

# Do you want to develop the cost-efficient, sustainable marine energy systems of the future?

If you have an idea and want to help contribute to a sustainable climate transition, you are welcome to apply for support for projects that aim to develop solutions and knowledge for the marine energy systems of the future.

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## 1 Theme of the call for proposals

The aim of this call for proposals is to contribute to:

- Continued development of cost-efficient, sustainable marine energy systems in Sweden
- A strong domestic value chain
- A greater degree of knowledge dissemination and collaboration (national and international)

The call for proposals (and the Marine Energy Conversion 2018-2024 programme) includes the following areas of technology:

- wave power
- current power (ocean current/tidal stream)
- salinity gradient power
- ocean thermal energy conversion

This call for proposals is open for project proposals within all of the programme's focus areas<sup>1</sup>:

- Components, subsystems and prototypes for cost-efficient electricity generation
- Reliability and survivability
- Environmental impact of establishment, operation and decommission
- Improved establishment, operational and maintenance strategies
- Tests and demonstration of system in marine environment

The Swedish Energy Agency's support within the framework of this call for proposals is approximately SEK 30 million.

### 1.1 Two different categories within which to apply for support

Projects can apply within two different categories:

#### *Category A - Applied research<sup>2</sup>*

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The project may contain industrial research and experimental development. The requirement is that the results from the project will benefit many and will be published.

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<sup>1</sup> See section 9.1 Focus areas further down in the document for a description of the different areas.

<sup>2</sup> Includes industrial research and experimental development, see section 6.3.1 The activities in the project are divided into research categories for a definition.

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See section 6 For what proportion of the project's costs can we be awarded support? below for possible levels of support for different actors.

At least one third of the amount stated will go to category A.

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*Category B - Company-driven innovation and development projects, and demonstration projects and feasibility studies ahead of demonstration projects.*

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Applications within this category must include at least one company<sup>3</sup>. Projects can be run in collaboration between companies and non-financial actors such as, for example, universities or institutes.

Applications within this category must have a co-financing ratio of at least 30% for the project as a whole. Co-financing must come from companies. See also section 6 For what proportion of the project's costs can we be awarded support? below for possible levels of support for different actors.

Applications must include a business plan showing how the concept can be commercialised by 2030. This business plan should also include an electricity cost production calculation (including OPEX, CAPEX and energy absorption). It must be clear from the application how the project intends to reduce the electricity production cost, and by how much. This is done by completing the template "LCOE havsenergi" template, which is available on the call website. Fill in a version showing the estimated electricity production cost when the project starts and a version showing what the electricity production cost is expected to be after the project has been completed. Add these as annexes to the application. In connection with the final report we will request an updated electricity production cost calculation. For the development of individual components, it must specify how the electricity production calculation is affected.

At least one third of the amount stated will go to category B.

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The call for proposals does not include basic research or routine or regular changes to existing products, production methods, production processes or services.

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<sup>3</sup> The company must be a partner in the project group. Subcontracted companies or participants in the reference group are thus not included in this term.

Each project within the call for proposals may be awarded a maximum of SEK 9,000,000 in support from the Swedish Energy Agency.

The project may start no earlier than 1 May 2020 and may proceed until 25 March 2024 at the latest.

## **2 Who can apply?**

Any actors who can contribute to the goals set out above can apply. These can be, for example:

- companies
- universities and colleges
- institutes

## **3 The project proposals will be assessed on the basis of the following criteria**

The projects described in the applications will be assessed on the basis of the following criteria:

### **1 Potential to contribute to the goals of the call for proposals**

- To what extent does the project contribute to the development of cost-efficient and environmentally sustainable electricity production systems with the prospect of being commercialised before 2030?
- To what extent does the project contribute to the existence of a strong value chain in the field of marine energy in which Swedish actors are linked together? In the development, actors benefit from previous experiences, both in the marine energy area and in associated areas.
- To what extent does the project contribute to a high degree of sharing of experiences and knowledge (knowledge dissemination and collaboration) having taken place between relevant actors? This includes actors in different branches of industry and both within and beyond national borders.

### **2 Relevance to the focus areas**

- The project's relevance in relation to the focus areas of the marine energy conversion programme.

### **3 A Scientific quality (only applies to projects in category A)**

- Does the project contribute to advancing the forefront of research?
- Is the project considered to be of high scientific quality?

### **3 B Level of innovation (only applies to projects in category B)**

- Does the project include a new concept or innovation?
- Does the solution add value for the intended customer or user?

#### 4 Utilisation and dissemination

- To what extent can the project be of benefit, e.g. through the building of knowledge, universality in scientific results and products produced, open data, publications, new goods, services or processes, commercialisation?
- Is there a plan describing how the results are to be utilised and disseminated?
- Is there an identified need for the project's results, e.g. a distinct knowledge gap or market potential?

#### 5 Feasibility

- Are the project's goals measurable, tangible, well-defined and reasonably ambitious?
- Is the proposed work plan practical and does it have a realistic time frame?
- Do the actors have the right competence and the right resources to implement the initiative?
- To what extent is the actor that is to commercialise or utilise the project's result involved and contributing?
- Is the budget reasonable in relation to the intended initiatives and goals?
- How well does the project manage equal opportunity, gender and diversity, in terms of both the composition of the consortium and the project's issues, where relevant?

The application must make it clear in what way the project satisfies the assessment criteria.

## 4 How to apply – start in good time

Follow these steps to make the processing of your application proceed more quickly:

- Use E-kanalen<sup>4</sup> to write your application, select the “Marin energiomvandling” programme and then the call category that corresponds to the category within which you wish to apply.
- Start by applying for your personal authorisation to E-kanalen. Apply for authorisation in good time, as it can take a couple of days to obtain authorisation.
- Write in Swedish or English
- Always write a summary in Swedish.
- Write in such a way that someone who is not familiar with the subject can understand what the project is about.

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<sup>4</sup> There is a link to E-kanalen on the website for the call for proposals.

There are step-by-step instructions describing how to submit an application in the “Lathund för E-kanalen” (you will find this in the bottom left-hand corner of the start page for E-kanalen).

Submit the application no later than **12 December 2019**. We offer support until 16:00 on that day.

## 5 What must the application include?

Write your application text in the fields in E-kanalen. The Instructions for the application contain more information about what the fields should contain<sup>5</sup>.

If the application is not written in English, the applicant must **attach a project description in English** of max. 5 pages to the application, including figures, tables and references. This is so that international experts will have an opportunity to examine the project. This project description must contain a description of the purpose of the project, what results the project is expected to achieve and how it is to be implemented.

In category B we request in particular a business plan showing how the concept can be commercialised by 2030. This business plan should also contain an electricity cost production calculation (see more information in section 1.1 Two different categories within which to apply for support).

## 6 For what proportion of the project's costs can we be awarded support?

How much support each project participant can be given depends on, among other things,

- the scale of the participant's costs that are eligible for support
- whether the participant is a non-financial actor or a company
- which research category the activities in the project are considered to constitute.

Each project within the call for proposals may be awarded a maximum of SEK 9,000,000 in support from the Swedish Energy Agency. For demonstration projects applying for support of SEK 10 million or more, please refer to the Swedish Energy Agency's [programme for pilot and demonstration projects](#).

### 6.1 Eligible costs

You can get aid for the following costs, according to Commission Regulation (EU) No 651/2014 of 17 June 2014, Article 25(3):

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<sup>5</sup> There is a link to the Instructions on the website for the call for proposals.

- a) Staff costs: researchers, technicians and other support staff to the extent they work with the project.
- b) Costs for instruments and equipment to the extent and during the time they are used for the project. If the instruments and equipment are not used throughout the life cycle of the project, only the depreciation costs corresponding to the life cycle of the research project, calculated on the basis of generally accepted accounting principles, are considered eligible.
- c) Costs for buildings and land to the extent and during the time they are used for the project. In the case of buildings, only the depreciation costs corresponding to the life cycle of the research project, calculated on the basis of generally accepted accounting principles, are considered eligible. For land, the costs of transfer on commercial terms or actual capital costs are eligible.
- d) Costs for contract research, knowledge and patents that are purchased or leased from external sources on market terms, as well as costs for consulting services and corresponding services used exclusively for the research activities.
- e) Other overheads and other operating expenses, including costs for materials, supplies and similar products, incurred as a direct result of a project.

## **6.2 Aid for non-economic actors**

Actors who do not engage in economic activities (such as universities, university colleges, municipalities and research institutes, to the extent that the work is carried out within the non-economic activities) can receive aid for up to 100 per cent of the actor's eligible costs in the project.

- Universities and university colleges may add indirect costs according to the full-cost principle they apply.
- Institutes with non-economic activities as well as public actors such as municipalities may add indirect costs in a maximum amount of 30 per cent of their eligible staff costs (i.e. salary and payroll overheads).

## **6.3 Aid for companies**

The proportion of a company's eligible costs (the so-called aid intensity) that can be covered by the aid from the Energy Agency is determined by the EU state aid rules. The aid intensity is determined partly on the basis of the research category that the various activities in the project are considered to correspond to, and partly based on the size of the company that is to receive the support.

Every unit, regardless of its legal form, that engages in economic activity is considered a company. Economic activity refers to the provision of goods or services in a market. This includes, in particular, self-employed persons and family businesses engaged in craft or other activities, and partnerships or associations regularly engaged in an economic activity.



### 6.3.1 *The activities in the project are divided into research categories*

The maximum aid intensity that a company may receive depends on the research category that the activities in the project are considered to correspond to. The activities in the project can also be considered to correspond to several different research categories. The maximum permissible aid intensities that a company may receive are set out in Article 25 of Commission Regulation (EU) No 651/2014<sup>6</sup>. The various research categories are described below in Table 1. Table 3 then indicates the maximum aid intensities.

If the company that the Energy Agency grants aid to has received or is receiving funding for the project in the form of other public aid (such as other state, regional or municipal aid), this aid must be taken into account when calculating the amount of aid the company can receive. Under the EU rules, the *total* amount of public aid that the company may receive for the project may not exceed the maximum aid intensities set out in Commission Regulation (EU) No 651/2014.<sup>7</sup>

**Table 1. Classification of research activities in research and development projects** <sup>8</sup>

<b>Feasibility study</b>	evaluation and analysis of the potential of a project aimed at supporting the decision-making process by objectively and rationally revealing the project's strong and weak sides, opportunities and risks and identifying the resources needed to implement it, and finally the prospects for the project becoming a success.
<b>Basic research</b>	experimental or theoretical work that is primarily aimed at the acquisition of new knowledge of the basic causes of phenomena and observable facts and that does not have the aim of any direct commercial application or use.
<b>Industrial research</b>	planned research or critical investigation aimed at the acquisition of new knowledge and skills for developing new products, processes or services or for bringing about a significant improvement in existing products, processes or services. It comprises the creation of components parts of complex systems, and may include the construction of prototypes in a laboratory environment or in an environment with simulated interfaces to existing systems as well as of pilot lines, when necessary for the industrial research and notably for generic technology validation.
<b>Experimental development</b>	<p>acquiring, combining, shaping and using existing scientific, technological, business and other relevant knowledge and skills with the aim of developing new or improved products, processes or services. This may also include activities aiming at the conceptual definition, planning and documentation of new products, processes or services.</p> <p>Experimental development may comprise prototyping, demonstrating, piloting, testing and validation of new or improved products, processes or services in environments representative of real life operating conditions where the primary objective is to make further technical improvements on products, processes or services that are not substantially set. This may include the development of a commercially usable prototype or pilot which is necessarily the final commercial product and which is too expensive to produce for it to be used only for demonstration and validation purposes.</p> <p>Experimental development does not include routine or periodic changes made to existing products, production lines, manufacturing processes,</p>

<sup>6</sup> Commission Regulation (EU) No 651/2014 of 17 June 2014 declaring certain categories of aid compatible with the internal market in application of Articles 107 and 108 of the Treaty.

<sup>7</sup> See Article 8 of Commission Regulation (EU) No 651/2014.

<sup>8</sup> The definitions are set out in Article 2, points 84 to 87 of Commission Regulation (EU) No 651/2014. A link is available on the call for proposals website.

services and other operations in progress, even if those changes may represent improvements.

### 6.3.2 The aid intensity depends on the size of the company

The maximum aid intensity that a company can receive also depends on the size of the company. If the applicant is a small or medium-sized enterprise, the aid intensity may be increased by 20 and 10 percentage points respectively, as set out in Article 25 of Commission Regulation (EU) No 651/2014.

When assessing a company's size, the number of employees, annual turnover and balance sheet total must be taken into account. The size of the company is defined according to Table 2. In order, for example, to be classified as a medium-sized enterprise, you must have fewer than 250 employees, and *either* the company's annual turnover *or* balance sheet total must be less than the amounts indicated in the table below (i.e. EUR 50 million and EUR 43 million respectively). The company's relationship with other companies, primarily owners, and the degree of control that other companies exercise over the company, are also significant in assessing the size of a company. This is described in Commission Regulation (EU) No 651/2014, Annex 1, Article 2. Also refer to the Commission's user guide on the definition of SMEs..

**Table 2. Definition of the companies' size<sup>9</sup>**

Size	Number of employees*	Annual turnover or balance sheet total**
Small enterprises	< 50	≤ € 10 m
Medium-sized enterprises	< 250	≤ € 50 m and ≤ € 43 m resp.
Large enterprises	≥ 250	> € 50 m and > € 43 m resp.

\*) The term employee here refers not only to salaried workers but also to owners working in the enterprise without being employees and consultants who are in a position of dependence on the enterprise.

\*\*) Data from the latest approved accounting period is taken into account. In order for a threshold to be considered passed, the enterprise shall have had higher or lower values for two consecutive years.

**The table below shows the maximum aid intensity that can be provided to actors for research and development projects.**

**Table 3. Overview of maximum aid intensities**

Type of research and development	Small enterprises	Medium-sized enterprises	Large enterprises	Non-economic actors*
Feasibility study	70 %	60 %	50 %	100 %
Basic research	100 %	100 %	100 %	100 %
Industrial research	70 %	60 %	50 %	100 %
Experimental development	45 %	35 %	25 %	100 %

\*) For example, universities and research institutes.

<sup>9</sup> Commission Regulation (EU) No 651/2014, Annex 1, Article 2. A link is available on the call for proposals website.

### 6.3.3 *Supplement to the aid intensities*

Under certain circumstances, a maximum supplement of 15 percentage points may be given when the project constitutes an actual collaboration between enterprises or between enterprises and research and knowledge-dissemination organisations. In order for such a supplement to be granted, certain special conditions must be met.

In the case of collaboration between enterprises, at least one of the enterprises must be a small or medium-sized enterprise unless the project is being carried out in at least two EU Member States. None of the enterprises can account for more than 70 per cent of the eligible costs.

In the case of collaboration between enterprises and research organisations, the research organisation must have the right to publish its own research results. The research organisation must cover at least 10 per cent of the eligible costs.

If the project does not constitute such a collaboration, a maximum supplement of 15 percentage points may still be granted if the results of the research project are widely disseminated through conferences, publications, open databases or free or open software.

The various supplements can be combined. However, the aid intensity may never exceed 80 per cent of the eligible costs.

### 6.3.4 *De minimis aid*

Funding can also be provided to companies by means of so-called de minimis aid (aid of minor importance). When aid is provided in the form of de minimis aid, the conditions set out in Commission Regulation (EU) No 1407/2013 of 18 December 2013 on the application of Articles 107 and 108 of the Treaty on the Functioning of the European Union to de minimis aid (OJ L 352, 18.12.2013, p. 1).

De minimis aid may, as a general rule, be granted up to a total of EUR 200,000 over a three-year period. For a company that performs road haulage on behalf of another party, de minimis aid may be granted up to EUR 100,000 over a three-year period. In connection with the application, the company must therefore submit a certificate to the Swedish Energy Agency regarding all other such aid that the company has received during the past three years.

## 6.4 **Co-financing**

Those parts of the project's eligible costs that are not covered by the aid from the Energy Agency are called co-financing. This may, for example, include

- working hours
- cash
- experiment costs

Co-financing in any form other than cash must consist of actual and revisable costs that arise during the project period.

Please note that the Energy Agency may impose higher requirements on the co-financing of the costs of beneficiary companies than those stipulated in Commission Regulation (EU) No 651/2014. The Energy Agency may also require the co-financing of non-economic actors to which the Agency grants aid pursuant to the appropriation directions for the Swedish Energy Agency (such as universities, university colleges, municipalities and research institutes).

Public funds may not be included in the co-financing of a company's costs. One example of this is co-financing from an actor whose activities are to some extent financed by, for example, municipal or state funds. If the actor co-finances part of the company's costs, the company cannot include the part that consists of public funds in its eligible costs.

For non-economic actors, public funds, such as the universities' block grants, can be used as co-financing.

### **6.5 International activities**

The Energy Agency is restrictive in providing research funding to actors without operations in Sweden. This can be granted in exceptional cases if all of the following criteria are met:

- 1 It can be proven that the actors without operations in Sweden have a unique competence that does not exist among actors in Sweden.
- 2 The project is essential for achieving the programme objectives.
- 3 There can be a clear transfer of knowledge to actors in Sweden.

The Energy Agency may refuse funding to actors with no operations in Sweden even if all of the above criteria are considered to be fulfilled.

## **7 What happens after I have submitted our application?**

Your application is assessed by a programme council and, if necessary, by foreign experts. It is the version of the application you submitted before the closing date of the call for proposals that is assessed. We do not approve supplements after the application deadline, apart from those that we have specifically requested. The expert group has an advisory role to the Swedish Energy Agency.

The Swedish Energy Agency may request that you submit a supplement to the application if we find reason to do so.

The Swedish Energy Agency performs a credit check on companies that apply.

The Swedish Energy Agency then makes a decision to accept or reject your application, taking into account the expert group's assessments. The decision will be made no earlier than April 2020. Shortly after this time you will receive a

message from us notifying you of the decision made and for what reasons the decision was made.

## **8 If you are granted aid**

In order for aid to be disbursed, an authorised representative for the beneficiary (e.g. authorised signatory) must confirm that it has taken note of the Swedish Energy Agency's decision and that it accepts the conditions for the aid.

Disbursement of the aid is done according to a payment plan which is described in the decision sent to you. For more information about payment, see the terms attachment accompanying the decision concerning your aid.

## **9 This call for proposals is part of the Marine Energy Conversion 2018 -2024 programme**

Marine Energy Conversion 2018-2024 is based on the Swedish Energy Agency's [Marine Energy Strategy](#), which was adopted in spring 2017. The vision for the programme is that marine energy concepts developed in Sweden contribute to the transition to a global, sustainable energy system. This takes place through research into and the development of technologies, systems and questions relating to the production of electricity from the sea.

The programme includes wave power, current power and salinity gradient power. The focus is on technologies with the potential for commercialisation before 2030. The programme is therefore expected to have a strong focus on the first two technologies, i.e. wave power and current power, as these are believed to have achieved a degree of maturity that makes commercialisation possible within this time frame.

The main market for marine energy conversion systems is expected to be abroad, but the Swedish Energy Agency believes that an initiative in research and innovation in the field of marine energy in Sweden is justified on the basis of Sweden's strong, in many cases world-leading position in both the world of research and the company-driven area of innovation. The initiative via this programme is expected in due course to create growth in Sweden by giving rise to increased exports and an increased proportion of exporting companies, and also increasing the number of jobs in Sweden.

As the market is in the first instance expected to be abroad, international partnerships are viewed as being strategically important. For this reason, and to gain a better overview of the Swedish Energy Agency's investments in marine energy, the programme also includes the Swedish Energy Agency's international

initiatives, such as new activities in, for example, IEA OES and OCEANERA-Net Cofund.

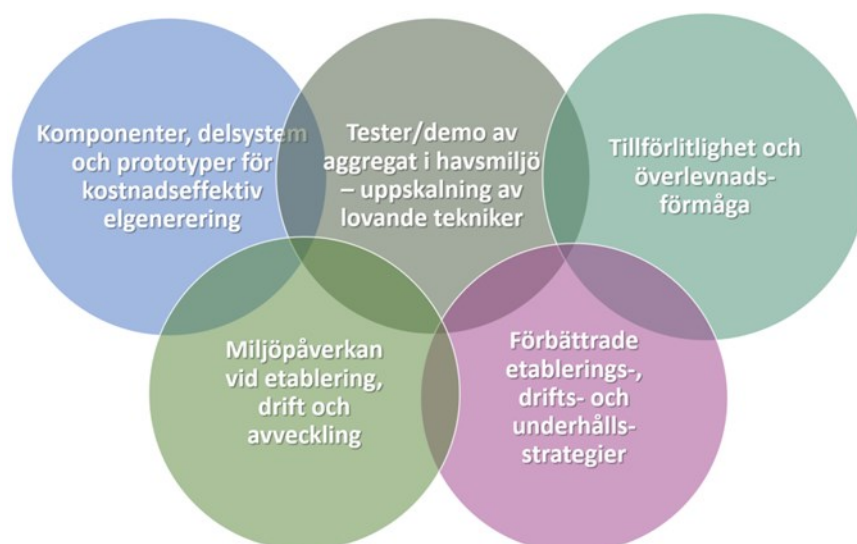
The goals for the programme can be summarised in three categories: goals for a continued development of cost-efficient, sustainable marine energy systems in Sweden; goals for a stronger value chain in Sweden that includes new actors; and goals for a high degree of knowledge dissemination and collaboration, both within Sweden and internationally.

The investment within the Marine Energy Conversion 2018-2024 programme totals SEK 105 million. An annual call for proposals is planned for the first four years. In the event of a decision to extend the programme, there is also a plan for an annual call for proposals for the following two years. In addition to this, additional calls for proposals may be added within the framework of the Swedish Energy Agency's international partnerships.

Initiatives within the programme are targeted at the five focus areas designated in the strategy (see below).

### 9.1 Focus areas

The programme has five identified areas of needs (see Figure 1): development of components, subsystems and prototypes for cost-efficient electricity generation; improved reliability and ability to survive; increased knowledge of environmental impact; improved establishment, operational and maintenance strategies and the testing and demonstration of systems in the marine environment. These are not ranked in any order of precedence and are described below.



**Figure 1. Focus areas**

### 9.1.1 *Environmental impact of establishment, operation and discontinuation*

The sea is already under great pressure from human activities, which places strict demands for responsibility when establishing activities in the marine environment. For the credibility of the marine energy industry, and as marine energy is to some extent competing with other renewable energy technologies, it is important that it has as little environmental impact as possible. It is therefore appropriate for businesses and government agencies to assume responsibility for guaranteeing sustainable installations that minimise the environmental impact. There is currently limited knowledge of the impact that different kinds of energy conversion farms will have on their environment. For example, the industry needs to build up more knowledge about noise from marine energy systems and its impact on the marine environment. The systems also need to be able to handle fouling from, for example, algae and barnacles. More studies are also needed into electromagnetism, material properties and the risk of emissions, as well as the environmental impact of these aspects. The environmental impact also includes the interaction between marine energy conversion technologies and the marine ecosystem, such as fish and seals. Additional aspects that need to be considered are scaling up and accumulated effects of marine energy systems, as well as the methodology for monitoring, assessing and evaluating the environmental impact, e.g. through life cycle analyses. The studies conducted within the programme aim to build up knowledge that can provide base data that may support permit processes and processes involving the production of marine plans. This might mean, for example, identifying which interests can be combined with each other and which will be in direct conflict.

### 9.1.2 *Reliability and survivability*

To secure the marine energy industry's future competitiveness in the global energy system, it is crucial to be able to display a high level of survivability and reliability of technologies, while at the same time achieving a significant cost reduction for electricity production. Aspects that affect the reliability and survivability of marine energy conversion systems are robustness, maintenance requirements, storm strategies and subsystems such as anchoring, foundations and fastening. The challenges bring increased knowledge requirements in the field of reliability modelling, as well as design, testing and monitoring of systems, subsystems and components.

### 9.1.3 *Components, subsystems and prototypes for cost-efficient electricity generation*

The marine energy industry is characterised at present by a number of different concepts that are in different stages of maturity. It is likely that the market will be consolidated in future, and the number of different concepts will be reduced to a



few. It is therefore important at an early stage to study the energy conversion performance for different wave and current power technologies, as well as salinity gradient power technologies, by means of modelling (e.g. with the aid of generic models), designs and prototypes. Subsystems and components are also an important cost factor and need to be developed and tested. These may, for example, be subsystems for power transmission or control and monitoring. There is also a need for greater knowledge in the scaling up of individual units in a concept to farms. The development needs described here need to be processed with a strong link to financial models and calculations.

#### *9.1.4 Tests and demonstration of systems in marine environment – scaling up of promising technologies*

Experiences from several previous marine energy development projects have shown that the biggest challenges start to become evident when concepts are tested in an actual marine environment. Testing and demonstration in full-scale or part-scale of systems in a marine environment are therefore a key stage in the development of marine energy conversion systems. This makes it possible to test technical solutions in the relevant operational environment and to verify performance and previous results from calculations, tank tests or tests on land. This is crucial information to define performance specifications and cost calculations that are demanded by potential customers and investors. To avoid repeating earlier mistakes in marine energy development projects, it is important here to make use of experiences from other demonstrations.

#### *9.1.5 Improved establishment, operational and maintenance strategies*

The cost of installation, operation and maintenance is currently high, which limits the opportunities to quickly get down to low electricity production costs. To reduce the costs, solutions relating to installation methods and operating and maintenance strategies need to be developed and improved. Examples of this are the launching of smaller, cheaper vessels, modular systems that make maintenance possible at a different location, business models or maintenance strategies that utilise synergies with other sectors (oil/gas, wind power, etc.). There are also operational strategies that make it possible to achieve better energy extraction in farms and in different operational situations (for example in tidal waters). It is important to prioritise health and safety in connection with these activities, which means that risk analysis is also included as a necessary area.

## **10 If you have any questions**

We at the Swedish Energy Agency are happy to answer any questions about the call for proposals. We may not, however, make comments about project concepts



and give recommendations, but can only answer questions about the actual call for proposals.

Bear in mind that a lot of phone calls are usually received on the last day on which the call for proposals is open, which means that it can be more difficult to obtain help then. The Swedish Energy Agency is only available for questions until 16:00, after which you cannot expect any help or support. We offer support until 16:00 on the day on which the call for proposals closes.

**Technical support for E-kanalen**

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**Other questions about the call for proposals**

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## Appendix

### **Conditions for granted projects**

The conditions that apply to approved projects will be evident from the Swedish Energy Agency's decision concerning the granted aid. A description of the conditions follows below.

### **General**

The Swedish Energy Agency's decision regarding aid is based on an agreed project and cost plan. The part of the costs not covered by the aid from the Swedish Energy Agency shall be borne with own resources or with funds provided by another financier. The beneficiary is responsible for financing cost increases that occur during the project period. The Swedish Energy Agency's decision regarding aid, which does not concern the current financial year's aid, only applies provided that the Swedish Energy Agency receives/has at its disposal requisite funds.

The shifting of costs between cost categories is accepted up to 10 per cent within each cost category, provided that the total framework does not change. Greater changes require approval from the Swedish Energy Agency.

### **Section 1 Payment of aid**

Payment of aid is made, unless otherwise stated in the decision, in the middle of project period for each budget year without previous order. Aid only covers value added tax when this occurs as net cost at the Beneficiary (only applies to universities and university colleges). Verifications for accounted expenditure items must, on request, be submitted to the Swedish Energy Agency. Funds that have not been used are to be repaid. Advances can be provided, at most 30 per cent of the total amount of aid (only applies to universities and university colleges). 15 per cent, or another percentage set out in the decision, of the granted funds can be withheld until final reporting in accordance with Section 4 has been submitted and approved by the Swedish Energy Agency.

### **Section 2 Employer relationship**

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

### **Section 3 Notification obligation regarding financing**

The beneficiary is obliged to immediately notify the Swedish Energy Agency in writing, if funds for the project in the decision have been sought or granted from anyone other than the Swedish Energy Agency.

#### **Section 4 Duty to report**

Reports and surveys as set out below shall be submitted in accordance with the Swedish Energy Agency's instructions. If, in addition to this, special reports are required this is stated in the decision.

##### ***Annual report***

Universities and university colleges are obliged, for each budget year, at the request of the Swedish Energy Agency, to submit annual reports concerning the department's and/or research team's complete activities.

##### ***Progress report***

The progress report concerning the project's activities shall be provided at the request of the Swedish Energy Agency. This should include a description of the project's existing activities and results as well as a financial presentation. In addition, the Swedish Energy Agency can request that the report shall include a technical status report. The progress report shall be submitted to the Swedish Energy Agency at the latest on the date stated in the decision.

##### ***Financial accounts – only applies to companies***

Financial accounts shall be submitted once or twice a year using the specific form provided by the Swedish Energy Agency or collected from the Agency's website ([www.energimyndigheten.se](http://www.energimyndigheten.se)). The account shall be submitted at the latest on the date stated in the decision.

##### ***Final report***

The final report shall report the project result and contain a description of the project's implementation and the fulfilment of objectives. Furthermore, the report shall contain a summary of the project result in English of no more than 200 words. The report shall be submitted to the Swedish Energy Agency at the latest on the date stated in the decision.

A financial final account shall be submitted no later than on the date stated in the decision using a specific form provided by the Swedish Energy Agency or collected from the Agency's website ([www.energimyndigheten.se](http://www.energimyndigheten.se)).

##### **Survey**

As the beneficiary, you need to complete a survey at the end of each year and submit this to the Swedish Energy Agency. We collect details from all beneficiaries on behalf of the Government in order to present a number of results in indicator form in our annual financial statement.

#### **Section 5 Changes**

Significant changes within the Swedish Energy Agency approved project and cost plan by must be reported in advance to the Swedish Energy Agency for analysis and approval. The beneficiary must immediately notify the Swedish Energy Agency if circumstances of significant importance occur that result in the

cancellation or delay, etc. of the project. The beneficiary is obliged to immediately report any changes in name or address.

### **Section 6 Publication**

The project result must be published. Publication shall take place in accordance with international best practice for the publication of research results.

The beneficiary is entitled to protect the results by patents or other intellectual property rights and, in doing so, postpone publication until any application for such property rights has been submitted to the relevant patent office. The Swedish Energy Agency must be notified if the beneficiary intends to protect the results. Applications to the patent office must be submitted without delay. The Swedish Energy Agency's written approval must be obtained in each individual case if the beneficiary wishes to delay publication for reasons other than those stated above or refrain from publishing certain results.

All presentations of the project must state that the work has been conducted with the support of the Swedish Energy Agency (the agency name should be reproduced in English, Swedish Energy Agency).

### **Section 7 Rights to results**

The beneficiary or the result's rights holder holds the commercial right of use of the project results and is entitled to make available or transfer the rights to another.

If the rights to the project are transferred to a company that runs economic activities, compensation corresponding to the market price for the rights shall be paid (only applies to universities and colleges).

### **Section 8 Right to review**

The Swedish Energy Agency or person/persons appointed by the Swedish Energy Agency (e.g. certified accountant) are entitled to follow-up the work and study documents that can provide information about the technical and economic development of the project. The Swedish Energy Agency is entitled to issue special instructions for reporting in order to enable the review.

In addition, the Swedish Energy Agency has the right to follow-up completed projects through 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 day of the final report.

### **Section 9 Amendment to the decision**

At the request of the beneficiary with a motivation, the Swedish Energy Agency can grant well-motivated amendments to the project.

**Section 10 Annulment of the decision**

The Swedish Energy Agency can decide that unused aid shall be withheld alternatively that issued funds, that have not been worked up, shall be repaid if:

- a) the conditions for the project's financing have changed
- b) the project is not run according to the agreed project plan
- c) there is no prospect of achieving a satisfied result within a reasonable time (for example, due to significantly changed conditions or conditions of competition) or if the project's planned continuation cannot be considered assured (for example, due to insolvency if the beneficiary is a company)
- d) the beneficiary fails to sign and resend a copy of the conditions appendix to the Swedish Energy Agency.

**Section 11 Recovery of amounts paid**

Amounts paid together with interest of 8 % (eight per cent) above the applicable reference interest can be reclaimed with immediate effect if:

- a) the beneficiary does not provide the prescribed reports according to Section 4
- b) the beneficiary uses the aid for purposes other than what is stated in the agreed project plan
- c) the project is not run according to the agreed project plan
- d) the beneficiary does not otherwise satisfy the obligations according to the conditions appendix or the special conditions in the decision.

**Section 12 Retention of aid**

The Swedish Energy Agency is entitled to stop further payment of funds until a decision is made to refuse payment or to reclaim granted funds according to paragraphs 10 and 11. Such a stop to further payment of funds can include payments to other projects administered by the same department, company or corresponding administrative unit, if the Swedish Energy Agency so decides.

**Section 13 EU's State aid rules**

As a condition for aid, it applies that funding measures may be repealed or changed and the aid reclaimed if the European Commission through judgements which have entered into force or the Court of Justice of the European Union has found the aid to be unlawful pursuant to Article 107 of the Treaty on the Functioning of the European Union. The decision to repeal or change the funding measures is taken by the Government. In this context the conditions for repayment of aid are determined in each individual case.

**Consent to making information available**

The Swedish Energy Agency makes information about projects financed by the Agency available on the Agency's website ([www.energimyndigheten.se](http://www.energimyndigheten.se)). The general public can use the site to search for information about on-going and

completed research projects based on different keyword searches, such as research subject, research organisation, project title and project manager. The beneficiary is responsible for any copyright holder having agreed to this availability and shall ensure that the copyright holder is entitled to provide consent in each individual case. Accompanying the Energy Agency's decision on the granting of funding is a consent form relating to making information available. By signing the document, the authorised representative of the beneficiary consents/does not consent to information – not subject to confidentiality under the Public Access to Information and Secrecy Act (2009:400) – included in the project being made available to the public.

### **Consent for personal data processing**

The Swedish Energy Agency makes information about projects financed by the Agency available on the Agency's website ([www.energimyndigheten.se](http://www.energimyndigheten.se)). Accompanying the Energy Agency's decision on the granting of funding is a consent form relating to personal data processing. By signing the form, the project manager consents/does not consent to their personal data being processed by the Swedish Energy Agency in order to be made available to the public on the Agency's website. More information about how the Swedish Energy Agency processes personal data can be found on the Energy Agency's website ([www.energimyndigheten.se](http://www.energimyndigheten.se)).

### **Public documents and secrecy**

Essentially all post and e-mail sent to the Swedish Energy Agency become public documents. Among other things, this means that the public and mass media can request to view their contents. Official letters and decisions sent from the Energy Agency are also public documents. The right to view public documents is part of the principle of public access to official documents.

However, the Energy Agency is not permitted to disclose information covered by secrecy in accordance with the Public Access to Information and Secrecy Act. This means that a document or certain information in a document may be protected by secrecy. A secrecy assessment is therefore made on a case-by-case basis before a document is disclosed.

Secrecy applies to information on an individual's business or operating conditions, inventions or research findings, for example, if it can be assumed that the individual will suffer damages if the information is disclosed.