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|  | **Emerging Security Challenges Division**  **Science for Peace and Security Programme**  **Guidelines for Applicants: SPS Project**  NATO Emerging Security Challenges Division, SPS Programme, Bd. Léopold III, B-1110 Brussels, Belgium |

# Introduction

The NATO Science for Peace and Security Programme (SPS) seeks to enhance cooperation and dialogue with all partners through civil science and innovation. The SPS Programme offers grants for collaborative research and development projects, workshops, institutes, and training involving scientists from NATO nations and partner countries. SPS funds activities relevant to NATO`s strategic objectives which address SPS Key Priorities (See [**Annex 1**](#Annex1KeyPriorities)).

This document provides guidelines for applicants seeking SPS sponsorship of **collaborative research projects**, including details of the application process, the criteria by which applications are judged, and information about the procedures for the funding and management of approved projects.

These Guidelines and the Management Handbook are also available on the NATO website: [www.nato.int/science](http://www.nato.int/science), along with separate guidelines for Advanced Research Workshop, Advanced Study Institute, and Advanced Training grant applicants.

# What Can SPS Offer?

SPS supports research and development projects related to NATO’s strategic goals and relevant to SPS Key Priorities (See [**Annex 1**](#Annex1KeyPriorities)). SPS funds projects for up to three years. Please coordinate with the SPS office before submitting a proposal over €400,000.

In addition to relevance to the SPS Key Priorities, projects are evaluated based on their potential for:

* high quality research and development with clear and realistic objectives
* solid scientific or technical outcomes
* substantial cooperation among researchers from NATO nations and partner countries
* collaboration between researchers and potential end-users[[1]](#footnote-1) of the project results
* private/commercial/industrial companies are not eligible to receive NATO funding
* integrating partner country researchers into the international research and development community
* participation of young scientists

SPS project funds may only be used to cover direct project-specific costs. According to the size of the project and the financial capability of the Co-Directors and their institutions, co-funding of some expenses may be expected as part of the grant. In addition, the joint nature of the research should be reflected in the funding allocated to Co-Directors. For details, please refer to [**Annex 2**](#Annex2Funding).

# Who Can Apply?

Applications must be submitted jointly by an expert residing and working in a NATO country and one residing and working in a NATO partner country. Additional NATO-nation and/or partner-country experts may also be included in the application. The primary applicant from a NATO country, the *NATO-Country Project Director* (NPD), assumes primary financial responsibility for the project. The NPD, along with the primary applicant from the partner country, the *Partner-Country Project Director* (PPD) are responsible for overall project coordination; other applicants are referred to as *Co-Directors*. It is recommended that only a single expert per institution/faculty, be included in the application as a Co-Director. Please refer to [**Annex 3**](#Annex3EligibleCountries) for a list of eligible NATO and partner countries.

# Application and Review Process

## The Project Application

The first step in the application process is the Project Application; a template with instructions can be found on the [SPS website](http://www.nato.int/science) in the same location as these guidelines. The Project Application is a short document, a maximum of ten pages plus participants’ CVs. Project Applications should be submitted to the SPS Programme Office at [sps.applications@hq.nato.int](mailto:sps.applications@hq.nato.int?subject=ARW%20application), in Microsoft Word format if at all possible. Applications are reviewed based on the factors outlined above. **Please submit your Application to the SPS office following the instructions on the template.**

Project Applications may be submitted at any time and will be evaluated twice annually by the Independent Scientific Evaluation Group (ISEG; see below) with deadlines for each cycle posted on the [SPS website](http://www.nato.int/cps/en/natolive/87998.htm).

## The Project Plan

Applicants whose initial application is favourably reviewed will be invited to submit a *Project Plan*. describing the purpose and objectives of the project in detail. The Project Plan details the management and organization of the project and the responsibilities of key personnel, includes a detailed work plan and budget, and, if necessary, an intellectual property rights (IPR) agreement.

The project plan is, in turn, subject to peer-review by the Independent Scientific Evaluation Group (ISEG) convened by NATO.

## Final Approval

Project plans recommended by the ISEG will be considered by NATO which makes a final decision to fund or reject the project.

## Timing

The overall process for a successful application, from initial submission deadline through planning grant and project plan to funded project can take eight or more months. Please plan your research and staffing accordingly.

Applicants should note that they cannot have more than one SPS activity running simultaneously. They should ensure that the file on any previous SPS activity directed by any of them is closed before applying to direct another.

# Project Management

When a project is approved by NATO, funds sufficient to carry the project through the first six to twelve months are awarded. The grant may contain additional conditions for the project, as recommended by the ISEG or by NATO. All parties must sign the grant letter which, together with the project plan, forms a contract between NATO and the Co-Directors. Periodically throughout the course of the project, NATO award additional funds to the project in accordance with the project plan budget, subject to acceptable project progress and documentation, as well as NATO budget allocations. It is important to note that, although the grant is made jointly to all Co-Directors, the NPD remains responsible for the management of NATO funds.

These and other management details are covered in the *Science for Peace and Security Project Management Handbook* available on the [SPS website](http://www.nato.int/science).

# List of Annexes

1. SPS Key Priorities
2. Funding
3. Definitions

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All activities funded under the SPS Programme must address the SPS Key Priorities listed below and must have a clear link to security and to NATO’s strategic objectives.

1. **Facilitate mutually beneficial cooperation on issues of common interest, including international efforts to meet emerging security challenges**
   1. *Counter-Terrorism*
      1. Methods for the protection of critical infrastructure, supplies and personnel
      2. Human factors in the defence against terrorism
      3. Detection technologies against the terrorist threat for explosive devices and other illicit activities
      4. Risk management, best practices and technologies in response to terrorism.
   2. *Energy Security* 
      1. Innovative energy solutions for the military; battlefield energy solutions; renewable energy solutions with military applications;
      2. Energy infrastructure security;
      3. Maritime aspects of energy security;
      4. Technological aspects of energy security.
   3. *Cyber Defence* 
      1. Critical infrastructure protection, including sharing of best practices, capacity building and policies;
      2. Support in developing cyber defence capabilities, including new technologies and support to the construction of information technology infrastructure;
      3. Cyber defence situation awareness.
   4. *Defence against CBRN Agents* 
      1. Methods and technology regarding the protection against, diagnosing effects, detection, decontamination, destruction, disposal and containment of CBRN agents;
      2. Risk management and recovery strategies and technologies;
      3. Medical countermeasures against CBRN agents.
   5. *Environmental Security* 
      1. Security issues arising from key environmental and resource constraints, including health risks, climate change, water scarcity and increasing energy needs, which have the potential to significantly affect NATO’s planning and operations;
      2. Disaster forecast and prevention of natural catastrophes;
      3. Defence-related environmental issues.
2. **Enhance support for NATO-led operations and missions** 
   1. Provision of civilian support through SPS Key Priorities;
   2. Provision of access to information through internet connectivity as in the SILK-Afghanistan Programme;
   3. Cultural and social aspects in military operations and missions;
   4. Enhancing cooperation with other international actors.
3. **Enhance awareness on security developments including through early warning, with a view to preventing crises** 
   1. *Security-related Advanced Technology:*

Emerging technologies including nanotechnology, optical technology, micro satellites, metallurgy and the development of UAV platforms.

* 1. *Border and Port Security* 
     1. Border and port security technology;
     2. Cross border communication systems and data fusion;
     3. Expert advice and assessments of border security needs and best practice.
  2. *Mine and Unexploded Ordnance Detection and Clearance* 
     1. Development and provision of advanced technologies, methodologies and best practice;
     2. Solutions to counter improvised explosive devices (IED).
  3. Human and Social Aspects of Security related to NATO’s strategic objectives

1. **Any project related clearly linked to a threat to security not otherwise defined in these priorities may also be considered for funding under the SPS Programme. Such proposals will be examined for links to NATO’s Strategic Objectives.**

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|  | **Emerging Security Challenges Division**  **Science for Peace and Security Programme**  **Guidelines for Applicants ANNEX 2: Funding**  NATO Emerging Security Challenges Division, SPS Programme, Bd. Léopold III, B-1110 Brussels, Belgium |

SPS supports projects for up to three years. Roughly half of the budget is generally allocated to equipment, ~20% to training and travel, and up to 15% to stipends. These proportions are meant as guidelines only, not fixed limits, and will vary according to the needs of each project.

Within the SPS project, NATO funds **may** be used for:

* the purchase of *project-specific* equipment, computers, consumables, and spare parts, including transport costs but not taxes and duties (see below)
* training for project participants, including necessary travel. Training may include, but is not limited to, instruction on new equipment or techniques with the manufacturer or in the laboratory of another project participant, or a seminar/institute organized within the framework of the project to train multiple project participants simultaneously
* the purchase of journals and books required for the project
* communication of project results, including publication in scientific journals and protection of project-generated intellectual property
* experts or advisors from a NATO country hired for a short duration to solve a **specific project-related problem**; advisors’ fees may not exceed €300 per day and ten days per year.
* participants’ international and domestic, but not local, travel for project meetings and consultation
* attendance at conferences, seminars, and workshops related to the project
* direct project-related administrative expenses
* stipends for key young researchers in eligible countries (see [**Annex 3**](#Annex3EligibleCountries))
  + total stipends may not be more than 15% of the project budget
  + stipend recipients must be employed full-time on the project
  + stipend recipients must be aged 40 or less at the date of the initial award
  + the CVs of proposed recipients must be submitted to and approved by the SPS office *before* stipends may be paid
  + Co-Directors may not themselves receive stipends

However, NATO funds **may not** be used for:

* salaries and related benefits of any kind
* fees for advisors or consultants from non-NATO countries or for the advice of participants in this or any other SPS project
* general consumables and services readily available in the participating institutes and countries
* overhead or general administrative expenses including but not limited to construction, rental or use of buildings, depreciation of equipment already available, maintenance of premises, or consumables such as electricity and heating oil
* daily and local travel
* car rental (except with the *prior* approval of the SPS office)
* the purchase of vehicles
* office equipment and supplies such as paper, copy machines, fax machines, etc.
* payment of taxes or duties including import taxes and VAT
* general language or computer courses
* translation of documents

According to the size of the project and the financial capability of the Co-Directors and their institutions, co-funding of some expenses, particularly those marked ❖ above, may be expected as part of the grant. The joint nature of the research should also be reflected in the allocation of funds among the Co-Directors.

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## NATO Countries

Albania, Belgium, Bulgaria, Canada, Croatia, Czech Republic, Denmark, Estonia, France, Germany, Greece, Hungary, Iceland, Italy, Latvia, Lithuania, Luxembourg, Netherlands, Norway, Poland, Portugal, Romania, Slovak Republic, Slovenia, Spain, Turkey, United Kingdom, United States

## NATO Partners

Afghanistan\*, Algeria\*, Armenia\*, Australia, Austria, Azerbaijan\*, Bahrain, Belarus\*, Bosnia and Herzegovina\*, Egypt\*, Finland, Georgia\*, Iraq\*, Ireland, Israel, Japan, Jordan\*, Kazakhstan\*, Kuwait, Kyrgyz Republic\*, Malta, Mauritania\*, Moldova\*, Mongolia\*, Montenegro\*, Morocco\*, New Zealand, Pakistan\*, Qatar, Republic of Korea, Russian Federation, Serbia\*, Sweden, Switzerland, Tajikistan\*, the former Yugoslav Republic of Macedonia†\*, Tunisia\*, Turkmenistan\*, Ukraine\*, United Arab Emirates, Uzbekistan\*.

Young researchers from partner countries indicated with \* are eligible for SPS-funded stipends. Young researchers from NATO countries may be eligible on a case-by-case basis.

†Turkey recognises the Republic of Macedonia with its constitutional name.

## Independent Scientific Evaluation Group (ISEG)

The ISEG is an independent group of experts selected by NATO’s nations who meet on a regular basis to evaluate SPS Project Plans. If a Project Plan is approved for funding, one or two members of the ISEG will be assigned to follow the project’s progress.

## NATO country Project Director (NPD)

The NPD is the person from a NATO country who has been chosen by the applicants to maintain the primary financial responsibility and assume the co-ordination of the project together with the PPD. There may be only one NPD a multi-year Project.

## Partner country Project Director (PPD)

The PPD is the person from a partner country who has been chosen by the applicants to be responsible for the co-ordination of the project together with the NPD.  There may be only one PPD in a multi-year Project.

## Project Co-Directors

Persons involved in the project, who are responsible for a team and who have an assigned NATO budget (including the NPD and PPD).

## Participants

General term for persons involved in the project with or without an assigned NATO budget.

## Industrial and/or Public Sector Collaborators

These are companies or organisations that are actually participating in the project and contributing their know-how and expertise toward bringing the project to a successful conclusion. These companies or organisations will generally be the end-users of the results of the project.

## End-User

The entity(ies) which will be using the results of the project. In the case of environmental security projects this can be, e.g., a Government ministry, State organisation or regional authority in charge of the environmental protection within a participating country. In the case of industrial projects, the end-user(s) will generally be a private, commercial and/or industrial company(ies). Private/Commercial/Industrial Companies are not eligible to receive NATO funding.

## Project Plan

The detailed document in which the applicants fully describe their project, including the objectives, milestones, tasks, budget, communications plan and, if applicable, Intellectual Property Rights Agreement (IPR). The approved version of the Project Plan will become part of the contract between NATO and the Co-Directors.

## SPS Advisor

The staff member of NATO’s Science for Peace and Security (SPS) Programme responsible for the management of multi-year SPS Projects.

1. Depending on the programme type, end users could be (but are not limited to) government ministries, state organisations or regional authorities within a participating country or private, commercial and/or industrial companies. [↑](#footnote-ref-1)