

NOBEL SYMPOSIA

INSTRUCTIONS

1. Introduction

The Nobel Foundation's symposium programme was initiated in 1965 (the "Nobel Symposium Programme"). The Nobel Symposium Programme has obtained a good reputation and now plays a significant role in the international exchange of knowledge and experience. The Nobel Foundation, through its Nobel Foundation Programme Committee (*Sw: Nobelstiftelsens programkommitté*) (the "Programme Committee"), is the entity formally granting Nobel Symposia Programmes. The decisions will be based on proposals from the Royal Swedish Academy of Sciences or, for the Peace Prize, the Norwegian Nobel Institute.

2. General

A "Nobel Symposium" is a scientific gathering that takes place in Sweden, Norway or South Africa and has a clear international emphasis. Permission to organise a Nobel symposium in another country may be granted by the Programme Committee on a case-by-case basis. A majority of the active participants should come from academic institutions and research organisations in non-Nordic countries, but scientists from the host country must also be invited. A Nobel Symposium should be devoted to scientific or scholarly disciplines related to the Nobel Prize areas. It should have a limited number of active participants, no more than 50. A Nobel Symposium should preferably last no longer than 3-5 days. It is desirable that a limited number of younger researchers be given a chance to follow parts of the Nobel Symposium as participants or observers, and that a limited part of the Nobel Symposium is an open session(s).

A Nobel Symposium must maintain an excellent international standard. This includes the selection of the speakers & participants, the general administration and the scientific level of the content.

In South Africa, under the licence extended to the Royal Swedish Academy of Sciences by the Nobel Foundation and through major grants from the Knut and Alice Wallenberg Foundation (KAW), Stellenbosch Institute for Advanced Study (STIAS) will host, in partnership with Stellenbosch University, yearly Nobel Symposia under the Nobel in Africa Initiative. Ordinarily there will be one symposium per year in one of the following four fields: Physics, Chemistry, Physiology or Medicine, and Economic Sciences.

Once a Nobel Symposium has been approved by the Programme Committee, and this has been communicated to the Royal Swedish Academy of Sciences, the institution that has applied for the Nobel Symposium in question (the "Grant Administrator") is obliged to arrange the Nobel Symposium according to the instructions stipulated in this document. The Grant Administrator must be an academic institution, in the form of a government authority or other legal entity (*Sw: juridisk person*) such as a foundation, limited liability company, non-profit or cooperative association/company (*Sw: ekonomisk förening*).

For Nobel Symposia in South Africa, STIAS assumes the role of Grant Administrator. Once a Nobel Symposium has been approved by the Programme Committee, and this has been communicated to the Royal Swedish Academy of Sciences, the Swedish researcher/research

team that has applied for the Nobel Symposium in question (the “Collaborator”) is obliged, together with STIAS, to arrange the Nobel Symposium according to the instructions stipulated in this document.

The Programme Committee may at any time cancel a Nobel Symposium, if the committee comes to the conclusion that these instructions have not been followed.

3. Application

Once a year, the Royal Swedish Academy of Sciences will announce a call for proposals. A written application shall be sent to the Royal Swedish Academy of Sciences or, for the Peace prize, a written application and a proposal shall be sent to the Norwegian Nobel Institute, at least a year before the symposium is intended to take place. This application should include a brief description of the current research situation in the field that the symposium is intended to cover, as well as an explanation of its purpose.

Prospective applicants for Nobel Symposia in South Africa are strongly advised to consult with and include scientists and research units located in Africa as co-applicants (members of the applying research team), with a description of the scientific involvement/contribution of each participating unit/scientist within the overall scientific proposal. The purpose is to ensure that proposed symposia topics are engaged with global issues of significant present or future relevance to the African context. STIAS is prepared to advise applying teams on potential African co-applicants.

The Norwegian Nobel Institute is responsible for Nobel Symposia related to the Peace Prize. The Norwegian Nobel Institute will either organise Nobel Symposia themselves or accept applications from external third parties. In the case that the Norwegian Nobel Institute organises Nobel Symposia themselves, the Norwegian Nobel Institute is the Grant Administrator as defined in this document.

The application should also be accompanied by the following information:

A. Name of the Grant Administrator

For Nobel Symposia in Sweden or Norway, the Grant Administrator will receive any granted funds from the Royal Swedish Academy of Sciences or, for the Peace prize, the Norwegian Nobel Institute and bears responsibility for the financial records and risk if the cost of the Nobel Symposium exceeds the given budget. Any excess of funds granted by the Programme Committee shall be reverted to the Royal Swedish Academy of Sciences or, for the Peace prize, the Norwegian Nobel Institute.

For Nobel Symposia in South Africa, STIAS automatically assumes the role of Grant Administrator since the funding from the KAW is bestowed directly to STIAS.

B. The Project Manager’s contact details

For Nobel Symposia in Sweden or Norway, the Project Manager must be affiliated with the Grant Administrator.

For Nobel Symposia in South Africa, the Project Manager must be affiliated with the Swedish institution that has applied for the Nobel Symposium in question (i.e. the “Collaborator”).

C. The organising committee

Including a list of proposed tasks and responsibilities for the committee.

D. A preliminary list of participants

E. A preliminary programme

F. Proposed venue

G. A specified budget

The budget for the Nobel Symposia should follow guidelines determined by the Program Committee. The total amount requested for a Nobel Symposium should not exceed the amount determined by the Royal Academy of Sciences and the Norwegian Nobel Institute, respectively, for each symposium.

For Nobel Symposia in South Africa, the budgeting process must take place in close collaboration between STIAS and the Applicant (i.e. Project Manager).

The budget should outline the funding of the Nobel symposia from the Royal Swedish Academy of Sciences or, for the Peace prize, the Norwegian Nobel Institute.

Any proposed external funding source must be approved by the Programme Committee. Allowed external funders are universities, research institutes, and science-oriented government or private foundations preferably based in Sweden or Norway, but such funders may also be based in other countries. Other entities such as limited liability companies may be permitted, however caution must be observed in order to avoid conflicts of interest and undue involvement from commercial interests.

H. Confirmation from Head of the Department or equivalent manager representing the Grant Administrator that this person is informed of the application and the guidelines herein. Should the application be granted, the Head of Department must sign the award letter for the requisition of funds, confirming the approved budget and terms and conditions for the organising of a Nobel Symposium, which includes a license to use the wordmark NOBEL SYMPOSIA.

4. Further on funding

An application for a Nobel Symposium should include a budget amounting to not more than the amount determined by the Royal Academy of Sciences and the Norwegian Nobel Institute respectively (based on the guidelines determined by the Program Committee) for each symposium. The budget will be reviewed and determined by the Royal Swedish Academy of Sciences or, for the Peace prize, the Norwegian Nobel Institute. When the proposal is submitted to the Programme Committee the approved budget is included.

The applicant can, in the initial budget, apply for funding for salary costs of staff to be recruited specifically for the Nobel Symposium, or for staff specifically assigned to work on the Nobel Symposium. These are considered as **direct administrative costs** to the organization of a Nobel Symposium. Other expenses that are necessary for implementation of the Nobel Symposium

can be rent of a venue, rent of AV equipment, hotel rooms, etc. This shall all be specified in the budget.

Indirect costs, or so-called overhead costs, are not granted (for example costs for central administration of an institution/university). Furthermore, purchase of computer equipment is not allowed.

Costs are granted for participants' and observers' room and board. Travel costs are only granted for participants.

No special remuneration shall be payable to participants. No conference fee can be charged to attendees. Significant deviations from the approved budget may only occur after consultation with the Royal Swedish Academy of Sciences, or for the Peace Prize, after consultation with the Programme Committee.

For Nobel Symposia in South Africa any deviations from these stipulations may be permitted in consultation with KAW and in line with the KAW grant letter to STIAS.

5. Use of granted funds

For Nobel Symposia in Sweden or Norway, the granted funds are made available to the Grant Administrator by the Royal Swedish Academy of Sciences or, for the Peace Prize area, the Norwegian Nobel Institute, in the year that the Nobel Symposium will be organised. Requisition requires the return of a signed copy of the award letter. This letter will stipulate the approved budget and include a license agreement for the use of the wordmark NOBEL SYMPOSIA and any other conditions related to the organising of the Nobel Symposium.

The accounting department of the Grant Administrator shall be in charge of all disbursements and handle bookkeeping and related procedures concerning the issuance of income statements as well as the reporting of taxes and employer payroll fees.

For Nobel Symposia in South Africa, funds are made available to STIAS directly from KAW and according to KAW requirements.

6. Final financial report and scientific report Within six months after the end of a Nobel Symposium, a final financial report and a scientific report shall be signed by the Project Manager and sent to the Royal Swedish Academy of Sciences or, for the Peace prize area, the Norwegian Nobel Institute. The Royal Swedish Academy of Sciences and the Norwegian Nobel Institute, respectively, should be notified well in advance if any circumstances may prevent this.

For Nobel Symposia in South Africa, STIAS leads on the preparation of the financial report and the Project Manager leads on the scientific report. Both STIAS and the Project Manager sign the financial report and the scientific report.

The final financial report must also be signed by the accounting department of the Grant Administrator, confirming that all receipts belonging to the Nobel Symposium are available in the Grant Administrator's bookkeeping records. The Royal Swedish Academy of Sciences and the Norwegian Nobel Institute reserve the right to review the Nobel Symposium with the purpose of controlling that any granted funds have been used for the approved purpose.

The final financial report should be presented in the format requested by the Royal Swedish Academy of Sciences and the Norwegian Nobel Institute, respectively. Any excess of funds received from the Royal Swedish Academy of Sciences or the Norwegian Nobel Institute, or funds not utilised according to the approved budget, must be reverted to the Royal Swedish Academy of Sciences and the Norwegian Nobel Institute, respectively.

A final scientific report of the Nobel Symposium and an evaluation of it should be sent to the Programme Committee and the Royal Swedish Academy of Sciences or the Norwegian Nobel Institute, respectively.

7. The NOBEL SYMPOSIA trademark

The Grant Administrator of a Nobel Symposium will be granted a non-exclusive license to use the NOBEL SYMPOSIA wordmark (i.e. text) according to this document and the Trademark Guidelines (see appendix 2).

8. Publication connected to Nobel Symposia

Publication of Nobel Symposia documents

The organiser of a Nobel Symposium may decide to publish documents from the symposium. In order to encourage widespread availability, it is desirable that Nobel Symposia documents are published with Open Access (OA) and archived in openly searchable databases. The costs for the OA publishing shall be specified as a direct cost in the budget.

The form of OA publishing (i.e. via ‘parallel publishing’ or ‘Open Access journal’) should be based on the nature of the Nobel Symposium. Neither the Royal Swedish Academy of Sciences, the Norwegian Nobel Institute nor the Nobel Foundation make any claims for copyright of Nobel Symposia-related articles.

Concerning Nobel Symposia publications and programmes, regardless of the form of publication, the rules set out in appendix 2 shall be observed.

Publication on an external website

In case of electronic publication of the Nobel Symposium contributions on a website or an external server, the text NOBEL SYMPOSIA (capitalised) and the number (not Roman numerals) shall be on the homepage of the website or in a fixed menu on the website.

Publication in book or journal form

Publication of Nobel Symposium content in book form in addition to OA publications is optional. If a book is published, it shall largely bear its own costs. Instead of a royalty, the agreement with the publisher should contain an offer to make the book available free of charge to the Nobel Symposium participants and to supply 10 free copies to the Nobel Foundation. It is the responsibility of the Project Manager to inform the publishing company of the Trademark Guidelines.

The text NOBEL SYMPOSIA (capitalised) and the number (not Roman numerals) should be on the front cover and/or the title page of the book and if possible on its spine. The foreword, signed by “The Editor(s),” shall contain information about the location and financing of the symposium: “The Nobel Symposia was financed by [insert name of funder(s)].”

9. Special invitation Members of the Programme Committee and the Nobel Committees should be invited to participate in the Nobel Symposium.

10. Contact list

Entity	Responsibility	Contact person/department
The Royal Swedish Academy of Sciences	Applications, funding and administration of Nobel Symposia within all Nobel Prize areas except for the Peace Prize. Preparation of recommendations on decisions regarding Nobel Symposia Programmes to the Programme Committee. Monitoring compliance with Trademark Guidelines and use of the NOBEL SYMPOSIA wordmark within all Nobel Prize areas except for the Peace Prize.	Secretariat
The Norwegian Nobel Institute	Applications, funding and administration of Nobel Symposia within the Peace Prize area. Preparation of recommendations on decisions regarding Nobel Symposia Programmes within the Peace Prize area to the Programme Committee. Monitoring compliance with Trademark Guidelines and use of the NOBEL SYMPOSIA wordmark within the Peace Prize area.	Secretariat
The Nobel Foundation Programme Committee	Deciding on Nobel Symposia Programmes	Secretariat
The Stellenbosch Institute for Advanced Study	Advising applying teams & Grant Administrator for Nobel Symposia in South Africa	Programme Manager

APPLICATION CONTENT CHECKLIST:

- ☐ **Brief description of the current research situation** in the field that the Nobel Symposium is intended to cover, as well as an explanation of its purpose.
- ☐ **Name of the Grant Administrator**
- ☐ **The Project Manager's contact details**
- ☐ **The organising committee** Including a list of proposed tasks and responsibilities for the committee.
- ☐ **A preliminary list of participants**
- ☐ **A preliminary programme**
- ☐ **Proposed venue**
- ☐ **A specified budget**
- ☐ **Confirmation from Head of the Department** or equivalent manager representing the Grant Administrator.

Appendix 1

*SUGGESTED FORMAT ALL AREAS **EXCEPT** PEACE PRIZE*

BUDGET (Amounts in Swedish kronor)

Nobel Symposium:

Title:

Dates:

Venues:

Expenses listed according to the budget.

	Symposium budget
<i>Expenses listed according to the budget. For example:</i>	
Direct cost for conference	
Administration	
Travel	
Venues	
Rental of AV Equipment	
Hotel costs	
<i>Etc</i>	
Total	

SUGGESTED FORMAT PEACE PRIZE AREA

BUDGET
(Amounts in Swedish kronor)

Nobel Symposium:

Title:

Dates:

Venues:

Expenses listed according to the budget.

	Symposium budget	Funding source X	Founding source Y	Total
<i>Expenses listed according to the budget. For example:</i>				
Direct cost for conference Administration				
Travel				
Venues				
Rental of AV Equipment				
Hotel costs				
<i>Etc</i>				
Total				

Appendix 2

Trademark Guidelines (re. the NOBEL SYMPOSIA wordmark)

The NOBEL SYMPOSIA wordmark may only be used in accordance with the following Trademark Guidelines.

1. The text NOBEL SYMPOSIA (capitalised) and the number (not Roman numerals) should always identify publications concerning a Nobel Symposium.
2. The logotypes of the Grant Administrator and external funders may be used in material related to a Nobel Symposium together with the visual and graphic identity of the Grant Administrator. This includes, but is not limited to, websites, invitations, printed programs and publications.
3. Regardless of the form of publication, the following text shall be included: “The NOBEL SYMPOSIA mark is owned by the Nobel Foundation.”
4. NOBEL SYMPOSIA may be used only with respect to the Nobel Symposium event for information and communication purposes, for example in invitations, programmes, books and websites. NOBEL SYMPOSIA may not be used in connection with the advertising or distribution of any other events, products or services.
5. The Grant Administrator may not use any Nobel-related names, marks, logos, designs or identifications other than the NOBEL SYMPOSIA wordmark.
6. The Grant Administrator may not use NOBEL SYMPOSIA in any way that is deceptive or misleading or that reflects unfavourably upon the image of the Nobel Foundation, or in any manner that is contrary to applicable laws.
7. NOBEL SYMPOSIA may only be used correctly and in its whole, and it may not be changed, translated, abbreviated or declined.
8. Regardless of the form of publication, the foreword shall contain the following information: “Nobel Symposium [number]: [Title] was funded by [Name of funder(s)] and organised by [the Grant administrator].”
9. Regardless of the form of publication, any external financial support of a Nobel Symposium is subject to the Programme Committee’s approval and, if approved, should be referred to in the following manner: “Nobel Symposium [number]: [Title] was funded by [Name of funder(s)] and organised by [the Grant Administrator]. The Nobel Symposium was made possible with additional support from [Name of funder(s)]”.
10. External funding of a Nobel Symposium within the Peace Prize area is subject to the Programme Committee’s approval and, if approved, should be referred to in the

following manner: “Nobel Symposium [number]: [title] was organised by [the Grant Administrator] and made possible with support from [name of external funder]”.

12. All exposing of the NOBEL SYMPOSIA wordmark shall comply with good marketing practice and ICC’s (International Chamber of Commerce) guidelines of Marketing and Advertising (www.iccwbo.org).
13. In addition to the above, the Grant Administrator shall comply at all times with any supplementary instructions that may be provided in writing by the Nobel Foundation from time to time regarding use of the NOBEL SYMPOSIA trademark.

Please note that the Nobel Prize® medal is a registered trademark of the Nobel Foundation and may not be used in conjunction with a Nobel Symposia or related communication material unless approved in writing of the Nobel Foundation.

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