

Science for Peace and Security Programme



Events Handbook

Advanced Research Workshop (ARW)

Advanced Study Institute (ASI)

Advanced Training Course (ATC)

Applicable to SPS Calls for Proposals in 2020 (Excluding Special Calls)

1. Introduction

The NATO Science for Peace and Security Programme (SPS) seeks to enhance cooperation and dialogue between NATO and its partner nations through civil science and innovation. The SPS Programme funds security-related activities relevant to NATO's strategic objectives which address SPS Key Priorities (see Annex). SPS offers grants for Events (workshops and training) and Multi-Year research and development Projects for scientists and experts from NATO nations and Partner countries.

This Handbook describes the financial and administrative procedures for the management of the first of these, SPS Events, comprising Advanced Research Workshops (ARW), Advanced Study Institutes (ASI), and Advanced Training Courses (ATC), and sets out the general terms and conditions governing grants made under this program. Additional procedures, terms, and conditions may also be set out in the Award Letter or in the approved event application. The current version of this Handbook and its annexes are available on the NATO SPS website: www.nato.int/science.

Questions about SPS and SPS events in general, before an application is submitted, should be addressed to sps.info@hq.nato.int. Completed applications must be submitted to sps.applications@hq.nato.int.

1.1. What types of events does NATO SPS sponsor?

1.1.1. Advanced Research Workshop (ARW)

A NATO ARW is a **two to three days** meeting for high-level intensive discussions on a security-related topic in one or more of the SPS Key Priority areas, engaging 20–50 experts from NATO countries and eligible Partner countries. In addition to their role in disseminating the latest results, ARWs also serve to formulate recommendations and conclusions for policy or further study and to foster partnerships among experts from different countries, often leading to the formation of new research collaborations.

1.1.2. Advanced Study Institute (ASI)

A NATO ASI is a short course, typically **seven to ten days**, where expert lecturers bring an audience of young scientists a focused, in-depth curriculum on a security-related topic in one of the SPS Key Priority areas. ASIs are typically aimed at experts at the post-doctoral level although pre-doctoral students and young scientists can often benefit as well. ASIs have the specific role of contributing to the training and motivation of young researchers in NATO's Partner countries, of introducing and interesting young NATO-country and Partner-country experts alike in topics relevant to NATO, and of building networks among these young researchers.

1.1.3. Advanced Training Course (ATC)

A NATO ATC is a focused training course typically lasting **five to seven days** which enables specialists in NATO countries to share their expertise in one of the SPS Key Priority areas with trainees, primarily from NATO's Partner countries but also from other NATO countries. ATCs provide training to experts with an appropriate background who wish to learn of recent developments in their areas of expertise. ATCs contribute to the training and motivation of experts in Partner countries, and enable the formation and strengthening of international expert networks.

1.2. Who Can Apply?

Applications must be submitted by experts who are nationals, residents and employees of NATO nations and nationals, resident and employees of NATO's partner countries*. Applications must thus be developed and submitted jointly by one applicant from a NATO nation, and one from a NATO partner country. Individuals from for-profit private companies are not eligible. Both co-directors work together to prepare the programme or curriculum, select experts and other participants (such as ASI students or ATC trainees), organize event practicalities, manage SPS funds, and report to NATO. The co-directors generally also serve as speakers or trainers themselves during the event.

Applicants should note that they **may not hold more than one SPS grant at a time**. Prospective co-directors should ensure that any other SPS activity directed by either of them is formally closed before applying.

1.3. Who Can Attend?

Participation in ARWs and ATCs is by invitation of the co-directors although they may accept applications if they wish, while ASIs have traditionally been open to application from qualified prospective students. Attendees must come from and be nationals of NATO countries and eligible Partner countries, and applicants are encouraged to include attendees from a wide variety of eligible Partner countries. In extraordinary cases and subject to the prior approval of NATO, outstanding speakers or trainers from other countries may participate in SPS events; such speakers must be indicated in the application "A" worksheets.

In no case may non-speaking participants (e.g. ASI students, or ATC trainees) come from non-NATO, non-Partner countries, even if they are a national of an eligible NATO or Partner country. Once an award has been granted, **attendance from Partner countries not identified in the application "A" worksheets is not possible**.

Finally, please coordinate invitations to personnel from NATO itself through the SPS Office so that we can help identify the most appropriate invitees. Co-directors are also encouraged to ensure a gender-balanced list of participants.

1.3.1. ARW

ARW participants should be chosen by the co-directors for their ability to contribute to the topic of the meeting and to achieve the appropriate blend of expertise and variety of viewpoints to stimulate discussion and promote the exchange of ideas.

* Due to the 1 April 2014 decision of NATO Foreign Ministers to "suspend all practical civilian and military cooperation between NATO and Russia", Russian participation in SPS activities is currently not possible and all references in this document to Partner countries should be understood as not including Russia.

Attendance should be balanced between participants from NATO countries and those from eligible Partner countries. No more than 25% of attendees may come from any one country.

1.3.2. ASI

Students should be chosen based on their qualification, promise, and capacity to benefit from and contribute to the ASI. While an ASI is aimed at young scientists at a post-doctoral level, exceptional Ph.D. students may also be included. ASI students must come from, and be nationals of, NATO countries and eligible Partner countries; students from other countries are not permitted to attend. No more than 25% of the students may come from any single country.

Experience has shown that the most successful ASIs have 12 to 15 expert speakers and 60 to 80 students. In special cases, the number of Lecturers can be increased slightly, but no more than 15 can be financed by the NATO grant, including the Co-Directors.

1.3.3. ATC

The co-directors and the organising committee are responsible for selecting around 20 to 50 appropriate Trainees, primarily from eligible Partner countries although NATO-country Trainees may also be considered. ATC Trainees should be selected on the basis of their qualifications and experience and the benefit that they may draw from the ATC for their future activities.

2. Location

SPS prefers that, wherever feasible, events be held in a Partner country. ASIs and ATCs should be held, when possible, at a location with all facilities, including accommodation, at the same site to facilitate free exchange among participants.

3. Workshop and Training Fees

If necessary, organizers of ASIs and ATCs may charge a modest fee to trainees for event costs not covered by SPS.

This fee and its intended use should be clearly detailed in the application and are subject to approval on a case-by-case basis by the SPS Office.

4. The Life of an SPS Event

4.1. Application and Evaluation

4.1.1. Application

Prospective co-directors work collaboratively to develop an event plan and jointly fill out the application which describes the event and its purpose in detail. The application includes a Microsoft Excel spreadsheet for attendee lists and budgets. Only the **“A” worksheets** of the event spreadsheet should be filled in as part of the application. All requested attachments must be completed and submitted together in order to be eligible for evaluation.

In the course of preparing the application, applicants should approach potential speakers or trainers about their willingness to participate; their names and their level of commitment to the event should be included

in the application. The application must also include as complete a draft agenda as possible with names of speakers and their provisional talk titles wherever possible.

In preparing events, applicants should keep in mind that the overall approval process for successful applications, from application deadline to confirmation of funding can take several months. Thus, please allow a **minimum** of nine months between the application **deadline** and planned date of the event. If the approval process is not completed in time, the event may need to be rescheduled.

4.1.2. Format of Events

Especially for Advanced Research Workshops, the applicants shall consider to structure the event in an interactive way and to foresee as much as possible brainstorming sessions, work in different syndicates, development of technical, scientific or policy way forward and recommendations. Normally, it is expected that around 30% of the ARW duration would be devoted to these sessions. Additionally, the applicant shall clearly identify which are the concrete and tangible outcomes expected, i.e. in terms of communication products (website, press releases, articles on general media) and publications (scientific publications, books, etc.).

4.1.3. Peer-Review

Event applications are evaluated by the Independent Scientific Evaluation Group (ISEG), a group of scientists from NATO countries nominated by, but not representing, their respective governments. ISEG base their recommendations on:

- content and quality of the proposed event
- qualifications and level of commitment of the proposed speakers/trainers
- appropriateness of the event format and agenda
- relevance to the [SPS Key Priorities](#) and link to defence and security
- and, for ATC and ASI
 - importance and quality of the educational/training objectives
 - design of the teaching programme
 - appropriateness and importance of the topic and audience

After review, the ISEG make their recommendations to NATO.

4.1.4. Approval and Award

Events recommended by the peer-reviewers are considered by the NATO Allies who make the final decision to fund or reject.

Should an application be approved by the NATO Allies, an Award Letter, is issued by the SPS Office* advising the co-directors of the decision and detailing the conditions of the award. This award letter must be countersigned by the NATO-country Co-Director and returned to the SPS Office, together with the completed instructions for payment, within 30 days to indicate acceptance of the grant. At this time, the co-directors must also confirm the planned dates and location of the event. A period of minimum 90 days should be factored in from the date when the Award Letter is received by the co-directors to the date when the event will take place.

The countersigned Award Letter, its appendices and documents included in it by reference, together with this Handbook, form the contract between NATO on the one side and, on the other, the NATO-country Co-Director to whom the grant is formally made.

* Formally the *Science for Peace and Security Programme Management and Budget unit in the NATO Emerging Securities Challenges Division*

4.2. Event Details and Advance Payment

As soon as possible but no later than 60 days before the start of the approved event, Co-Directors must send to the SPS Office:

- the final event programme, including all speakers and titles of presentations; if talk abstracts are available, they should be included as well;
- a copy of any proposed invitation or publicity material; **do not send invitations or distribute publicity material without the prior approval of the SPS Office;**
- a copy of the signed agreement with the event location;
- a revised version of the event spreadsheet with the **“B” worksheets** completed
 - a list of speakers and other participants finalized to 90%
 - a revised budget estimate

These documents will be reviewed by the SPS Office and, when approved, 85% of the budgeted event expenses will be paid into **the institutional account** designated by the NATO-country Co-Director. At this point, organizers can begin to make practical arrangements for event attendees.

In the case of difficulties or irregularities, the SPS Office reserves the right to require or impose modifications to the budget or the event, or to terminate the grant.

4.3. Final Report and Event Balance Payment

A report describing the event and providing the actual list of participants and a financial report (**the “C” worksheets** of the event spreadsheet) must be submitted to the SPS office **within 45 days** of the event. Upon approval by the SPS office, the balance of the Event costs will be paid, up to the lesser of the approved grant budget (i.e. the 15% remaining), or the funds actually spent. If unspent funds remain from the Advance Payment, they must be returned to NATO as per the instructions provided by the SPS Office.

4.4. Publication in the NATO Science Series

NATO recommends, but does not require that the results of an SPS event be published. By special arrangement with Springer Science and Business Media and IoS Press, Co-Directors of NATO events have the opportunity to publish in the NATO Science Series and should indicate in the application and budget whether they plan to do so. Publication is contingent on acceptance by Springer or IoS which must be negotiated directly by the Co-Directors.

An additional €3,500 can be included in the budget of an event for the preparation and publishing of a manuscript in the NATO Science Series. These funds will be paid upon acceptance of the manuscript by the publisher and receipt by NATO of the signed contract between the co-director and the NATO Science Series publisher, **but in no case more than nine months after the event**. If the signed publishing contract is not received within nine months of the event, the file will be closed **without payment** of these funds. Publication outside the NATO Science Series is not eligible for these additional funds.

5. Finance

The NATO grant pays for the direct organizational expenses of the event including facility and equipment rental, audio-video fees, publicity materials, coffee breaks, and so forth as well as up to €2,000 as project management fee for the NATO-country Co-Director in order to cover event related miscellaneous expenses. The organizational expenses should not exceed 25% of the overall grant amount.

The grant will also cover the travel expenses of Speakers/trainers. In addition, the travel expenses of Non-Speakers/Trainees from NATO countries and eligible Partner countries* or International Organizations unable to obtain financial support from other sources can be subsidized.

A single event dinner or reception can be included in the budget; the travel expenses of attendees should cover all other meals. The organizers are expected to minimise costs by efficient organization of the workshop and the choice of location.

Many organizers find that the NATO grant attracts other support, and joint sponsorship and support are welcome, either as indicated in the application or with the subsequent approval of the SPS Office. Notwithstanding any joint sponsorship, the event must respect the appropriate format and be designated a "Advanced Research Workshop supported by NATO SPS", "Advanced Study Institute supported by NATO SPS", or "Advanced Training Course supported by NATO SPS" as appropriate in all event materials.

The funding awarded for each event is determined by NATO, taking into account the number of participants, and the size, duration, and location of the meeting; ARWs average €30–40,000, and ASIs and ATCs average €60,000. The grant will be awarded in Euro, but payments may be made in any currency desired by the co-directors. NATO cannot be responsible for exchange rate fluctuations. Justifications, preferably certified, will have to be provided for all expenses done from the NATO Award.

5.1. Conditions

The award letter will be made in the name of the NATO-country Co-Director. He or she is responsible for coordinating expenditures with the Partner country Co-Director and providing financial reporting to NATO. Grant funds must be paid into a **separate account or sub-account established exclusively for this event**, at the Co-Director's institution; NATO funds shall not be mingled with funds from any other source.

Grantees will manage funds in accordance with the event budget and other conditions of the SPS Award Letter and with the financial regulations in place at the NATO-country Co-Director's institution. These regulations must comply with fundamental procurement principles such as competition, transparency, fairness, integrity, etc., as specified in the WTO Government Procurement Agreement. Furthermore, they must contain standards of conduct governing staff engaged in the award and management of contracts under the grant. These standards must include provisions to avoid real or apparent conflicts of interest and to prohibit the acceptance and solicitation of favours or gratuities from potential or actual recipients of grant funds (i.e. vendors and service providers).

Should NATO, in its sole discretion, require any additional conditions or modifications to these institutional rules, they will be discussed with applicants and included in the Award Letter or communicated to co-directors in writing.

* Partner Countries eligible for full subsidy of travel expenses for non-speaking participants: Afghanistan, Algeria, Armenia, Azerbaijan, Bosnia and Herzegovina, Colombia, Egypt, Georgia, Iraq, Jordan, Kyrgyz Republic, Mauritania, Republic of Moldova, Mongolia, Morocco, Pakistan, Sweden, Switzerland, Tajikistan, Tunisia, Turkmenistan, Ukraine, Uzbekistan.

Partner Countries eligible for 80% subsidy of travel expenses for non-speaking participants: Belarus, Kazakhstan, Serbia.

Partner Countries not eligible for subsidy of travel expenses for non-speaking participants: Australia, Austria, Bahrain, Finland, Ireland, Israel, Japan, Kuwait, Malta, New Zealand, Qatar, Republic of Korea, ~~Russian Federation~~, United Arab Emirates.

In the event of any discrepancy between the rules imposed by NATO (whether by way of this Handbook, the Award Letter, or otherwise) and the financial rules of the institution, the former take precedence.

NATO funds must be used only for **direct event-specific costs** reflected in the budget. Any misuse of funds or material non-compliance with grant conditions may lead to the immediate termination of the grant and to legal action.

5.2. Documentation

All payments from the grant must be reflected in the final financial report in the “**C**” **worksheets**. In addition, justifying documentation must be retained for expenses as required by the financial standards of the NATO-country Co-Director’s institution. Copies of these justifying documents must be submitted to the SPS Office on request. Original justifying documents should be retained by each co-director, and approved copies by the NATO-country Co-Director for at least three years after the event.

6. Inspection and Audit

Grant recipients shall allow NATO representatives or its authorized agents access to their premises and facilities to carry out monitoring reviews and compliance audits; provide them with access to all accounts, records and other information relating to an event, and respond fully and accurately to any inquiries NATO may make for the purpose of verifying adherence to the terms and conditions of the grant or NATO requirements.

The financial records of the event, including justifying documents must be made available to the SPS Office upon request. A summary including a current account statement from the holder of the project account shall be made available within one week of the Office’s request, while a reasonable delay, not to exceed four weeks, will be accorded for justifying documents.

Furthermore, grant recipients shall

- (a) provide any information about the grant that NATO reasonably requests, in a timely manner;
- (b) contribute to the monitoring, review and evaluation of NATO’s granting programs by participating in reviews, evaluation studies, surveys, audits and other activities organized for the purpose of collecting information to assess progress and results;

7. Legal Conditions

Grants under the SPS Programme are unilateral grants, made at the sole discretion of NATO. NATO may decline to make any grant or to withhold any grant payment at its sole discretion, in whole or in part. The most recent revision of this Handbook and its annexes, along with the signed Award Letter, and any documents annexed to it or incorporated in it by reference, constitute the entire terms and conditions of grants under the SPS Programme. In the event of inconsistencies among these documents, the Award Letter and its annexes take priority over this Handbook and its annexes.

Without limiting the generality of the foregoing, in the event of any default by a Grant Recipient, or if a Grant Recipient fails to comply with any of the terms and conditions set out in the Handbook, its annexes or the Award Letter and its annexes, other written communications from NATO, or the financial regulations in place at the NATO-country co-director’s institution, NATO may at its sole discretion suspend (whether in whole or part) the grant and the payment of any monies, or may terminate the grant. In such circumstance, NATO may at its sole discretion require repayment of some or all unexpended monies, or expended monies, and Grant Recipients are jointly and severally liable for repayment of such monies.

8. Annexes

- SPS Key Priorities
- SPS Events Eligible Countries and Definitions
- SPS Event Application Instructions
- SPS Event Application Form
- SPS Event Application - Acceptance of Funds (*to complete and insert into Application form*)
- SPS Event Budget (Excel document)

Reporting

- SPS Event Final Report Form