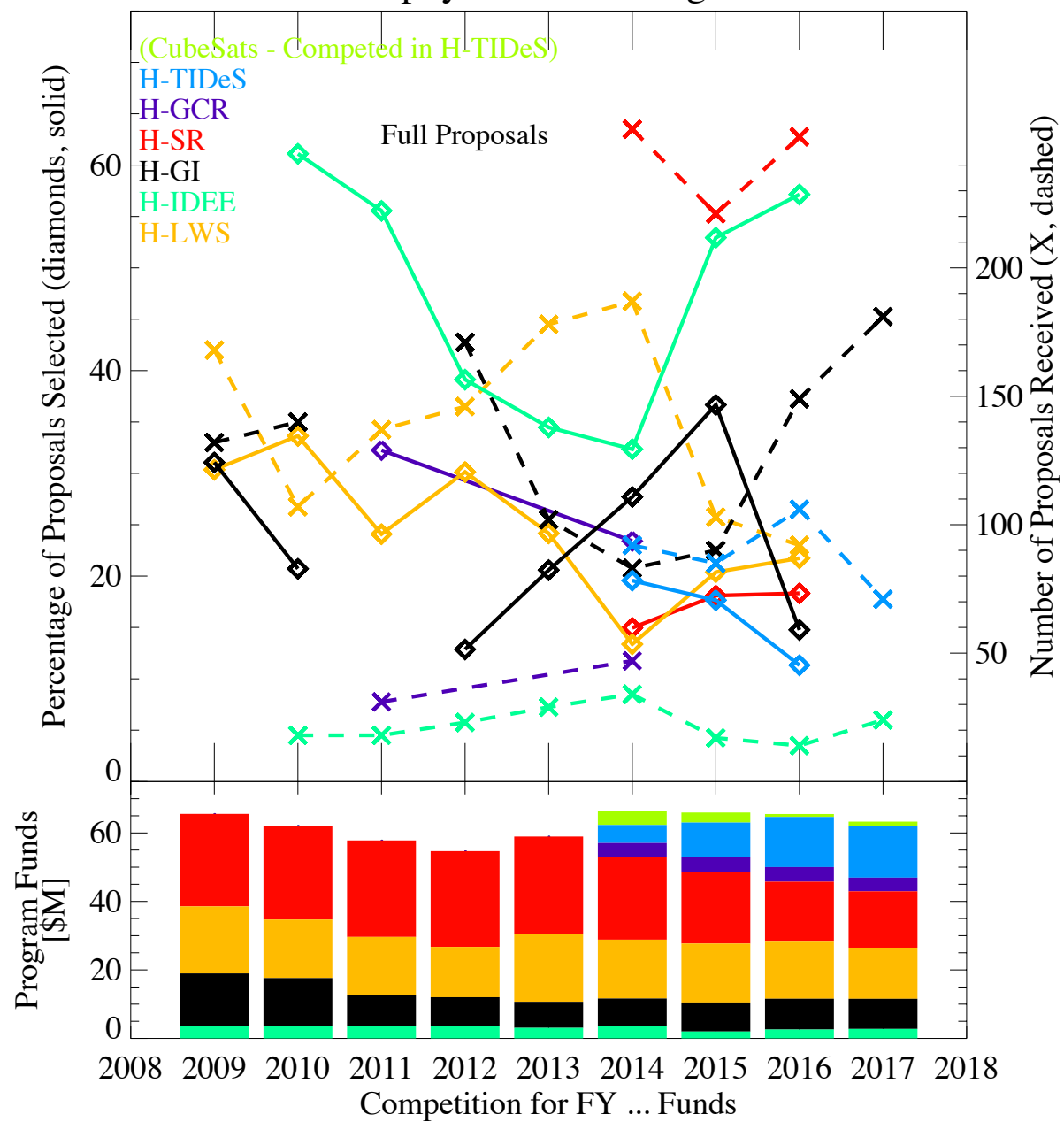# R&A Update/Compliance

Arik Posner / Mona Kessel

NASA HQ

HPD ROSES 2016 Status

ELEMENT	STEP 1 PROPOSALS (Due Date)	STEP 2 PROPOSALS (Due Date)	AWARDS (Expected)	YEAR 1 ($M)
B.2 H-SR	235	- (9/9)	(17-20)	($4M)
B.3 H-TIDeS	87	71	(12)	($4.75M)
B.4 H-GI Open	197	181	(18)	($2.9M)
B.5 H-GCR TMS	- (9/23)	- (11/4)	(8-10)	($4M)
B.6 H-LWS	- (10/7)	- (11/18)	(15-20)	($3.75M)
B.7 H-DEE	28	24	(10-12)	($1M)
B.8 H-GI MMS	- (TBD)	- (TBD)	(TBD)	(TBD)
B.9 H-GCR SC	- (TBD)	- (TBD)	(TBD)	(TBD)
B.10 H-USPI	- (8/18)	- (10/14)	(2)	($0.4M)

Heliophysics R&A Programs

(CubeSats - Competed in H-TIDeS)
H-TIDeS
H-GCR
H-SR
H-GI
H-IDEE
H-LWS

Full Proposals

Percentage of Proposals Selected (diamonds, solid)

Number of Proposals Received (X, dashed)

Program Funds [$M]

Competition for FY ... Funds

HPS Meeting   August 8-9, 2016

Recommendation for SC Consideration: HPD should either increase the size of the grants to bring them more in line with their values of 30 years ago and/or reduce the number of pages from 15 to 10 or less for the Scientific/Technical/Management Section for R&A proposals.

Major Reasons for the Proposing the Recommendation: For more than three decades, the basic size and scope of the H-SR & H-GI grants have remained the same: 15 page proposals for ~$125K/year for a duration of three years. The cumulative inflation index over the past 30 years is approximately a factor of 3.4; consequently at today's salary rates and grant funding level, a full time early career scientist currently needs more than two full grants to support his/her funding. This situation has led to the community and HPD spending an increasing amount of effort on writing and reviewing proposals for a decreasing amount of effective support. Larger awards and/or reduced page limits will ease the burden on the proposers and also allow each panelist to review more proposals. This could also result in smaller review panels and provide additional cost savings.

Consequences of Failing to Follow the Proposed Recommendation: The proposal writing/reviewing process will continue to increase the burden on the community and the Discipline scientists.
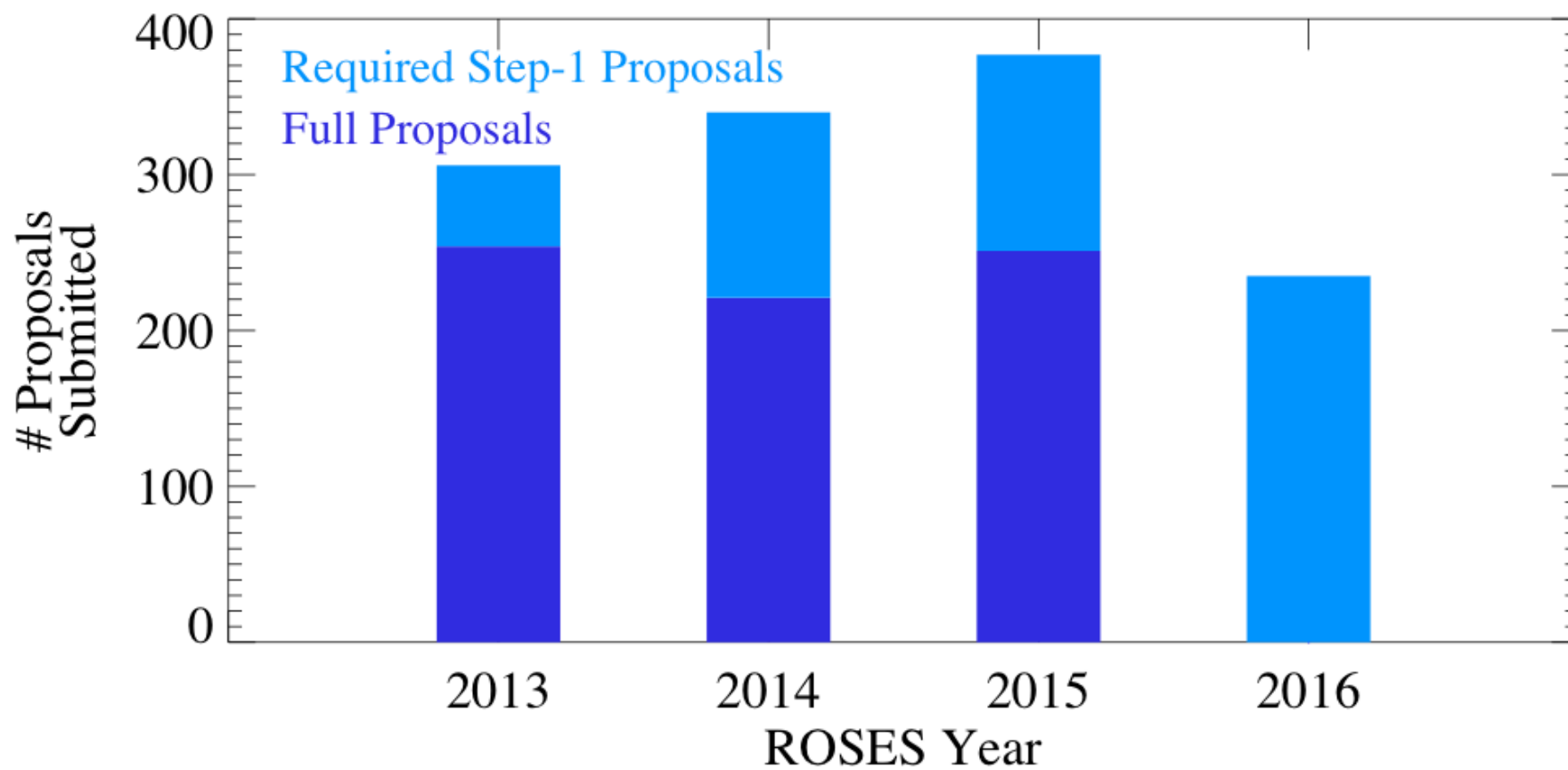
HPD implemented suggested change:

- Increase the size of grants for HSR
  (Heliophysics Supporting Research)

HPD also implemented:

- Principal Investigator (or science lead) will invest a substantial portion of their time, of the order of 30%, to the investigation.

> Will increase in HSR award size reduce the number of submitted proposals?

Compliance Issues for HGI proposals

Timeline

- Panelist in one panel pointed out gross non-compliance issues with a proposal
- HPD recently hired someone to help with panel process – she was asked to check all proposals
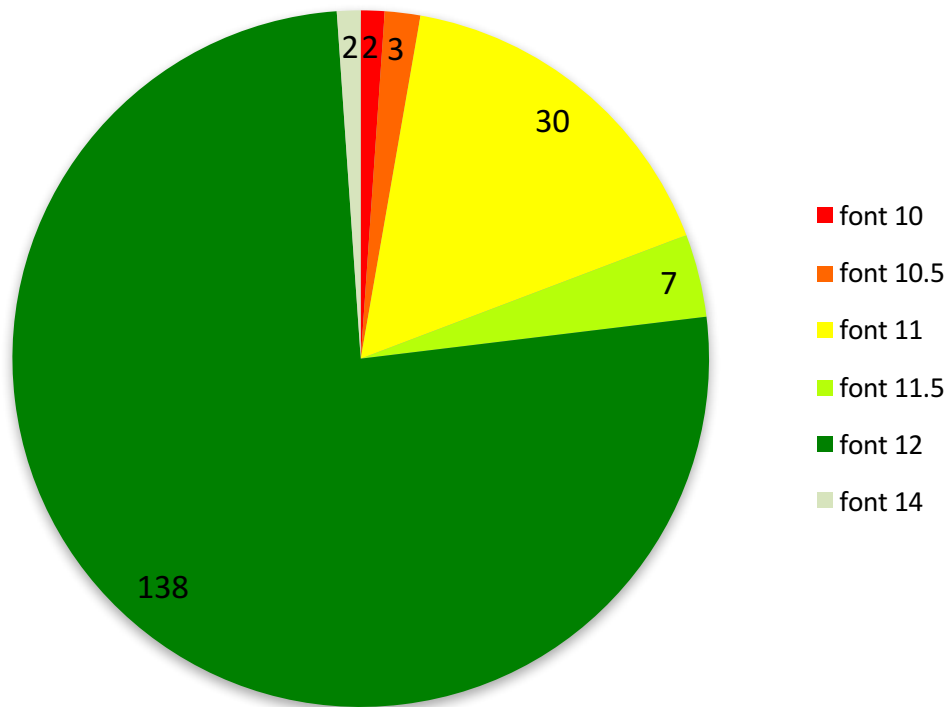- Check revealed substantial numbers of violations

GUIDEBOOK FOR PROPOSERS
Edition: January 2016

1. Single-spaced, typewritten, English-language text, formatted using one column, and using an easily read font having no more than 15 characters per inch including spaces, (e.g., 12-point, Times New Roman Western font).

2. In addition, the text shall have no more than 5.5 lines per inch of text proposers should not use a smaller font or squeeze lines of text in order to gain more text per page as it makes the evaluation process difficult. Proposers may not adjust line spacing settings for a selected font below single spaced.

3. Required paper size is 8.5x11. Pages should have at least 1-inch (2.5 cm) margins on all sides.
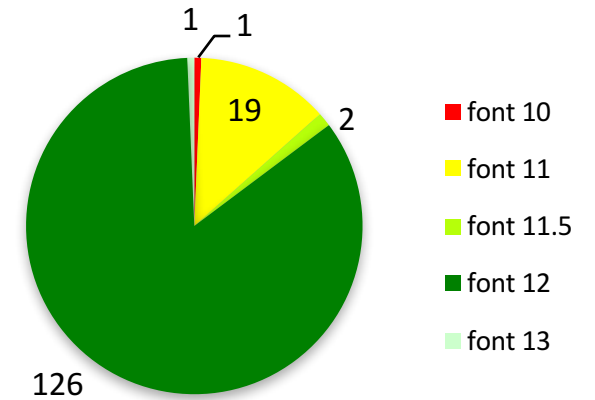
Font Size

HGIO16

HGIO15

font 10
font 10.5
font 11
font 11.5
font 12
font 14

font 10
font 11
font 11.5
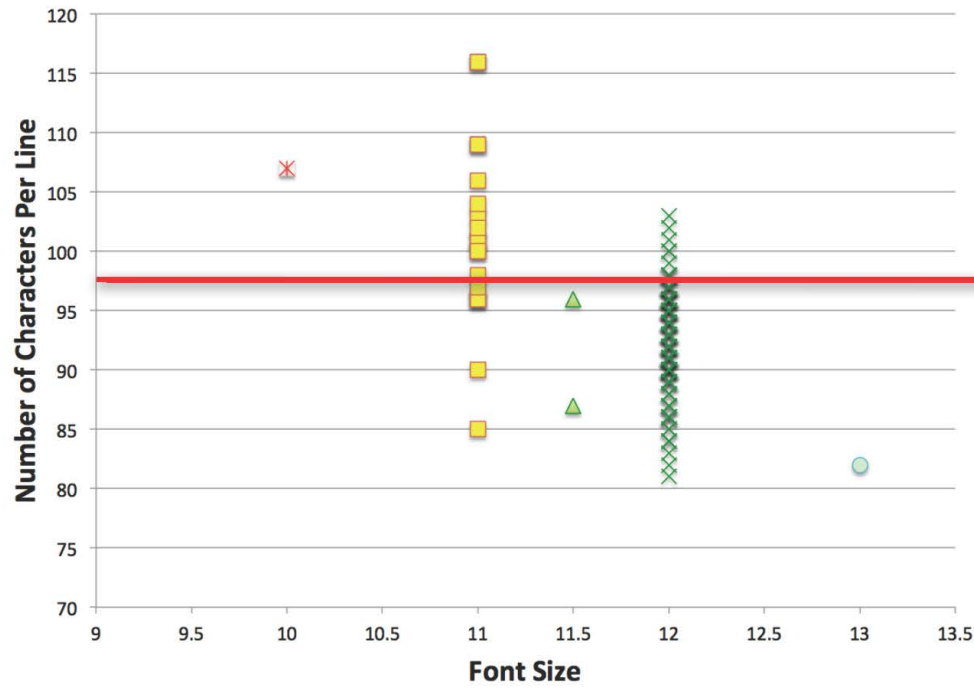font 12
font 13

Issue existed in past but not as much.

It is time consuming and not easy to measure characters per inch so we established the following
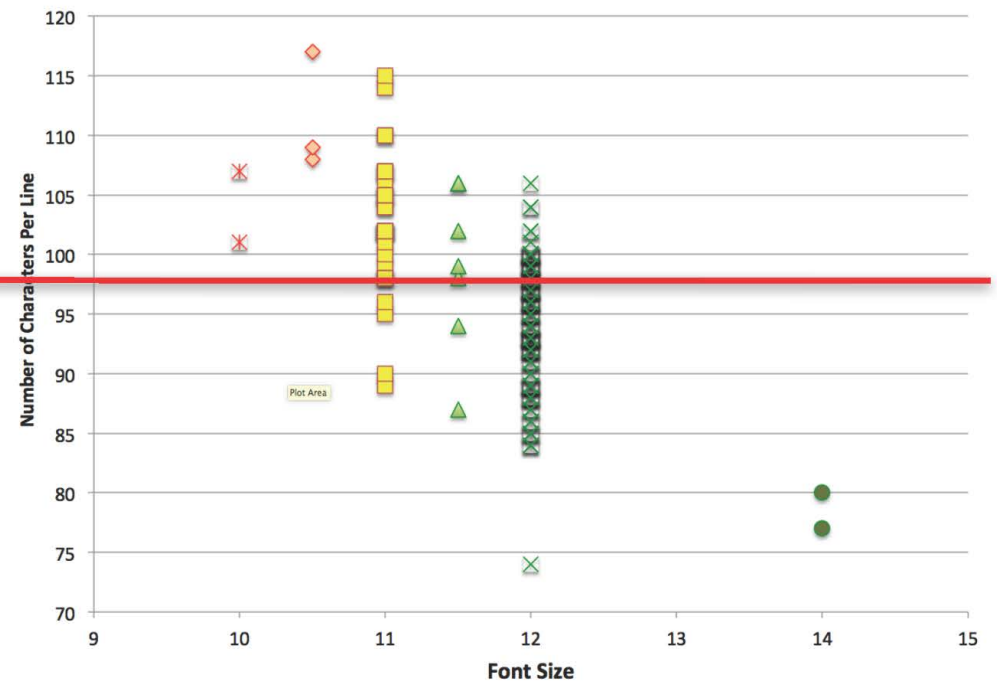
Rule-breaking Criteria:

- 15 characters/inch * 6.5 inch/line = 97.5 characters/line

- 5.5 lines/inch * 9 inches/page = 49.5 lines/page

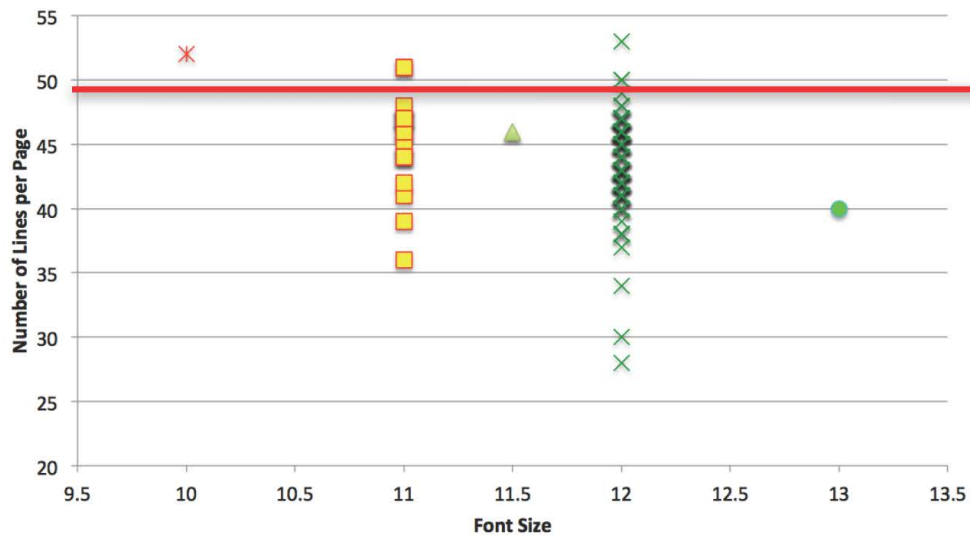 This approximately accounts for 1 inch margins all around.
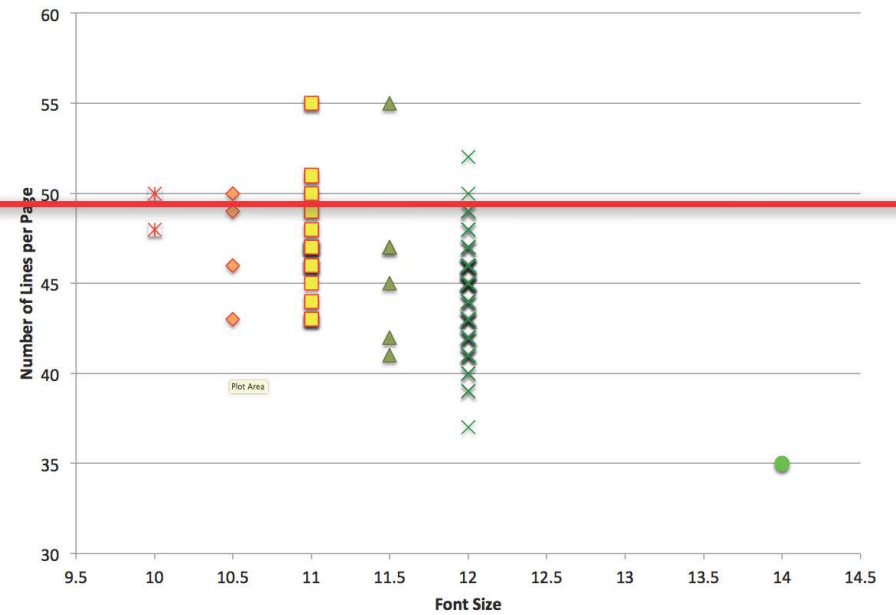
HGIO15: Number of Characters per Line vs. Font Size

HGIO16: Number of Characters per Line vs. Font Size

HGIO15: Number of lines per Page vs Font Size

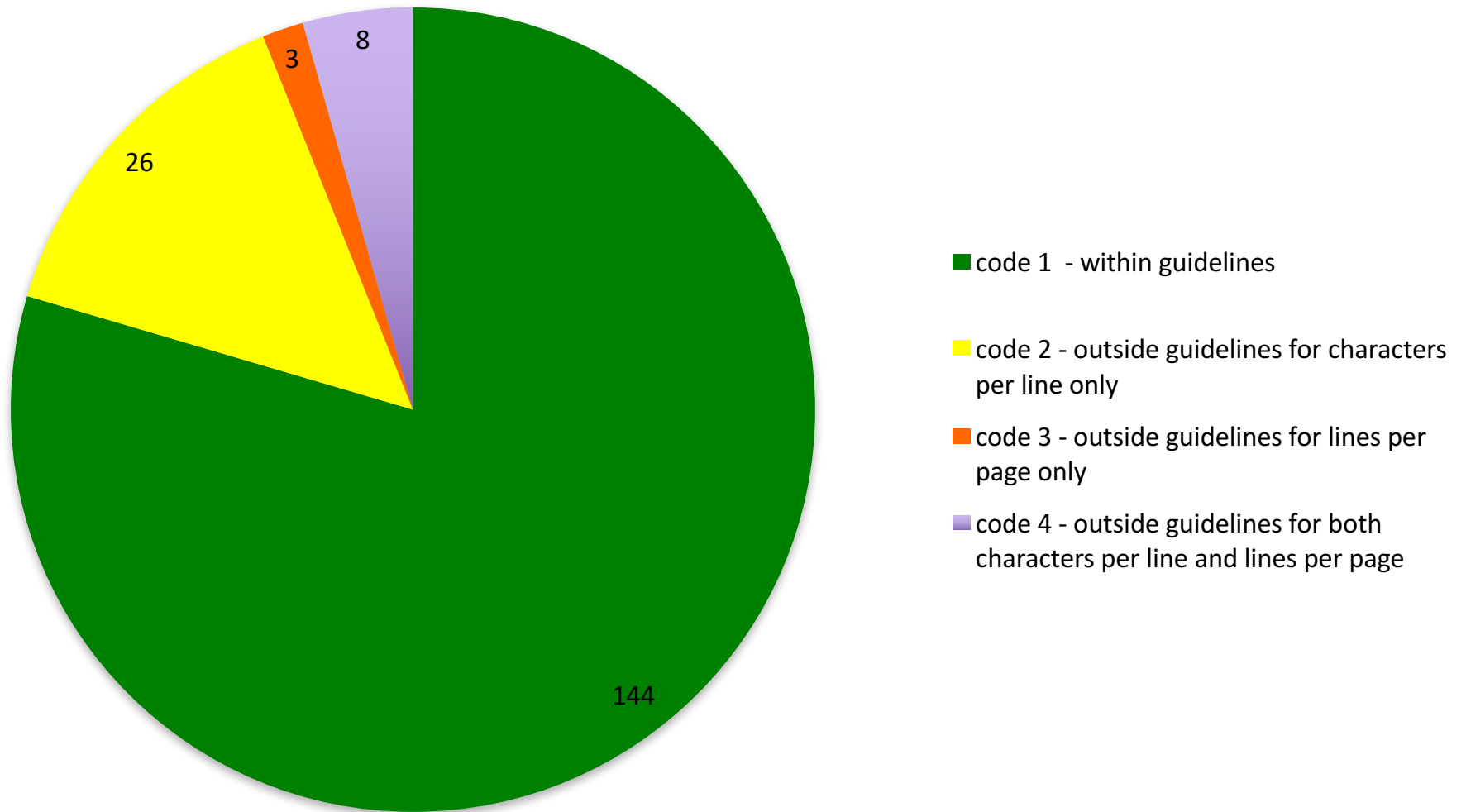HGIO16: Number of Lines per Page vs Font Size

HGIO16 Summary: Adherence to Roses Guidebook; up to 97.5 characters per line for code 2

- ■ code 1 - within guidelines
- ■ code 2 - outside guidelines for characters per line only
- ■ code 3 - outside guidelines for lines per page only
- ■ code 4 - outside guidelines for both characters per line and lines per page

HPS Meeting   August 8-9, 2016
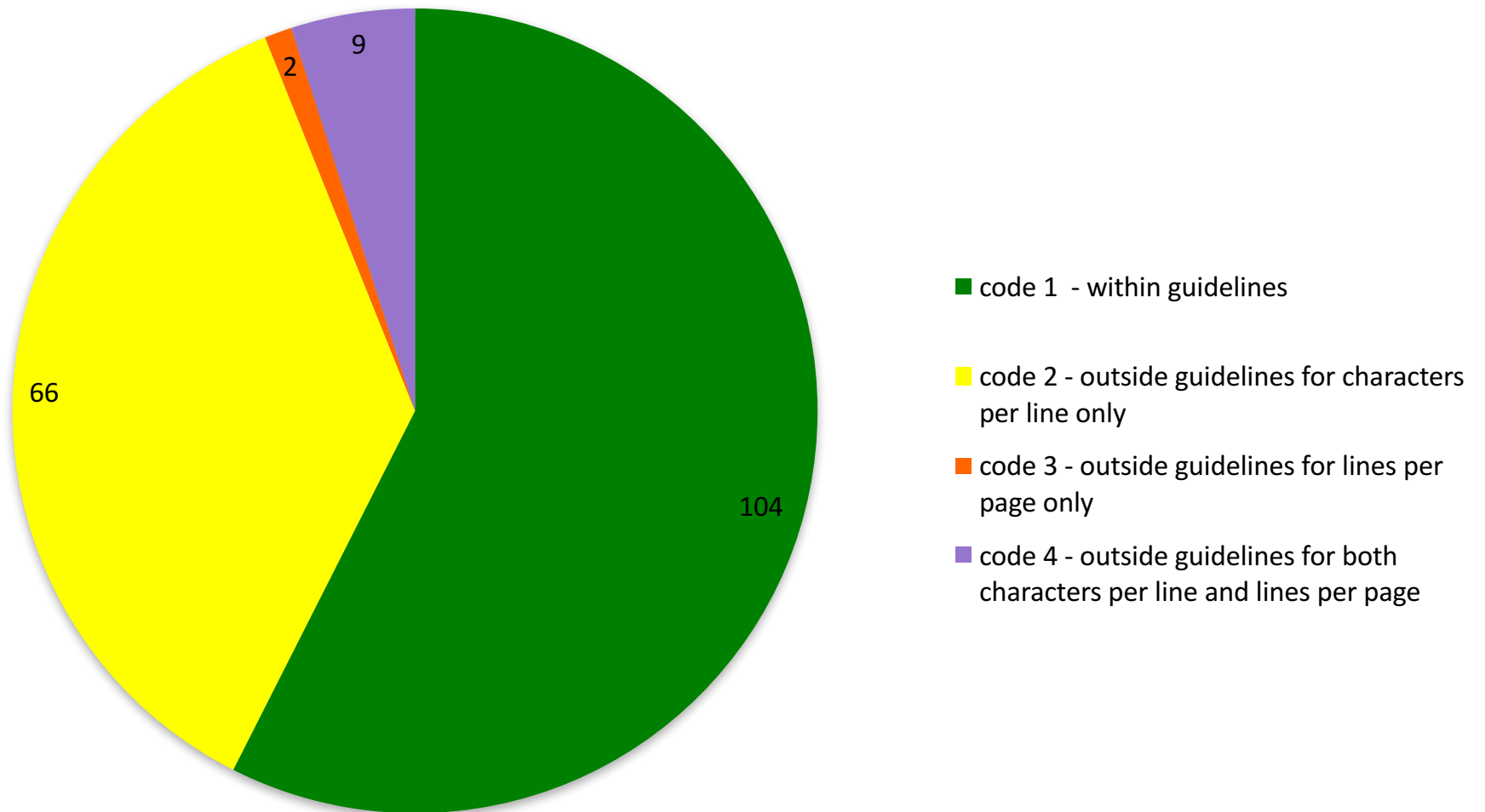
HGIO16 Summary: Adherence to Roses Guidebook; up to 100 characters per line for code 2

- code 1 - within guidelines
- code 2 - outside guidelines for characters per line only
- code 3 - outside guidelines for lines per page only
- code 4 - outside guidelines for both characters per line and lines per page

HPS Meeting   August 8-9, 2016

It is time consuming and not easy to measure characters per inch so we established the following

Rule-breaking Criteria:

- 15 characters/inch * 6.5 inch/line = 97.5 characters/line

- 5.5 lines/inch * 9 inches/page = 49.5 lines/page

This approximately accounts for 1 inch margins all around.

Times New Roman 12 point font can go over 97.5 characters/line on any one line, on average across lines, it is within this limit.

Compliance Issues for HGI proposals

Timeline

- Panelist in one panel pointed out gross non-compliance issues with a proposal
- HPD recently hired someone to help with panel process – she was asked to check all proposals
- Check revealed substantial numbers of violations

- Discussed and determined what is fair to implement this year with all program scientists and using precedent from planetary division
- Carried out second compliance check that was confirmed by Program Scientist in charge of program
- Assigned proposals into 3 categories: (1) non-compliant, (2) warning only, (3) compliant
- Will apply the same plan for all proposals received so far this year, including HSR

- Will include new language that clarifies formatting guidelines for proposals due later this year and next year; Proposer Guidebook will be updated to include that new language as well

HPS Meeting   August 8-9, 2016

Rule-breaking Checks:

- Checked 3 sections of text – 10 lines in each section – took average and compared to 97.5 characters/line
- Checked 3 different pages of text and compared to 49.5 lines/page
- Checked margins on different pages for 1 inch all around.

- **Established a 5% rule for this year only.**
- **Breaking any one rule above by more than 5% and the proposal is non-compliant.**
- **Proposals under the 5% rule but above the guidelines will get a warning.**

Results of Compliance Checking

- 18 proposals would be non-compliant
- 4 of these proposals were highly-rated and are in the fundable category
- 12 proposals would receive warnings
- 2 of these proposals are in the fundable category

Actions

- Warning sent to newsletters
- Reporting to HPS
- Language clarified for future solicitations