

APPROVED  
Commandant of the Estonian Military Academy  
Directive No. 66 of 09 September 2019

AMENDED  
Commandant of the Estonian Military Academy  
Directive No. 71 of 13 September 2019

## **ESTONIAN MILITARY ACADEMY RULES AND REGULATIONS FOR RESEARCH AND DEVELOPMENT ACTIVITIES**

### **I General Provisions**

This document regulates the research and development activities (hereinafter referred to as “R&D activities”) at the Estonian Military Academy (hereinafter referred to as “the EMA”). This document takes guidance from the Development Plan of the Estonian Ministry of Defence, the research and development policy of the Estonian Ministry of Defence, Rules and Regulations for Research and Development Activities in the Estonian Defence Forces (EDF), the Statutes of the Estonian Military Academy (EMA), and the EMA’s Development Plan. This document takes guidance from national R&D documents, the Code of Ethics of Estonian Scientists, and on good academic practices.

### **II Objective**

This document aims to regulate the activities and responsibilities of EMA sub-divisions with regard to R&D activities. In addition, these rules and regulations lay down the principles for the planning, funding, implementation, and evaluation of EMA’s R&D activities.

### **III Terms and Abbreviations**

- **Applied research** –research conducted for the purposes of obtaining new knowledge with the primary goal of applying this newly acquired knowledge in a specific area within a relatively short period of time;
- **Baseline studies** – original theoretical or empirical research aimed at generating new knowledge about the underlying causes of phenomena and events, without aiming for immediate application of gained knowledge;
- **Capability** – a measurable ability of a structural or a military unit of the EDF to perform a given task under given conditions and in compliance with applicable standards;
- **Capability carrier** – a structural or a military unit of the EDF responsible for maintaining and developing a specific capability;
- **Capability gap** – qualitatively or quantitatively defined difference between the required and actual performance of a capability carrier, or non-existent/absence of capability due to deficiency of capability carrier;
- **Contracting authority** – structural unit of the EDF, Estonian Defence League (EDL), national defence agency or any other government agency, educational and/or research institution, member company of the Estonian Defence Industry Association (EDIA) or an educational and/or research institution from a partner country, that has submitted an application to the EDF for the purpose of conducting a R&D project;

- **General competence** – understanding of core theories in a given area, and their scope of application, as well as being attuned to general trends in the domain. Defence-related R&D activities shall take guidance from the following general competences that have been deemed critical to the development of Estonia’s national defence and military capabilities (in alphabetical order): (1) leadership; (2) military history; (3) national defence strategy; (4) operation analysis; (5) resource management; (6) security and defence policy; and (7) technology<sup>1</sup>;
- **NDAP** – National Defence Action Plan<sup>2</sup> (in Estonian *Kaitseministeeriumi valitsemisala arengukava*, KMAK);
- **NDDP** – National Defence Development Plan<sup>3</sup> (in Estonian *Riigikaitse arengukava*, RKAK);
- **Process description** – set of activities approved by the Commandant of the EMA designating the responsibilities of the stakeholders of a given R&D project, as well as its monitoring principles;
- **Project manager** – the person who is in charge of the project team and is responsible for achieving the project’s objectives. The project manager is responsible for the project’s planning, and implementation, i.e. coordination, observance of deadlines, team management, adhering to the project’s objectives and budget, ensuring that resources are used for intended purposes, and also for the delivery, presentation and dissemination of the project’s results/outcomes;
- **Research and development activity (R&D activity)** – application of knowledge acquired via research and experience for the purposes of making new products or devices, and introducing processes, systems and services or significant upgrades thereto;
- **Research and development project (R&D project)** – project launched for the purposes of generating new knowledge and finding science-based solutions to identify and solve relevant problems. R&D projects must have measurable objectives, and they entail the conduct of baseline studies or applied research and other development activities within a specified time-frame and specially allocated resources. All EMA R&D projects must be registered in the EDF document management system, and approved by the Commandant of the EMA;
- **R&D project report** – interim and final reports that must be submitted for each R&D project. These reports are meant for monitoring and evaluating the progress and results of the R&D project in question. The specific requirements for these reports, and their submission deadlines, shall be specified in the project descriptions and relevant agreements. An integral part of these reports is the accrual-based financial statement providing an overview of eligible expenses made;
- **Research focus** – narrower specialised area of research (e.g. infantry company tactics as part of the larger tactical scheme of the infantry);
- **Research group** – group of people registered in the Estonian Research Information System – ETIS – who are engaged in research in a specified area or in the framework of a R&D project;
- **Research results** – the results of research or a R&D project, incl. products, technologies, scientific/research publications, research conferences and seminars, presentations, as well as final reports that have been prepared in compliance with requirements for scientific publications, undergone peer review, and published, if possible;
- **Research topic** – specified research object within a larger focus area (e.g. offensive activities of infantry companies)

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<sup>1</sup> General competencies are outlined in the Research and Development Policy of the Estonian Ministry of Defence for the period 2014-2022, p. 4.

<sup>2</sup> Estonian Ministry of Defence, National Defence Action Plan 2019-2022  
<https://www.kaitseministeerium.ee/en/objectives-activities/defence-planning/national-defence-action-plan-2019-2022>

<sup>3</sup> Estonian Ministry of Defence, National Defence Development Plan 2017-2026  
<https://www.kaitseministeerium.ee/riigikaitse2026/arengukava/eng>

- **Specialised competence** – professional capability (related to a capability gap) to choose the most suitable theoretical framework for overcoming capability gaps, and the possession of relevant skills for its practical application.
- **Specific competence** – an area of research falling under one of the general competencies, i.e. (in alphabetical order): (1) leadership; (2) military history; (3) national defence strategy; (4) operational analysis; (5) resource management; (6) security and defence policy; and (7) technology.

#### IV Principles of R&D activities at the Estonian Military Academy

1. The main objective of EMA's R&D activities is to support the EDF's capability development, and academic activities at the EMA.
2. The EMA's R&D activities take guidance from the framework outlined in the National Defence Development Plan (NDDP). The underlying principles for EMA's R&D activities are specified in the EMA Development Plan.
3. The EMA's R&D activities are subject to the directives outlined in the R&D annex to the annual directive/order of the Commander of the EDF. The input for the R&D annex is primarily collected from stakeholders responsible for specific capability development programmes<sup>4</sup>. This input is, in turn, supplemented by the EMA's Department of Applied Research, Department of Academic Studies, and the Centre for War and Disaster Medicine, in accordance with the EMA's R&D principles and needs.
4. The EMA's Department of Applied Research shall be responsible for coordinating all R&D projects conducted with agencies both within and also outside the purview of the Ministry of Defence.
5. The EMA's R&D activities shall contribute to the EMA's academic studies, incl. final and master's theses, and the overall development of military studies in Estonia.
6. The EMA's R&D activities shall be primarily related to the following:
  - 6.1. the EMA's main area of activity, i.e. primarily academic studies;
  - 6.2. EDF's capability development;
  - 6.3. issues falling under the purview of the Ministry of Defence, primarily national defence;
  - 6.4. comprehensive approach to national defence.
7. For the purposes of supporting the academic and professional development of its students, the EMA shall be engage its students in R&D activities whenever possible.
8. In the framework of R&D activities, the EMA shall also engage with partners outside the Academy, incl. international partners.
9. All additional tasks related to R&D activities, and that are not included in the employee's job description, shall be remunerated from the budget of the R&D projects.
10. The rules governing the organisation of R&D events are outlined in Annex 2 of this document.

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<sup>4</sup> Directive No 418 of 28 October 2014 issued by the Minister of Defence.

## **V Research Ethics and Personal Data Protection, Intellectual Property**

11. The EMA's R&D activities take guidance form the principles outlined in the Estonian Code of Conduct for Research Integrity<sup>5</sup>, developed under the auspices of the Estonian Research Council.
12. When preparing process descriptions, all conflicts of interest between supervisors and subordinates, as well as between members of a research group, must be eliminated, taking into account the procedural restrictions specified in section 11 of the Anti-corruption Act.
13. The processing and protection of personal data shall be conducted in accordance with the Directive "Processing and Protection of Personal Data in the Estonian Defence Forces" issued by the Commander of the EDF (approved 26 February 2019).
14. If any personal data are processed in the framework of an R&D project, the responsible persons must prepare a guidelines document outlining the measures for protection of personal data.
15. The rules governing the protection of intellectual property are outlined in Annex 1 to this document.

## **VI Responsibilities and Tasks of EMA Subdivisions**

16. The EMA's Department of Applied Research shall be responsible for coordinating all EDF R&D activities (i.e. planning, implementation, monitoring, dissemination of results, and development of R&D competencies), and shall also be responsible for:
  - 16.1. providing input on R&D activities related to EDF's capability development for inclusion in the relevant development plans prepared by the Ministry of Defence (incl. NDDP, NDAP);
  - 16.2. preparing the EDF's R&D plan in collaboration with the Ministry of Defence and the Headquarters of Estonian Defence Forces;
  - 16.3. preparing the R&D Annex to the annual directive/order of the Commander of the EDF;
  - 16.4. R&D-related cooperation with partners from outside the EMA;
  - 16.5. representing the EMA in international defence-related R&D organisations (e.g. NATO Science and Technology Organization, STO; European Defence Agency, EDA) by taking part in their work to the extent possible and in the interests of the EDF;
  - 16.6. non-EMA staff taking part in the work of international defence-related R&D organisations (e.g. NATO STO, EDA) in compliance with the EDF's R&D regulations;
  - 16.7. the management of the EMA's R&D resources;
  - 16.8. the organisation of R&D events in its domain.
17. The EMA's Department of Academic Studies shall be responsible for:
  - 17.1. the undertaking of R&D projects in the EMA departments under its purview;
  - 17.2. linking R&D activities with academic studies at the EMA;
  - 17.3. the organisation of R&D events in its domain.
18. The EMA War and Disaster Medicine Centre (WDMC) shall be responsible for R&D events in its domain.

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<sup>5</sup> Estonian Code of Conduct for Research Integrity  
<https://www.eetika.ee/en/ethics-estonia/estonian-code-conduct-research-integrity>

19. The EMA's subdivisions shall be responsible for overall development and research in the field of military studies, as well as for the following R&D activities under general competencies:
  - 19.1. Department of Academic Studies – leadership;
  - 19.2. Department of Applied Research – operation analysis, military technology, resource management, and military terminology;
  - 19.3. War and Disaster Medicine Centre – war and disaster medicine.
20. In addition, the Department of Academic Studies shall support the Department of Applied Research in research related to operation analysis, security policy, military history, and military terminology; while the Department of Applied Research shall support the Department of Academic Studies in research related to leadership.
21. The EMA Commandant's Administration, the Department of Support Services, and other subdivisions of the EMA shall support the Academy's R&D activities in questions falling under their respective areas of responsibility (e.g. resources, etc.).

## **VII The Financing of EMA's R&D Activities**

22. All R&D projects financed from the defence budget shall be outlined in the NDAP.
23. The EMA shall be responsible for planning the R&D budget for the upcoming year, and indicates the allocations based on the EDF budget cycle.
24. The R&D budget shall include:
  - 24.1. R&D related personnel costs (incl. training, business trips, additional remuneration, contracted work, etc.);
  - 24.2. operational costs (incl. outsourced services, travel expenses, day-to-day administrative costs, expenses related to events, etc.);
  - 24.3. procurement costs (incl. procurement and rental of resources), and grants.
25. The R&D resources shall be stipulated in the NDAP resource plan, and their allocation shall be specified on a year-to-year basis in the EMA's annual budget.
26. Generally, R&D resources are allocated from the EDF budget. Additional funding can be obtained on the basis of project-based funding either from the Ministry of Defence or from other sources outside the area of government under the Ministry of Defence (e.g. other national agencies, Estonian Defence Industry Association (EDIA), international programmes, etc.).
27. All additional or external funding acquired for EMA's R&D projects shall be accounted for separately. The project managers shall be responsible for ensuring that budgetary resources are only used for intended purposes.

## VIII Publication of EMA's R&D results

28. The results of R&D projects funded by the EMA shall be published by the EMA in:
- 28.1. the **Estonian Journal of Military Studies** (In Estonian *Sõjateadlane*); ETIS classification 1.2 (peer-reviewed articles in international scientific journals)<sup>6</sup>;
  - 28.2. **Occasional Papers of the Estonian Military Academy**, ETIS classification either 1.2 (peer-reviewed articles), 2.1 (book/monograph), 2.3 (dissertation), 2.5 (published research report or study) or 3.2 (articles or chapters in a collection).
29. The EMA may also allocate funds for publication outside the EMA, subject to approval of the person overseeing the EMA budget.

## IX The Evaluation of the Organisation of R&D Activities at the EMA

30. Once per year, the EMA's Department of Applied Research, together with the Department of Academic Studies, and the Centre for War and Disaster Medicine, shall conduct an evaluation of the organisation of R&D activities at the EMA, and submit proposals for improvement to the EMA Governing Council. All changes to the organisation of R&D activities at the EMA are subject to approval by the Commandant of the EMA.
31. The EMA's regular and extraordinary institutional accreditation and evaluation constitutes an integral part of the assessment/evaluation of R&D activities.

## X The Evaluation of R&D Activities at the EMA

32. The evaluation of the implementation of R&D projects shall take guidance from the EDF's rules and regulations for R&D activities. If the use independent experts in the evaluation of R&D projects is not possible, the EMA shall engage external evaluators to avoid conflicts of interest.
33. All reports (i.e. interim and/or final reports) related to EMA's R&D-projects must be submitted by the deadlines stipulated in relevant contracts or in the project description.
34. The EMA Governing Council shall be responsible for approving the EMA's annual R&D Quality Plan (i.e. who does what (incl. scope), and where it will be published) that is aimed at increasing the EMA's standing in the research domain. The draft plan shall be prepared by the EMA's Department of Applied Research and submitted for approval to the EMA Governing Council.
35. The implementation of the EMA's annual R&D Quality Plan shall be evaluated by a committee of external experts (incl. MoD's Research Adviser, representative from the Estonian Research Council) convened by the Commandant of the EMA.
36. All non-project-based R&D activities shall be evaluated on a case-by-case basis accounting(?) for the following criteria:
- 36.1. the achievement of qualitative R&D objectives (e.g. ETIS classification and scientific impact) shall be monitored and assessed/evaluated by the heads of EMA subdivisions on the basis of the objectives of the activity or its outcome (e.g. publications, development work, etc.);
  - 36.2. the achievement of quantitative R&D objectives (e.g. participation in R&D projects, number and classification of publications, etc.) shall be assessed by a committee of external experts convened by the Commandant of the EMA in accordance with the EMA's annual R&D Quality Plan approved by the EMA Governing Council;
  - 36.3. the standard workload and quality requirements stipulated in the job description for the EMA's teaching staff, to be assessed/evaluated in the course of attestation.

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<sup>6</sup> Estonian Research Information System: ETIS classifications => Publications  
<https://www.etis.ee/Portal/Classifiers/Details/81e52bde-a1a1-490a-a9c4-2df9f3fc3a70>

## **XI Remuneration and recognition**

37. The remuneration for work performed in the framework of R&D projects is regulated by relevant personnel regulations of the EDF. Project-specific premiums may be granted for a maximum period of six months at once.
38. On the proposal of an employee's immediate supervisor, the Commandant of the EMA is entitled to award performance-based and other premiums for R&D work performed in the course of an academic year if it exceeds the standard workload or quality level specified in the job description for the EMA's teaching staff.
39. The EMA shall recognise outstanding results of R&D activities published during the calendar year (incl. research results, and defended student theses).

## **Annexes**

Annex 1. The EMA Guidelines for R&D Projects

Annex 2. The EMA Guidelines for R&D Events