Planetary Science Division Rolling Submissions FAQ

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Prior to reading this FAQ, proposers to Planetary Science Division (PSD) NoDD and Flexible Due Date programs are encouraged to read Sections 2.4 and 3.2 of <u>C.1 the Planetary Science Division Research Overview for ROSES-2025</u>. A web page with further information about programs with rolling submissions is available at https://science.nasa.gov/researchers/NoDD.

NoDD and Flexible Due Date Program Elements

- Q1: What is the timeline for rolling submissions to expand to other PSD ROSES programs?
- A1: After the three (3) year trial period of the No Due Date experiment from ROSES 2021-2023, PSD, with the support of the Science Mission Directorate (SMD), conducted an analysis of the program to determine if the metrics of success (see Q27) were met. This analysis was presented to the community on December 4, 2024, via a virtual townhall. The results indicated that the NoDD trial met almost all metrics in their entirety, and therefore the trial was deemed successful.
 - In ROSES-25, PSD moved from NoDD programs to "Flexible Due Date" Programs. These are both types of "rolling submissions" allowing proposal submission at any time, see below and the NoDD web page for more information. Each year, we will continue to assess the individual programs and will switch a program to rolling submissions when we believe it is appropriate to do so.
- Q2: How do amendments to NoDD or Flexible Due Date program elements work? A2: If non-trivial changes are made to a NoDD or Flexible Due Date program, then we
- will announce the date that those changes will take effect, giving proposers the opportunity to submit sooner under the current rules or later under the new rules. The bigger the change, the longer the delay before it will take effect. Every proposal is reviewed on the basis of the rules of the program in effect at the time of submission. Potential proposers should subscribe to Planetary Science email announcements in NSPIRES (under Account Management -- Email Subscriptions) to receive alerts about changes of this type.

- Q3: What is the difference between NoDD and Flexible Due Date Programs?
- A3: No Due Date programs have no due date, real or perceived. Reviews are held irregularly when a critical mass of proposals has been received. Each year, there was a spike at the end of the ROSES year in proposal submissions that was not initially anticipated. While NoDD allows flexibility for proposers to work on a proposal and submit it when they are ready, it also assumes the same program elements will run year after year with no gaps. Flexible Due Date programs have specific submission cut-off dates to facilitate timely reviews and selections, with the final due date coinciding to the end of a given ROSES year. Reviews are held on a regular cadence and consist of proposals submitted up to a given date; estimates of all of these dates are provided to proposers. We anticipate spikes in proposal submission coinciding with anticipated reviews. Like NoDD programs, Flexible Due Date programs allow for folks to work on a proposal and submit it when they are ready. However, Flexible Due Date programs allow NASA to change which programs are solicited from year to year because each program closes at the end of the ROSES year.

Proposal Preparation and Submission

Q4: Is there a Step-1 or Notice of Intent (NOI) for NoDD or Flexible Due Date programs?

A4: No, there is no Step-1 or NOI for NoDD or Flexible Due Date programs.

Q5: Does NoDD affect the proposed start dates for proposals?

A5: Individual programs make recommendations in their respective Appendix; in general, requested start dates should be 6 to 12 months after the date of submission.

Q6: Does Flexible Due Dates affect the proposed start dates for proposals?

A6: For Flexible Due Date programs, the program element will provide a table with proposal submission dates, estimated review time periods, and anticipated award start dates. Proposers are encouraged to plan to the anticipated award start date based on when they are submitting their proposal.

Q7: Do NoDD and Flexible Due Date programs use dual anonymous review (DAPR)?

A7: Starting in ROSES-25, all NoDD and Flexible Due Date programs use DAPR. Proposers are encouraged to review the individual program element for the specific requirements for that program.

- Q8: How do I request funding for major equipment in programs with rolling submissions?
- A8: Proposals submitted to programs with rolling submissions may include requests for the purchase or upgrade of instrumentation needed to perform the work. Refer to ROSES-2025 C.1, Section 3.11 for instructions on how to include an instrument request in your proposal and to learn about the availability of funding for such requests. Note that the process for requesting major equipment changed in ROSES-2022. These changes apply to all PSD programs, including programs with rolling submissions.
- Q9: For programs with rolling submissions, what is the restriction on usage of publicly archived data in proposals?
- A9: All proposals submitted to programs with rolling submissions must adhere to the restriction that both the data and samples be publicly available 30 days prior to the submission date of the proposal. See ROSES-2025 C.1, Section 3.5 for more information.
- Q10: Are there restrictions on resubmitting proposals to programs with rolling submissions? May I resubmit a declined proposal to a program different than the one that declined the original proposal?
- A10: Resubmission to any program with rolling submissions, when that proposal was declined previously by any program (rolling submissions or not) covered by ROSES Appendix C.1, may only occur once a full year has passed since the date of the previous submission. Additionally, the same proposal may not be submitted to two different programs covered by C.1, including programs with rolling submissions, within the same ROSES year. See ROSES-2025 C.1, Section 3.2, for details of what constitutes a resubmitted proposal.
- Q11: May I submit more than one proposal to a single call in one ROSES year?

 A11: Yes, as long as you do not violate the rules in ROSES-2025 C.1 on duplicate proposals and resubmissions, you may submit as many proposals as you like.
- Q12: There is a period of time where the NoDD programs are open in two different ROSES years at once. This typically occurs between mid-February and late-March. Which one should I submit to, what rules apply, and how does this choice affect when my proposal may get reviewed or funded?
- A12: It is generally up to you which ROSES year you apply to for a particular program during the overlap period, although we encourage proposers to submit to the current ROSES year. However, if you are resubmitting a proposal that was declined in the earlier ROSES year, you must submit the revised proposal in the later ROSES year to avoid violating the resubmission restrictions mentioned in Q7

above.

Each proposal must follow the rules for the ROSES year to which the proposal was submitted: a proposal submitted to ROSES-2025 is subject to the rules in the ROSES-2025 Summary of Solicitation, C.1 the Planetary Science Division Research Overview, and the individual program element in ROSES-2025 (in order of precedence from lowest to highest).

Since these rules may differ from year to year, during the overlap period, start the preparation of new proposals in the new ROSES. Any proposal left unsubmitted in the older ROSES year after the closing date (typically around the end of March) would no longer be accessible in NSPIRES and would have to be started from scratch in the newer ROSES year before it could be submitted.

See Q14, Q15, and Q24 for more about the timing of reviews and decisions.

Proposal Evaluation and Selection

- Q13: Are all proposals submitted to programs with rolling submissions reviewed by peer-review panels?
- A13: In ROSES-25, all programs with rolling submissions use a triage system prior to panel discussions of proposals. Only proposals with pre-panel review scores above a threshold value are discussed by panels. See ROSES-2025 C.1, Section 5.2 for more information.
- Q14: How often are panels conducted?
- A14: For NoDD programs, panels are convened as often as necessary to provide timely feedback on proposals. For Flexible Due Date Programs, panels are convened at pre-determined times throughout the year based on proposal submission cut-off dates.
- Q15: How are "default" deadlines avoided? Inferring when a panel might meet could give an advantage.
- A15: NoDD has no deadlines- real, implied, or inferred. With reviews spread across the year, and with the individual program budgets spread across the year, there is no advantage to be gained by knowing when a panel might meet. Flexible Due Date programs include a table with intended submission and review dates so proposers are aware of when review panels are anticipated to take place.
- Q16: Does the NoDD model utilize virtual panels?
- A16: Yes, the default for all reviews, regardless of submission type, is virtual.
- Q17: With panels spread throughout a year, rather than being held all at once, how do you ensure that the evaluation criteria are applied uniformly? How are the "best"

- proposals determined if the set is submitted at a range of times? Might there be a bias in the selection rate either later or earlier in the year (even if the quality of proposals was approximately uniform)?
- A17: Following federal guidelines, we do not compare proposals. Proposals are rated on their individual merit. We maximize consistency across review panels by providing clear and uniform sets of instructions during each panel, and we level across panels based on panel debriefs at the end of each review. This approach to ensure consistency is used by both programs with rolling submissions and fixed due dates.
- Q18: How are smaller fields of research vs. topics that receive more proposals reviewed when spread out over the year?
- A18: For areas where a small number of proposals are received for NoDD programs, we may delay review of those proposals in order to review similar proposals together, while still aiming to meet the time to notification goals. For Flexible Due Date Programs, we have significantly modified the proposal submission process (see Program Element C.2 Solar System Science) to enable broader topical panels to be utilized.
- Q19: How are Conflicts of Interest handled in NoDD programs?
- A19: If you are a PI (or Science PI) on a pending proposal to Program X, you may not serve as a panel member for the same program. Once a final decision has been made on your proposal, you may again serve on panels for this program after the passage of a period of time known as a conflict avoidance period, which is specific to each program. Conflicts for Co-Is on pending proposals will be handled as they are for non-NoDD programs and in accordance with NASA policy. Furthermore, please do not agree to review if you are planning to submit within 4 months of the panel review date.
- Q20: How are Conflicts of Interest handled in Flexible Due Date programs?
- A20: For Flexible Due Date Programs, the available funding is split over the number of review cycles anticipated. If your proposal is not being reviewed in a given cycle, then you are not competing for the same funds, avoiding one such Conflict of Interest. Additional conflict of interest requirements follow SPD-01A.
- Q21: Could you be a member of a panel for a different call if you have a proposal under consideration elsewhere? Does the conflict avoidance period after panel service only apply to that program or all programs?
- A21: Each program has its own panel(s); you may serve on the panel for any program for which you do not have a proposal currently under consideration. The conflict avoidance period only applies to the specific program on which a person has a

proposal under consideration.

- Q22: How are selections made, given that programs run with an annual budget? Do proposals with large budgets have a lower chance of selection? Do NoDD and Flexible Due Date programs use the Selectable category to retain proposals for later consideration?
- A22: Selections are made following the same process that is used for non-rolling submission programs.
 - Panel scores are a major factor in making selections, but other programmatic factors (e.g., available budget, scientific balance) are also considerations. By managing budgets across the year and making use of the Selectable status, we ensure a proposal's submission date does not impact the budget availability and selection decision. The NoDD model does not impact the chance of selection for large budget proposals, but in some cases a large budget proposal may be held as Selectable to ensure budget availability. As with non-NODD programs, the Selectable status may also be used for proposals that might be fundable should additional program budget become available. The budget available for R&A programs is unaffected by the introduction of NoDD. For flexible due date programs, each round of review will have a pre-determined budget (typically 1/3 of the overall budget available). Panel scores are a major factor in making selections, but other programmatic factors (e.g., available budget, scientific balance, etc.) are also considerations. Selectable may be utilized in flexible due date programs, although likely less often than in NoDD programs.
- Q23: How do rolling submissions work in the event of a long continuing resolution or shutdown, when future funding levels are not clear?
- A23: By spreading the funding for programs more evenly across the fiscal year, rolling submissions provide better budget control during long continuing resolutions. A final budget that is substantially different from expectations could change funding levels for individual programs, but with rolling submission, the effects of those changes would be spread out over a full year, reducing the overall impact. This is an advantage of rolling submissions when compared to non-rolling submissions programs, where the timing of program selections relative to the determination of the final budget can have significant effects.
- Q24: What is the expected timeline for reviewing proposals and returning a decision for a submitted proposal?
- A24: We work to notify proposers as soon as possible and aim to have 80% of all proposers notified within 180 days. If a proposer has not heard back about a submitted proposal within 180 days, they should contact the program's shared

inbox (see the solicitation or <u>program officer list</u>) to ask for the status of their submission. Proposals that are deemed Selectable will be notified at the same time as proposals Selected and Declined. For proposals in the Selectable category, we will do our best to have a final decision made and communicated within 6 months. Given the restrictions on resubmissions of proposals, we aim to ensure that all proposers are notified prior to their 1-year anniversary so they can resubmit the proposal in the event it was not selected.

Q25: How frequently are submission/selection statistics released?

A25: Any time selections are made, abstracts are posted to NSPIRES (as is done for non-rolling submissions programs). At the end of each ROSES year, <u>statistics are posted</u> that reflect the aggregate results of the entire ROSES year.

Q26: How do reconsideration requests get handled under rolling submissions? Are there any major differences from non-rolling submissions programs?

A26: There are no major differences between the debrief and reconsideration process under rolling submissions vs. non-rolling submissions.

NoDD 3-year Review and Metrics for Success

Q27: What were the metrics of success for the NoDD trial?

A27: During the trial of NoDD, initial metrics were established, revised metrics were added throughout, and questions about community concerns were addressed. The results were presented to the Planetary Advisory Committee in July of 2024. The metrics focused on flexibility, reduced burden, notification time, and proposal quality and also assessed any impact of NoDD on institution types, research topics, or career stage of Pls. The results of the analysis showed that proposers are taking advantage of flexibility, there is a reduced volume of proposals, NoDD Pls are being notified in a timely manner, high quality proposals are being selected, and there is no indication that any institution type, research type, or career stage of researchers is being negatively impacted by NoDD programs. Full results are available in the townhall presentation.

Q28: Why is a reduced number of submissions considered a favorable outcome of the NoDD program?

A28: A goal of NoDD is to decouple the submission of proposals from an arbitrary deadline. An arbitrary deadline can lead to the submission of a larger volume of flawed proposals that would have been improved with more time to develop a fully compelling proposal (e.g., by gathering preliminary data, building collaborations, crafting clear descriptions). A reduction in proposal submissions that are prepared in a rush to meet an arbitrary deadline is a clear positive for PIs, reviewers, and

NASA programs as a whole. As a further benefit to the community, we have higher selection rates in NoDD programs than non-NoDD programs and continue to select high quality proposals. The drop in submissions has decreased the burden on the review community, but has not resulted in a loss of institution, career stage, or research area (Q27).

For questions about specific program elements with No Due Date or a Flexible Due Date, please email the point of contact in the summary table of key information at the bottom of the program element and on the program officer list.

For general questions regarding NoDD, please write to <u>Kathleen Vander Kaaden</u> and cc <u>sara@nasa.gov</u>.