

**The *Chandra* X-ray  
Observatory (CXO)  
Research Program**

**Call for Proposals**

**Cycle 15**

**Due Date: 14 March 2013, 6 p.m. EDT**

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The *Chandra* X-ray Center is operated for NASA by the Smithsonian Astrophysical Observatory

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# Chapter 1 - General Information

## 1.1 The *Chandra* Program: Call for Proposals (CfP)

We invite scientists to participate in Cycle 15 of the *Chandra* X-ray Observatory's (CXO) science program. The *Chandra* program is sponsored by NASA's Science Mission Directorate (SMD) and managed by the NASA Marshall Space Flight Center (MSFC). The *Chandra* X-ray Center (CXC), which is funded by NASA via a contract to the Smithsonian Astrophysical Observatory (SAO) in Cambridge, MA, has the responsibility for managing the *Chandra* science program, carrying out the *Chandra* Education and Public Outreach (EPO) program, conducting the peer review that recommends the allocation of observing time and funds to the user community, selecting the proposals, and operating the *Chandra* spacecraft. The *Chandra* X-ray Observatory is described in [Chapter 2](#).

The funding of all awards associated with this Call for Proposals (CfP) flows from NASA through SAO and the CXC to the Awardees. The CXC is the organizational unit within SAO that carries out SAO's contractual obligation to operate the *Chandra* X-ray Observatory and solicit proposals and when used in this document will encompass the NASA/SAO/CXC interrelationship.

## 1.2 Proposal Review Process: Deadlines and Schedule

Science proposal submission and review will be conducted in two stages to minimize the burden of proposal preparation. For details, please refer to [Chapter 5](#):

- **Stage 1:** Involves the scientific and technical merits of the proposed investigation. Evaluation criteria include overall scientific merit, relevance to the *Chandra* program and the competence of the proposers ([Section 7.1](#)).
- **Stage 2:** The PIs of those proposals selected in Stage 1 will be invited to submit a cost proposal for the Stage 2 review ([Chapter 8](#)):

**Table 1.1 Schedule and Deadlines for the CfP Cycle**

EVENT	DATE
CfP Release	13 December 2012
XVP Notice of Intent	23 January 2013
Science Proposal Deadline (Stage 1)	6 p.m. EDT, 14 March 2013
Peer Review	18-21 June 2013
Selected Proposals Announced	Mid July 2013
Budget Deadline (Stage 2)	6 p.m. EDT, 17 September 2013
Cost Review	October 2013
Stage 2 Final Selection	November 2013
Cycle 15 Starts	About December 2013

**Late Proposals will not be considered.** We recommend submission well before the deadline.

## 1.3 Summary of the CfP

This CfP solicits basic research proposals for the conduct of space science observations and subsequent analysis of the resultant scientific data from the *Chandra* X-ray Observatory (CXO). The CfP also solicits proposals for research that makes use of publicly available archived *Chandra* data and for theoretical and modeling studies related to the *Chandra* mission. The primary goal of the *Chandra* mission is the investigation of the nature and physics of astronomical objects as revealed through their X-ray emission.

This CfP offers the opportunity for the submission of seven different types of proposals (see [Chapter 4](#)).

### 1.3.1 Types of Science Research Proposals

- 1) **General Observing Projects (GO)** involving new *Chandra* observations, generally (but not limited to) requiring less than 300 ksec of observing time (regardless of the number of objects observed);
- 2) **Large Observing Projects (LP)** involving new *Chandra* observations that require 300-999 ksec or more (regardless of the number of objects observed) and designated as LPs by the PI;
- 3) **X-ray Visionary Projects (XVP)** involving new *Chandra* observations for major coherent science projects to address key questions in current astrophysics that require 1-5 Msec (regardless of the number of pointings required).
- 4) **Target of Opportunity (TOO)** Projects that are triggered by the occurrence of an unanticipated astrophysical phenomenon (e.g., a supernova);
- 5) **Joint Observing Projects** that require multi-wavelength data taken by *Chandra* and one or more of the facilities described in [Section 4.5](#);
- 6) **Archival Research Projects** that use data from the *Chandra* archives, or the *Chandra* Source Catalog; and
- 7) **Theory/Modeling Projects** that seek to better understand and interpret the data that have been taken with *Chandra*, or that seek to determine what new observations might be taken to test a hypothesis.

The observations selected as a result of this CfP will be implemented during a one-year period beginning about December 2013 with any multi-cycle observations extending at most into the following two cycles. The observing time is allocated as follows (see [Section 3.2.3](#)): 600 ksec of the on-target observing time available during this cycle to calibration observations, 700 ksec is allocated to Director's Discretionary Time (DDT), 2450 ksec to Guaranteed Time Observations (GTO), and the remaining time available is allocated for General Observations (GO). The time available for General Observers (including Large and X-Ray Visionary Projects) under this CfP is estimated at about 20 Msec, of which about 4 Msec will be allocated for Large Projects and ~5 Msec will be reserved for X-ray Visionary Projects. It is anticipated that further opportunities for participation in the *Chandra* Research Program will be announced annually, including the analysis of the increasing body of archival data.

## 1.4 Cancellation of the CfP

The CXC reserves the right to make no awards under this CfP and to cancel this CfP. The CXC, the Smithsonian Institution, and NASA assume no liability should the CfP be cancelled or for anyone's failure to receive notification of a cancellation.

## 1.5 What's New in Cycle 15

- Science Keywords:  
The RPS proposal Cover Page now asks for one or more keywords describing proposal science. Selected keywords may be used to facilitate preliminary matching of proposals to reviewers, as well as archive searches. See [Section 5.2.2](#).
- Remote Proposal System (RPS) PDF Uploads:  
PIs with previous approved *Chandra* programs (PCP) must provide, as space allows in a 1-page PDF, a list of programs for which they were PI, including proposal number and title, and briefly describing program status and resulting publications. The RPS now requires separate upload of PDFs for the science justification, the PCP (if required) and (an optional) CV. See [Section 5.2.10](#) for details.
- Boundaries Clearly Specified for TOO categories:

Very Fast	$0 < t < 4$
Fast	$4 \leq t < 15$
Medium	$15 \leq t < 30$
Slow	$t \geq 30$

where  $t$ =start time of the response window. The minimum expected response time for a TOO is 24 hours. Refer to [Section 4.4](#) for details.
- New and Revived Joint Programs:  
Swift time can now be proposed through the *Chandra* peer review, for science that requires observations from both observatories. Spitzer joint time is again available through the *Chandra* peer review. Refer to [Section 4.5](#) for details.
- Prohibition of Bilateral USA-China Collaborations:  
Proposals which represent a bilateral collaboration between the US and the People's Republic of China cannot be accepted. Please refer to [Sections 3.1](#) and [Appendix A.4](#) for more details. Note that multilateral collaborations including China are generally permitted.
- Primary Institute:  
To be eligible for funding (for either the PI or Co-Is), a U.S. Institution MUST be specified on the RPS form, and must be the primary institution of the investigator seeking funds. See [Section 5.2.2.1.5](#) What's New in Cycle 12

## 1.6 Proposal Submission

Science proposals must be submitted electronically via the [Remote Proposal System \(RPS\)](#) software ([cxc.harvard.edu/cgi-bin/RPS/Chandra/RPS.pl](http://cxc.harvard.edu/cgi-bin/RPS/Chandra/RPS.pl)). Cost proposals must also be submitted electronically using forms available from the CXC website, see [Chapter 8](#) for more details.



## 1.7 How to Get Help

Questions concerning the *Chandra* mission and requests for assistance in Stage 1 proposal submission may be addressed to the *Chandra* Director's Office (CDO) via the HelpDesk at: <http://cxc.harvard.edu/helpdesk/> or by email to [cxchelp@cfa.harvard.edu](mailto:cxchelp@cfa.harvard.edu).

The full contact information for the CDO is:

*Chandra* Director's Office  
*Chandra* X-ray Center  
Smithsonian Astrophysical Observatory      Telephone: (617) 495-7268  
Garden Street, Mail Stop 6                      FAX: (617) 495-7356  
Cambridge, MA 02138-1516                      Email: [cxchelp@cfa.harvard.edu](mailto:cxchelp@cfa.harvard.edu)

For questions concerning Stage 2 Cost Proposals, please refer to the information in [Chapter 8](#).

## 1.8 Relevant Documents and Web Addresses

Documents recommended to proposers for additional information are listed in Table 1.2.

**Table 1.2. Useful Documents**

DOCUMENT	DESCRIPTION
<a href="#">Proposers' Observatory Guide (POG)</a>	Technical Description of the <i>Chandra</i> X-ray Observatory and its Instruments.
<a href="#">MARX Manual</a>	Manual describing the installation and use of the MARX simulation software.

**Table 1.3. Web Addresses**

WEB LINK	DESCRIPTION
<a href="http://exc.harvard.edu/">http://exc.harvard.edu/</a>	CXC Website.
<a href="http://exc.harvard.edu/proposer/">http://exc.harvard.edu/proposer/</a>	Page providing access to relevant web-based information and documentation necessary to prepare a <i>Chandra</i> proposal.
<a href="http://exc.harvard.edu/cgi-bin/RPS/Chandra/RPS.pl">http://exc.harvard.edu/cgi-bin/RPS/Chandra/RPS.pl</a>	Remote Proposal Submission (RPS) Software.
<a href="http://exc.harvard.edu/toolkit/pimms.jsp">http://exc.harvard.edu/toolkit/pimms.jsp</a>	Proposal Planning Toolkit: including count rate determination (PIMMS), column density estimates (Colden), coordinates (Precess), and date conversions (Dates).
<a href="http://exc.harvard.edu/soft/provis">http://exc.harvard.edu/soft/provis</a>	PRoVis: Pitch, Roll and Visibility Tool.
<a href="http://exc.harvard.edu/obsvis">http://exc.harvard.edu/obsvis</a>	Observation Visualizer (ObsVis): for displaying and examining a <i>Chandra</i> target field of view.
<a href="http://exc.harvard.edu/proposer/maxexpo.html">http://exc.harvard.edu/proposer/maxexpo.html</a>	MaxExpo: Table and plots for estimation of the maximum uninterrupted <i>Chandra</i> exposure time.
<a href="http://exc.harvard.edu/acis/optional_CCDs/optional_CCDs.html">http://exc.harvard.edu/acis/optional_CCDs/optional_CCDs.html</a>	Guide for selecting and activating the optimal set of ACIS CCDs.
<a href="http://exc.harvard.edu/proposer/orbits.html">http://exc.harvard.edu/proposer/orbits.html</a>	Table of begin and end times of <i>Chandra</i> orbits when observations are possible above the Earth's radiation zones.
<a href="http://exc.harvard.edu/ciao/download/">http://exc.harvard.edu/ciao/download/</a>	CLI versions of the Proposal Planning Toolkit (without PIMMS) and ObsVis.
<a href="http://exc.harvard.edu/ciao/">http://exc.harvard.edu/ciao/</a>	CIAO: Data reduction and analysis software and information.
<a href="http://www.cfa.harvard.edu/spp/sp/policies/CPSR.html">http://www.cfa.harvard.edu/spp/sp/policies/CPSR.html</a>	Funding information web pages providing information on <i>Chandra</i> grants.

<b>OBSERVATION CATALOG:</b>	
<b>WEB LINK</b>	<b>DESCRIPTION</b>
<a href="http://cda.harvard.edu/chaser/">http://cda.harvard.edu/chaser/</a>	WebChaSeR: Web interface to catalog search and archive data access.
<a href="http://exc.harvard.edu/targets/">http://exc.harvard.edu/targets/</a>	Target Search Page: Non-java search engine.
<a href="http://exc.harvard.edu/csc/">http://exc.harvard.edu/csc/</a>	<i>Chandra</i> Source Catalog ( <a href="#">Section 4.7.1</a> ).
<a href="http://exc.harvard.edu/cda/footprint/cdaview.html">http://exc.harvard.edu/cda/footprint/cdaview.html</a>	Footprint Service: A visual web interface to all public <i>Chandra</i> observations and to the observational data used for the <i>Chandra</i> Source Catalog ( <a href="#">Section 6.1.3</a> ).
<a href="http://exc.harvard.edu/cgi-gen/cda/bibliography">http://exc.harvard.edu/cgi-gen/cda/bibliography</a>	Bibliography: Web interface that allows simultaneous browsing of the archive and papers published about <i>Chandra</i> observations.
<a href="http://exc.harvard.edu/DDT/DD_program.html">http://exc.harvard.edu/DDT/DD_program.html</a>	Information on the DDT program and listing of DDT observations to date.

# Chapter 2 - Overview of *Chandra* Mission

## 2.1 Overview

The *Chandra* X-ray Observatory (CXO) was launched on the Space Shuttle Columbia on July 23, 1999. The *Chandra* program is sponsored by NASA's Science Mission Directorate (SMD) and managed by the NASA Marshall Space Flight Center (MSFC). The prime contractor responsible for developing the spacecraft and integrating the CXO was TRW. The science instruments were developed as follows:

- The Advanced CCD Imaging Spectrometer (ACIS), built by the Pennsylvania State University in collaboration with the Massachusetts Institute of Technology (MIT);
- The High Resolution Camera (HRC) built by the Smithsonian Astrophysical Observatory (SAO);
- The Low Energy Transmission Grating (LETG) built by the Scientific Research Organization of the Netherlands (SRON) in collaboration with the Max-Planck-Institut für Extraterrestrische Physik (MPE); and
- The High Energy Transmission Grating (HETG) built by MIT.

*Chandra* has as its primary mission the study of the structure and emission properties of astrophysical sources of high-energy radiation. The scientific objectives of the *Chandra* Mission are to utilize the Observatory to:

- Determine the nature of celestial objects from normal stars to quasars;
- Understand the nature of physical processes that take place in and between astronomical objects; and
- Understand the history and evolution of the universe.

## 2.2 Science Payload

*Chandra* is comprised of the spacecraft, the X-ray telescope, and the Science Instrument Module (SIM). The spacecraft provides the power, attitude control, communications, etc. for the telescope and instruments. The X-ray telescope consists of an optical bench, the High Resolution Mirror Assembly (HRMA), an aspect camera system, and two objective transmission gratings: the High Energy Transmission Grating (HETG) and the Low Energy Transmission Grating (LETG). The HRMA is a Wolter Type I, 1.2-m diameter, 10-m focal length, iridium-coated X-ray telescope consisting of 4 nested pairs of cylindrical hyperboloid and paraboloid mirrors. At 1.5 keV, >85% of the on-axis, imaged and aspect-corrected X-rays are contained in a circle of diameter  $\sim 1.0$  arc second.

*Chandra* carries two focal-plane scientific instruments mounted in the SIM: the ACIS, and the HRC. The SIM provides three functions: launch lock, translation (to interchange focal plane instruments), and focus. Only one of the two focal plane instruments can be placed at the telescope's focus at any time; therefore, simultaneous observations with both focal-plane instruments cannot be accommodated.

The ACIS has two arrays of CCDs, one (ACIS-I) optimized for imaging wide fields (16x16 arc minutes) and the other (ACIS-S) optimized as a readout for the HETG transmission grating. One

chip of the ACIS-S (S3) can also be used for on-axis (8x8 arc minutes) imaging and offers the best energy resolution of the ACIS system.

The HRC is comprised of two micro-channel plate imaging detectors, and offers the highest spatial (<0.5 arc second) and temporal (16  $\mu$ sec) resolutions. The HRC-I is a single micro-channel plate and has a field-of-view of 31x31 arc minutes. The HRC-S consists of three contiguous segments, tilted slightly in order to conform to the Rowland circle of the LETG. The background rate is quite different in the two devices, being larger in the HRC-S.

The HETG is optimized for high-resolution spectroscopy over the energy band 0.4-10 keV. Two types of gratings are mounted in the HETG: medium-energy gratings (MEGs) covering the 0.4–5 keV band and high-energy gratings (HEGs) covering the 0.9–10 keV band. The MEGs are mounted behind the annular aperture of the outer two mirror pairs while the HEGs are mounted behind the apertures of the inner two mirror pairs. The two sets of gratings operate simultaneously so that the dispersed axes of the spectra cross at a shallow angle in the focal plane. The ACIS-S is the readout of choice for use with the HETG. The resolving power (E/DE) varies from ~800 at 1.5 keV to ~200 at 6 keV.

The LETG is optimized for high-resolution spectroscopy over the energy bandwidth ~0.09–4 keV. The LETG provides resolving power ~1000 at 0.1 keV and ~200 at 1.5 keV. The HRC-S is the only detector aboard the Observatory that can fully accommodate the LETG-dispersed spectrum.

Detailed descriptions of all of the instruments are contained in the [Proposers' Observatory Guide](#). Proposers should refer to that document for additional details before preparing a proposal.

## 2.3 Operation

After launch into low earth orbit by the shuttle Columbia, the initial *Chandra* operational orbit was achieved by use of Boeing's Inertial Upper Stage and *Chandra*'s own propulsion system. There are sufficient expendables (control gas for momentum unloading) for well over 20 years of operation. The orbital period of about 63.5 hours allows for reasonably long, uninterrupted observations of up to ~180 ksec before the instruments have to be powered down as the satellite dips into the radiation belts. Approved longer observations are segmented into several orbit-sized observations on ingestion into the observation catalog. Information as to the begin and end times of *Chandra* orbits is available at <http://cxc.harvard.edu/proposer/orbits.html>.

The Observatory's solar panels can rotate about an axis perpendicular to the optical axis so that at any time the Observatory can be pointed to any position in the sky except for avoidance regions around the Sun (46 degrees), Moon (6 degrees), and Earth (10 degrees). Both the Moon and Earth may be viewed if specially requested and as long as an accurate aspect solution is not required. In order to avoid over-heating the spacecraft components on the sunward side, or excessive cooling of the propellant lines, the maximum length of an exposure is dependent on the pitch angle at which the target is observed. Some pitch angles are excluded. Observations with exposure times longer than the maximum allowed at a given pitch angle will be segmented. Details of these restrictions are given in Chapter 3 of the [Proposers' Observatory Guide](#) (<http://cxc.harvard.edu/proposer/POG/index.html>). However, pitch angle restrictions are evolving with time and proposers are urged to check the CXC website for current information.

The high elliptical orbit and the radiation belts that prevent the conduct of observations at low altitudes imply that most of observations are made nearer apogee, where the Earth, as seen from *Chandra*, appears to move only slowly through the sky. As a result, the Earth and its surrounding avoidance region constitute a portion of the sky that will be partially blocked from view, and long, continuous observations in this region (>30 ksec at the center of the region) will be difficult, although shorter observations are possible. The proposer is urged to read Chapter 3 of the [Proposers' Observatory Guide \(POG\)](#) to become familiar with all *Chandra* observing constraints and to make use of the [Observation Visualizer \(ObsVis\)](#) and [PRoVis](#) to see how these constraints might impact their observations. For highly constrained observations, we recommend that the proposer contact the [CXC Help Desk](#).

## 2.4 The *Chandra* X-ray Center (CXC)

The *Chandra* X-ray Center (CXC), funded by NASA via a contract to the Smithsonian Astrophysical Observatory (SAO) in Cambridge, MA, is responsible for planning and conducting all aspects of *Chandra* operations. The CXC's main activities include:

- Proposal Solicitation and Review: Soliciting proposals for observing time and research funding, conducting peer reviews, and selecting proposals.
- Mission Planning: Based upon approved proposals, creating a timeline of science observations and detailed schedules of spacecraft activities.
- Instrument Calibration: By means of special observations and advanced data analysis, determining parameters and data products that characterize the science instruments.
- Mission Operations: Commanding the spacecraft, monitoring and assessing spacecraft and science instrument health and safety, and receiving science and engineering data from the spacecraft.
- Data Processing and Archiving: Processing spacecraft telemetry to produce science data products for users, and storing products in a permanent archive. Data in the archive are typically available to the public after the one-year proprietary period expires, while calibration data are available immediately.
- Supporting Data Analysis: Defining and producing software for use in analyzing *Chandra* data
- User Support: Assisting users to derive maximum benefit from the *Chandra* X-ray Observatory; maintaining and conducting the *Chandra* Users' Committee; and producing documents and other materials on the use of the *Chandra* X-ray Observatory.
- Education and Public Outreach: Conducting a program of formal and informal education and public outreach using *Chandra* data and results.

SAO, through its management of the CXC, is responsible for scientific research of the highest technical merit utilizing the *Chandra* X-ray Observatory. In order to carry out this responsibility, NASA has directed SAO to engage the participation of the broader science community and has determined that this function will be accomplished by SAO allotting observing time and research

funding to users in accordance with the following process conducted at appropriate intervals:

- Prepare and issue Calls for Proposals for observations with the CXO and for funding of activities including data analysis by General Observers; Archival and Theoretical Research; Postdoctoral Fellowships; Education and Public Outreach; and other research.
- Prepare and conduct independent peer evaluations of proposals, and select proposals for observation and funding as recommended by the peer review panels.
- Allocate funding to selected investigations as recommended by the peer review panels, determine the period of performance of each award, issue funding instruments on behalf of NASA in the form of grants, and administer the awards through closeout.

SAO is not responsible for transferring funds to NASA Centers and other federal agencies whose proposals are selected for awards. NASA will be responsible for direct funding of research at NASA Centers and for executing appropriate inter-agency agreements with other federal agencies. However, the CXC provides the results of the CXO observations, as selected, to all investigators, including those at federal agencies.

# Chapter 3 - Proposal Submission and Observing Policies

## 3.1 Who May Propose

Participation in this program is open to the following categories of institutions and organizations:

- **Educational Institutions** – Universities or two- and four-year colleges accredited to confer degrees beyond that of the K-12 grade levels.
- **Nonprofit, Nonacademic Organizations** – Private or Government supported research laboratories, universities consortia, museums, observatories, professional societies, educational organizations, or similar institutions that directly support advanced research activities but whose principal charter is not for the training of students for academic degrees.
- **NASA Centers** – Any NASA Field Center and the Jet Propulsion Laboratory.
- **Other Federal Agencies** – Any non-NASA, U.S. Federal Executive agency or Federally Funded Research and Development Center (FFRDC) sponsored by a Federal agency.
- **Commercial Organizations** – Organizations of any size that operate for profit or fee and that have appropriate capabilities, facilities, and interests to conduct the proposed effort.
- **NON-U.S. ORGANIZATIONS** – Institutions outside the United States that propose on the basis of a policy of no-exchange-of-funds. See [Section 3.3](#) for additional information.

Each proposal must have one, and only one, Principal Investigator (PI). Any other individuals who are actively involved in the program should be listed as Co-Investigators (Co-Is). The PI is responsible for the scientific and administrative conduct of the project and is the formal contact for all communications with the CXC.

Proposals by non-U.S. PIs that have one or more U.S. Co-Is who require funding *must* designate one of the U.S. Co-Is as the “Administrative PI”. (Note: U.S. is defined as the 50 states and the District of Columbia.) This person will have general oversight and responsibility for the budget submissions by the U.S. Co-Is in Stage 2.

### ***3.1.1 Bilateral Collaboration Between the US and the People’s Republic of China***

Investigators worldwide, as noted above, are eligible to submit a proposal in response to the *Chandra* Call for Proposals. However, proposals involving only investigators based in the People's Republic of China (PRC), or only PRC-based and U.S. investigators are subject to the restriction on bilateral activity with China (Public Law 112-55), per NASA Grant Circular GIC 12-01 dated February 9, 2012. Note that multilateral collaborations are generally permitted. For further information, please refer to [Section A.4](#).



## **3.2 Observing Policy**

### ***3.2.1 Chandra Observing Policy***

#### **3.2.1.1 Introduction and Scope**

This section establishes the observing policy for *Chandra*. This policy reviews and confirms the distribution of observing time among the Guaranteed Time Observers (GTOs) and General Observers (GOs), establishes guidelines for the resolution of conflicts between and within these groups, and sets guidelines for the distribution of observing time and data.

#### **3.2.1.2 Communication with PI/Observer**

All communication for each approved proposal will be conducted with the proposal PI or, for questions concerning observational constraints or parameters (see [Section 7.3](#)), the Observing Investigator, if any. It is the responsibility of the PI and/or the Observer to respond to any questions in a timely manner.

#### **3.2.1.3 Distribution of Data**

With certain exceptions, all General Observing data awarded either to GTOs or to GOs will be proprietary for one year beginning when the data are made available to the observer. For segmented “Long Duration” observations, the one-year period for each target begins when 90% of the data have been made available to the observer. For series of discrete observations (e.g., monitoring sequences, grids) the proprietary period is established separately for each of the observations.

Data from unanticipated Targets Of Opportunity (TOOs) and other use of Director’s Discretionary Time may be proprietary for limited periods – no more than three months – before they are placed in the public archive. Calibration data scheduled and obtained by the *Chandra* X-ray Center will not be proprietary and will be placed directly into the public archive.

Data from X-ray Visionary Projects (XVP) will not be proprietary.

#### **3.2.1.4 Distribution of Observing Time**

The observing time is allocated as follows: 600 ksec of the on-target observing time available during this cycle to calibration observations, 700 ksec is allocated to Director's Discretionary Time (DDT), 2450 ksec to Guaranteed Time Observations (GTO), and the remaining time available is allocated for General Observations (GO). The time available for General Observers (including Large and X-Ray Visionary Projects) under this CfP is estimated at about 20 Msec, of which about 4 Msec will be allocated for Large Projects and ~5 Msec will be reserved for X-ray Visionary Projects.

**Distribution among GTOs** - In Cycle 15, the GTOs comprise the following: Four Instrument Principal Investigators (IPIs) for the Advanced CCD Imaging Spectrometer (ACIS), for the High-Resolution Camera (HRC), for the Low-Energy Transmission Grating (LETG), and for the High-Energy Transmission Grating (HETG). Their observing time is based on a distribution of 3.5 “shares” as follows:

LETG IPI	0.5 share	0.5 share total
HETG, ACIS, and HRC IPIs	1.0 share each	3.0 shares total

### 3.2.1.5 Target Selection and Phasing

Target selection will be carried out in a sequence phased with the timing of the CXC Call for Proposals. Target selection begins with the GTOs specifying targets that over-subscribe the GTO time available. Any GTO-GTO conflict at this point shall be resolved by the GTOs. In the event that a resolution is not achieved, the GTOs shall write proposals in accordance with the CfP. After the GO proposals are received, GO-GTO conflicts are identified. In response, GTOs may either (i) replace a conflicted target with an un-conflicted backup target or (ii) write a proposal and let the peer review decide the conflict. Targets resulting from peer review of the responses to the CfP will be added to the set of un-conflicted GTO targets to form the complete approved target list.

### 3.2.1.6 GTO Proposals

GTOs must submit proposals for observing time if there are GO or other GTO proposals for the same target. GTOs are guaranteed to receive their observing time in accordance with [Section 3.2.1.3](#) but cannot reserve targets in advance of the CfP.

### 3.2.1.7 Conflict Resolution

All conflicts (GO-GO, GO-GTO, or GTO-GTO) are decided as part of the peer review process with selection based on scientific merit.

### 3.2.1.8 Large Projects

Large Projects ([Section 4.2](#)) are those that are designated as such by the proposer and that require 300-999 ksec observing time, whether long-duration observations of single targets or shorter duration observations of multiple targets. Large Projects are encouraged. An estimated 4 Msec of observing time will be allocated for Large Projects in this cycle.

Large Projects may be multi-cycle ([Section 3.2.1.14](#)), but cannot reserve targets beyond the time and cycles proposed.

### 3.2.1.9 X-ray Visionary Projects

An X-ray Visionary Project proposal (see [Section 4.3](#)) should describe a major, coherent science program to address key, high-impact, scientific question(s) in current astrophysics, must require 1-5 Msec of observing time and may be multi-cycle ([Section 3.2.1.14](#)). An estimated 5 Msec of observing time will be allocated to 1 or more X-ray Visionary Projects in this cycle.

X-ray Visionary Projects must be proposed to be completed within the time span covered by this CfP and cannot reserve targets beyond that time. Given the limitation on observing as a function of pitch angle ([Section 5.2.8](#)), the total observing time of XVP targets at ecliptic latitudes  $> 60^\circ$  will be limited to 2 Msec. The data obtained as part of an XVP will have no proprietary time.

### **3.2.1.10 Targets of Opportunity (TOOs)**

There are two categories of Targets of Opportunity: Those that are proposed and selected through peer review (Pre-Approved); and those that simply occur and have been brought to the attention of the Director of the CXC, who may reschedule *Chandra* to obtain the appropriate observations in the best interest of the scientific community.

#### **Pre-Approved TOOs**

A proposed TOO may be reserved for a single proposal cycle. The proposer may propose to renew the opportunity in subsequent cycles.

#### **Unanticipated TOOs**

Data obtained from an unanticipated TOO are considered Director's Discretionary Time. These data may be kept proprietary for a period not to exceed three months.

### **3.2.1.11 GO Time Allocation**

All GO time allocations will be subject to peer review.

### **3.2.1.12 GTO Time Allocation**

All GTO targets with conflicts will be subject to peer review, consistent with the provisions of Sections [3.2.1.3](#), [3.2.1.4](#) and [3.2.1.6](#).

### **3.2.1.13 Director's Discretionary Time (DDT)**

For this Cycle, 700 ksec of observing time is reserved for Director's Discretionary Time. This allocation includes unanticipated TOOs.

### **3.2.1.14 Time-Constrained Targets**

The number of time-constrained observations accepted in any Cycle will be limited to 15% of the total with quotas for the various classes of constraints ([Section 5.2.8](#)). New or additional constraints may not be imposed by the observer after the proposal deadline. Please note that an observation is defined as a single approved exposure of a target (see [Section 3.2.3.1](#) also). Monitoring observations are counted based on the number of repeat visits. Long observations ( $>90$  ksec) will be divided into several 90 ksec-long observations for the purpose of counting constraints.

Information on the periods of time when *Chandra* observations are allowed due to passage beyond the Earth's radiation zone are provided at <http://cxc.harvard.edu/proposer/orbits.html>.

### **3.2.1.15 Multi-cycle Observing Proposals**

Proposals for time-constrained observations that span more than one cycle may request time in up to 3 cycles. A maximum of 2 Msec of Cycle 15 and 1 Msec of Cycle 16 observing time may be allocated to such proposals in Cycle 15. Proposals must request time in Cycle 15, must justify the requirement for multi-cycle observations and must justify the allocation of time across the multiple cycles. The peer review reserves the right to recommend only those observations proposed for the current cycle.

## ***3.2.2 Procedures Concerning TOOs and DDTs***

### ***3.2.2 Procedures Concerning TOOs and DDTs***

The deep orbit of *Chandra* permits reasonable access to any TOO. The minimum expected response time for a TOO is approximately 24 hours. The total number of TOOs performed is limited by operational and manpower constraints.

Requests either to initiate a Pre-Approved TOO or to propose a new one are made to the CXC Director or his representative, who decides whether to interrupt the timeline and conduct the observation. The investigator is required to submit the appropriate web-based form: the TOO trigger form (for pre-approved observations) or the DDT version of RPS (for new observations) available at the CXC home page: [http://cxc.harvard.edu/soft/RPS/Chandra\\_RfO.html](http://cxc.harvard.edu/soft/RPS/Chandra_RfO.html).

The response to a TOO will be classified according to the minimum time delay between trigger and observation. The faster the *Chandra* response, the more difficult and the more limited the number of TOOs allowed. TOO follow-up observations (observations following a TOO within a few weeks) will either count as TOOs (for rapid response) or time-constrained observations ([Section 4.4](#)).

TOO triggers cannot be proposed for future cycles though follow-ups may extend into future cycles.

#### **3.2.2.1 Pre-Approved TOOs**

TOOs generated by a peer review-approved proposal are those where time is allocated to the proposal, but the time is unscheduled. To initiate the scheduling process, the investigator is required to specify in the TOO trigger form how the trigger condition has been met. TOOs disrupt the timeline, and it is possible that a TOO conflicts with a time-critical observation or with another TOO. In such situations, the CXC Director or his representative will determine priorities. Any disrupted preplanned observation will, however, ultimately be accomplished when feasible.

#### **3.2.2.2 Unanticipated TOOs**

A request for an unanticipated TOO observation is made directly to the CXC Director or his representative as part of the DDT program. A Request for Observation (RfO) must be submitted. The procedure is as follows:

- The proposer must determine whether the target falls within the portion of the sky visible to *Chandra*. The [PRoVis](#) tool can generate such information.
- The proposer must establish whether the target can be detected using *Chandra*. The [proposal planning tools](#) can be used for this purpose.
- The proposer must address the following questions:
  - Why is the science from the observation important, and why not simply propose during the next *Chandra* CfP?
  - Is there an impending, previously approved, *Chandra* observation that can accomplish the objectives?
  - How urgent is the TOO? Must the observation be done immediately?
  - If relevant, what is the likelihood of additional transient behavior (i.e., does the phenomenon recur)? If recurrence is likely, what is the consequence if the target is not observed until the next occurrence?
  - If data already exist in the archive, why is another observation with *Chandra* necessary?
  - What is the proposed or suggested detector configuration?

If the proposed observation is accepted, the CXC will create a new timeline as soon as possible. Some negotiation between the observer and the CXC may be necessary to achieve the optimum blend of response time and minimum impact on the rest of the schedule.

### 3.2.2.3 Director's Discretionary Time (DDT)

General requests for DDT must follow the same procedure as required for an unanticipated TOO. The procedure is described in [Section 3.2.2.2](#).

- The proposer may apply for a short period of time (at most 3 months) during which the data are considered proprietary.
- A limited amount of funding is available to support US-based PIs/Co-Is of DDT observations. This funding may be requested using the standard cost proposal form as described on the [CXC Cost Proposal Help](#) page.

## 3.2.3 Criteria for Completeness and Data Quality

### 3.2.3.1 Completeness

In general an observation, for completeness purposes now defined as corresponding to a unique sequence number as assigned in the Observation Catalog (OBSCAT), will be considered complete when 90% or more of the approved exposure time has been observed, as determined by the Good Time Interval (GTI) in the processed data relative to the approved time.

The following 4 exceptions are identified:

- 1) TOO and DDT observations with GTI less than 90% of the approved time may be declared complete by the CXC Director or his representative when constraints due to competing targets and/or observatory restrictions do not allow the full time (or 90% of it) to be achieved and when a subsequent observation would no longer meet the objectives. Such cases will be tracked and closed by adjusting the approved exposure time in the Observing Catalog (OBSCAT) after final scheduling is completed.

- 2) For observations (unique sequence number) greater than 200 ksec, any remaining time exceeding 20 ksec will be scheduled even if the GTI to approved time ratio exceeds 90%, provided constraints allow.
- 3) For observations less than 5 ksec, targets will be observed only once and the observation will be considered complete regardless of the GTI achieved unless a spacecraft anomaly causes the entire observation to be missed.
- 4) For observations with less than 2 ksec remaining, no additional time will be scheduled even if the 90% GTI to approved time ratio has not been achieved.

Items 3 and 4 are intended to avoid additional short exposures with their relatively high fractional overhead (inefficient use of *Chandra*). Item 4 assures that observations between 5 and 20 ksec get at least 60% of their approved time (for 5 ksec approved) with a sliding scale assuring that at least 90% is achieved at 20 ksec approved time.

**Note:** The proprietary time begins when the observation is “complete” according to the above rules.

### **3.2.3.2 Data Quality Due to High Background**

Data can be lost (or overwhelmed) because of occasional episodes of very high background. If the principal target was a point source and the background is  $\geq 10$  times nominal for  $\geq 50\%$  of the observation, the target may be observed again for a period of time equal to the amount of time lost due to the high background. If the target is extended and the background increase is  $\geq 5$  times nominal for  $\geq 50\%$  of the observation, then another observation may be scheduled to replace the amount of time lost due to the high background. We realize that the precise application of these limits is somewhat arbitrary. The intent is to only schedule additional observations if the scientific objectives were not achieved due to the high background. If “space weather” only causes some deterioration in data quality, the observation is considered complete.

Although the CXC monitors space weather, there is no real-time contact with the *Chandra* X-ray Observatory so high background periods cannot be avoided. Ultimately, it is the observer’s responsibility to determine if the data require another observation according to the criteria above. An application for an additional amount of time on target should be made to the CXC Director. Providing a plot of the background counting rate vs. time and a short table with the integration time at different background levels is required.

### **3.2.3.3 Data Quality - Telemetry Saturation Due to X-ray Sources**

Telemetry saturation produced by the target and/or other sources in the field-of-view are the responsibility of the observer. The unique case of a previously unknown transient appearing in the field-of-view will be handled case-by-case.

## **3.3 Non-U.S. Participation**

Science proposals from outside the United States are welcome. However, research conducted by non-U.S. Institutions cannot be funded by NASA; therefore, researchers who propose investigations requiring new *Chandra* observations, but whose primary institution is not in the U.S., must seek support through their own national funding agencies.

The *Chandra* data archive is open to the public; to obtain data of interest for a project, an interested researcher need only access the [CXC website](http://cxc.harvard.edu) (<http://cxc.harvard.edu>) or contact the *Chandra* X-ray Center for assistance. U.S. researchers who wish to analyze archival data or undertake theoretical investigations may apply for funding for their research through this *CfP*. For archive/theory proposals, the PI's primary institution must be U.S.-based. Non-U.S. researchers should not propose to this *CfP* for funding unless their proposal includes U.S. Co-Investigators who are eligible for funding.

### **3.4 Proposal Confidentiality**

Proposals submitted to the CXC will be kept confidential to the extent allowed by the review process. For accepted proposals, the scientific justification section of the proposal remains confidential but other sections become publicly accessible, including PI names, project titles, abstracts, and all observational details. The remainder of the approved proposals, and the entirety of proposals not selected, will remain confidential.

All CXC and visiting personnel who will be handling or reviewing the proposals as part of the review process will be fully informed of the confidential nature of the proposals. They will be required to sign a non-disclosure agreement, agreeing to treat information in the proposals as confidential and not to disclose it or use it in any way beyond that needed for the review process itself. All copies (electronic and hardcopy) of the proposals distributed as part of the review process will be destroyed once the process is complete.

### **3.5 *Chandra* Observation Catalog: Checking for Duplicate Targets**

Proposals for new observations that duplicate existing *Chandra* observations will not be accepted unless scientifically justified. It is the proposer's responsibility to ensure that he or she does not propose for observations of the same target with the same instrument and comparable observing time to one already in the *Chandra* Observing Catalog or that such a request is explicitly justified. For targets previously observed in the X-ray band, particularly those observed by XMM-Newton, the proposal should address the specific need for the addition of *Chandra* data to accomplish the proposed scientific investigation. Previous observations may be checked using, for example, HEASARC W3Browse: [http://heasarc.gsfc.nasa.gov/docs/HHP\\_heasarc\\_info.html](http://heasarc.gsfc.nasa.gov/docs/HHP_heasarc_info.html).

Previous observations may also be checked using the CDA Footprint Service (<http://cxc.harvard.edu/cda/footprint/cdview.html>). Note, though, that this interface only provides information on observations that have been released to the public. Observations that are still proprietary or scheduled in the future may be searched for in WebChaSeR (<http://cda.cfa.harvard.edu/chaser/>). See [Section 6.1.3](#) for details.

The review panels will be provided with a list of previous *Chandra*/XMM-Newton/Suzaku X-ray observations of proposed targets. Information on the various ways to access the *Chandra* Observation Catalog may be found in [Section 6.1.3](#).

### **3.6 Supporting Ground-Based Observations**

As part of the proposal and corresponding budget for a *Chandra* investigation, proposers may request funding support for correlative observations at other wavelengths beyond the joint observations described in this solicitation ([Section 4.5](#)). Funding for such correlative studies will be considered only when they directly support a specific investigation using *Chandra*. Unless

there are exceptional circumstances, such as a CXO/NOAO or CXO/NRAO joint proposal or some archive or survey proposals, funding for ground-based supporting observations should not exceed 10% of the total request.



# Chapter 4 - Proposal Types

Observations to be carried out with *Chandra* during the 12 months of Cycle 15 science operations will be selected from proposals submitted in response to this *CfP*. Up to 2Ms of Cycle 16 and 1Ms of Cycle 17 observing time may be allocated to time-constrained, multi-cycle observing proposals requesting time that extends beyond Cycle 15.

There are seven types of proposals that may be submitted in response to this *CfP*; they are detailed in the following sections. In addition, Director's Discretionary Time (DDT) proposals for observations that cannot be completed in, or cannot wait for, the usual proposal cycle may be submitted at any time ([Section 4.8](#)). The CXC reserves the right to reject any approved observation that is in conflict with safety or mission assurance priorities or schedule constraints, or is otherwise deemed to be non-feasible.

## 4.1 General Observing (GO) Projects

There are no restrictions regarding the amount of observing time or the number of targets that may be requested in this category. Proposals may be submitted for single targets with a relatively short observation time, or for larger programs involving multiple targets and/or significant amounts of observing time. All proposals will be reviewed, and a mix of large and small programs will be selected. Proposals requesting observations whose science requires constraints distributed over multiple (up to three) proposal cycles will be considered ([Section 3.2.1.14](#)). Observations allocated time in this category will have one year of proprietary time unless a shorter proprietary time interval is requested by the PI.

## 4.2 Large Observing Projects

Large Projects are defined as requiring 300-999 ksec of observing time, regardless of whether they include long-duration observations of single targets or shorter duration observations of many targets. Large Projects must be designated as such by the PI and are encouraged. Up to 4 Msec of the observing time in this Cycle is reserved for Large Projects, subject to the submission of proposals of high scientific merit.

The observations proposed for Large Projects may span up to 3 cycles when required to achieve the scientific goals. In the case of target conflicts with a small proposal, the Selecting Official, based on the recommendation of the peer review, may award the target in question to the smaller proposal. In this case, the proposer of the Large Project may always make use of data taken for the other project once they are made public.

Large Projects are evaluated differently from other proposals. A Large Project is first evaluated and graded along with the other observing proposals by two independent "Topical Science" panels. The graded Large Projects are then passed to the "Big Project" panel which allocates time separately to the LPs and XVPs and makes the final recommendations for an integrated observing plan involving all top-rated proposals to the Selection Official. Although the Big Project panel may recommend shortening a Large Project under exceptional circumstances, it is intended that a Large Project be an all-or-nothing proposition. Observations approved in this category will be allocated one year of proprietary time unless a shorter time is requested by the PI.

### 4.3 X-ray Visionary Projects

X-ray Visionary Projects (XVPs) should describe a major, coherent science program to address key, high-impact, scientific question(s) in current astrophysics and may span up to 3 cycles when required to achieve the scientific goals. We envision that XVPs will result in data sets of lasting value to the astronomical community. We encourage proposers to describe the legacy value of the data and any data products and/or software they expect to release to the community as part of their project.

XVPs are defined as requiring between 1 and 5 Msec of total observing time including long-duration observations of single targets or shorter duration observations of many targets to address major, key questions in current astrophysics. This category is open to all science topics and must be designated as an XVP by the PI. About 5 Msec of the observing time is reserved for X-ray Visionary Projects, subject to the submission of proposals of high scientific merit. Observations approved as part of an X-ray Visionary Project **will have no proprietary time associated with them, and the data will be made public immediately**. XVP projects will be allocated a maximum of 2 Msec of observing time on targets situated above 60° ecliptic latitude.

Proposers planning to submit an XVP should send a **Notice of Intent to Propose**, including the following information: title, PI name, estimated observing time, preliminary list of Co-Is, and short abstract, to the CXC helpdesk ([cxchelp@head.cfa.harvard.edu](mailto:cxchelp@head.cfa.harvard.edu)) by 23 Jan 2012. This information on proposals to be submitted will allow the CXC to plan a competent review with minimal conflicts of interest.

Projects that plan to deliver products, such as source catalogs, high fidelity data products, or software to the community are encouraged to outline these plans in the proposal. A modest funding allocation may be requested in the Stage 2 Cost proposal to facilitate the delivery of such products.

X-ray Visionary Projects will be evaluated and graded by an XVP panel at the peer review in addition to the topical panels. The recommendations of all reviewing panels will then be passed to the Big Project Panel which allocates time, separately, to LPs and XVPs and makes the final recommendations for an integrated program involving top-rated proposals to the Selection Official.

### 4.4 Target of Opportunity Projects

Proposals are also solicited for Pre-Approved Targets of Opportunity (TOOs). These are defined to be observations of unanticipated astronomical events, such as a supernova or a gamma-ray burst that must take place in order to trigger the observation. The number of times the Observatory can be used to respond to a TOO is limited by operational considerations with difficulty increasing with rapidity of response. Given the limited availability and high operational impact of TOOs, proposers are asked to carefully consider whether *Chandra* is the optimal observatory for their particular target(s) and to justify this choice in their proposal. Other X-ray missions, e.g., SWIFT, are more flexible for performing TOO observations on medium/bright targets. SWIFT TOO application information either pre-approved (by peer review) or unanticipated, can be found on the SWIFT website at: <http://www.swift.psu.edu/too.html>.

The minimum expected response time for a TOO is 24 hours. It is estimated that the Observatory can support a maximum number of Cycle 15 TOOs by TOO Response Category as shown in the Table 4.1 below.

**Table 4.1 TOO Response Category**

Number of obsvns <sup>1</sup>	Category	Minimum response time (days) <sup>2</sup>
8	Very Fast	<4
20	Fast	4 - <15
26	Medium	15 - <30
26	Slow	≥ 30

Notes:

1. Follow-up observations that require a rapid response to the initial trigger also count against this allocation. Those with a slower response count as time-constrained observations.
2. The proposer must select the TOO Response Category on the RPS form based on the start time of the response window, i.e., the minimum time between the official request to trigger the Chandra TOO observation and the beginning of the exposure.

Proposals may not contain a mixture of TOO and non-TOO targets. Once a TOO has been selected, the observing time is awarded, but not scheduled until the triggering event takes place. It is the responsibility of the PI to alert the CXC to the occurrence of the triggering event. Response time requests in TOO triggers must be within, or longer than, the approved response time window.

Given the high operational impact of TOOs, no constraints or follow-up observations over and above those included in the proposal RPS forms and recommended by the peer review will be accepted. All follow-up observations whose timing depends on events close to the trigger need to be included in the original proposal forms and will be counted as separate TOOs with category determined by the requested time delay between the event and the observation. All trigger criteria must be specified in the appropriate fields on the RPS form. Follow-up observations that have a longer lead time (≥15 days) are classified as constrained observations.

Those proposing for a Pre-Approved TOO should be aware that any such observations awarded for a given observing Cycle, but not accomplished, cannot be carried over to the next Cycle, although they may be re-proposed. Since the CfP is being released prior to the end of this Cycle, there may be a set of selected and Pre-Approved TOOs for this Cycle that have not been triggered. Proposers may choose to assume that these will not have been triggered by the time the next Cycle starts (about December 2013). The PI/Observer should indicate on the RPS form of the new cycle proposal whether/not a trigger of the previous cycle's TOO would cancel the TOO observation proposed/accepted for the new cycle.

## 4.5 Joint Observing Projects

Joint Observing Projects may be proposed as follows with the intent to address those situations where data (not necessarily simultaneous) from more than one facility are required to meet the scientific objectives of the proposal. In addition to time on *Chandra*, time may be requested and awarded via this CfP on one or more of the facilities described below. It is the proposer's responsibility to provide a technical justification for all observing facilities included in the proposal. A request for simultaneous or otherwise time-constrained observations must be scientifically justified, and the technical justification must include consideration of the relative visibility of the target by all requested facilities. Please note that coordination with ground-based

observatories other than NRAO is only available as a preference and will be carried out on a best-effort basis. No time on the joint facilities will be allocated without accompanying *Chandra* time on the same target, except where noted. Up to 10% and 5% of the available joint time in Cycles 16 and 17 respectively may be allocated to multi-cycle observing proposals if scientifically justified and subject to the continued availability of that time.

#### **4.5.1 *Chandra/Hubble Space Telescope (HST) Observations***

This *CfP* solicits proposals to allow observers interested in using both the Hubble Space Telescope (HST) and *Chandra* to achieve their scientific objectives to submit a single proposal in response to either HST or *Chandra CfPs*. The only criteria above and beyond the usual review criteria are that the project must be fundamentally of a multi-wavelength nature and that both sets of data are required to meet the science goals. Simultaneous *Chandra* and HST observations should be requested only if necessary to achieve the scientific goals. Proposers responding to this *CfP* may request, and be awarded, HST observing time in conjunction with their *Chandra* observations. One hundred orbits of HST observing time are available for this opportunity. Conversely, up to 400 ksec of *Chandra* observing time are available for award as part of the response to HST research opportunities. However, the *Chandra* project can award no more than one HST Target of Opportunity (TOO) observation with a turn-around time shorter than two weeks.

Proposers wishing to take advantage of the *Chandra*-HST arrangements are encouraged to submit their proposal to the Observatory announcement that represents the prime science. The expertise required to best appreciate and evaluate the proposals will be weighted toward the wavelength band of the primary observatory. Demonstration of the technical feasibility for both observatories to produce the necessary data is required, including consideration of the relative visibility of the target(s) to both facilities for the case of time-constrained observations. Technical information about HST is available at <http://www.stsci.edu/hst/>. General policies for HST observations are described in the latest HST Call for Proposals, available at [http://www.stsci.edu/hst/proposing/documents/cp/cp\\_cover.html](http://www.stsci.edu/hst/proposing/documents/cp/cp_cover.html). In particular, standard duplication policies described in [Section 5.2](#) apply to HST observations requested as part of *Chandra*-HST proposals. Known duplications should be justified scientifically. The Space Telescope Science Institute is prepared to assist observers proposing in response to this opportunity. Questions should be addressed to [help@stsci.edu](mailto:help@stsci.edu).

Any major requested change to the approved HST portion of a *Chandra* program such as a change of instrument, wavelength settings, the addition of parallel orbits, etc. requires strong scientific justification, is not normally approved, and may jeopardize the *Chandra* portion.

#### **4.5.2 *Chandra/XMM-Newton Observations***

If a science project requires observations with both XMM-Newton, sponsored by the European Space Agency, and the *Chandra* X-ray Observatory, then a single proposal may be submitted to request time on both Observatories to either the most recent XMM-Newton Announcement of Opportunity or to this *Chandra CfP* so that it is unnecessary to submit proposals to two separate reviews.

By agreement with the *Chandra* Project, the XMM-Newton Project may award up to 400 ksec of *Chandra* observing time. Similarly, the *Chandra* Project may award up to 400 ksec of XMM-Newton time. The time will be awarded only for highly ranked proposals that require use of both

observatories and shall not apply to usage of archival data. The only criterion above and beyond the usual review criteria is that both sets of data are required to meet the primary science goals. Proposers should take special care in justifying both the scientific and technical reasons for requesting observing time on both missions. Simultaneous *Chandra* and XMM-Newton observations should be requested only if necessary to achieve the scientific goals. No Targets of Opportunity, either pre-Approved or unanticipated, will be considered for this cooperative program. For this *CfP*, no XMM-Newton time will be allocated without the need for *Chandra* time to complete the proposed investigation.

Establishing technical feasibility is the responsibility of the observer, who should review the *Chandra* and XMM-Newton (<http://heasarc.gsfc.nasa.gov/docs/xmm/xmmgof.html>) documentation or consult with the [CXC HelpDesk](http://cxc.harvard.edu/helpdesk/) (<http://cxc.harvard.edu/helpdesk/>). For proposals that are approved, both projects will perform detailed feasibility checks. Both projects reserve the right to reject any approved observation that is in conflict with safety or mission assurance priorities or schedule constraints, or is otherwise deemed to be non-feasible. Note that simultaneous longer-duration observations with XMM-Newton that require *Chandra* satellite pitch angles violating the conditions discussed in [Section 2.3](#) may not be feasible. Any observation(s) deemed to be not performable as indicated above would cause revocation of observations on both facilities.

### ***4.5.3 Chandra/National Optical Astronomy Observatory (NOAO) Observations***

By agreement with NOAO, proposers interested in making use of observing facilities available through NOAO (including Gemini, CTIO, KPNO, SOAR and WIYN, but not facilities made available through the TSIP or ReSTAR programs) as part of their *Chandra* science may submit a single observing or archival research proposal in response to this *CfP*. The award of NOAO time will be made to highly ranked *Chandra* proposals and will be subject to approval by the NOAO Director.

The primary criterion for the award of NOAO time is that both *Chandra* and NOAO data are required to meet the scientific objectives of the proposal. Both *Chandra* observing and archival research proposals are eligible. The highest priority for the award of NOAO time will be given to programs that plan to publicly release the optical data in a timely manner (i.e., shorter than the usual 18-month proprietary period) and that create databases likely to have broad application. NOAO plans to make up to 5% of the public time each semester on each telescope available for this opportunity. Time on the Gemini telescopes will be restricted to no more than 40 hours per year per telescope, and will be scheduled as queue observations. The Gemini queue time is distributed across three priority bands (see <http://www.gemini.edu> for an explanation of the bands) as follows: NOAO will schedule no more than 15 hours of the *Chandra*/NOAO time as Band 1, 15 hours as Band 2, and 10 hours as Band 3. In addition, the available observing time is divided roughly equally between the A and B semesters covered by the *Chandra* cycle, for a maximum of 20 hours per semester on each telescope. Proposers wishing to make use of this opportunity must provide the following additional NOAO-related information as part of their

*Chandra* proposal:

- Detail the choice of NOAO telescope(s) and instrument(s). (Dates of availability for the various telescopes and instruments can be found at: <http://www.noao.edu/gateway/nasa/>)

- Enter the total estimated observing time for each telescope/instrument combination and provide a quantitative breakdown of the total. For Gemini requests, please include the conditions needed – see <http://www.gemini.edu/node/10781>.
- Specify the number of nights for each semester during which time will be required and any observing constraints (dates, moon phase, synchronous or synoptic observations, etc.)
- Include a full and comprehensive scientific and technical justification for the requested NOAO observing time; and
- Provide a plan for the public release of the NOAO data within one year of the observation date.

Demonstration of the technical feasibility of the proposed NOAO observations is the responsibility of the proposer. Detailed technical information concerning NOAO facilities may be found at <http://ast.noao.edu/observing>. Proposals lacking sufficient detail may not be scheduled by NOAO.

If approved for NOAO time, successful PIs will be required to submit the standard NOAO forms providing detailed observing information appropriate to the telescope and instrument combination(s) awarded. NOAO will perform feasibility checks on the proposed observations and reserves the right to reject any observation determined to be unfeasible for any reason. Such a rejection could jeopardize the entire proposed science program and impact the award of the *Chandra* observing time as well.

In addition, for NOAO time on Gemini (only), successful PIs will be required to submit a full scientific justification to NOAO on the standard NOAO proposal form. NOAO will review the proposal in order to determine the Gemini queue band into which the observations will be placed. Note that the band awarded may restrict the conditions available for the observations.

#### ***4.5.4 Chandra/National Radio Astronomy Observatory (NRAO) Observations***

By agreement with NRAO, proposers interested in making use of the NRAO Karl G. Jansky Very Large Array (VLA), Very Long Baseline Array (VLBA) and Green Bank Telescope (GBT) facilities as part of their *Chandra* science may submit a single proposal in response to this *CfP*. The award of NRAO time will be made to highly ranked *Chandra* proposals and will be subject to approval by the NRAO Director.

The primary criterion for the award of NRAO time is that both *Chandra* and NRAO datasets are essential to meet the scientific objectives of the proposal. No NRAO time will be allocated without *Chandra* time.

NRAO plans to make up to 3% of VLA, VLBA and GBT observing time available for this opportunity with a maximum of 5% in any configuration/time period and including an 18-month period close to the *Chandra* Cycle 15 such that all VLA configurations are available. A VLA configuration schedule is published at <https://science.nrao.edu/facilities/vla/proposing/configpropdeadlines>.

Proposers wishing to make use of this opportunity must provide the following NRAO-related information as part of their *Chandra* proposal:

- Enter the total estimated NRAO observing time in hours;
- Indicate the choice of NRAO telescope(s) (VLA, VLBA and/or GBT);
- Include in your scientific justification a full and comprehensive scientific and technical justification for the requested NRAO configuration(s) and observing time.

Be aware that some *Chandra* targets might not require new NRAO observations because the joint science goals can be met using:

- Non-proprietary archival data from the VLA or VLBA available at <http://science.nrao.edu/evla/archive/evla/> and/or
- VLA continuum images from sky surveys at a wavelength of 20cm and at a FWHM resolution of 45 arc seconds (see <http://www.cv.nrao.edu/nvss/>) or 5 arc seconds (see <http://sundog.stsci.edu/top.html> ).

Detailed technical information concerning the NRAO telescopes can be found at:

<http://science.nrao.edu/facilities/vla/>, <http://science.nrao.edu/facilities/vlba/>, and

<http://science.nrao.edu/facilities/gbt/>.

In particular, technical information required for a proposal can be found at:

<https://science.nrao.edu/facilities/vla/docs/manuals/oss-2013a/>,

<http://science.nrao.edu/astro.obstatus/current/> (VLBA), and

<http://www.gb.nrao.edu/gbtprops/man/GBTpg.pdf> (GBT).

If approved for NRAO time, successful PIs will be contacted by the NRAO Scheduling Officers. The successful PIs for GBT projects will be responsible for organizing the project's information in the GBT Dynamic Scheduling Software and for carrying out their GBT observations. For the VLA and VLBA, the PIs will be responsible for submitting scheduling blocks to the telescope's dynamic queues. Projects requiring simultaneous NRAO-*Chandra* observations will be performed on fixed dates. The NRAO Scheduling Officers will tell the PIs those dates and times, and the PIs will be responsible for submitting scheduling blocks two weeks prior to the observations.

NRAO will perform final feasibility checks on the proposed observations and reserves the right to reject any observation determined to be infeasible for any reason. Such a rejection could jeopardize the success of the joint science program.

#### ***4.5.5 Chandra/Suzaku Observations***

By agreement with the Suzaku Project, proposers interested in making use of Suzaku time as part of their *Chandra* science investigation may submit a single proposal in response to this *Chandra* CfP. The award of Suzaku time will be made to highly ranked *Chandra* proposals and will be subject to approval by the Suzaku Project.

The primary criterion for the award of Suzaku time is that both *Chandra* and Suzaku data are required to meet the scientific objectives of the proposal. Suzaku time will not be awarded

without accompanying *Chandra* observing time. The Suzaku Project is making available up to 500 ksec of Suzaku observing time available to such joint science proposals. Coordinated observations are allowed, if judged feasible. *Chandra* Cycle 15 is expected to overlap with Suzaku Cycle 8 (2013 April through 2014 March) and the possible Cycle 9 (2014 April through 2015 March). Note, however, that there is a possibility that scientific observations with Suzaku may cease sometime during the above period, due to the degradation of the power generation capability of Suzaku.

A maximum of 75 ksec on Suzaku can be time-constrained for science reasons, including coordinated observations, roll, phase or window constraints, or Targets of Opportunity. No TOO requiring less than 4 days response time will be considered.

Proposers wishing to make use of this opportunity must provide the following additional Suzaku-related information as part of their *Chandra* proposal:

- Enter the total requested Suzaku observing time in the relevant *Chandra* RPS box; and
- Include a full and comprehensive scientific and technical justification for the requested Suzaku observing time, including the expected count rates (from simulations or previous Suzaku observations), and the desired observing modes.

It is the responsibility of the proposer to demonstrate the feasibility of the proposed Suzaku observation. Detailed technical information concerning Suzaku may be found at <http://www.astro.isas.jaxa.jp/suzaku/>. The Suzaku Guest Observer Facility and Project Scientist will make feasibility assessments of the proposed observations independently of the *Chandra* review. Proposed Suzaku observations determined to be infeasible will be rejected. Such a rejection could jeopardize the entire proposed science program and impact the award of the *Chandra* observing time as well.

If Suzaku time is approved, successful PIs will then be required to provide further details of the Suzaku observations to the Suzaku Guest Observer Facility including the observing strategy and instrument configurations in a form amenable to the Suzaku scheduling software.

Suzaku datasets obtained under this agreement will be proprietary to the PI for one year after the performance of the observation, and will subsequently be released publicly via the HEASARC.

#### **4.5.6 *Chandra/Spitzer Observations***

If your science project requires observations from both the Spitzer Space Telescope and the *Chandra* X-ray Observatory, you can submit a single proposal to request time on both observatories to the *Chandra* Cycle 15 review. This avoids the "double jeopardy" of having to submit proposals to two separate reviews.

Spitzer Cycle-10 will run from approximately October 2013 through September 2014. For *Chandra* Cycle 15, the CXC will be able to award up to 60 hours of Spitzer time to highly rated proposals. The only criteria above and beyond the usual review criteria are that the project is fundamentally of a multi-wavelength nature and that both sets of data are required to meet the



science goals. Spitzer General Observer time will only be awarded in conjunction with *Chandra* observations and should not be proposed for in conjunction with an Archival Research or Theory/Modeling Proposal.

In the *Chandra* Cycle 15 review, no more than 20 hours of the 60 hours of Spitzer observing time available will be awarded to an individual proposal. No TOOs will be approved. Highly constrained Spitzer programs are discouraged as joint *Chandra*-Spitzer proposals. If you require highly constrained Spitzer observations you should submit your proposal to the next Spitzer review. The Cycle-10 call for proposals will be issued in late spring 2013 and the proposal deadline will be in the summer of 2013. If you have questions about constraints for the Spitzer observations, please contact the SSC Helpdesk. Evaluation of the technical feasibility is the responsibility of the observer, who should review the Spitzer documentation: (<http://ssc.spitzer.caltech.edu/warmmission/propkit>) or consult with the Spitzer Science Center (SSC) Helpdesk ([help@spitzer.caltech.edu](mailto:help@spitzer.caltech.edu)). For proposals that are approved, the SSC will perform detailed feasibility checks. The SSC reserves the right to reject any approved observation that proves to be non-feasible, impossible to schedule, and/or dangerous to the Spitzer instruments. Any Spitzer observations that prove infeasible or impossible could jeopardize the overall science program and may cause revocation of the corresponding *Chandra* observations. Duplicate Spitzer observations may also be rejected by the SSC.

Proposers requesting joint *Chandra*-Spitzer observations must provide a full and comprehensive technical justification for the Spitzer portion of their program. This justification must include:

- The requested IRAC observing time, justification for the requested time, target fluxes, required sensitivity, and assumptions made in the derivation of these quantities.
- Information on whether the observations are time-critical; indicate whether the observations must be coordinated in a way that affects scheduling of either *Chandra* or Spitzer observations. As mentioned above, the SSC discourages highly constrained Spitzer observations as a component of joint *Chandra*-Spitzer proposals.

Technical documentation about the Spitzer Space Telescope is available from the [Spitzer Science Center \(SSC\)](#) website, which also provides access to the Spitzer Helpdesk (email: [help@spitzer.caltech.edu](mailto:help@spitzer.caltech.edu)). The primary document is the Spitzer Observer's Manual, available, together with other relevant documents, from the [Proposal Kit Web Page](#). Spitzer strongly recommends that observers proposing Spitzer observations estimate the required observing time using Spot, the Spitzer proposal planning software, also available from the [on-line proposal kit](#). Proposers requesting joint *Chandra*-Spitzer observations must specify whether they were awarded Spitzer time in a previous cycle for similar or related observations.

Spitzer programs of less than 100 hours are eligible for a maximum of \$5,000 in data analysis funding.

#### 4.5.7 *Chandra/Swift Observations*

By agreement with the Swift Mission Project, proposers interested in making use of Swift time as part of their *Chandra* science investigation may submit a single proposal in response to this *Chandra* CfP. The award of Swift time will be made to highly ranked *Chandra* proposals and will be subject to approval by the Swift Project.

The primary criterion for the award of Swift time is that both *Chandra* and Swift data are required to meet the scientific objectives of the proposal. Swift time will not be awarded without accompanying *Chandra* observing time. The Swift Project is making up to 300 ksec of Swift observing time available to such joint science proposals. Coordinated observations are allowed, if judged feasible. *Chandra* Cycle 15 is expected to overlap with Swift Cycles 9 (2013 April through 2014 March) and 10 (2014 April through 2015 March).

Proposed Swift time may be time-constrained, including coordinated and monitoring observations, and Targets of Opportunity, if full justification is included in the proposal. Note that proposed Swift observing time can include monitoring that precedes, follows and/or (for TOOs) triggers *Chandra* observing time. Any constraints on the proposed *Chandra* observations must as usual be specified in *Chandra* RPS forms, and fully justified in the proposal.

Proposers must clearly describe how their proposal capitalizes on the unique capabilities of Swift. Proposers wishing to make use of this opportunity must provide the following additional Swift-related information as part of their *Chandra* proposal:

- Enter the total requested Swift observing time in the relevant *Chandra* RPS box; and
- Include a full and comprehensive scientific and technical justification for the requested Swift observing time, including the expected count rates (from simulations or previous Swift observations), and the desired observing modes for the Swift instruments.

It is the responsibility of the proposer to demonstrate the feasibility of the proposed Swift observation. Detailed technical information concerning Swift may be found at <http://heasarc.gsfc.nasa.gov/docs/swift/swiftsc.html>. PIs are expected to determine if a target can be viewed by Swift (<http://heasarc.gsfc.nasa.gov/Tools/Viewing.html>) and whether bright stars prohibit the use of the Swift UVOT ([http://heasarc.gsfc.nasa.gov/docs/swift/proposals/bright\\_stars/bright\\_star\\_checker.html](http://heasarc.gsfc.nasa.gov/docs/swift/proposals/bright_stars/bright_star_checker.html)). PIs need to provide a strong justification for the choice of the filters if UVOT filters other than "filter of the day" are requested. If no strong justification is provided, observations will be performed in "filter of the day" mode.

The Swift Guest Observer Facility will make feasibility assessments of the proposed observations independently of the *Chandra* review. Proposed Swift observations determined to be infeasible will be rejected. Such a rejection could jeopardize the entire proposed science program and impact the award of the *Chandra* observing time as well.

If Swift time is approved, successful PIs will then be required to submit the standard Swift cover

and target forms to the Swift Guest Observer Facility via ARK/RPS (<https://heasarc.gsfc.nasa.gov/ark/swiftrps/>) to provide the required information about observing strategy and instrument configurations.

Swift data sets obtained under this agreement will not be proprietary to the PI and immediately released publicly via the HEASARC data archive. No funds will be provided from the Swift Project for such joint *Chandra*/Swift investigations.

## 4.6 Theory/Modeling Projects

Research that is primarily Theoretical/Modeling in nature can have a lasting benefit for current or future observational programs with *Chandra*, and it is appropriate to propose such programs with relevance to the *Chandra* mission. Theoretical/Modeling research should be the primary or sole emphasis of such a proposal. Analysis of archival data should not be the goal of the project. Archived data may be used only to show how *Chandra* observations may be better understood through the results of the proposed Theory/Modeling research. Theory/Modeling proposals must be submitted using the same proposal format as observing proposals, and the proposal type “Theory” should be checked on the electronic submission.

A Theory/Modeling proposal should address a topic that is of direct relevance to *Chandra* observing programs, and this relevance must be explained in the proposal. (Research that is appropriate for a general theory program should be submitted to the Science Mission Directorate’s Astrophysics Theory Program, solicited in the annual Research Opportunities in Space and Earth Sciences (ROSES) NASA Research Announcement and/or other appropriate funding sources.) The primary criterion for a Theory/Modeling proposal is that the results must enhance the value of *Chandra* observational programs through their broad interpretation (in the context of new models or theories) or by refining the knowledge needed to interpret specific observational results (for example, a calculation of cross sections). As with all investigations supported through this *CfP*, the results of the Theoretical/Modeling investigation should be made available to the community in a timely fashion.

A Theory/Modeling proposal must include an estimated amount of funding in the Stage 1 submission and must provide a narrative within the science justification section that describes the proposed use of the funds. Detailed budgets are not requested in Stage 1, however, and are due only in Stage 2.

The scientific justification section of the proposal must describe the proposed theoretical investigation and also the anticipated impact on observational investigations with *Chandra*. Review panels will consist of observational and theoretical astronomers with a broad range of scientific expertise. The reviewers will not necessarily be specialists in all areas of astrophysics, particularly theory, so the proposals must be written for general audiences of scientists. The proposal should discuss the types of *Chandra* data that would benefit from the proposed investigation, and references to specific data sets in the *Chandra* data archive should be given where appropriate. The proposal should also describe how the results of the theoretical investigation will be made available to the astronomical community, and on what time scale the results are expected.

## 4.7 Archival Research Projects

This CfP also includes the opportunity to propose investigations based on data in the *Chandra* public archive for part or all of the study. Proposals for which archival data is the major focus of the investigation should select the “Archive” category on the RPS form. A PI may link an archival research proposal with an observing proposal to extend an existing sample to perform the same science analysis. There is no restriction on the amount of existing *Chandra* data that may be proposed for analysis. The *Chandra* website (<http://cxc.harvard.edu/>) contains information on the data that are available in the archive. The data currently available from the *Chandra* Data Archive may be browsed and visualized through the CDA Footprint service (<http://cxc.harvard.edu/cda/footprint/cdaview.html>). Data becoming publicly available in the future may be browsed through WebChaSeR (<http://cda.cfa.harvard.edu/chaser/>). The data may also be accessed through this website (see also [Section 3.5](#)). All on-orbit calibration data are placed directly in the archive. Data from Director’s Discretionary Time (DDT) observations ([Section 4.8](#)) are placed in the archive no later than three months after receipt by the PI, while other proprietary observations are archived no later than one year after receipt by the PI. XVP data have no proprietary period and are placed in the archive coincident with receipt by the PI. A bibliographic interface allows simultaneous browsing of the *Chandra* Data Archive and the literature (<http://cxc.harvard.edu/cgi-gen/cda/bibliography>). See [Section 6.1.3](#) for further details on archive browsing.

Archival Research proposals must include an estimated amount of funding in the Stage 1 submission and must provide a brief narrative within the science justification section that describes the proposed use of the funds. Detailed budgets are not requested in Stage 1 and are due in Stage 2.

### 4.7.1 Archive Proposals and the *Chandra* Source Catalog (CSC)

We will accept archival proposals which make use of the [Chandra Source Catalog](#) as all or part of the proposed science program. The current release (1.1) of the catalog includes information about sources detected in a subset of ACIS and HRC-I imaging observations released publicly prior to January 1, 2010. Only point sources, and compact sources, with observed spatial extents  $\leq 30$  arcseconds, are included. Highly extended sources, and sources located in selected fields containing bright, highly extended sources, are not included in the current release.

The catalog includes sources detected with flux estimates that are at least 3 times their estimated 1 sigma uncertainties in at least one energy band (typically corresponding to about 10 net source counts on-axis and roughly 20-30 net source counts off-axis). In the current release of the catalog, multiple observations of the same field (if they exist) are not co-added prior to performing source detection. Instead, source detection is performed on each observation individually, so that the flux threshold applies to detections from each observation separately.

Prospective users of the catalog should be aware of the selection effects that restrict the source content of the catalog and which may limit scientific studies that require an unbiased source sample. Users are urged to review the catalog [Caveats and Limitations](#) prior to using the CSC for their scientific investigations.

For more information on the *Chandra* Source Catalog, please refer to the public catalog web pages at <http://cxc.harvard.edu/csc>. The data used for the CSC, and the area of the sky covered by it, may be visualized with the CDA Footprint Service: <http://cxc.harvard.edu/cda/footprint/cdaview.html> (Section 6.1.3).

## **4.8 Proposals for Director’s Discretionary Time**

Unanticipated Targets of Opportunity or those that cannot wait for the next proposal cycle may be proposed for observation using Director’s Discretionary Time (DDT) at any time. Proposals for DDT must be submitted electronically through the RPS as described in [Section 5.3](#). Note that the RPS form for DDT is different from that for ordinary proposals. The DDT form may be found on the [CXC website](#) by selecting the “Proposer” button and then “Targets of Opportunity” and “Director’s Discretionary Time” ([http://cxc.harvard.edu/soft/RPS/Chandra\\_RfO.html](http://cxc.harvard.edu/soft/RPS/Chandra_RfO.html)). More information is available in [Section 3.2](#).

# Chapter 5 - Proposal Preparation and Submission Instructions

## 5.1 Overview

Chandra proposal submission and review will be conducted in two stages to minimize the burden of proposal preparation.

- **Stage 1:** During the first stage, the scientific and technical merits of the proposed investigation (Archival Research and Theory/Modeling as well as new observations) will be reviewed, including the appropriateness of using *Chandra* to address the scientific objectives and the relevance of the investigation to furthering our understanding of high-energy astrophysical processes. Based upon the recommendation of the Stage 1 peer review (scientific and technical), the Selection Official (the CXC Director) will select a set of proposals for award of observing time (proposals for new observations) or award of support for analysis and/or interpretation of existing data (Archival Research and Theory/Modeling proposals).
- **Stage 2:** The PIs of those proposals selected in Stage 1 which include US-based PIs or Co-Is will then be invited to submit a cost proposal for the Stage 2 review ([Chapter 8](#)).

Once the targets are identified, the *Chandra* X-ray Center (CXC) is responsible for generating the schedule of observations or science timeline. The timeline is determined for the most part by satellite and observing constraints, as specified in the proposal and as recommended by the peer review. These constraints are described in detail in the *Chandra Proposers' Observatory Guide (POG)* (<http://cxc.harvard.edu/proposer/POG/index.html>). Proposers may also specify additional constraints such as a particular time or time interval during which an observation must take place. Proposers should note that time-constrained observations are difficult to accomplish efficiently and will be limited to ~15% of the total number of observations selected. Details of constraint classification and quotas are described in [Section 5.2.8](#).

## 5.2 Stage 1 Research Proposal Details

### 5.2.1 Proposal Content

#### THE STAGE 1 PROPOSAL MUST INCLUDE:

- Cover Page Form;
- General Form;
- Target Summary Form, if the proposal requires new observations;
- Scientific Justification and Technical Feasibility (as described below);
- Previous *Chandra* PI Programs listing (one page, described below); and
- CV/Bibliography for the PI (one-page, optional).

The page limits are listed in [Table 5.2](#). The proposal must be submitted electronically (see [Section 5.3](#) for proposal submission instructions). The information will be entered into a database that will be used in cataloging and evaluating proposals and, for those observing

programs selected for implementation, will be transferred to the Observation Catalog. The forms must be completed in the requested format. Cost sections should not be submitted for the Stage 1 scientific review. However, proposals for the Archival Research or Theory/Modeling projects must include a preliminary cost estimate and a brief narrative describing the proposed use of these funds within the science justification section of the Stage 1 proposals. Formal cost proposals will be considered as part of the Stage 2 process.

### ***5.2.2 Cover Pages***

To be eligible for funding for either PI or Co-Is, a U.S. Institution **MUST** be specified on the RPS form, and must be the primary institution of the investigator seeking funds.

Institutional endorsement information (name of administrator, administrative authority, and administrative institution) are optional for the Stage 1 proposal, but may be provided by separate hardcopy (to the address in [Section 1.7](#)) in those cases where the proposing institution requires them. In all cases, institutional endorsements are required for the hardcopy submission of a Stage 2 cost proposal.

The abstract on the Cover Page Form is limited to 800 characters, including spaces between words. If the abstract exceeds this length, it will automatically be truncated at 800 characters when entered into the database.

The RPS proposal Cover Page Form requires one or more keywords describing proposal science. Selected keywords may be used to facilitate preliminary matching of proposals to reviewers, as well as archive searches.

### ***5.2.3 Target Forms***

The RPS target forms must include full specification of the observing parameters for every target and for every observation of that target. In complex cases that cannot be entered on the forms, please enter a detailed description in the Remarks section of the target form and/or contact the [CXC HelpDesk](#) for advice. If any additional constraints or preferences are included in the Remarks, you must set the corresponding flag (above the Remarks) to ensure that they are implemented. Incorrect information will jeopardize the acceptance of a proposal. **The information in the RPS forms will take precedence over any contradictory/different information described in the proposal science justification.** Any observing parameter information included in the science justification and not in the RPS forms will not be accepted. Additional constraints or changes to observing parameters requested after the proposal deadline will only be considered in very unusual circumstances and will require approval by the CXC Director.

For proposals involving observations, the proposer is urged to be as accurate as possible when entering the position of the target, since even small errors can seriously reduce the quality of the data. Positions must be given in equinox J2000.0 at the current epoch. Upon proposal submission, the RPS will run a crosscheck of coordinates and object names entered with the SIMBAD catalog and will notify PIs should any errors be found in this cross-check. If after such notification there is time before the deadline, the PI should re-check the target(s) in question and, if necessary, re-submit his or her proposal (both target form and science justification) with corrected target name and coordinates. If the deadline has passed, the PI should contact the CXC,

via the [HelpDesk](#), (as soon as possible, to make any necessary corrections).

Proposers requesting more than one target, or multiple pointings at a single target, should assign a Target Number that indicates the order of priority. Prioritization will aid the Selecting Official in the event that a reduction in observing time is recommended. In such cases, every attempt will be made to honor the highest priority targets.

On the RPS form, additional targets with the same observing parameters can be added by using the **Add Target** button. If a large number of targets are requested and the web version becomes slow, the PI can switch to the email version of the RPS via the **RPS email** button.

Multiple observations of a large target/sky area where all pointings are within 1 degree of their nearest neighbor may be classified as a grid and should be allocated a unique grid name in the RPS form. For a large number of pointings, proposers may elect to enter grid specifications rather than the full list of targets. If the proposal is approved, the PI must send the full target list to the CDO as a tab-delimited ASCII file with three columns: ObsId, RA, Dec, where RA and Dec are in decimal degrees.

#### ***5.2.4 Science Objectives***

The proposal must state clearly the scientific objectives, with relevant background and reference to previous work. The reviewers will not necessarily be specialists in your particular science area, so include all relevant information in your proposal. Show how the proposed investigation may be used to advance our knowledge and understanding of the field. Justify the use of *Chandra* or its archival data to accomplish the objectives, in contrast to using other available observatories or archives. If X-ray data from *Chandra*, XMM-Newton, or any other facility exists, justify the need for additional *Chandra* data to achieve the scientific objectives. To search for other data, see e.g., HEASARC Browse web page (<http://heasarc.gsfc.nasa.gov/db-perl/W3Browse/w3browse.pl>). Any constraint on the observations must be clearly stated and justified. Discuss the data analysis program required to attain the science goals including the scope of the effort.

#### ***5.2.5 Technical Feasibility***

For all observing proposals, the proposer needs to justify the use of the *Chandra* X-ray Observatory. The proposal should show how the particular details (observing time, instrument, instrument mode, etc.) of the proposed observations allow one to achieve the stated scientific objectives. State how targets or pointing directions were selected. List assumptions about source intensity, surface brightness, and spectrum. Estimates of both counting rates and total counts needed to accomplish the investigation must be provided. It is in the proposer's best interest to allow a reviewer to understand the assumptions and to be able to easily reproduce the estimates of the counting rate(s). The proposer should also demonstrate that the estimated counts are sufficient to extract the desired science results from the observation. The impacts of pileup on the observed energy spectrum should be addressed for observations with ACIS, HETG/ACIS, or LETG/ACIS of even moderately bright sources. Proposals for observations that might encounter pileup must explicitly discuss the plans for dealing with such data in order to demonstrate a thorough understanding of the implications for their proposed research. To maximize the scientific utility of the *Chandra* archive, proposers are encouraged to select more than the minimum number of ACIS CCDs that their core science requires. While a maximum of 6 CCDs



can be selected, observers are encouraged to require 5 or fewer CCDs - if their science objectives are not significantly affected by turning one or more CCDs off - and designate others as optional: this assists with thermal management of the Observatory. Please see the Proposers' Observatory Guide (POG, [Section 6.20.1](#)) and the webpage [http://cxc.harvard.edu/acis/optional\\_CCDs/optional\\_CCDs.html](http://cxc.harvard.edu/acis/optional_CCDs/optional_CCDs.html) concerning optional ACIS chips.

### ***5.2.6 Archival Research and Theory/Modeling***

Proposals that request funding for Archival Research must include a discussion of any publications that already have resulted from the observations and an indication as to how and why the proposed research will significantly extend these results. Proposals for Theory/Modeling must discuss how the proposed research will further the understanding of *Chandra* data.

Proposers interested in Archival Research should also discuss how and why the specific archival data are sufficient to meet their objective(s). Furthermore, such proposals must address the analysis tools to be used, their suitability for accomplishing the investigation, and the proposer's ability to apply such tools to the project. Archival Research and Theory/Modeling proposals should include a brief budget narrative within the science justification section.

### ***5.2.7 Joint Proposals***

Proposers wishing to apply for joint time also need to include a section entitled "Technical Justification of Joint Facilities" in which they address the technical feasibility of the observations using the relevant observatory(ies) in their proposals. This must include the visibility of the target by the observatory(ies) in question (particularly in the case of a request for simultaneous observations).

### ***5.2.8 Constrained Observations***

The proposer may desire to place constraints (e.g., monitoring, coordination with observations at other wavelengths, uninterrupted observing periods, roll angle, etc.) on the proposed observations. Such constraints are discussed in [Section 3.4.2](#) of the POG. Constraints limit the flexibility of scheduling and, therefore, reduce the overall observing efficiency. They may also cause an observation to be unfeasible if, for example, they require violation of the pitch angle restrictions ([Section 2.3](#)). Thus, proposers should carefully consider the impact of a request for a constrained observation and provide scientific and technical justification. Proposers should note the potential impact on time-constrained observations produced by interruption by a TOO or other unanticipated events. An observation with very restricted time or roll constraints may, if bumped or otherwise rescheduled, be delayed six months or more to allow these constraints to be met. No more than 15% of *Chandra* observations in this Cycle will be allocated to constrained observations (see below). All constraints must be specified in the RPS forms or, if not possible, in the "Remarks" field with the "Constraints in the Remarks" flag set. Any constraints not so specified will need special handling and will be implemented only on a best effort basis. Additional constraints, beyond those proposed and recommended by the peer review, will be considered only in extreme circumstances and must be approved by the CXC Director (request via email to the [CXC HelpDesk](#)). Proposers should use the [PRoVis](#) tool, available on the CXC website, to confirm that a constraint (or monitoring sequence) which they are considering does not require observations at pitch angles and/or durations that are not feasible (as directed in [Section 2.3](#)). Information on the periods of time when *Chandra* observations are allowed due to

its passage beyond the Earth's radiation zone is provided at <http://cxc.harvard.edu/proposer/orbits.html>. The maximum uninterrupted exposure time for a target observed at a given pitch angle can be estimated from the MaxExpo page <http://cxc.harvard.edu/proposer/maxexpo.html>.

The grading scheme for constrained observations is shown in [Table 5.1](#). Cycle quotas are also listed; ~80% of these will be allocated to the *Chandra* Peer Review.

Note that a constrained observation that has more than one constraint grade according to [Table 5.1](#) will be given the most restrictive grade. Specifically:

- 1) If multiple observations of the same target are proposed (e.g., a sequence of coordinated observations, or a monitoring series), then each observation contributes separately to the allowed quota of observations in that difficulty class. If the first observation (<90 ksec) has no constraints, only the subsequent observations will be counted.
- 2) In the case of long observations (>90 ksec), each 90 ksec increment or fraction thereof will count as a separate observation against the quotas allowed for the relevant category of difficulty.
- 3) Constrained grid observations will also be counted in 90 ksec units for the purpose of counting constraints ([Section 7.1](#)).

Constraints should be specified to achieve the science not the grade. It is noteworthy that, over the past several cycles, the Easy category had the highest oversubscription factor while the Average category had the lowest.

The RPS provides a tool which, given the entered target parameters, generates an estimate of the constraint class of each target and the “slew tax” (pointing overhead) which will be charged at the peer review. Final constraint classifications will be determined by the CXC after the proposal deadline, taking into account all declared constraints, including those that are specified in the remarks.

Observers wishing to assess the classification of their observations in complex, ambiguous or highly constrained cases should contact the [CXC HelpDesk \(Section 6.1.2\)](#), allowing adequate time before the proposal deadline for a response to be made.

**Table 5.1 Grading Scheme for Constrained Observations**

<b>Constraint</b>	<b>Parameter</b>	<b>Easy</b>	<b>Average</b>	<b>Difficult</b>
Uninterrupted (ksec)	Duration	<30	30-40	>40
Coordinated (days)	Window	-	>3	<3
Roll (days) <sup>1</sup>	Window	>21	3-21	<3
Time Window (days)	Window	>21	3-21	<3
Phase Interval (days)	Period	<20	20-60	>60
Monitor Interval	Note (2)	>5	2-5	<2
Group	Note (3)	>10	4-10	<4
	<b>Cycle Quota<sup>4</sup></b>	<b>46</b>	<b>36</b>	<b>21</b>

Notes:

1. The constraint refers to the number of days at which a target can remain within the declared roll angle constraint. This can be estimated using the P<sub>Ro</sub>Vis tool available on the Proposer Webpage.
2. The dimensionless parameter for the monitoring interval constraint will be determined as follows:
  - ◆ determine the smallest specified  $I_{max}$  of all the proposed monitoring intervals,  $\min(I_{max})$
  - ◆ for that interval, compute the fractional tolerance  $fractol = (I_{max} - I_{min}) / (I_{max} + I_{min})$
  - ◆ compute the metric:  $\min(I_{max}) * fractol / \max(T)$

Where  $I_{min}$  and  $I_{max}$  are the minimum and maximum proposed intervals,  $\min(I_{max})$  is the smallest specified  $I_{max}$  of all proposed intervals and  $\max(T)$  is the largest exposure time of any proposed observation.
3. The dimensionless parameter for Group Observations is:  $(TIME\ INTERVAL\ FOR\ THE\ GROUP) / (TOTAL\ DURATION\ OF\ OBSERVATIONS\ IN\ GROUP)$ .
4. Should a quota be unfilled at the peer review it may be combined with a quota at a lower difficulty level.

### **5.2.9 Other Observing Facilities Being Used for the Research**

The proposer should include in his or her scientific justification a list of all other observing facilities being used for the proposed research, in addition to those being requested in this proposal. These facilities should be discussed whether or not their use results in a time constraint on the *Chandra* observations. Note that, apart from NRAO, coordination with ground-based observations may only be listed as a preference.

### **5.2.10 Previous Chandra Programs (Required)**

The PI must provide a list of all previous approved *Chandra* Observing, Archival Research, Theory/Modeling, or GTO programs for which they were PI, along with a brief status of the program(s) and resulting publications (1 page maximum, uploaded separately, see Table 5.2). Omit this page if there are no such programs.

The CXC seeks to track *Chandra*-related publications for the benefit of users of the *Chandra* Data Archive, for proposal reviewers, and for maintaining general *Chandra* bibliographic metrics. We encourage all users to provide material within their publications to facilitate this tracking. Authors should include wherever relevant (1) a DataSet Identifier for each ObsId;

(2) *Chandra* grant number(s); and (3) the *Chandra* facility keyword ("CXO"). Details are described at <http://cxc.harvard.edu/cdo/scipubs.html>.

### ***5.2.11 PI/CV Bibliography (Optional)***

The PI has the option to include a one page CV and bibliography.

### ***5.2.12 Observation Preferences***

Observers with science goals that could be enhanced by having observations carried out in particular time windows, roll ranges, phase ranges, or monitoring intervals, are permitted to request these as preferences rather than requiring hard constraints. Preferences are not counted against the limited amount of constrained time, but can only be requested by formal specification on the RPS forms, not through requests after a proposal is accepted. Preferences are met on a best-effort basis. Specifically, when the *Chandra* long-term schedule is generated, attempts will be made to meet all preferences that do not conflict with approved constrained observations and do not violate spacecraft constraints or guidelines. Preferences that force targets to be observed at unfavorable pitch angles are unlikely to be met. Proposers should use the [PRoVis](#) tool, available on the CXC website, to confirm that a constraint (or monitoring sequence) which they are considering does not require observations at pitch angles and with durations that are not feasible (as described in [Section 2.3](#)). Once placed in the LTS, attempts will be made to accomplish the preferences, but this is not guaranteed; changes required to meet TOOs or to balance spacecraft considerations may result in changes to the observing plan leaving preferences unmet.

Note: Any constraint that is required for the science goals of a proposal **MUST** be specified as a constraint in RPS ([Section 5.2.8](#)).

### ***5.2.13 Proposal Formats and Page Limits***

All proposal text must be in English. Because of the large number of proposals anticipated in response to this *CfP*, there will be strict page limits as shown in [Table 5.2](#). Excess pages will be removed from proposals before the peer review. All information required to evaluate the proposal must be included within the proposal page limits. Reference to published papers or web-based material may be used for supporting material only. The section including the scientific justification and technical feasibility is limited to six pages for observing proposals that are classified as Large Projects (designated as such by the PI and requesting 300-999 ksec) or as Joint Projects (CXO/HST, CXO/NOAO, CXO/XMM, CXO/NRAO, CXO/Suzaku, CXO/Spitzer, CXO/Swift), to seven pages for X-ray Visionary Projects (requesting 1-5 Msec), and to four pages in all other cases including proposals for a TOO, Archival Research, and Theoretical/Modeling Research. For purposes of judging the length of the electronic proposal, the following guidelines apply:

- Each printed side of a paper sheet containing text or illustration will count as one page;
- Text must use an easily read typeface with no more than 15 characters per inch (horizontally) and 6 lines per inch (vertically). In most typefaces this is achieved with 11 or 12 point font in single-spaced paragraphs; and
- Each page must have at least 1-inch margins on all sides of a standard 8.5 x 11 inches (US-letter sized) sheet.

Proposers are encouraged to use the LaTeX template provided at the [CXC website](http://cxc.harvard.edu/proposer/), (<http://cxc.harvard.edu/proposer/>) that conforms to these requirements. Please insure also that the LaTeX is properly converted to PDF (see <http://cxc.harvard.edu/proposer/generatePDF.html>). Proposals that exceed the page limit will have all excess pages removed. Proposals that violate the font or margin sizes will be rejected. Submitted science justification PDF files may not exceed 10 Mbytes in size, or they will be automatically rejected with an error message.

### 5.2.14 Proposal Preparation Tools

**Table 5.2 Proposal Content and Page Limit**

SECTION (Note 1)	PAGE LIMIT	COMMENTS
Cover Page Form	1	No other cover needed.
General Form	1	No other cover needed.
Scientific Justification and Technical Feasibility:		Including text, figures, charts, tables, references, and budget narrative (for archival research and theory).
• General, TOO, Archival Research, or Theory/Modeling	4	
• Large or Joint	6	
• X-ray Visionary Projects (XVPs)	7	
Target Forms	As needed	Not required for Archival Research or Theory/Modeling proposals.
Previous <i>Chandra</i> Programs	1	Information on previous programs of PI, including proposal number, PI, title and related publications. (Note 2)
PI's CV/Bibliography (optional)	1	Emphasis should be on relevant experience and publications.

Notes:

1. The proposal forms may be accessed via the Remote Proposal System (RPS) software at <http://cxc.harvard.edu/>.
2. Those with a large number of prior programs may include minimal information for each program.

Proposal preparation and simulation tools are available on the World Wide Web as listed in [Table 1.3](#). The proposer is urged to make use of these tools well before the deadline for proposal submission.

## 5.3 Proposal Submission Instructions

### 5.3.1 Electronic Submission Required

All Stage 1 proposals are required to be submitted electronically according to the instructions given below and on the CXC website (<http://cxc.harvard.edu/cgi-bin/RPS/Chandra/RPS.pl>). The file, including the science justification and previous *Chandra* program list (and, optionally, a CV), must be in PDF format. Electronic submission facilitates efficient proposal processing and

reduces the likelihood of transcription error in the various databases. Proposers who do not have access to electronic communications should call the *Chandra* Director's Office, (617) 495-7268.

### **5.3.2 Remote Proposal System (RPS)**

Stage 1 proposals must be submitted electronically by either of two methods, both of which make use of the Remote Proposal System (RPS) software. More detailed information concerning the *Chandra* RPS system may be found on the CXC website (<http://cxc.harvard.edu/cgi-bin/RPS/Chandra/RPS.pl>).

The proposer may access this system either through the World Wide Web (WWW) or by email as follows:

- **The WWW version of the *Chandra* RPS** provides a form-based interface. Access is linked to the *Chandra* home page at <http://cxc.harvard.edu/> (select "Proposer" link (<http://cxc.harvard.edu/proposer/>)). Help files for each form and each input parameter are available as hypertext links, and the user has complete control over the entries.
- **The interface to the email version of the *Chandra* RPS** needs to be initiated by the proposer. Instructions may be obtained by sending an email message to: [rps@head.cfa.harvard.edu](mailto:rps@head.cfa.harvard.edu) with:  
    <BEGIN>  
    <OPTION=HELP>  
    <END>

in the body. A proposer may convert from the web-based to the email version using the **RPS email** button. When using the email version, separate PDF files for the science justification, the previous *Chandra* program list (if required), and CV (optional) should be submitted using ftp to *cxc.harvard.edu* following the instructions provided by RPS.

- The email interface is recommended for proposals including a significant number of targets.

Independent of interface, the process will, at a minimum, involve the following steps for all proposals:

- Preparing the Scientific Justification and Technical Feasibility, preparing the list of previous *Chandra* programs (required for PIs with previous approved *Chandra* PI programs) and (optionally) the PI CV/bibliography. Please be sure to print out the PDF files to ensure they are readable before submission;
- Providing the information for, and completing, the Cover Page and General Form;
- For proposals requiring new observations, the Target Form(s), including constraints and remarks where needed;
- Using the RPS option to check the target coordinates against NED/SIMBAD in order to minimize errors in target coordinates;
- Verifying that the information on the Cover Page Form, the General Form, and (as appropriate) the Target Form(s) is correct;
- Submitting the Cover Page Form, the General Form, and (as appropriate) the Target Form(s), following which the RPS assigns a proposal number;
- Submitting the PDF file of the Science Justification and Technical Feasibility;
- Submitting the PDF file of the list of previous *Chandra* programs (if required);
- Submitting the PDF CV (optional);

- Receiving an email acknowledging receipt of your proposal and notification of the proposal number and of any errors found via crosscheck of the target information with the SIMBAD and/or RASS catalog and with the *Chandra* Observation Catalog. For gratings observations, this check will confirm whether or not there is a RASS source close to the target position. Under the assumption that most gratings targets are RASS sources, this minimizes the chance of incorrect coordinates.
- Should an error in your coordinates or target list be found by the above check, your proposal should be corrected and re-submitted.

### ***5.3.3 Help After Submitting: When You Discover A Mistake***

If a mistake is discovered before the deadline, please go through the submit process as if you had not submitted before, resubmitting both the form and science justification, and entering the number of the proposal being replaced. The proposal is scanned to confirm that it is a resubmission. Proposals for which resubmission cannot be confirmed are flagged for the attention of a CXC staff member. The proposal with the most recent date and time is considered as the “final” proposal.

It is possible to correct minor errors in forms after the proposal deadline, especially if the item is critical to the success of the potential observation (e.g., incorrect coordinates). Please inform the CXC (via the HelpDesk, <http://cxc.harvard.edu/helpdesk/>) as soon as possible after the mistake is discovered.

Late changes in the Science Justification are not allowed. However, some typographical or numerical errors can be misleading, and corrections of such can be sent to the CXC in a letter or email of explanation. If appropriate, this letter will be included in material sent to the peer review. Note that a long list of corrections to a careless submission cannot be accepted as this would be considered *de facto* as a late proposal submission.

### ***5.3.4 Color Figures***

The default distribution of proposals to the peer reviewers will be electronic in PDF format. Black and white hardcopies will be provided only at the specific request of individual reviewers. It is therefore no longer necessary to submit multiple hardcopies that include color figures. However, since color figures do not always reproduce well in black and white, if the PI so wishes, 10 color hardcopies may be submitted to the CXC by the proposal deadline for distribution to reviewers who request hardcopies.

# Chapter 6 - Resources for Proposers and Proposal Submission

The CXC has extensive on-line resources for *Chandra* proposers and a suite of software tools for common proposal-related tasks. All proposal-related material can be found at <http://cxc.harvard.edu/proposer/>.

## 6.1 On-line Resources

### 6.1.1 *The Proposers' Observatory Guide (POG)*

The main reference document for *Chandra* operation and instrumentation is the *Chandra* Proposers' Observatory Guide. The POG is available from the CXC website (<http://cxc.harvard.edu/proposer/POG/>). Additional information can be found at the "[Instruments and Calibration](http://cxc.harvard.edu/cal/)" (<http://cxc.harvard.edu/cal/>) link on the CXC web page. A hardcopy version of the POG is available upon request to the [CXC HelpDesk](http://cxc.harvard.edu/helpdesk/) (<http://cxc.harvard.edu/helpdesk/>).

### 6.1.2 *The HelpDesk*

The CXC uses commercial Helpdesk software to track users' requests and problems. Click on "[Log into the CXC HelpDesk](#)", and the HelpDesk login box will appear. Enter a user name (we suggest first and middle initial followed by last name, but any unique string will be okay) and password and press enter/return to log in. Once you have logged in, you can send a query (or "ticket") by clicking on "Open a New Ticket". New users will be asked to enter more information (this only needs to be done once). HelpDesk also allows you to search previous tickets that are not private. More detailed information is given on the interface. Users can also email the CXC HelpDesk: [cxchelp@head.cfa.harvard.edu](mailto:cxchelp@head.cfa.harvard.edu).

In the last few days before and after the proposal deadline, we activate a dedicated email address for problems with proposal submission. This address should be used for proposal submission purposes only and is not active for most of the year. This dedicated email address helps the CDO to deal more efficiently with the very large volume of correspondence we receive around the proposal deadline. Dates for which the address is switched on will be posted on the proposer page at the CXC website. The proposal help email address is: [propchelp@head.cfa.harvard.edu](mailto:propchelp@head.cfa.harvard.edu). Proposal queries submitted to the HelpDesk will always be answered.

### 6.1.3 *Searching the Chandra Archives and Downloading Data*

*ChaSeR* (Search and Retrieval from the *Chandra* Data Archive) allows a user to check what observations have been made, the status of the observations (observed, publicly released, etc.), and to select data products and retrieve them. *ChaSeR* can be downloaded and installed on a user machine from <http://cxc.harvard.edu/cda/chaser.html> or can be easily accessed via a web version (WebChaSeR) at <http://cda.harvard.edu/chaser/>.



The *Chandra* Data Archive Footprint Service provides a visual web interface to all *public Chandra* observations as well as the observational data used for the *Chandra* Source Catalog. The instrumental sky coverage is superimposed on an image from the Digital Sky Survey. This tool also provides access to *Chandra* images and a seamless interface to WebChaSeR for downloading data. The CDA Footprint service is available from: <http://cxc.harvard.edu/cda/footprint/cdview.html>

The Bibliography web interface allows simultaneous searching of the archive and of the published papers related to *Chandra* observations. It is available from <http://cxc.harvard.edu/cgi-gen/cda/bibliography>. ChaSeR also provides links to related publications.

Detailed target lists by cycle and a complete list of approved Large and Very Large Projects can be found at [http://cxc.harvard.edu/target\\_lists/index.html](http://cxc.harvard.edu/target_lists/index.html).

An additional tool of interest is the processing status tool, which provides comprehensive information about the processing of each observation. The processing status tool can be accessed via WebChaser, but it can also be accessed directly from [http://cxc.harvard.edu/soft/op/op\\_pst.html](http://cxc.harvard.edu/soft/op/op_pst.html).

#### ***6.1.4 Instrument Response Functions***

Instrument response functions (RMFs and ARFs) for simulating spectra within *Sherpa* and *XSPEC* can be found on the [proposer page](http://cxc.harvard.edu/proposer/) (<http://cxc.harvard.edu/proposer/>) and the [Calibration Database \(CALDB\) page](http://cxc.harvard.edu/caldb/prop_plan/index.html) ([http://cxc.harvard.edu/caldb/prop\\_plan/index.html](http://cxc.harvard.edu/caldb/prop_plan/index.html)). These responses should be used for proposal preparation only; they should NOT be used for data analysis because they are not accurate for the date of a specific observation.

## **6.2 Proposal Preparation Software**

The CXC provides several [software tools](#) to aid in proposal preparation. All these tools are available from the main CXC proposer page (<http://cxc.harvard.edu/proposer/>).

### ***6.2.1 Precess, Colden, Dates, ObsVis, PProVis, PIMMS, and Effective Area and PSF Viewers***

These tools perform the following functions:

- Precess is an interactive astronomical coordinate conversion program. It allows precession of equatorial coordinates and conversion between equatorial, ecliptic, galactic, and supergalactic coordinates.
- Colden is an interactive program to evaluate the Galactic neutral hydrogen column density at a given direction on the sky. Colden accesses two databases: the Bell survey (Stark et al 1992 ApJS 79, 77) and the Dickey & Lockman 1990 (ARA&A, 28, p.215) compilation of Bell and other surveys for all-sky coverage.
- Dates is an interactive calendar and time conversion tool.
- ObsVis is a tool to aid observation planning, allowing inspection of instrument fields-of-view (FOVs). It will display instrument FOVs on a Digital Sky Survey or user-loaded image, mark the locations of sources from various X-ray catalogs and provides other functionality such as

manipulation of multiple fields-of-view for planning of grids of observations.

- P<sub>Ro</sub>Vis is a web-based tool which allows interactive plotting of observatory roll angle, pitch angle and target visibility for use in checking observation feasibility. This software includes indication of ranges of pitch angle with restricted exposure times and dynamic interaction with the display.
- PIMMS (Portable Interactive Multi-Mission Simulator) was developed at NASA-GSFC by Dr. K. Mukai. [We thank Dr. Mukai for making some changes to the code for *Chandra*.] PIMMS allows the user to convert between source fluxes and count rates for different missions. PIMMS also uses simple spectral models (blackbody, bremsstrahlung, power, Raymond-Smith) to calculate count rates or fluxes.
- Effective Area Viewer is a web-based tool that displays Chandra's on-axis Effective Area as a function of energy for proposal planning and allows comparison with versions from previous cycles.
- PSF Viewer is a web-based tool that displays the PSF ([Point Spread Function](#)).

All of these tools have web interfaces linked into the Proposer pages. Command-line (non-web) versions that have additional features are also available for several tools. For example, command line versions of *Precess*, *Colden*, *Dates* allow for a list of input parameters in a text file. The command-line versions of these tools are distributed with *CIAO* (see [Section 6.2.4](#)). *Chandra* users with *CIAO* installed can run these routines in the same way as all other *CIAO* tools (CLI tool names: prop\_colden, prop\_dates, prop\_precess, and obsvis). Standard *CIAO* helpfiles are available.

### **6.2.2 Software Helpfiles and Proposal Threads**

Helpfiles for proposal-related software and proposal "[Threads](#)" are available from the CXC proposer site (<http://cxc.harvard.edu/proposer/>). Helpfiles are available on-line as HTML files, in PDF format, and as part of the *CIAO* "ahelp" system. Proposal Threads are modeled on *CIAO* threads and give step-by-step examples of how to perform feasibility calculations, fill in the RPS forms, and submit a proposal.

### **6.2.3 MARX**

*MARX* is a suite of programs created by the MIT/CXC group and designed to enable the user to simulate the on-orbit performance of the *Chandra* X-ray Observatory. *MARX* provides a detailed ray-trace simulation of how *Chandra* responds to a variety of astrophysical sources and can generate standard FITS events files and images as output. It contains detailed models for the HRMA mirror system as well as the HETG and LETG gratings and all focal plane detectors. More detailed information, including the source code and documentation, is available from the MIT [MARX Web Page](#) (<http://space.mit.edu/CXC/MARX/>). *MARX* should be used to demonstrate the feasibility of challenging observations, for example resolving multiple or overlapping sources with unique spectra, HETG observations of extremely bright objects, or grating observations of extended sources.

## **6.2.4 CIAO**

The *Chandra* Interactive Analysis of Observations (CIAO) package is an extensive suite of tools designed for *Chandra* data reduction. Although not designed specifically for proposal preparation, CIAO can be used to analyze simulated *Chandra* data (e.g. from MARX) and create simulated spectra. Full details can be found at <http://cxc.harvard.edu/ciao/>. Sherpa is the CIAO interactive spatial/spectral fitting package. It can also be used for simulations of Chandra spectra.

## **6.2.5 XSPEC**

*XSPEC* is the spectral analysis portion of the Xanadu X-ray data analysis package, developed and maintained at NASA-GSFC. *XSPEC* can be obtained from: <http://heasarc.gsfc.nasa.gov/docs/xanadu/xspec/index.html>.

The spectral simulation portion of *XSPEC* can also be run on-line. *WEBSPEC* can be accessed from: <http://heasarc.gsfc.nasa.gov/webspec/webspec.html>.

# Chapter 7 - Stage 1: Scientific and Technical Proposal Evaluation, Selection and Implementation

## 7.1 Evaluation of Research Objectives

The criteria used in the Stage 1 evaluation are listed below in order of importance.

- 1) The overall scientific merit of the investigation and its relevance to the *Chandra* science program and capabilities. This includes addressing the scientific objectives of the *Chandra* mission which are aligned with the NASA strategic plans. For observing proposals, the degree to which the objectives have been satisfied by one or more previous observations will be evaluated. ([Section 3.5](#) gives instructions for obtaining information on completed and planned observations).
- 2) For observing proposals, the suitability of using the *Chandra* X-ray Observatory and data products for the proposed investigation and the need for new X-ray data beyond any already obtained; the feasibility of accomplishing the objectives of the investigation within the time, telemetry, and scheduling constraints; and the feasibility of the analysis techniques. For programs incurring a large expenditure of observatory time relative to exposure time (multiple short exposure or grid pointings), the total observatory time required will be considered. For X-ray Visionary Projects, the legacy value and the project's ability to address key, high-impact questions in current astrophysics will also be considered. For Archival Research and Theory/Modeling proposals, the relevance to the *Chandra* scientific program will be considered. For Archival Research proposals, the value of any additional analysis beyond the original use of the data will also be considered.
- 3) The competence and relevant experience of the Principal Investigator and any collaborators as an indication of their ability to carry the investigation to a successful conclusion. Past performance in scientific research, as evidenced by the timely publication of refereed scientific papers including those on previous *Chandra* programs, will be considered.
- 4) To aid in the Stage 2 cost review, the data analysis and interpretation effort required to achieve the proposed science goals will also be evaluated by the Stage 1 peer review panels.

The peer review will be conducted using a number of panels, each responsible for proposals directed at particular scientific topics. Large Projects will be initially evaluated by the appropriate topical panel, but the final recommendation for award of time will be made by the Big Project Panel. X-ray Visionary Projects will be evaluated by the XVP panel in addition to the topical panels, but the final recommendation for award of time will be made by the Big Project Panel. The final evaluation stages of both Large and X-ray Visionary Project proposals demand that reviewers efficiently consider a significant number of proposals that may be outside their area of expertise. LP and XVP proposers are advised to bear this in mind when preparing their proposals.

### ***7.1.1 Observing Efficiency/Slew Tax***

An observing efficiency including slew and settle time is used to determine the amount of time actually necessary to accomplish a proposal. Thus, in addition to the time on target, a "slew tax" is added when accounting the observing time at the peer review. Due to orbital or thermal constraints, longer exposures are candidates for segmenting into multiple observations by Mission Planning. The slew tax is 1.5 ksec for each target that requires less than 90 ksec of observing time. Observations requiring more than 90 ksec will be charged an additional 1.5 ksec tax per 90 ksec or fraction thereof. Thus, a proposal requesting a 210 ksec observation of one target is charged a slew tax of 4.5 ksec for the purpose of the peer review. For a large set of short exposures of different targets, this slew tax can substantially increase the "cost" in terms of time needed for a project. The RPS provides a tool which, given the entered target parameters, generates an estimate of the constraint class of each target and the "slew tax" (pointing overhead) which will be added to the observing time at the peer review.

### ***7.1.2 Grid Surveys and Slew Tax***

- For a series of contiguous or nearly contiguous pointings (maneuver from one observation to the next of less than or equal to 1 degree), with no change in instrument set-up or observing mode, the slew tax for the first observation will remain 1.5 ksec, while for observations 2 through n (where "n" is explained below) slew tax will be assessed at 0.5 ksec.
- A grid of pointings will be assembled into one or more groups comprised of a set of closely spaced pointings with a maximum exposure time per group of 90 ksec, including the slew tax.
- The value of "n" is the number of observations that can be done including the slew tax without exceeding 90 ksec. Proposals requesting more than 90 ksec (including slew tax) will be assessed slew tax in several groups, the first observation of each group will be charged the 1.5 ksec slew tax.
- Proposers should set the RPS flag "*Is this observation part of a grid survey?*" to be "Y" (yes).

Please note that observations taken as part of a grid survey are not constrained and therefore are not guaranteed to have the same (or similar) roll angle. Proposers must also include a group or roll constraint if they wish to ensure that the individual observations have roll angles within particular tolerances. The number of constrained observations, should a grid be constrained, will be determined similarly to the slew tax calculation. Grid observations will be grouped into sets with total exposure time, including slew tax, of no more than 90 ksec and each group will be charged as 1 constrained observation, classified according to the scheme in [Section 5.2.8](#). Please refer to the thread Slew Tax and Constrained Observations for Grids. See <http://cxc.harvard.edu/proposer/threads/slewtax> for examples.

## 7.2 Selection

The final selection of proposals is made by the Selecting Official (the CXC Director), who notifies the PIs and the *Chandra* Project Office at MSFC of the results. The list of selected targets is posted on the CXC website ([http://cxc.harvard.edu/target\\_lists/](http://cxc.harvard.edu/target_lists/)) and entered into the Observation Catalog.

Although some investigations may begin immediately (Archival Research, Theory/Modeling, and Joint Observing Projects), no funding will be provided until the Stage 2 Cost review is complete and the final award has been issued. As a general rule, PIs of proposals requiring new observations will not be funded until the first observation has been successfully performed and the data provided to them.

## 7.3 Implementation

Once an observing program is approved, the targets are transferred to the *Chandra* Observation Catalog (OBSCAT) and assigned a unique observation identifier (OBSID) for scheduling. Below we describe the process of observation parameter confirmation and scheduling the observations (see the [Proposers' Observatory Guide](#) for more information). The PI is considered the primary point of contact for all matters pertaining to the science program. If a separate "Observer" is identified, they will be the primary point of contact for observation planning. The PI (and Observer if there is one) will be notified when program data are available for download.

Once the approved observations are in the OBSCAT, the CDO contacts all PIs and observers to confirm those parameters most critical for scheduling the observations. This process, known as the Initial Proposal Parameters Signoff (IPPS), includes confirmation of time constraints and preferences, target coordinates and instrument selection. Once these responses have been received and any updates completed, the *Chandra* Mission Planning team begin their generation of the Long-term Schedule (LTS), which covers the full observing cycle (see below). A second, detailed review of observation parameters is initiated by the Uplink Support Interface team (USINT) at the CXC and carried out by the observers. USINT contacts each observer to request a detailed check of ALL observing parameters. An observation can only be released for final scheduling in the Short-term Schedule (STS, see below) once this second check has been completed.

The *Chandra* Mission Planning and Operations teams at the CXC produce a mission timeline using a two-part process. First, for the entire period covered by this *CfP*, a long-term schedule (LTS) is generated with a precision of about a week. The LTS is published on the CXC web page: (<http://cxc.harvard.edu/longsched.html>). Updated LTSs are generated regularly, as needed, in response to TOOs and other timeline changes. Targets are scheduled in the LTS to achieve maximum efficiency in the observing program within the operational constraints of *Chandra*. Unconstrained observations are scheduled to produce the highest observing efficiency. Unconstrained targets with relatively short exposure times, totaling a substantial fraction of the observing time, are held in a pool from which they can be selected for use in short-term scheduling. Second, about three weeks prior to the anticipated execution of the observations, a short-term schedule (STS) is produced. The STS is used for the automatic generation of the required spacecraft commands. The STS, including slew times, pointing direction, guide stars,

roll angles, etc., is reviewed and finalized approximately one week in advance of execution, at which time it is published on the CXC web page: ([http://cxc.harvard.edu/target\\_lists/stscheds/](http://cxc.harvard.edu/target_lists/stscheds/)).

The CXC will make its best effort to schedule all approved observations. All approved non-TOO observations that are not scheduled, or that were scheduled but not successfully executed, will automatically be rescheduled within the current observing cycle or carried over into the next observing cycle. However, approved TOO observations that are not triggered will not be carried into the next cycle; they must be proposed for again. The official changeover date between cycles will be published on the [CXC website](#).

If observations have to be cut short because of unforeseen circumstances, the following criteria will determine whether the target will be scheduled for additional observing time. For observations of 5 ksec or greater, the observation will be considered complete if 90% or more of the approved exposure time was obtained. For observations less than 5 ksec, only one best-effort pointing will normally be attempted. (see [Section 3.2.3](#) for more details).

For information on proprietary data rights, see [Section 3.2.1.2](#). A PI may waive or shorten the proprietary period, and this is customary for observations intended to benefit the general community. The CXC will ensure that the proprietary rights of other PIs are not violated by such an early data release.

### ***7.3.1 Possible Early Observation of Targets***

Efficient and safe operation of the Observatory requires substantial flexibility in target selection. A result of this requirement near the end of a cycle may be the need to advance some observations selected by peer review before the normal beginning of the next cycle. In such cases the relevant observers will be contacted by the CXC to request an early detailed check of observing parameters, possibly at short notice.

# Chapter 8 - Stage 2: Cost Proposal Submission, Evaluation and Allocation

## 8.1 Overview

Subject to the availability of funds from NASA, funding will be provided to support eligible investigators of approved proposals. It is anticipated that approximately 200 awards will be issued for an estimated total amount of \$10M. In the case of Co-Is seeking funding, awards will be issued directly to the Co-I's institution in order to avoid double charging of institutional overheads.

Any investigator whose proposal receives sufficiently high evaluations during the Stage 1 review and that requires financial support is invited to submit a Stage 2 Cost Proposal. See [Section 8.3](#) for the eligibility requirements for funding.

Based on Stage 1 ratings, the Selecting Official (the CXC Director) will invite eligible investigators whose investigations were recommended by the peer review to submit a Stage 2 Cost Proposal. Proposers not recommended to proceed to Stage 2 are not prohibited from preparing a Stage 2 proposal, but they should be aware that their proposed investigation is unlikely to be selected.

## 8.2 Content and Submission of Cost Proposals

Each PI and Co-I institution shall submit their Stage 2 Cost Proposals both electronically, using the [Remote Proposal System \(RPS\)](#), and via hard copy.

### 1) Electronic Submission:

The Remote Proposal Submission (RPS) system is found at [http://cxc.harvard.edu/cgi-bin/RPS/Chandra\\_Budget/RPS.pl](http://cxc.harvard.edu/cgi-bin/RPS/Chandra_Budget/RPS.pl). This must be used for electronic submission of the Cost Proposal Cover Page and Budget Forms. The Budget Justification and List of Current or Currently Proposed Research Support, shall also be submitted electronically. [Note: Other required cost proposal documents need only be submitted with the hard copy.] In order to do this, after submitting the Cost Proposal Cover Page and Budget Forms, click on the "Budget Justification" button and attach the Budget Justification and List of Current or Currently Proposed Research Support. After submitting electronically, selecting the PDF button on the RPS will return a PDF file containing the Cover and Budget forms. This can be used, along with the uploaded PDF files, for the hardcopy submission.

Each proposing PI should submit, through their primary institution, a single Stage 2 cost proposal, for each approved project, containing his/her own budget requests and include the budget requests of any Co-Is seeking funding in Section J of the Budget Form. If there are more than three separately funded Co-Is, the total of all Co-I requests should be provided in Section J of the Budget Form and the breakdown for each separately funded Co-I must be provided in the Budget Justification.



Co-Is shall provide the PI with the necessary budget information to be included in Section J of the PI's budget form. Co-Is shall submit their cost proposal through their primary institution following the same procedures as the PI, but indicating they are a Co-I in the RPS form.

## 2) Hard Copy Submission:

The hard copy of your cost proposal shall be generated by following the instructions for the RPS. Note that Co-Is will submit the hard copy of their cost proposal directly to the SAO Subawards Section (Grants Management). Hard copies shall be signed by the institution's authorized signatory and include all cost proposal documents.

Hardcopy submission of the Stage 2 Cost Proposal to the SAO Subawards Section may be done using one of two methods.

- The signed cost proposal must be scanned into an Adobe PDF file. The signed and scanned Adobe PDF copies of the cost proposal shall be submitted by e-mail to: [chandracp@cfa.harvard.edu](mailto:chandracp@cfa.harvard.edu). **For PIs, the e-mail subject line must state “Chandra Cost Proposal #XXXXXXXX PI”. (Replace Xs with assigned Chandra Science Proposal number.) If the submission is for a Co-I, the e-mail subject line must state “Chandra Cost Proposal #XXXXXXXX Co-I”. (Replace Xs with assigned Chandra Science Proposal number.)** Do not use any other e-mail address for submission of the cost proposal.
- Cost proposals may also be submitted using a courier service or the U.S. Mail. In this case each proposing institution shall submit an original and 1 copy of the Stage 2 cost proposal information as described above. All original cost proposals must have the original signature of the institution's authorized signatory.

Hard copy cost proposals using U.S. Mail or courier service shall be sent to:

Mailing Address:	Courier Delivery (e.g. FedEx):
Subawards Section	Subawards Section
Smithsonian Astrophysical	Smithsonian Astrophysical
Observatory	Observatory
60 Garden Street, Mail Stop 22	100 Acorn Park Drive, Mail Stop 22
Cambridge, MA 02138-1516	Cambridge, MA 02140-2302
	617-495-7421

Detailed instructions for preparation of the Cover Page can be found at: [http://www.cfa.harvard.edu/spp/sp/forms/CP\\_Cover\\_Instruct.html](http://www.cfa.harvard.edu/spp/sp/forms/CP_Cover_Instruct.html)

Detailed instructions for preparation of the Budget Form and PDF files of the Budget Justification can be found at: [http://www.cfa.harvard.edu/spp/sp/forms/Budget\\_Instruct.html](http://www.cfa.harvard.edu/spp/sp/forms/Budget_Instruct.html)

Note that changes to the science proposal will not be allowed or considered in Stage 2.

For Joint Proposals, the *Chandra* X-ray Center, the Space Telescope Science Institute (<http://www.stsci.edu/institute/>), the XMM-Newton Guest Observer Facility (<http://heasarc.gsfc.nasa.gov/docs/xmm/xmmgof.html>) and the Spitzer Science Center (<http://ssc.spitzer.caltech.edu/>) will separately fund the observations performed with the respective satellite depending on the availability of funds. The PI will need to submit both their observation specifications and a cost proposal to the relevant organization, following their schedule and using their forms. Cost proposals for all approved *Chandra* programs, including those awarded time as part of the HST, XMM-Newton, or Spitzer proposal process will be due in accordance with the deadline listed in Table 1.1 XMM-Newton-approved projects may be requested to submit their *Chandra* cost proposals early due to the earlier allocation dates.

Cost proposals shall include:

- 1) The *Chandra* Cost Proposal Cover Page Form with institutional signature. Note that the Institution Administrative Contact information and Investigator information must be complete. This includes the email addresses for both the Administrative Contact and the Investigator. Group email addresses, e.g., [sponsoredprojects@institution.edu](mailto:sponsoredprojects@institution.edu), are not acceptable.
- 2) A budget using the *Chandra* Cost Proposal Budget Form (see the item “Cost Proposal and Funding Information” at <http://cxc.harvard.edu/>). The PI’s Budget Form must include the required Co-I information and the totals of the Co-I’s budgets as line items in Section J of the Budget Form.
- 3) A succinct one or two page Budget Justification. The Budget Justification should include a breakdown of the work assignments for all funded investigators taking part in the investigation. The Budget Justification must describe the basis of estimate and rationale for each proposed component of cost, including direct labor, subcontracts/subawards, consultants, travel, other direct costs, and facilities and equipment. The Proposer must provide adequate budget detail to support estimates. The Proposer must state the source of cost estimates (e.g., based on quote, on previous purchases for same or similar item(s), cost data obtained from internet research, etc.). The Proposer must describe in detail the purpose of any proposed travel in relation to the grant and provide the basis of estimate, including information or assumptions on destination, number of travelers, number of days, conference fees, air fare, lodging, meals and incidentals, etc. If destinations are not known, the Proposer should, for estimating purposes, make reasonable assumptions about the potential destination and use historical cost data based on previous trips taken or conferences attended. Funding for observing proposals is normally issued after the data from the first successful observation is released to the PI. For Target of Opportunity proposals, the budget justification must show the breakdown of funding for each approved target. If there is more than one approved target, the award may be incrementally funded as each target is successfully observed and the data is released to the PI.
- 4) A written certification for any workstation, personal computer or any general-purpose equipment costing \$5,000 or more. The certification form can be found at [http://www.cfa.harvard.edu/spp/sp/forms/GO\\_forms.html](http://www.cfa.harvard.edu/spp/sp/forms/GO_forms.html)

- 5) A List of Current and Pending Support Information must be provided for all ongoing and pending projects and proposals that involve the proposing PI and any Co-Is who are requesting funding. This information must be provided for each such individual for each of the following two categories of awards that may exist at the time of the proposal submission deadline:
- Current Awards (for any of the period that overlaps with the submitted proposal), and
  - Pending Awards (including the proposal being submitted to CXC).
- For each of these two categories, using a format of the proposers choosing, the following information is required: name of the investigator, project title, sponsoring agency, period-of-performance, amount of award or total proposed budget, and commitment by PI (or Co-I) in terms of a fraction of a full-time equivalent (FTE) work year. If the PI and each funded Co-I have no Current or Pending Support, then a statement to that effect is required.
- 6) A copy of the applicant institution's federally-approved Indirect Cost (IDC) Rate Agreement (required for PI institution and any Co-I institutions).
- 7) Certifications and Assurances Required by U.S. Code: The signature of the Institutional Representative on the Budget Form verifies that the proposing organization complies with the required certifications and assurances (see Appendix A for full text); therefore, they do not need to be independently signed and submitted.

The Budget Form and Justification must contain estimated costs for the following potential expenditures:

- **SALARIES AND WAGES:** List personnel, individual person-months, and total cost for each individual.
- **OTHER DIRECT LABOR:** Costs and/or stipends for Individuals providing research assistance, such as graduate students, post-doctoral research associates or science data aides.
- **FRINGE BENEFITS**
- **EQUIPMENT:** Provide estimated costs for workstations, personal computers and other equipment. List items separately. Explain the need for items costing more than \$5,000. Describe the basis for estimated cost. General-purpose equipment (i.e., workstations, personal computers and/or commercial software) is not allowable as a direct cost unless specifically approved by the SAO Subawards Section Contracting Officer. Any general-purpose equipment purchase requested to be made as a direct charge under this award must include the equipment description, an explanation of how it will be used in the conduct of the research proposed, and a written certification that the equipment will be used exclusively for the proposed research activities and not for general business or administrative purposes. The need for general-purpose items that typically can be used for research and non-research purposes should be explained. The certification form can be found at [http://www.cfa.harvard.edu/spp/sp/forms/GO\\_forms.html](http://www.cfa.harvard.edu/spp/sp/forms/GO_forms.html) (See below for additional information on workstation requests.)
- **TRAVEL:** Describe the purpose of the proposed travel, specifically who will be traveling, the departure location and destination, estimated airfare, lodging, meals and incidentals etc., length of trip, the relationship of the travel to the grant, and the basis of cost estimate. [Note: For Nonprofit Nonacademic Organizations, foreign travel destinations listed on the proposal must be specific. If additional foreign travel is added or if the destination changes after the proposal has been approved, prior approval from the SAO Grant Subawards Section is required by the Code of Federal Regulations, 2 CFR Part

230.51.e, Foreign Travel (OMB Circular A-122).]

- **SUPPLIES:** Provide general categories of needed supplies and the estimated cost.
- **PUBLICATION COSTS:** Provide number of papers, total pages, and total cost.
- **COMPUTER SERVICES:** Provide type of service and total cost.
- **OTHER DIRECT COSTS:** Enter the total of direct costs not covered above. Provide an itemized list explaining the need for each item and the basis for the estimate.
- **INDIRECT COSTS:** Provide the name of the cognizant Federal agency, date of negotiation agreement, rate(s), base, and total. Attach a copy of the rate agreement per [Section 8.2, Item 6](#) above.
- **SUBTOTAL:** Enter the sum of items above.
- **CO-I AWARDS:** Provide name, primary institution, and total dollar amount for each Co-I requesting funds.
- **PROJECT TOTAL:** Total cost of support being requested for the project.

The allowability of the above costs is dependent upon conformance with the Terms and Conditions for CXC Observing Program Awards (see the Terms and Conditions currently being used for Cycle 14 <http://www.cfa.harvard.edu/spp/sp/policies/grants.html>; the Terms and Conditions for Cycle 15 will be posted at a later date).

While proposals from investigators working at for-profit organizations are eligible for funding, profit is unallowable. Management fees of up to 3% may be permitted on a case-by-case basis. Proposals involving NASA employees as either a PI or as a Co-I should use the full cost accounting method authorized at their Centers at the time proposals are due for the entire proposed period-of-performance.

To assure compatibility with NASA's data systems, requested workstation/computer systems must be capable of establishing one of the existing portable data analysis environments supported by the CXC. Information on the minimum computer system and platforms on which the software is available can be found on the CXC web page (<http://cxc.harvard.edu/>) (click on "Data Analysis" and then "Download") or by direct link at <http://cxc.harvard.edu/ciao>.

Requests for workstations/computers must be justified in the Budget Justification. Workstations/computers are not allowable as a direct cost unless specifically justified and approved by the SAO Subawards Contracting Officer. Any equipment purchase requested to be made as a direct charge under this award must include the equipment description, how it will be used in the conduct of the basic research proposed, why it cannot be purchased with indirect funds, and a statement certifying that the equipment will be used exclusively for research and not for general business or administrative purposes ([http://www.cfa.harvard.edu/spp/sp/forms/GO\\_forms.html](http://www.cfa.harvard.edu/spp/sp/forms/GO_forms.html)). Regardless of whether the request is through direct or indirect costs, the justification must be provided and should briefly describe the computing capabilities that exist or are expected to exist at the proposers primary institution during the period in which the proposed research would be performed and then explain the impact to the proposed work if the request for the additional workstation is declined. The budget request for workstations must be clearly stated on the Budget Form as a line item.

Further information and instructions can be found on the SAO website: <http://www.cfa.harvard.edu/spp/sp/policies/CPSR.html>.

## 8.3 Eligibility for Grant Funds

Proposals for funding will be accepted from institutions/organizations described in [Section 3.1](#). Funding for these programs may be requested by scientists who are:

- U.S. Citizens residing in the United States;
- U.S. Citizens residing abroad if salary/stipend and support are being paid primarily by a U.S. institution; and
- U.S. permanent residents and foreign national scientists working in the United States if salary/stipend and support are being paid primarily by U.S. institutions.

(Note: U.S. is defined as the 50 states and the District of Columbia.) These definitions include U.S. Co-Is on observing projects with non-U.S. PIs.

There are restrictions regarding bilateral activity between the Peoples Republic of China and the United States regardless of whether or not funding is requested. Proposers should read [NASA Grant Circular GIC 12-01](#) prior to proposing to determine if the proposer meets eligibility requirements. See [Section A.4](#) for details.

Proposals by non-U.S. PIs that have one or more U.S. Co-Is who require funding *must* designate one of the U.S. Co-Is as the “Administrative PI”. This person will have general oversight and responsibility for the budget submissions by the U.S. Co-Is in Stage 2 and should select 'Cost Principal Investigator' on the RPS form.

When a U.S. investigator obtains grant funds for a project that involves non-U.S. investigators, no funding may flow through the U.S. investigator to the non-U.S. investigators. This prohibition includes funding for travel.

### ***8.3.1 Switching Institutions***

Investigators who are switching institutions during a grant award period and whose current institution agrees to a transfer should contact the CXC and/or the SAO Subawards Sections as soon as possible to arrange for their award to be transferred to the new institution with the minimum of delay. Please see Section XIX, “Transferring the Award” of the SAO terms and Conditions for details of this process.

Investigators for whom primary affiliation changes from a US to a non-US institution cannot retain their NASA funding. However if, as a result of the PI’s move, other US-based Co-Is of the original proposal have taken on a larger share of the work, it may be possible for that funding to be officially transferred to the relevant US-based Co-I. The PI should contact the CXC Helpdesk to discuss this matter.

Investigators who move from a foreign institution to a US-based institution within a year of the original science proposal submission may be eligible for funding and should contact the CXC helpdesk for more information.

## 8.4 Evaluation of Budgets

The PIs of approved science proposals with US-based PIs and/or Co-Is will receive written notification of the allocated budget amount. The allocated budget is based on the amount of approved *Chandra* time, the number of targets approved and an evaluation of the level of effort required to complete the data analysis and interpretation phase of the project, the funding eligibility of the Science PI and, in the case of joint proposals, whether or not *Chandra* is the primary facility. For a project with a science PI employed primarily at a non-US institution, a PI with multiple appointments where a non-US institution funds >50% of his/her time, or for a joint proposal where *Chandra* is not the primary facility, the budget allocation will be reduced. In the case of an Archival Research or Theory/Modeling proposal, the allocation is based upon the budget proposed by the PI, the scientific/technical rating and the availability of funds. The relative value of any highly rated proposals for Archival or Theory/Modeling Research will be considered against the perceived value of proposals for new observations, taking into account the critical resources of available funds and the amount of *Chandra* observing time. The Stage 2 proposals will be reviewed for: the total cost of the investigation, including cost realism and reasonableness in the context of the anticipated level of effort required to carry out the investigation successfully, and the total proposed cost in relation to available funds. Awards will be made at the allocated budget amount or the amount requested in the cost proposal, whichever is less. Cost proposals exceeding the allocated budget amount will not be considered and the award will be made at the allocated budget amount.

## 8.5 Selection

After receipt and review of Stage 2 proposals, selection will be made based on the Stage 1 evaluation of scientific merit and technical feasibility and the Stage 2 evaluation of proposed costs. Based on the totality of these evaluations, a recommended set of cost proposals will be delivered to the Selecting Official for final selection and award. Given the submission of proposals of sufficient merit, it is anticipated that approximately 200 investigations, including those for Archival Research and Theory/Modeling Research, will be recommended for selection. The CXC reserves the right to offer selections at a reduced level of cost and/or observing time from that proposed in order to fit within the program constraints. Proposers to this program should further understand that the lack of either monetary or observing time resources are sufficient grounds for not selecting a proposal even though it may have been judged to be of high intrinsic scientific merit.

## 8.6 Grant Award

The Smithsonian Astrophysical Observatory (SAO) is under contract to NASA to operate the CXC, and therefore CXC grants will be issued and administered by the SAO Subawards Section, with the exception of awards issued to NASA Centers (including JPL) and Other Federal Agencies. For the latter, the NASA Marshall Space Flight Center will be responsible for the transfer of funds as well as the administration of these awards.

It is important to note that until an award is made, there is no guarantee that the recommended financial resources will be available and that awards are made to the proposing institution and not directly to the PI.

Those proposers selected for award by the CXC will be notified of the allocated budget amount for their investigation. Revised budgets will not be required to be submitted when the amount approved for funding is within twenty percent (20%) of the proposed amount. However, if there are separately funded Co-Is on the project, the PI must provide the Subawards Section, in writing, the revised information on how funds are to be allocated. In cases where the reallocation of funds will result in a difference exceeding 20% of the original budget submitted by the PI or any individual Co-I, a revised budget will be required to be submitted by that investigator. Awards to winning proposers will be implemented through the issuance of grants. No awards will be funded by the contract mechanism.

Following selection and notification, the CXC and the SAO Sub-awards Section will communicate formally only with the cost-PI for matters concerning grant awards.

Grants awarded for programs that do not include new *Chandra* observations (e.g., Archival Research and Theory/Modeling projects) will be issued at the beginning of the Cycle, defined as 1 January of the new Cycle. Those grantees that include new *Chandra* observations, including joint projects, will receive their awards when the data from their first observations have been successfully processed and delivered to the PI, or the start of the Cycle, whichever is later. Target of Opportunity awards with more than one approved target may be incrementally funded as each target is successfully observed and the data is released to the PI. Depending on the availability of funds, the award should arrive approximately one-month after the first processed data has been distributed to the PI. It should be noted, however, that, in general, the initial release of awards for a cycle will not take place until January (but see [Section 8.7](#) below).

In unusual cases where the PI requires work to be accomplished prior to the observation, up to 25% of the approved funds can be awarded before the first observation has been taken. If preparatory funds are required, the PI shall submit a written justification to the SAO Subawards Section after the investigator's institution has received notification that it will be receiving funding. Requests for preparatory funding should not be included in the cost proposal.

We will issue awards with a two-year period-of-performance when requested in the submitted budget. Multi-Cycle Observing Proposals will be issued with a three-year period-of-performance when requested in the submitted budget. Please note that the Code of Federal Regulations, 2 CFR Part 215 Section 215.51, Monitoring and Reporting Program Performance, requires that a Program Performance Report be submitted at least annually for all multi-year awards. This Annual Report must be submitted thirty (30) days prior to the end of each twelve-month period as stated in the Report Filing Guide of the Award documents. The eligibility of individual Investigators to receive future multi-year awards will depend upon recipients' compliance with the Annual Report requirement.

All grants will be administered in accordance with the Terms and Conditions for CXC Observing Program Awards posted at [http://www.cfa.harvard.edu/spp/sp/policies/GO\\_TermsConds.html](http://www.cfa.harvard.edu/spp/sp/policies/GO_TermsConds.html) (see the Terms and Conditions for Cycle14; the Terms and Conditions for Cycle 15 will be posted at a later date).

## **8.7 Processing of Cost Proposals**

Observations of some new cycle targets may begin in July-August of the previous cycle rather than the typical November timeframe expected for the start of the new cycle's observations. This has resulted in an offset between the availability of new data and the issuing of awards to fund the work on that data for a subset of proposals. Our processing procedures have been modified in order to facilitate funding of the early-observation proposals as soon as possible after the observations are taken, subject to the availability of funds to cover those awards. PIs of science proposals for which observations take place before December 1st may request early award of their funding by contacting the SAO Sub-awards Section, once their cost proposal has been fully and successfully submitted.

## **8.8 Contact Information for Cost Proposals**

**QUESTIONS CONCERNING THE STAGE 2 COST PROPOSALS MAY BE ADDRESSED TO:**

Subawards Section  
Smithsonian Astrophysical Observatory  
60 Garden Street, Mail Stop 22  
Cambridge, MA 02138-1516  
Email: [grants@cfa.harvard.edu](mailto:grants@cfa.harvard.edu)  
Telephone: 617-496-7705  
Fax: 617-495-4224

Technical questions regarding the Remote Proposal System (RPS) should be directed to the CXC HelpDesk at <http://cxc.harvard.edu/helpdesk/> or by email to [cxchelp@head.cfa.harvard.edu](mailto:cxchelp@head.cfa.harvard.edu).



# **Appendix A - Certifications and Assurances**

The following pages contain copies of the two Certifications and one Assurance currently required by U.S. Code from every institution, except from U.S. Federal institutions, submitting a Stage 2 proposal. Note that these individual Certifications and Assurance are included for reference and should not be signed and returned; language is included on the Web-based Cover Page that confirms that these Certification and Assurance requirements are met once the printed copy of the Cover page is signed by the Authorizing Institutional Representative and submitted with the Stage 2 proposal.

## **A.1 Certification Regarding Debarment, Suspension, and Other Responsibility Matters**

This certification is required by regulations for compliance with 2 CFR 180 implementing Executive Orders 12549 and 12689, “Debarment and Suspension”.

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

- a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- d) Have not within the three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

## **A.2 Certification Regarding Lobbying (Applicable to Awards Exceeding \$100,000)**

No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form- LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

The undersigned shall require that the language of this certification be included in the award documents for all sub awards at all tiers (including subcontracts, sub grants, and contracts under grants, loans, and cooperative agreements) and that all sub recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000 for each such failure.

### **A.3 Assurance of Compliance with the NASA Regulations Pursuant to Nondiscrimination in Federally Assisted Programs**

The (institution, corporation, firm, or other organization on whose behalf this assurance is signed, hereinafter called "Applicant") hereby agrees that it will comply with Title VI of the Civil Rights Act of 1964 (P. L. 88-352), Title IX of the Education Amendments of 1972 (20 U.S.C. 1680 et seq.), Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), and the Age Discrimination Act of 1975 (42 U.S.C. 16101 et seq.), and all requirements imposed by or pursuant to the Regulation of the National Aeronautics and Space Administration (14 CFR Part 1250) (hereinafter called "NASA") issued pursuant to these laws, to the end that in accordance with these laws and regulations, no person in the United States shall, on the basis of race, color, national origin, sex, handicapped condition, or age be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives federal financial assistance from NASA; and hereby gives assurance that it will immediately take any measure necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of federal financial assistance extended to the Applicant by NASA, this assurance shall obligate the Applicant, or in the case of any transfer of which the federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the federal financial assistance is extended to it by NASA.

This assurance is given in consideration of and for the purpose of obtaining any and all federal grants, loans, contracts, property, discounts, or other federal financial assistance extended after the date hereof to the Applicant by NASA, including installment payments after such date on account of applications for federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign on behalf of the Applicant.

## **A.4 Assurance of Compliance – China Funding Restriction (Deviation Feb 2012)**

An Assurance of Compliance with The Department of Defense and Full-Year Appropriation Act, Public Law 112-10 Section 1340(a); The Consolidated and Further Continuing Appropriation Act of 2012, Public Law 112-55, Section 539; and future-year appropriations herein after referred to as “the Acts”, whereas:

- 1) NASA is restricted from using funds appropriated in the Acts to enter into or fund any grant or cooperative agreement of any kind to participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level and at all subrecipient levels, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.
- 2) Definition: “China or Chinese-owned Company” means the People’s Republic of China, any company owned by the People’s Republic of China, or any company incorporated under the laws of the People’s Republic of China.
- 3) The restrictions in the Acts do not apply to commercial items of supply needed to perform a grant or cooperative agreement.
- 4) By submission of its proposal, the proposer represents that the proposer is not China or a Chinese-owned company, and that the proposer will not participate, collaborate, or coordinate bilaterally with China or any Chinese-owned company, at the prime recipient level or at any subrecipient level, whether the bilateral involvement is funded or performed under a no-exchange of funds arrangement.

## **A.5 Representation by Prospective Recipient That They Are Not the Association of Community Organizations for Reform Now (ACORN) or a Subsidiary of ACORN**

- 1) In accordance with section 534 of the Consolidated and Further Continuing Appropriations Act of 2012 (Pub. L.112-55), none of the funds made available by the Act may be distributed to the Association of Community Organizations for Reform Now (ACORN) or its subsidiaries.
- 2) The prospective recipient represents, by submission of its proposal, that it is not the Association of Community Organizations for Reform Now (ACORN) or a subsidiary thereof, and that no funds made available under this award will be distributed to ACORN or its subsidiaries.

## **A.6 Representation by Corporations Regarding an Unpaid Delinquent Tax Liability or A Felony Conviction Under any Federal Law**

- 1) In accordance with sections 544 and 543 of the Consolidated and Further Continuing Appropriations Act of 2012 (Pub. L.112-55), none of the funds made available by that Act may be used to enter into a grant or cooperative agreement with any corporation that –
  - a) Has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability, where the awarding agency is aware of the unpaid tax liability, unless an agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government; or
  - b) Was convicted (or had an officer or agent of such corporation acting on behalf of the corporation convicted) of a felony criminal violation under any Federal law within the preceding 24 months, where the awarding agency is aware of the conviction, unless an agency has considered suspension or debarment of the corporation and made a determination that this action is not necessary to protect the interests of the Government.
  
- 2) The prospective recipient represents that –
  - a) It is not a corporation that has had any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability; and
  - b) It is not a corporation that was convicted, or had an officer or agent acting on behalf of the corporation convicted, of a felony criminal violation under a Federal law within the preceding 24 months.