SIO programmes.

## **11. Confidentiality**

The Swedish Energy Agency administers registration and decisions on all strategic innovation programme proposals. However, as the current call is a joint effort between Vinnova, the Swedish Energy Agency and the Swedish Research Council Formas, all proposal documents will be divided among the authorities.

Proposals in this are public documents. As a rule, the public has the right to view these documents in accordance with the principle of public access. This also applies to proposals that are rejected or withdrawn. Authorities' decisions and justifications for decisions are also public documents.

However, Vinnova, the Swedish Energy Agency and the Swedish Research Council Formas are obliged to classify information of the nature referred to in Chapter 30, Section 23 of the Public Access to Information and Secrecy Act (2009:400), i.e. primarily information on individuals' business and operations, inventions and research findings, if it can be assumed that the individual will incur financial damages if the information is made public.

It is primarily the administrator of proposals at the authority concerned who assesses whether they contain information that is confidential.

For more information, see the Swedish Energy Agency's website (not available in English).

## **12. Contact**

Contact people for the call:

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