

# SWOT ST CALL SUBMISSION GUIDELINES

May 21<sup>st</sup>, 2019

This document aims at giving guidelines for proposal preparation, in response to the SWOT ST 2019 call. Detailed scientific objectives of the call can be found in the Hydrology, Ocean and Synergetic attached documents.

Please note that:

- French teams seeking TOSCA financial support should in addition use the TOSCA “APR 2019” excel form to indicate requested funding [http://www.aviso.altimetry.fr/fileadmin/documents/user\\_corner/SDT/Tosca\\_SWOT2016\\_excel\\_a\\_completer.doc.xls](http://www.aviso.altimetry.fr/fileadmin/documents/user_corner/SDT/Tosca_SWOT2016_excel_a_completer.doc.xls) . The deadline is however extended to October 30<sup>th</sup>, 2019.
- Proposals from entities located outside the U.S. and France, (hereafter termed foreign entities) in response to this announcement, are encouraged. Other international team may submit proposals with no funding request, which would be jointly evaluated by CNES and NASA. Proposal should be submitted by e-mail before October 30<sup>th</sup>, 2019 at the following addresses:
  - [surfac@cnes.fr](mailto:surfac@cnes.fr) for Hydrology proposals (Program manager: Philippe Maisongrande)
  - [oceano@cnes.fr](mailto:oceano@cnes.fr) for Oceanography proposals (Program manager: Annick Sylvestre Baron)For synergetic sciences, the proposals should be submitted to both [surfac@cnes.fr](mailto:surfac@cnes.fr) and [oceano@cnes.fr](mailto:oceano@cnes.fr)

The proposals may be written in French or English, but a full copy in English shall be made available at the time of submission.

The proposal format outlined below is merely a guide for the prospective proponent. Strict adherence to most of these guidelines is not absolutely necessary. However, page limits will be strictly enforced and proposals should provide information related to all items described below and as otherwise specified in this announcement.

## Proposal format guidelines

### 1. COVER LETTER

A letter or cover page should be forwarded with the proposal (see Appendix). It should be signed by the proponent and an official of the proponent's organization who is authorized to commit the organization to the contents and implementation of the proposal.

### 2. TABLE OF CONTENTS

The proposal should contain a table of contents.

### 3. IDENTIFYING INFORMATION

The proposal should contain a short descriptive title for the investigation, the names of all investigators, the name of the organization or institution, the full name of the proposed principal investigator, his address with postal code, his telephone and fax numbers and E-mail and/or telex number.

### 4. INVESTIGATION AND TECHNICAL PLAN

The investigation and experimental plan should not exceed 15 to 20 single-spaced pages or printed text, including illustrations, tables, references, bibliographies and biographical information. Information concerning the education, training and relevant experience of the investigators involved in the proposed study should be provided on separate sheets attached to the technical plan. Biographical information of this nature should be limited to two pages or less for each investigator who will play a substantial role in the investigation. Proponents who wish to provide evidence of their experience and competence in particular disciplinary fields are encouraged to quote relevant publications in general scientific literature of which they are the author. References to earlier publications should be limited to major publications that are directly relevant to the proposed investigation. These citations should be included within the two pages allotted to each investigator for biographical information. Proponents should not include lengthy publication bibliographies or copies of specific publications in their proposal.

Information concerning specialized equipment or facilities that will be used during the course of the investigation should not be presented in the technical plan. Information of this nature should be included in the management and cost plans described in next sections.

It is anticipated that a large number of proposals will be received by CNES in response to this Announcement. To expedite the proposal evaluation process and assure fairness to all proponents, the length restrictions described above will be strictly enforced. If a prospective investigator fails to observe the restrictions on

proposal length cited above, CNES reserves the right to return the proposal to the proponent upon receipt without further review or evaluation.

The investigation and technical plan will generally contain the following:

#### 4.1. SUMMARY:

A simple, concise statement about the investigation, its conduct and the anticipated results. This summary should not exceed one single-spaced, typewritten pages.

#### 4.2. EXPERIMENTAL OBJECTIVES:

Proposals are solicited in the fields indicated in the document provided by the ROSES call. The Proposal should identify and detail its contribution to each of its fields of relevance. For each contribution, a brief description of the technical objectives and their relationship to past research efforts and the current state-of-the-art should be given. The scientific rationale for the proposed investigation should be clearly established through reference to existing scientific literature and other publications. The proposed investigation should be defined in relation to the current state-of-the-art and to the specific objectives of this call. Proponents are encouraged to define explicit hypotheses that will be tested and/or evaluated by the proposed project.

#### 4.3. APPROACH:

The concept of the investigation should be clearly stated and the methods to be employed in data analysis and interpretation should be presented.

#### 4.4. EXPERIMENTAL AND WORK PLAN:

The overall methodology and the sequence of key milestones of the investigation should be presented in some detail.

If the investigation requires accessing data that could be procured through the space agencies involved in SWOT (for example nadir altimetry data from current missions, AirSWOT campaigns data), the proposal should identify the data required and the desirable form in which it should be delivered to the proposed principal. The anticipated use of such data, as well as ancillary types of data or models to be employed in the analysis and interpretation should be clearly identified.

#### 4.5. ANTICIPATED RESULTS:

As far as feasible, the expected outcome of the proposed project should be presented. The significance of these results should be discussed, if possible, in terms of:

- Their contribution towards the objectives of the current call (see ROSES document)
- Their scientific or real-time application interest and implications for future research and development.

#### 4.6. SIGNIFICANCE OF THE INVESTIGATION:

The significance of the proposed study should be defined in terms of its relationship to earlier studies of a similar nature and/or to implications of the anticipated results. The proposal should attempt to characterize the relative degree of innovation associated with the objectives or approach of the proposed study. In addition, the proposal should attempt to characterize the importance of the anticipated results in relation to the current state of knowledge within particular disciplinary fields. The extent to which the anticipated results will influence the definition and conduct of future research and/or operational projects on similar or related topics should be discussed in the proposal.

### 5. MANAGEMENT PLAN AND COST PLAN

Management plans are required from all proponents submitting proposals to CNES.

Cost plans are required by CNES from French proponents and French participants in non-French proposals.

The investigation and technical plans and the management and cost plans will be reviewed independently during the various stages of the proposal evaluation process described in the last section of this appendix.

#### 5.1. MANAGEMENT PLAN

The management plan should summarize the management approach and the facilities and equipment required.

##### **Management**

The management plan sets forth the investigator's approach for efficiently managing the work, the recognition of essential management functions and the effective overall integration of these functions. If ancillary data are needed, the method for obtaining these data should be detailed.

The management plan gives insight into the organization proposed for the work, including the internal operations and lines of authority with delegations, together with internal interfaces and relationships with CNES, major subcontractors and associated investigators. It also mention the link (if any) with other national or

international programs. Likewise, the management plan usually reflects various schedules necessary for the logical and timely pursuit of the work, accompanied by a description of the Principal Investigator's work plan, the amount and responsibilities of the scientific collaborators (if any) and the amount and responsibilities of the technical collaborators (if any).

### ***Facilities and Equipment***

All major facilities and equipment essential to the proposed investigation should be indicated, including those of the investigator's proposed subcontractors and those of CNES and other French Government agencies (or foreign agencies in the case of non-French proposals or joint proposals). Existing equipment should be explicitly differentiated from facilities that will be developed to implement the investigation. Procurement schedules and lead times for the acquisition and installation of new equipment and facilities should also be indicated. Since these investigations will focus on Jason data analysis, the development of new equipment and facilities will be limited only to the support required for these analyses.

## **5.2. V.2. COST PLAN (FRENCH INVESTIGATORS ONLY)**

The cost plan should summarize the total investigation cost by major categories of cost as well as by function.

### ***Cost categories***

- Materials: This should give the total cost of the bill of materials including estimated cost of each major item. Included lead time of critical items.
- Travel: This should give the estimated number of trips, destinations, duration, purpose, number of travelers and anticipated dates.

As a rule, direct labor and overhead costs will not be considered.

The cost born by the PI organization or the organization endorsing the proposal (and signing the cover letter) should be clearly identified as well as those for which support will be requested to other organizations.

### ***Detailed cost schedule***

Separate schedules for each year should be attached to show total cost allocable to the following

- Principal Investigator and scientific collaborators costs.
- Data reduction and analysis including the amount and cost of computer time.
- Cost of auxiliary data (if any) to be acquired by the investigator.
- Cost of field studies.

## **Specifics for foreign participation**

Proposals from foreign entities should not include a cost plan. Foreign proposals or proposals that include foreign participation must be endorsed by the respective government agency or funding/sponsoring institution in the country from which the foreign participant is proposing. Such endorsement should indicate the following points: (1) The proposal merits careful consideration by NASA/CNES; and (2) If the proposal is selected, sufficient funds will be made available by the sponsoring foreign agency to undertake the activity as proposed.

All foreign proposals will undergo the same evaluation and selection process as those originating in U.S. or France. Foreign proposals or proposals that include foreign participation, must follow all other guidelines and requirements described in this announcement. Sponsoring non-U.S. non-French agencies may, in exceptional situations, forward a proposal without endorsement to the above addresses, if review and endorsement are not possible before the announced closing date. In such cases, however, NASA or CNES External Relation office should be advised when a decision on the endorsement is to be expected.

Successful and unsuccessful proposers will be contacted directly by NASA and/or CNES program offices. Copies of these letters will be sent to the sponsoring government agency. Formal arrangements for the participation of the selected investigators in the programme will be made by CNES and NASA External Relation Offices.

## **Appendix: proposal cover sheet**

# NASA/CNES SWOT SDT 2016-2019 Announcement

**Proposal No.** \_\_\_\_\_ (Leave Blank for NASA/CNES Use)

**Title:** \_\_\_\_\_

**Principal Investigator:**

Name: \_\_\_\_\_

Department: \_\_\_\_\_

Institution: \_\_\_\_\_

Street/PO Box: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Country: \_\_\_\_\_ E-mail: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

**Co-Investigators:**

Name	Institution	Telephone
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

**Budget (for French Investigators only):**

1st Year (2020):	2nd Year (2021):	3rd Year (2022):	4th Year (2023):	Total:

**Authorizing Official:** \_\_\_\_\_

(Name)
(Institution)