

**United States Air Force
Institute for National Security Studies**



FISCAL YEAR 2009

RESEARCH PROGRAM GUIDE



DEPARTMENT OF THE AIR FORCE
USAF INSTITUTE FOR NATIONAL SECURITY STUDIES
USAF ACADEMY, COLORADO



15 June 2008

MEMORANDUM FOR ALL INTERESTED RESEARCHERS

FROM: INSS

SUBJECT: FY09 RESEARCH PROGRAM GUIDE

1. Attached are the USAF Institute for National Security Studies' research abstracts for fiscal year 2009. INSS is looking for volunteers to study these topics on behalf of the USAF Strategic Plans and Policy Division; the Air Force Information Warfare Center; the Secretary of Defense's Office of Net Assessment; the Defense Threat Reduction Agency's Advanced Systems and Concepts Office; the United States Northern Command; the Army Environmental Policy Institute; the United States Military Academy Combating Terrorism Center; and a number of other organizations. INSS provides funding for travel and associated expenses for selected projects. All military members are eligible to perform INSS research. Most civilian faculty, staff, and students at the military academies, intermediate service schools, senior service schools, and military degree-granting institutions are also eligible.
2. If you are interested in performing research for INSS, please follow the research proposal submission instructions included in the first section of this guide. The deadline for the first round of proposals is **6 October 2008**; the second round deadline is **12 January 2009**. Although we will consider proposals received after the second deadline, our funds may be exhausted at that time.
3. INSS represents one of the best research opportunities available to the military academic community today. We offer potential researchers reimbursement funding, publication opportunities, research contacts, and important real-world topics currently under study within the Department of Defense. The attached abstracts are merely guidelines, however. If you want to perform research on a subject that is not listed but you think should be considered, please submit a proposal to us. Similarly, you may combine topics or modify abstracts to fit your research interests. The INSS research proposal selection committee (comprised of representatives from our sponsoring organizations) will carefully consider all proposals submitted to us.
4. Best wishes in your research efforts during the coming year. I look forward to hearing from many of you in the weeks ahead.

JAMES M. SMITH, PhD
Director

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INTRODUCTION

THE USAF INSTITUTE FOR NATIONAL SECURITY STUDIES (INSS)

History. The Institute for National Security Studies was created by the Air Staff in 1992 as a cost-effective way to use the military community's academic expertise and receive a better return on the Air Force's research investment. INSS' primary sponsor has been the Strategic Security Directorate on the Air Staff (HQ USAF/A3S). INSS is also supported by a number of other sponsor organizations that currently include the Secretary of Defense's Office of Net Assessment, the Defense Threat Reduction Agency, United States Northern Command, the Air Force Information Warfare Center, the Army Environmental Policy Institute, the Army Foreign Military Studies Office, the United States Military Academy Combating Terrorism Center, and other organizations. Through FY08, INSS contributed over \$3 million to support approximately 1100 projects.

Purpose. Located at the USAF Academy in Colorado Springs, Colorado, INSS serves as a locus for research related to security studies, emphasizing topics in the fields of strategic security and controlling and combating weapons of mass destruction; homeland defense, combating terrorism, and asymmetrical warfare; regional and emerging national security issues; and air, space, and cyber issues and planning. In addition to its research efforts, the Institute conducts a broad range of other activities, including workshop organization, curricula development, and scholarly publications. Each year INSS invites our top researchers to present their findings to interested sponsor organizations. INSS presents two awards to our top researchers each year: our top researcher overall receives the Linhard Award (named after the late Major General Robert E. Linhard of the Air Staff, a great supporter of INSS), and the Outstanding Academy Researcher Award goes to the top researcher from the USAF Academy. Several of our best research products from each year are published as *INSS Occasional Papers* and as articles in many journals.

Mission. *To promote national security research for the Department of Defense within the military academic community, to foster the development of strategic perspective within the United States Armed Forces, and to support national security discourse through outreach and education.*

USING THE RESEARCH PROGRAM GUIDE

The abstracts listed in the FY09 Research Program Guide are current as of June 2008. *For the most complete and up to date listing of abstracts please consult the INSS homepage at www.usafa.edu/df/inss.* The abstracts in this guide are designed to help you submit a successful research proposal and are formatted as follows:

Organization. Each abstract is written in the form of a question or task and contains some additional information. The abstracts are divided into the following categories, which are aligned with the interests of our current sponsors: strategic security and controlling and combating WMD; homeland defense, combating terrorism, and asymmetrical warfare; regional and emerging national security issues; and air, space, and cyber issues and planning. Whenever useful, abstracts within a category are grouped together under sub-categories.

Abstract Number. The abstracts are numbered sequentially. Use this number on all correspondence regarding the abstract of interest to you. If you modify an abstract or combine two or more abstracts, please refer to your project by the number(s) of the abstract(s) that most closely correspond(s) to your research proposal. *Remember, the attached abstracts are merely guidelines. If you want to do research on a topic that is not listed but you believe should be covered, please submit a proposal to INSS. This is especially appropriate for those potential researchers who have specific expertise in any of the topical areas of interest to INSS.*

POC. Call INSS with any questions on the listed topics or submission of a proposal. Or if you have general questions about the INSS research program or about a broader research topic area, please contact INSS. After award of research sponsorship, then contact the listed POC with specific questions and for detailed research guidance.

Priority. The importance assigned an abstract by the sponsoring organization. Priority 1 is the highest priority, 2 is high priority, and 3 is medium priority. Priority 1 topics generally have the greatest potential for funding. **NOTE: For FY 09 we have highlighted those topics in each category that have the absolute highest priority from our sponsors.**

Key Terms. The research guide does not contain an index. Please use the electronic version of this guide on the INSS homepage to search for key terms.

SUBMITTING A RESEARCH PROPOSAL

Eligibility. The following categories of individuals are normally eligible for INSS research funding: 1) military members and DOD civilian personnel; 2) military and most civilian faculty, staff, and students at the military academies, intermediate service schools, senior service schools, and military degree-granting institutions; and 3) INSS research partners under a formal CRADA. INSS cannot fund civilians, including retired military members, unless they are current employees of the United States government; this excludes contractors from funding unless they are specifically contracted by INSS.

Note to Reserve Component members: INSS does not control any man-days for use when completing INSS projects.

Note to USAFA Cadets: You must work with a faculty member supervisor when conducting INSS research. The faculty member will act as POC and will oversee the research and writing process. It is recommended that you register as an independent studies student under the POC so that you may obtain formal academic credit for your research and writing efforts. Also note that INSS research is **NOT** a formal Cadet Summer Research Program option. Cadets wanting to accomplish INSS research during the summer are responsible for coordinating their own summer program schedule and may have to give up leave to travel in support of their INSS project.

Research Teams. More than one researcher can work on a single project. Moreover, INSS highly encourages multidisciplinary collaboration.

Funding. INSS funding is designed to assist researchers conduct *primary* research on their topic (interviews, site visits, archival research, etc.). Most INSS funding goes toward travel expenses and related costs. The amount awarded for individual INSS research projects has averaged just over \$3,000. Researchers file travel vouchers to be reimbursed for travel expenses based on the official government travel and per diem rates for specific locations as listed in joint travel regulations. INSS does not award unrestricted block grants. INSS cannot pay salaries and normally does not pay for office-related expenses (copying, typing, office supplies, etc.), computer purchases, capital equipment costs, and books. You will normally cut your orders in DTS in coordination with INSS and using one of our fund cites. More specific details on the mechanics of funding and cutting orders will be provided to you if your proposal is selected for funding.

Deadlines. The INSS research proposal Selection Committee meets twice each year. Applicants wishing to be considered in the first round should submit their proposals to INSS no later than **6 October 2008**. First round selections will be released and applicants notified in November. If you need more time to prepare your proposal, or will do your primary research in the spring and summer of 2009, second round proposals will be accepted through **12 January 2009**. Second round selections will be released and applicants notified in February. INSS will consider proposals received after 12 January, but all INSS research funds may already be committed by that time. **IN ALL CASES, THE COMPLETED PROJECT WILL BE DUE TO INSS NLT 1 OCTOBER 2009.**

INSS Homepage. The INSS Homepage (<http://www.usafa.edu/df/inss>) contains the most complete and up-to-date information on abstracts and submission procedures. *All applicants should reference the INSS Homepage prior to submitting proposals. This is especially important prior to submitting second round proposals because it may be less likely that the second round Selection Committee will approve additional funding for those topics already selected for funding during the first round.*

Conference Support Proposals. INSS also occasionally supports academic conferences of interest to our sponsoring organizations. We may be able to provide small grants (\$5,000 or less) to conference organizers to help defray the cost of speaker travel and/or facilities expenses. Please be specific in requesting funding, explaining exactly how the funds are to be used. INSS conference support must be processed through a DoD sponsor organization that is involved with hosting the conference, and significant lead time is required to process required paperwork. Conferences with a specific product or developmental purpose tied to our sponsors' interests compete most successfully for INSS support.

Proposal Submission Procedure. Most of the successful research proposals submitted to INSS highlight project significance, objectives, and a research plan in 2-4 pages. Use the format on the following page to apply for an INSS research grant or to request conference support. ***Please submit all proposals in electronic format to INSS via email attachment.***

MEMORANDUM FOR INSS

Date

FROM: (Name, address, email address, phone number, and fax number of principal researcher)

SUBJECT: (Title of research proposal)

1. **Project Summary:** This is the most important part of the application. Please be as specific, yet concise, as possible.
 - a. Abstract number and priority tier as listed in this Research Guide
 - b. Project’s significance and specific policy relevance
 - c. Research objectives
 - d. Methods to be employed/research plan
 - e. Planned use of the results (publication, policy implementation, etc.)
2. **Researcher Qualifications and Status:** Provide a paragraph on the personal qualifications of each researcher, including academic background and research experience. Also indicate DoD employment status (active duty, reserve/guard, civil service, accepted service, etc.). It is particularly important for civilian government employees to provide clear and detailed status information.
3. **Prior Results:** List any previous research grants and provide a summary of completed work, applicable publications, etc. Also, provide any background information that will help the selection committee better understand your proposal.
4. **Contribution to Military Education:** Explain student participation or other educational benefit in or from the project. State if and how the project will benefit your school or other military education efforts. *Note: Faculty members are encouraged to solicit student participation in research projects when possible.*
5. **Budget:** This section should be as detailed as possible and must include the following:
 - a. *Travel:* Purpose, location, length of stay, and estimated cost (from the Joint Travel Regulation) of each trip, including conference attendance.
 - b. *Other:* Any other anticipated expenses.

Note: It is helpful to the selection committee to include a total amount requested in the proposed budget as well as an acceptable partial funding amount should the committee warrant funding your proposal, but not have sufficient funds available to fully fund your request.

PROPOSAL SELECTION PROCESS

Winning an INSS research grant is a competitive process. Approximately 65 percent of proposals submitted to INSS are awarded some level of funding. A Selection Committee comprised of representatives from the USAF Academy faculty, INSS, and INSS’ sponsoring organizations will evaluate your proposal for its quality, likely contribution to policy making, and utility to national security education. Factors considered in the selection process include:

- | | |
|----------------------------------|--|
| Abstract priority | Interdisciplinary team mix |
| Sponsor applicability | Policy influence/publication potential |
| Quality of anticipated research | Educational benefits (process and product) |
| Novel, “out of the box” approach | Identification/development of new trends |

ADMINISTRATIVE PROCEDURES FOR PERFORMING RESEARCH

Research Process. The proposal acceptance letter from INSS is your authorization to perform officially sanctioned research on your topic. Please carry your letter with you when performing research and refer to it as required should questions arise. Each researcher is responsible for all the details of their research trips (obtaining home unit permission to travel and travel orders, making travel arrangements, obtaining country clearances, lodging reservations, setting up interviews, etc.). Coordinate with INSS before deviating significantly from the research plan approved in your research proposal. **Note to USAFA Faculty and Cadet Researchers:** *Faculty researchers should make their travel arrangements through the Defense Travel System. Travel reservations for cadets must be arranged with WingGate Travel (located on the fifth floor of Fairchild Hall). Travelers should book tickets at the government TDY rate. Personal travel rates may not be appropriate for travel on INSS orders, so check before booking your own tickets. Moreover, those traveling overseas must coordinate with DFIP (also on Fifth Floor of Fairchild, office 5L4) to determine if a country clearance is required. Failure to do so could result in delays or cancellation of travel. DFIP can also assist with passport and visa applications.*

Orders, Obligations, and Outlays. The mechanics of funding hundreds of research trips worldwide can be complex and time consuming. Where possible, travelers should use the Defense Travel System to make their arrangements. You will need to contact INSS for a fund cite to process your orders. Call to begin coordinating the details of your funding and orders *no later than two weeks prior to your intended travel date*. INSS funding is based on the fiscal year. Therefore, your award money must be obligated no later than approximately *15 August 2009* and spent no later than *30 September 2009*. Send a copy of all processed travel vouchers and other receipts showing how much award money you have spent to Ms Figueroa at INSS as soon as possible throughout the year.

Required Reports. Each funded project must have a principal researcher. The principal researcher is responsible for deadlines, control of grant money, contact with the POC during the study, and completion of the following reports (to be submitted to INSS as specified below):

Research Design/Plan. A written outline of your research plan—specifically your expanded topic definition, detailed research objectives, plan and sources for how you are going to fulfill those objectives. While first-round proposal researchers (and particularly NDFs and others whose completed papers are due to their educational institutions in the May timeframe) are highly encouraged to submit their plans prior to the end of the calendar year, first-round researchers must submit their plans within 60 days of proposal acceptance and award of grant.

Spending Update. Call, email, fax, or write INSS with the details on how much money you have spent and how much more you plan to obligate on your project. The update is due no later than *31 May 2009*. This update allows INSS to reprogram any unspent funds.

Administrative Report. A written summary of how your grant money was spent, persons and places you visited, presentations you made, and articles you wrote in conjunction with the research project. Also include an address and phone number where you can be reached during the fall of 2009. Submit this report no later than *1 October 2009*.

Research Report. The primary product from your project is a detailed paper (normally a minimum of 30-50 typed, double-spaced pages) describing your research results. *Submit an electronic copy*. Whenever possible, prepare this document using Microsoft Word and use the current edition of Turabian or the Chicago style manual. If your academic program requires a different style or format, comply with their requirements and INSS will adjust as required. Our preference is for citations to be formatted as endnotes rather than footnotes or parenthetical references. Submit your final product for security and policy review according to your local procedures, and forward a copy of the final clearance to INSS. **The completed report is due no later than 1 October 2009.**

Policy Summary and Briefing Slides. Senior officials in the DoD/Services policy community are interested in the specific policy implications and recommendations flowing from your research. Submit a 6-10 page “policy summary” of your results tailored to the senior audience. Also submit a brief set of slides—using relatively low memory requirement formats—that constitute a briefing of the policy summary (not of the full research report; not more than 6-10 slides). The policy summary and slides need to be based on some thought and careful audience analysis. Selected policy summaries and slides will be forwarded into DoD/Service policy channels with the potential for follow-on invitation for presentation beyond the INSS process. Our sponsors have indicated that only a pointed, brief package such as this will get visibility at the higher levels. Submit in electronic format with the final report no later than *1 October 2009*.

HOW TO REACH INSS

For additional information about INSS, assistance preparing a research proposal, or administrative questions about a research grant, please contact the Institute staff.

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