

**NATO**

**SCIENCE FOR PEACE PROJECTS**

**GUIDELINES  
FOR THE PREPARATION  
OF PROJECT PLANS**

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## ABBREVIATIONS

IPR	Intellectual Property Rights
NATO	North Atlantic Treaty Organisation
NPD	NATO country Project Director
PPD	Partner country Project Director (equally used for Partner as well as Mediterranean Dialogue countries)
R&D	Research and Development
SfP	Science for Peace

## GLOSSARY

### Countries

#### NATO countries (26):

Belgium, Bulgaria, Canada, 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 and United States.

#### Mediterranean Dialogue countries (7):

Algeria, Egypt, Israel, Jordan, Mauritania, Morocco and Tunisia.

#### Partner countries (20):

Albania, Armenia, Austria<sup>1</sup>, Azerbaijan, Belarus, Croatia, Finland<sup>1</sup>, Georgia, Ireland<sup>1</sup>, Kazakhstan, Kyrgyz Republic, Moldova, Russian Federation, Tajikistan, the former Yugoslav Republic of Macedonia<sup>2</sup>, Sweden<sup>1</sup>, Switzerland<sup>1</sup>, Turkmenistan, Ukraine and Uzbekistan.

### NATO Expert Panels

NATO's Security Through Science Programme has four Expert Panels:

Environmental Security Panel (ESP), Information and Communication Security Panel (ICS), Chemistry, Biology and Physics Panel (CBP) and Human and Societal Dynamics Panel (HSD). Each Panel consist of an independent group of experts selected by NATO's nations. They meet on a regular basis in order to evaluate SfP short proposals and SfP Project Plans. SfP proposals will be allocated to the panel that suits best the topic of the proposal. If approved for funding, one or two members of the Panel that has evaluated the Project Plan will be assigned to the SfP project in order to follow-up its progress.

### The 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 together with the PPD.

### The Partner country Project Co-Director (PPD)

The PPD is the person from a Partner or Mediterranean Dialogue country who has been chosen by the applicants to be responsible for the co-ordination together with the NPD.

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<sup>1</sup> Partner countries participation in Science for Peace on a self-funding basis.

<sup>2</sup> Turkey recognises the Republic of Macedonia with its constitutional name

The Planning Grant

A grant awarded by NATO that should cover the cost incurred for preparing the full Project Plan.

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

Persons involved in the project without an assigned NATO budget.

Project Plan

The document in which the applicants describe their project, including the objectives, milestones, tasks and budget. The approved version of the Project Plan will become part of the contract between NATO and the Co-Directors.

Science for Peace (SfP)

SfP is a mechanism of the NATO "Security Through Science" Programme. SfP is supporting applied R&D projects.

SfP Programme Director

The SfP Programme Director is the staff member of NATO responsible for the management of Science for Peace.

## PURPOSE AND SCOPE OF THESE GUIDELINES

The purpose of this publication is to provide specific guidelines for the preparation of Science for Peace Project Plans to those applicants whose short proposals have been selected for further evaluation by the NATO Expert Panel. These Project Plans will form the basis for the review of projects and their potential approval and implementation.

Also included in this publication are some procedures that will govern the subsequent implementation of approved Science for Peace Projects. A more detailed Science for Peace Project Management Handbook is available to the Project Co-Directors of approved projects.

These Guidelines and the Management Handbook are also available on our web site: <http://www.nato.int/science> under "Area for Grantees, Science for Peace".

## **SCIENCE FOR PEACE GUIDELINES FOR THE PREPARATION OF PROJECT PLANS**

### **I. PURPOSE OF THE PROJECT PLAN**

After the NATO Expert Panel has recommended that a proposal be further developed, applicants are requested to prepare and submit a Project Plan. This Project Plan will be presented by the two applicants, who will take the primary responsibility for the application, at one of the panel meetings.

Applicants have to agree on who will become the NATO country Project Director (NPD) and who the Partner or Mediterranean Dialogue country Director (PPD). The NPD will maintain the primary financial responsibility and assume the co-ordination of the project together with the PPD. If more than two institutions are involved the persons responsible for the separate budgets, including the NPD and the PPD, are further referred to as Project Co-Directors. Everybody else involved in the project is referred to as participant. The preparation of the Project Plan and the carrying out of the SfP Project, when approved, are the joint responsibility of all Project Co-Directors.

The Project Plan should describe the project in a maximum of 25 pages, plus budget tables and annexes. If approved, it becomes the basis of a contract between the Project Co-Directors and NATO for implementation of the Project. The Project Plan should describe the merit of the Project, its scientific and socio-economical objectives, management, technical aspects, and the activities planned to ensure the implementation of project results. The Project Plan should also give objective means of measuring the ultimate success of the Project at its conclusion and beyond. Section IV of these Guidelines provides an outline of such a Project Plan.

Twenty-five (25) copies of the Project Plan (copied RECTO-VERSO!) must be received by the NATO SfP Programme Office at least one month before the panel meeting at which it will be presented. The NPD and the PPD will be informed about the dates of the panel meetings.

### **II. PLANNING GRANT - TRAVEL**

Project participants will need further consultation among themselves to adequately develop a Project Plan. This usually requires travel to meet with participants. Expenses for such travel as well as for printing, distributing and presenting the Project Plan to the NATO Expert Panel will be covered by NATO funds made available through a Planning Grant.

One meeting of a limited duration (up to 5 days) is considered sufficient for the preparation of the Project Plan. This meeting should preferably take place in the Partner or Mediterranean Dialogue country where the main research activities will be carried out. This gives the participants the opportunity to perform site visits to the institution(s) and end-user(s) involved.

The Planning Grant shall also cover the expenses for the travel of the NPD and the PPD to present the Project Plan to the NATO Expert Panel that will normally meet in Brussels. The regulations for travel expenses and procedure for reimbursement are explained in **Annex 1** of these Guidelines.

The Planning Grant is transferred to a bank account in the name of the NPD and have to be used in accordance with these Guidelines and the "Science for Peace Planning Grant - Conditions of Award" of the Planning Grant Letter. Salaries, secretarial help or the time applicants spend on the preparation of the Project Plan can not be paid through NATO funds.

A final accounting of the Planning Grant, to be prepared by the NPD, is due 4 weeks after the presentation of the Project Plan. For this purpose, the electronic version of the table given in **Annex 7** can be found on the Web: [www.nato.int/science/sfp/projectplans/index.html](http://www.nato.int/science/sfp/projectplans/index.html).

### **III. POSSIBLE PARTICIPATION BY A NATO CONSULTANT**

On a case by case basis, an external expert may be appointed by NATO who shall assist in the preparation and evaluation of the Project Plan and, if approved, in the follow-up of the Project.

Such an expert would work for NATO under a NATO Consultant contract. Practical arrangements for assistance and travel of the Consultant would be co-ordinated and agreed by the Consultant and the Project Co-Directors in consultation with the SfP Programme Director.

For Terms of Reference of the NATO Consultant see **Annex 2**.

### **IV. CONTENT OF THE PROJECT PLAN**

The following is an outline of the minimum requirement for the content of a Project Plan. Additional information and data may be included as annexes, if necessary, to suit specific situations.

Please note that Project Plans not in accordance with this outline will not be considered for the evaluation.

#### **Cover Page**

- full title (not exceeding 120 characters!) and Project number.
- list of all Project Co-Directors (give name, city, country) indicating who are the NPD and PPD.
- date of completion of the Project Plan.

NB: The title should be understandable for the layman and should reflect the relevance to NATO priorities.

#### **Table of Contents**

##### **1. List of Abbreviations used in the Project Plan**

##### **2. Participants**

- give names, full address, telephone/fax numbers and E-mail address of all the Project Co-Directors.
- the identity of the end-user(s) of the Project results:
  - a. In an industrial project, the end-user is the company which will take care of the production and commercialisation of the end products resulting from the Project. (A company which will use the product but will not commercialise it should not be mentioned as the end-user but may, of course, still be involved as a participant.)
  - b. In an environmental project, the end-user can, for example, be the Ministry of the Environment or a local health authority responsible for the implementation of environmental protection policy.
  - c. In a project addressing human and societal dynamics the end-user should be a governmental body, NGO or national/international organisation that has political responsibility in defence or security issues.

##### **3. Ongoing, Completed Projects and New Proposals Submitted for Funding**

List other international collaborative projects on the same or related topics in which key personnel of institutions participating in this SfP Project are involved. Give project title, date and duration of the project, funding organization, reference number and amount of the grants. In cases of newly submitted projects that are still under evaluation, the requested amount should be given.

#### 4. Background and Justification

- a statement identifying the security problem to be addressed by the Project; its economic and/or social importance and the impact of the expected project results with respect to the situation in the Partner or Mediterranean Dialogue country.
- the science or technology to be developed and applied.
- for industry-related projects, and to the extent possible also for projects in other areas, a cost-benefit analysis based on expected project results, demonstrating the potential economic impact and the link to security.
- for projects addressing human and societal dynamics the understanding and anticipation of problems should be described. Ideas should be brought forward how the project results could contribute to the prevention of security problems.

#### 5. Current Status

- status of related R&D activity in the Partner or Mediterranean Dialogue country and world-wide.
- knowledge existing in the group(s) which will work on the Project.
- for projects dealing with high technology (such as microelectronics, thin film technology or telecommunication) clear evidence of the technological capabilities of the research teams involved. (Give, for example, past performances, list of recent publications, patents. Demonstrate that the teams involved can compete with other experts in the field. Do competitors have patents in this field?)
- additional facilities and expertise needed to execute the Project according to the Project Plan.

#### 6. Objectives

Objectives should be phrased as clear statements (no more than 10 lines) describing what will be different as a result of the Project. These objectives should be quantified in economic terms wherever possible. One of the objective must refer to the implementation of the end-result involving the end-user(s).

#### 7. Methodology

A description of the logical steps, either consecutive or in parallel, which will lead to the accomplishment of the project objectives. These steps may also be defined as sub-projects.

A detailed narrative description of activities and the methodology to be used to accomplish each step or sub-project. Sufficient detail is required to provide the basis for identifying critical milestones and for preparing the project time schedule.

#### 8. Project Structure and Activities

##### 8.1 Milestones, Deliverables and Schedule

A detailed schedule showing the estimated duration of each activity, the dates for achieving important milestones and, if applicable, deliverables for each milestone. The main activities, milestones and deliverables should be summarized in a bar chart (see **Annex 3a**).

##### 8.2 Organization and Management

- Describe the principal tasks of the Project Co-Directors and other key members of the Project teams including the end-user(s). Identify the percentage of their time which will be devoted to work on the Project and describe the interactions of team members. This information should be given in the form of a table (see **Annex 3b**). In this context it should be noted that substantial participation of young scientists is an essential characteristic of a SfP Project.

- As an overview, the overall managerial organization of the Project should be presented in a one-page organigram (showing the interaction amongst Project Co-Directors, their institutions and possible other participants, ).

### 8.3 Training, Travel and Experts/Advisors

- a plan for providing training opportunities to participants of the teams of Project Co-Directors from the Partner or Mediterranean Dialogue country in particularly to their young scientists and engineers. Training should include contacts with researchers in NATO countries. Please note that SfP funds shall be used for training, but not for fellowships. Therefore the training is limited to a maximum of 3 months per person per year. The training should be consistent with item c) of the budget tables in **Annex 5a**.
- a plan for travel for the purpose of information exchange. This includes travel to important international meetings, congresses as well as for coordination meetings and internal workshops involving the project participants. The travel plan should be consistent with item f) of the budget tables in **Annex 5a**.
- a plan for the participation of advisors/experts. Experts/advisors can only be paid from SfP funds if they come from a NATO country in order to help the Partner or Mediterranean Dialogue country in solving a specific problem and to facilitate and promote the transfer of knowledge to the project. These visits may not exceed 10 days per expert per year. In exceptional cases, a fee may be paid from SfP funds of up to a maximum of 250 EUR per working day (excluding travel time) as negotiated by the Project Co-Director. The expert/advisor plan should be consistent with item e) of the budget tables in **Annex 5a**.

## 9. Implementation of Results

- a plan for putting into practical use the "product" of the Project. How will the end-user(s) in the Partner or Mediterranean Dialogue country be involved in the Project from the beginning? How will the end-results of the Project be implemented in the normal activities of the end-user(s)? Do the research groups or the end-user(s) plan to obtain patents as a result of the project?
- for industrial projects or other projects that may lead to new intellectual property, an agreement on Intellectual Property Rights (IPR) must be included. **Annex 8** provides an example agreement on IPR.
- a plan for disseminating important knowledge gained by the project teams to the appropriate communities in Partner or Mediterranean Dialogue countries.
- a plan to make ongoing activities of the SfP Project visible to a broader community, especially in the Partner or Mediterranean Dialogue countries through mass media and to present scientific results through publications in the international literature.
- a commitment that all publications of results gained through this SfP Project will include an acknowledgement of NATO's support.

## 10. Criteria for Success

At the outset of the project it is important that a means be established for measuring its success against the objectives as stated in Chapter 7 "Methodology" of the Project Plan. This requires a list of concise, quantifiable criteria describing the effects the Project is expected to have on industry, government, the environment etc. **Annex 4** provides examples of criteria for success statements.

## 11. Budget Forecast

The budget forecast will become a valuable control tool for managing the Project and a detailed budget breakdown is required. The standard format for presenting the project budget is given in **Annex 5**. Budgets must be in Euro (EUR).

- 11.1 A SfP NATO BUDGET TABLE (Annex 5a) should give for each Project Co-Director an estimate of expenditures to be covered with NATO funds per year for each item of (a) equipment, (b) computers and software, (c) training, (d) books, journals and publications, (e) advisors and experts, (f) travel, (g) project-specific consumables and spare parts, (h) all other costs to be paid with NATO funds, and (i) stipends for young researchers.

Sufficient detail must be provided!

Project Co-Directors from all Partner and Mediterranean Dialogue countries and from the new NATO countries Bulgaria, and Romania can use NATO funding for all items (a-i).

Project Co-Directors from the remaining 24 NATO countries are only eligible for NATO funding of the items (f), (g) and (h). The upper limit that can be requested by these NATO countries is 15% of the total budget, but not more than 50,000 EUR. Of this amount up to 7,500 EUR can be used by the NPD for direct administrative costs of the project, if these can be justified by back-up documents.

Please note:

- Item (c) "Training" represents the TOTAL of the costs for training abroad including travel costs (tickets), living expenses and possible training fees. The budget should not be higher than 5000 EUR per year and Co-Director.
- Item (f) "Travel" represents the TOTAL of the costs for participation at meetings, workshops and conferences including travel costs, living expenses and possible conference fees. The budget should not be higher than 5000 EUR per year and Co-Director.
- When calculating costs for "Training" and "Travel", further referred to as "missions", it is assumed that if a mission will exceed 10 days special accommodation is provided by the host institution which should result in reduced accommodation expenses.
- Under Item (h) individual items costing less than 1,250 EUR may be combined as "miscellaneous" in each budget item. Miscellaneous or unexpected expenses will only be allowed for an amount of 2000 EUR per year and Co-Director.

- 11.2 A SfP NATO BUDGET SUMMARY TABLE (Annex 5b) giving an overview of the overall NATO budget as requested for all Project Co-Directors. The figures must be consistent with the sub-totals given in the detailed SfP NATO Budget Tables to be completed for each Project Co-Director.

- 11.3 A SfP NATIONAL CONTRIBUTION TABLE (Annex 5c) for Co-Directors from Bulgaria, and Romania giving an estimate of the national contribution by year, for each item of salaries, overhead costs, equipment-computers and other expenses. Please note that 70% of the project costs, which each of these countries will incur, must be covered through national funds.

- 11.4 Use of SfP Funds

The principle rule is that SfP funds should cover direct project-specific costs only. More specifically, SfP funds may be used -

a) - by all Project Co-Directors for:

- travel abroad (within the region of NATO, Partner and Mediterranean Dialogue countries) by project participants for meetings, consultation, attendance at conferences, seminars and workshops. NATO will reimburse air or train tickets and taxis to and from airports and train stations. Travel by private car will be reimbursed based on the equivalent of a first class train ticket.
- domestic travel by train, aeroplane or bus (excluding daily travel and local

travel).

- domestic travel by car in order to carry out specific tasks that would not be possible by or that would be more expensive through other means of transportation. In such cases real costs (e.g. petrol) will be reimbursed. A rental car needs special approval by the SfP Programme Office.
- project-specific consumables and spare parts.
- limited expenses for publication of scientific results of the Project and for making the project's activity visible to a broader community (e.g. 500 EUR for the establishment of a Web page for the project).

b) - by Project Co-Directors from Partner or Mediterranean Dialogue countries as well as from Bulgaria and Romania for:

- the purchase of equipment, computers and consumables/spare parts.
- transport costs necessary for the shipment of a procurement.
- modems, specific software, leased line service and subscriptions if needed for adequate communication between project locations.
- training abroad (including the travel necessary to attend the training) for Co-Directors or participants involved in the Project.
- experts and advisors from a NATO country in order to solve a specific problem (for a maximum fee of 250 EUR and 10 days per expert per year).
- the purchase of journals and books which are required for the Project.
- stipends for a maximum of 5 young key researchers involved in the Project per Co-Director. The stipendiary must be less than 40 year at the time of the start of the Project. The amounts of stipends are: 50 EUR per month for support personnel; 75 EUR per month for researchers without PhD; and 100 EUR per month for researchers with PhD.
- limited support for IPR protection (up to 1,000 EUR per patent).

c) - by the NATO country Project Director (NPD) for:

- limited administrative expenses associated with the overall management of the Project. In total, these must not exceed 7500 EUR for the entire project. In any case only direct costs can be charged. Charging of lump sums or overheads will not be accepted.

NATO SfP funds may **not** to be used for:

- salaries or fees for advisors/consultants from Partner or Mediterranean Dialogue countries or for the advice sought from participants involved in this or another SfP Project.
- general consumables and services which are readily available in the participating countries.
- overhead expenses such as for construction, rental or use of buildings or facilities and depreciation of equipment already available, the maintenance of premises and cost of consumables, such as electricity and heating oil.
- flat rate for overhead expenses used for the administration of SfP projects or funds.
- daily and local travel by car within a short distance (25 km one way).
- car rental (only exceptional and with sound justification).
- the purchase of vehicles.
- office equipment and office consumables, copy and fax machines, etc..
- payment of any customs duty or taxes which might be levied on imported materials.
- payment of value-added taxes (VAT).
- general language or computer courses.
- translation of documents.

It is expected these expenses be covered through national sources.

## 12. Agreement by all Parties

Signatures of all Project Co-Directors and, for those from the Partner or Mediterranean Dialogue countries also of the Head of their institution, are required declaring their agreement to the Project.

## 13. Appendices

- i. short, general presentation of participating institutions, their capabilities, resources and facilities. Give address of web page(s), if available.
- ii. brief curricula vitae and most significant publications of the key participants of the Project team (not more than 2 pages per participant including the list of publications).
- iii. written commitment(s) from the end-user(s) of their active involvement in the Project from the beginning and through the implementation phase including a description of their interest in the Project's results.
- iv. for industrial projects, an Intellectual Property Rights Agreement (see **Annex 8**).
- v. a copy of the short proposal.

## V. REVIEW OF THE PROJECT PLAN BY THE PANEL

Formal approval of a project is based on the written and oral presentation of the Project Plan. For the oral presentation, the NPD and the PPD (and a NATO Consultant if appointed) will be invited to a NATO Expert Panel meeting that will normally take place at NATO Headquarters in Brussels.

Prior to the meeting, Members of the Panel will have received copies of the Project Plan submitted for approval.

During the presentation, the Project Co-Directors should provide details on the purpose and organization of the proposed Project and justify the requested budget. **Annex 6** provides more detailed information relative to the presentation of the Project Plan.

Following the presentation and discussion, the Panel will recommend, with supporting reasons, either acceptance of the Project for immediate funding, deferral of acceptance until specified conditions are met, or rejection. The recommendation is made to NATO, which has final authority on the selection or rejection of projects.

## VI. PROJECT FUNDING - THE GRANT LETTER

When a project is approved, NATO issues a Grant Letter which advises the Project Co-Directors of the decision and makes an initial award of funds sufficient to carry the Project through the first 6 to 12 months. The terms of the Grant may refer to specific conditions recommended by the Panel.

The Grant Letter and the Project Plan form a contract between NATO and the Project Co-Directors.

All Parties will sign the Grant Letter. It is important to note that, although grants are made jointly to the Project Co-Directors, the NATO country Project Director (NPD) is responsible for the management of NATO funds.

Periodically, NATO makes additional grants to the Project based on progress of the work assessed on the basis of a 6-monthly Progress Report. Additional grants are subject to the same terms and conditions as the initial grant.

The committed funds will stay in an account at NATO in Brussels. Payments to be made from these funds are requested through the Sfp Programme Office. These and other management aspects are covered in detail in the Science for Peace Project Management Handbook available on the Internet: <http://www.nato.int/science/sfp/management/index.html>