

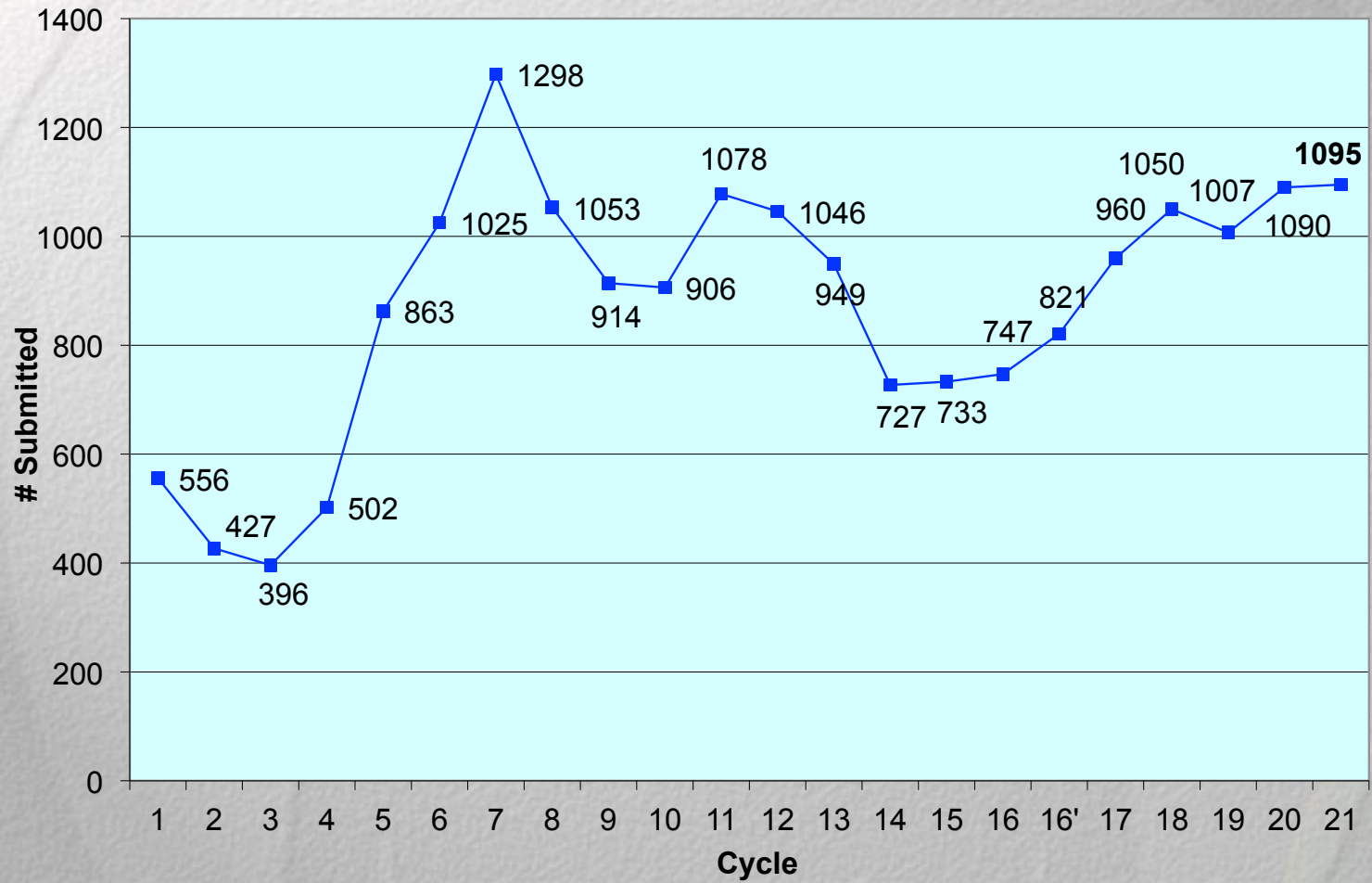
Cycle 21 Orientation

<http://www.stsci.edu/hst/proposing/panel/CYCLE21Orientation.pdf>

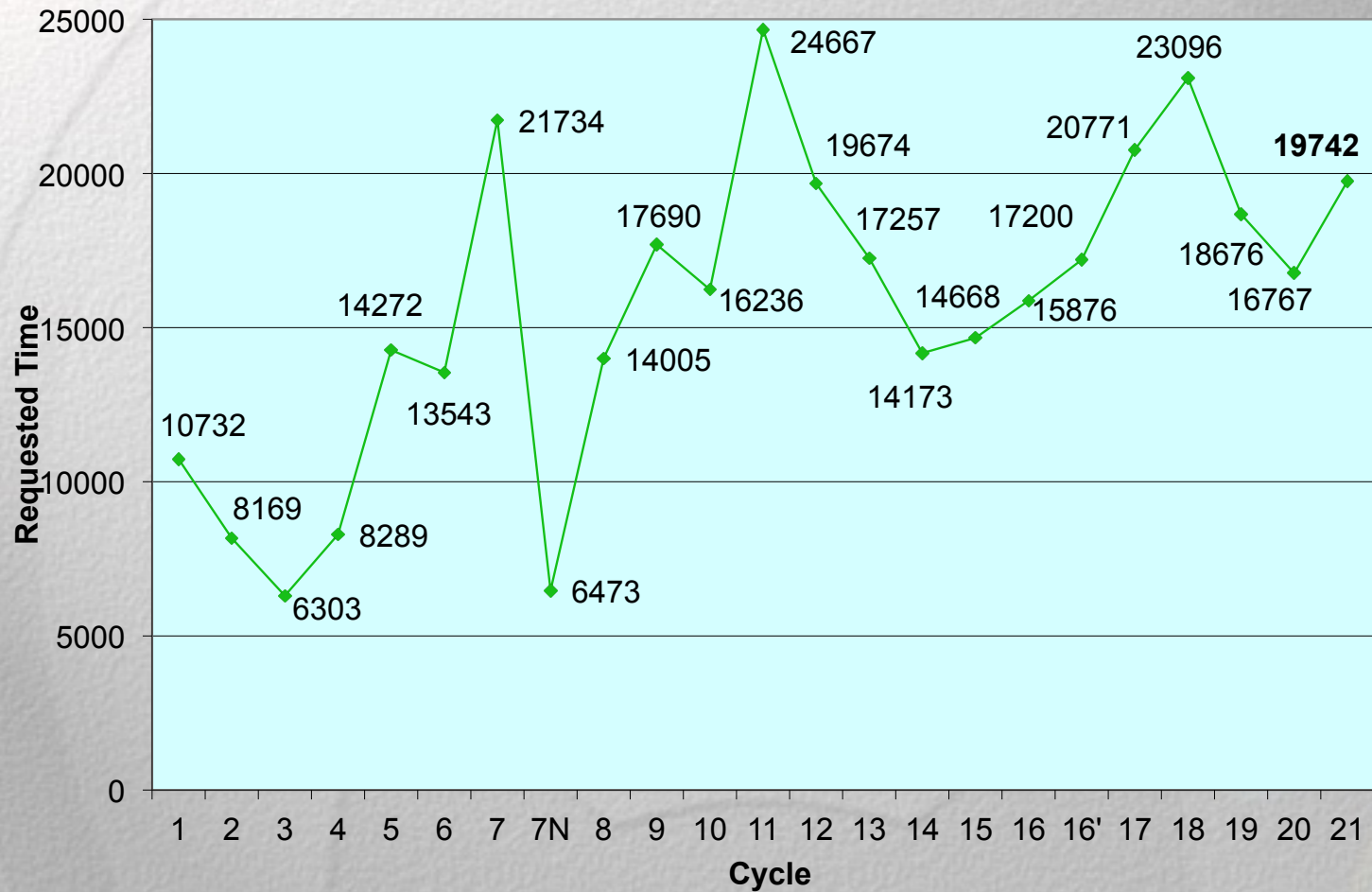
Phase I Schedule for Cycle 21

- **Dec 5** CP release
- **Jan 16** APT release
- **March 1** Phase I deadline
- **March 22** Download available for panelists
- **May 9** Preliminary grades
- **May 14 - 16** Panels meet
- **May 16 - 18** TAC meets
- **May 23** Director's Review
- **May 27** Memorial Day
- **Early June** Notifications

Proposals by Cycle



Orbits by Cycle



Summary Statistics

- 1095 Proposals in Cycle 21 (1090 in Cycle 20)
 - 832 NASA, 203 ESA, 60 Rest
- 822 (845) GO for 19,742 (16,796) orbits
 - 17 (12) Treasury for 2723 (1924) orbits
 - 30 (34) Large for 3580 (4239) orbits
 - 109 (n/a) Medium for 5043 (n/a) orbits
- 55 (55) SNAPSHOT proposals for 6266 (5377) targets
- 218 (190) Archival proposals
- 3 Pure Parallel programs for 730 orbits

Review schedule

- Panels meet Tuesday morning → ~noon Thursday
- Panels review broad science areas
- “Mirror” panels minimize conflicts
- Panels review
 - Regular (Small and Medium) GO proposals (1-74 orbits)
 - SNAPSHOT proposals (<250 targets)
 - Regular Archive & Theory proposals
 - Calibration proposals
- Panelists advise panel chair on Large/Treasury proposals
 - Past Large/Treasury programs: <http://archive.stsci.edu/hst/tall.html>
- TAC meets Thursday afternoon → ~noon Saturday
- TAC reviews
 - Large GO (≥ 75 orbits) & Large SNAP proposals
 - Top-ranked Medium proposals from the panels
 - Treasury GO proposals
 - AR Legacy Proposals

Types of Proposals

Standard proposals	
GO	Small (1-34 orbits); Medium (35-74); Large (≥ 75)
SNAP	Targets; no guarantees; <45 mins; 2-year viability
Special categories	
Long-term	TAC can allocate time in Cycles 22, 23 if justified <u>scientifically</u>
ToO	ultra-fast (<2 d) ToO: 1 activation allowed; 2-21 d ToOs: 8-12 activations; >21 d: no limit
CVZ	no penalty to observer if executed as non-CVZ
Calibrations	Calibrate specific modes of HST observation
HST-Chandra	Up to 400 ksec, 60 ksec time constrained
HST-Spitzer	Up to 60 hours, 20 hours maximum per proposal
HST-XMM	Up to 150 ksec
HST-NOAO	Up to 15-20 nights available on most telescopes ⁷

UV Initiative

- A UV initiative has been introduced to ensure the unique UV capabilities of HST are fully utilized while they still exist.
- The initiative uses **orbit allocation targets** to increase the share of primary GO observing time dedicated to UV observations.
- There is also a category of **UV archival proposals**, aimed at producing UV-specific high-level data products and tools for the Hubble archive, which will enable broader use of those datasets by the community.

UV Initiative (cont.)

- Each **panel** should aim to devote **at least 40%** of its orbit allocation to UV-specific science.
- The **TAC** should aim to devote **at least 50%** of its orbit allocation to UV-specific science.
- **These allocations are targets, not quotas.** UV-specific proposals recommended for acceptance must meet the usual requirement of high scientific quality set for all successful Hubble proposals.
- Proposals in this category are flagged as “UV Initiative” in APT.

- We received 372 GO’s for 10,088 orbits and 30 AR’s.

Policy Issues

Conflict of Interest

Our goal is informed, unbiased discussion of each proposal

- Voting committee members should have neither direct nor indirect interest vested in the outcome of the review
- The subset of the review committee discussing the proposal should have sufficient knowledge to assess the science

We identify two types of conflict:

Major conflicts

- Personal involvement (PI or Co-I)
- Recent former advisor/student of PI or Co-I
- Involvement in closely competing proposal (same targets or science)
- Close personal ties (family, etc.) with PI or Co-I

Minor conflicts

- Institutional conflict, i.e. same department/institution as PI or Co-I
- Close collaborator with PI/Co-I on the proposal
- Any other reason for discomfort

Close collaborators

Who qualifies as a close collaborator?

- Active collaborator on a current research program (including Cycle 21 HST proposals)
- Active co-author on 3 or more papers in last 3 years
 - i.e. more than a participant in a large project (e.g. SDSS)
- Active collaborator on several recent programs
 - At least 3 projects completed in last 3 years

Key question: would my personal research benefit (or would there be an *appearance* of benefit) if this proposal is accepted?

If the answer is yes, then there is a conflict

Conflict of interest

Procedures

- Panelists sign Conflicts of Interest Disclosure form and return to PSS
- Chair (aided by PSS) is responsible for checking conflicts
- Note conflicts before discussing each proposal
- Minor conflicts (Institutional, Co-I collaborator):
 - Conflicted panelist(s) can choose to participate in the proposal discussion
- Major conflicts (all others):
 - Conflicted panelist(s) leaves the room during proposal discussion and during the vote

In all cases, conflicted panelists do not vote

If in doubt, ask SMO/SPG for clarification.

Duplication policy

- NASA policy protects GTO programs and current GO programs against duplication by later-cycle GO programs; duplicate targets will be disallowed or embargoed
- Duplications are defined as *same target or field, same or similar instrument, similar mode, similar spectral range, similar exposure time*. *Consult SPG staff if in doubt.*
- The PI is responsible for noting duplications. Panels should approve duplications explicitly (in comments) or observations can be disallowed.
- Same-cycle duplications: avoid duplicate targets within and between panels. No “forced collaborations” allowed.
- Cross-panel duplications resolved by Chairs of “mirror” panels (**@Breakfast meeting, 2nd/3rd days**).

STScI instrument scientists will check accepted proposals for duplications

General guidance for Cycle 21

- Panel members should assume that all instruments will be performing nominally in Cycle 21
- Panel members should not modify proposals unless there is a very strong scientific justification
- Panel members should *not* reject proposals based on technical considerations
 - All proposals are reviewed by STScI after Phase I. If technical questions arise during the panel review, please summon a relevant expert.
- Panel members should *not* take scheduling considerations into account in grading proposals.

Concentrate on recommending the best science..

...but recognize that it may not be possible to schedule some highly ranked programs

Panel procedures

Panel Distribution in Cycle 21

- 14 panels with these science categories (no change from C20):
 - Planets 1/2: local and distant solar systems, exoplanets, debris disks
 - Stars 1/2/3: cool+hot stars, late stages, low-mass stars, star formation
 - StPops 1/2: Galactic structure, resolved stellar populations in galaxies
 - Galaxies 1/2/3: stellar content of galaxies, ISM in galaxies, dynamics, galaxy evolution
 - AGN/IGM 1/2: AGN, QSO, IGM, QSO absorption lines
 - COS 1/2: cosmology, lensing, GRB, galaxy clusters

Panel Review: Logistics

- Panel Chair runs meeting
 - Select a Co-Chair to run the meeting if Chair has to leave for conflict and to assist with review of comments on day 3
- PSS maintains database, produces ranked lists, answer questions or summon STScI staff experts, as needed.
- Technical and Policy support is available from STScI staff:
 - SPG (policy)
 - INS (instrument expertise)
 - OED (scheduling and implementation)
- Contact list by phone in each meeting room

Proposals for triage

Lowest 40% of panel/TAC proposals are marked for triage based on preliminary grades from panelists

Why do we do this?

- Time constraints
 - 80 proposals@15 mins = 1200 mins = 20 hours
 - 48 proposals@15 mins = 720 mins = 12 hours
- Optimization & efficiency
 - Spend time discussing the best proposals
 - Avoid discussing proposals that are very unlikely to be approved
- Fairness
 - Triaged proposals can be resurrected, but...
 - Only 2 triaged proposals have ever been approved

Panel Review: overview

- Each panel has a specific allocation of **N orbits for Small proposals**
- **Medium** proposals have a **separate orbit allocation**
- Snapshot & Archive/Theory allocations are drawn from a central pool
- Calibration proposals are drawn from a separate pool of orbits
- Panelists review and grade the proposals assigned to their panel, and produce a **ranked list of Small and Medium programs** that encompasses at least $2 \times N$ orbits
- All proposals receive (polite) comments
- Panelists comment on a subset of the TAC proposals

Medium Proposals

- Medium proposals will be reviewed by the panels and ranked together scientifically with the Small proposals
- The panels will not be charged any orbits for them.
- Highest ranked Medium proposals will proceed to the TAC for assessment alongside the Large Programs.
- The TAC will then decide which Medium Programs are recommended for approval.
- This system replaces the orbit subsidy that has been in use for medium-sized proposals in recent cycles.

Detailed Procedures

1. Panelists with major conflicts of interest leave the room. STScI staff leave if PI or Co-I.
2. Primary reviewer summarizes and reviews proposal. Secondary reviewer adds supplementary comments.
3. Discussion among panelists.
4. Specify resource allocation: primary orbits, coordinated or pure parallel, proprietary period, targets (SNAP) or budget size (AR).
5. Vote on proposal via Web-Reviewer System.
**Those with minor conflicts may participate in discussion but do not vote.
EVERYONE ELSE IN THE ROOM MUST VOTE – NO ABSTENTIONS**
6. Primary Reviewer is responsible for collating all relevant comments, and recording those comments via Web-Reviewer System.

TAC proposals & cross-panel overlap

Panelists are asked to comment on a subset of the TAC proposals

- Proposals are assigned to appropriate sets of mirror panels considering topic and proposal load
- This allows more scope for specialist commentary, informing the chairs and aiding discussion in the TAC meeting
- Consider overlap between TAC and panel programs and consider the ranking relative to the panel proposals
- Same rules apply for conflict of interest as with panel proposals
- Panelists are *not required* to vote on TAC proposals, but may choose to do so, at the panel chair's discretion, as a guide to relative rankings

Cross-panel issues

- Mirror panels can get similar proposals due to in-panel conflicts
- After initial ranking, Chairs meet to identify, discuss and, if necessary, resolve overlapping proposals
- Chairs discuss and resolve Medium proposals across mirror panels
- If additional expertise is necessary, Chairs can ask for input from (subsets) of other mirror panels

Possible panel schedule

- Panels have ~60-90 proposals to discuss
- Discuss triage *process* at the outset
 - Flag proposals that could be resurrected
- Discuss and grade non-triaged proposals (~14 hrs)
- Discuss and grade any resurrected triage proposals (~1 hr)
 - Some panels prefer to group proposals by subject and intersperse the resurrected proposals
- Finalize ranking of Small, Medium, Snapshot, and Archival proposals and define “do not award” lower limit
 - Panels should consider the scientific balance
 - Panels re-rank proposals without changing the grades
- Discuss TAC proposals
- Write final report and review comments
- Total ~ 20 hours

~5 hours

Proposal Comments

- Comments are required for all proposals (including triaged proposals); these are entered via the Web-Reviewer tool.
- Primary reviewer is responsible for writing the comments; add any comments arising from the discussion to produce a final set of comments for each proposal.
- Don't make up reasons for rejection – if a proposal was good, but just didn't quite make the cut, then say so. Be particularly careful near the allocation boundaries, and remember that highly ranked proposals may not be schedulable.
- Use *Mandatory* comments only to exclude targets [e.g. duplications] or to reduce observing time allocation.
- All other comments are *advisory*.

Grading the proposals: some suggestions

Grading process & panel responsibilities

- Keep all proposal types (GO, SNAP, AR) together and organize the discussion along science themes
- Maintain one panel score sheet with all proposals included. This ensures that the grading is done in a uniform way
- Produce a final ranked list that combines GO (Small+Medium), SNAP, and AR proposals. Use the same grading scale for all three types:
 - Rank at least twice as many proposals as there are above cut-off line
 - Set a “do not award” lower limit
 - No need to rank carefully those proposals that clearly will not get accepted.
- Panel Chair [and Co-Chair] write a short summary, documenting the primary decisions of the panel, the reasoning that went into those decisions and the manner in which contentious issues were resolved .
 - The summary should capture the logic and rationale of the panel’s conclusions in sufficient detail so that it can be recalled and understood later by the STSci Director and/or the TAC

Confidentiality

- Remember that you should not discuss the outcome of the panel evaluations, now or in the future.
- Many panel members (and STScI and JHU staff) are also proposers; don't discuss results during breaks.
- If the panel wants to send a particularly important message to a proposer, use the comments.

Orbit allocations

Cycle 21 duration

- Cycle 21 will start on October 1, 2013 and end on September 30, 2014
- → Nominal 12 month cycle.

Cycle 21 Allocations

- 3,200 orbits for GO (Large + Medium + Small)
 - 1,800 for Small proposals (panels)
 - 500 for Medium proposals reviewed by panels and ranked by TAC
 - 900 for Large/Treasury programs (TAC)
 - **TAC may choose to re-balance Small/Medium/Large split**
- Orbit oversubscription is $\sim 5/1$ and $7/1$ for Panels and TAC, respectively
- SNAP: ~ 1000 targets across panels
 - ($\sim 1/6$ of targets proposed)
- AR: no budget required in Phase 1

Orbit Allocation

based on a combination of orbit and proposal pressure

Panel	Small GO props	Small GO orbits	Medium GO props	Allocation
PLAN1	49	542	7	125
PLAN2	51	561	7	129
STARS1	72	682	3	171
STARS2	56	468	5	126
STARS3	67	653	4	161
STPOP1	43	618	7	125
STPOP2	37	555	11	110
GAL1	45	736	2	140
GAL2	37	606	12	115
GAL3	39	558	5	113
AGN/IGM1	55	717	15	152
AGN/IGM2	53	828	10	161
COS1	33	438	12	92
COS2	26	424	9	81
TAC	50	6303		900

Questions????

- Please refer ALL policy questions to SPG staff!!!

After the TAC

- As usual, we welcome feedback on the TAC process
 - Can we improve it
 - What were the main shortcomings
 - Can we make it “faster”, “cheaper”, “better”?
- We will send email to all TAC and Panel members requesting your views of the process

THANK YOU!!!!

- TAC review is supported by 135 panelists
- 25 panelists from ESA member states
- ESA provides full funding for participation of ESA panelists
- Continuing partnership with ESA

Personnel & Logistics

Key STScI Staff

- Director's Office
 - **Matt Mountain** – Director
 - **Kathy Flanagan** – Deputy Director
- Science Mission Office.
 - **Iain Neill Reid** – SMO Head
 - **Claus Leitherer** – Head of Science Policies Group
 - **Andrew Fox, Andy Fruchter** and **Bob Williams** – SPG Astronomers
 - **Brett Blacker** – SPG Technical Manager
 - **Sherita Hanna** – SPG Administrative Staff
 - **Martha Devaud** – SPG Administrative Staff
 - **Loretta Willers** – ESA Administrative Staff
- Hubble Mission Office
 - **Ken Sembach** – HST Mission Office Head
 - **Helmut Jenkner** – HST Deputy Mission Office Head
- Operations & Engineering Division
 - **Denise Taylor** – Operation Planning Branch

Observers

- **Ken Carpenter** – NASA GSFC
- **Jeff Kruk** – NASA GSFC
- **Fred Lo** – NRAO
- **Antonella Nota** – ESA
- **Jennifer Wiseman** – NASA GSFC