



## **EXPLORER 2011**

# **GUIDELINES AND CRITERIA FOR THE PHASE A CONCEPT STUDY**

**October 18, 2011**

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# EXPLORER 2011

## GUIDELINES AND CRITERIA FOR THE PHASE A CONCEPT STUDY

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### INTRODUCTION

As the outcome of the Explorer 2011 Announcement of Opportunity (NNH11ZDA002O, hereafter “the AO”) and the Explorer 2011 Science Missions of Opportunity (MO) Program Element Appendix (PEA) H7 for the Stand Alone Missions of Opportunity Notice (SALMON) Announcement of Opportunity (NNH08ZDA009O PEA H7, hereafter “the PEA”) Step 1 competition, NASA has selected ten investigations that the agency will fund to perform concept studies. The concept study for each selected investigation will constitute the investigation’s Concept and Technology Development Phase (Phase A) of the Formulation process as outlined in NPR 7120.5D NID (NASA Interim Directive) (NM 7120-81), NASA Spaceflight Program and Project Requirements (the Explorer Program Library provides a direct link to this document).

Concept studies are intended to provide NASA with more definitive information regarding the cost, risk, and feasibility of the investigations, as well as detailed plans for the conduct of appropriate education and public outreach (E/PO) programs, small disadvantaged business subcontracting plans, and optional student collaborations (SCs) and science or science/technology enhancement options (SEOs or STEOs), if proposed, before final selection for implementation. [Note, E/PO programs are optional for MOs.](#)

The product of a concept study is a Concept Study Report (CSR), to be delivered to NASA approximately eleven months after the Project Initiation Conference (see below). This document provides guidelines and requirements for preparing a CSR; samples of these include:

- Principal Investigators (PIs) will propose Level 1 Science requirements in their CSRs, including [draft](#) criteria for ~~full mission success satisfying the Baseline Science Mission and criteria for minimum~~ mission success satisfying the Threshold Science Mission.
- The PI Managed Mission Cost may not increase by more than 20% from that in the Step 1 proposal to that in the CSR and it may not exceed the cost cap specified in the AO or the PEA.
- Missions of opportunities are subject to all concept study requirements and must demonstrate compliance with Explorer 2011 Mission Assurance Requirements, except where tailoring of the requirements is justifiable, either because they are not relevant to the mission, or the requirements are tailorable (e.g., the requirement may be decreased in the level of detail, formality, or risk posture based on the mission described) within the scope of the mission, while meeting the requirement. In all cases, tailoring of any concept study requirement must be justified in the appropriate section.

- NASA intends full mission investigations to be implemented as Category 2 (per NPR 7120.5 NID) projects and Class C (per NPR 8705.4) payloads. Missions of opportunity are to be implemented as Category 3 projects and may include a proposed payload designation of Class C or Class D as appropriate.
- The *Explorer Program Safety, Reliability, and Quality Assurance Requirement* document, available in the Explorer Program Library, will apply to investigations that are selected for concept studies.
- All program constraints, guidelines, definitions, and requirements specified in the AO or the PEA are applicable to the CSR, except as noted herein.

Evaluation of CSRs is a major part of Step 2 in the acquisition process. Investigation teams are responsible for the content and quality of their CSRs, site visit presentations, and responses to weaknesses and questions, including parts that may be prepared by partner organizations or by any other individual. All assumptions and calculations should be carefully documented in the CSR and agreed to by the PI and his/her team, to ensure that they are accurate and that they will satisfy NASA requirements. Investigation teams are also responsible for assuring that all requirements specified in Part II of this document are addressed.

For each full mission investigation selected in Step 1, the Explorer Program Office at Goddard Spaceflight Center (GSFC) will negotiate a priced option for a 5-month Bridge Phase into the Phase A contracts (the Bridge Phase is the first 5 months of Phase B). For each mission of opportunity selected in Step 1, the option will be for a 4-month Bridge Phase.

CSRs are due by 4 p.m. Eastern Time, September 21, 2012, at:

**Explorer 2011  
Science Mission Directorate  
NASA Research and Education Support Services (NRESS)  
Suite 500  
2345 Crystal Drive  
Arlington, VA 22202**

**Phone for commercial delivery: 202-479-9030**

NASA will assemble an evaluation team of scientific and technical peers to consider each CSR carefully. Because members of this evaluation team may not have reviewed, nor will be provided access to Step 1 proposals, each CSR must be a self-contained document.

The evaluation process will include visits by the evaluation team to each investigation team's chosen site, to hear oral briefings and, if needed, to receive updates and clarification of material in the CSRs. These briefings will be conducted approximately two months following submission of the CSRs; scheduling for these visits will be addressed at the Project Initiation Conference. NASA may identify weakness and questions and ask that the investigation team respond to these either prior to or at the site visit.

Any additional information provided to NASA by the investigation team at the site visit, in response to the NASA-identified weaknesses and questions, or in response to NASA requests for additional information, will be treated as updates and clarifications to the CSR.

All information relevant to the evaluation including information presented during the site visit, information provided in response to weaknesses and questions, and information contained in the CSR will be considered during the evaluation.

At the outcome of Step 2, it is anticipated that the Decision Official, the Associate Administrator of the Science Mission Directorate (SMD), plans to continue two of the full mission investigations and one or more of the mission of opportunity investigations into the subsequent phases of mission development for flight and operation. The target date for this continuation decision (*i.e.*, “down-selection”) is February 2013.

Upon a continuation decision, NASA will execute the Bridge Phase option and begin to provide Phase B funding for the project that is continued beyond the Phase A concept study. During the Bridge Phase, NASA and the continued project will negotiate and sign contract modification necessary for the remaining portion of Phase B. Deliverables for Phase B will be negotiated during the Bridge Phase, on the basis of information provided in the CSR (*e.g.*, Sections J, K, and M.19).

For those investigations that are not continued, the contracts will be allowed to terminate without further expense to NASA. Every investigation team will be offered a debriefing of the evaluation of its CSR.

Part I of this document describes the evaluation criteria for CSRs. Part II provides guidelines for preparing CSRs: every requirement in these guidelines must be addressed in the section in which the requirement appears. An explanation and justification must be provided for any requirement that is not fully addressed.



## PART I - EVALUATION CRITERIA

The evaluation of CSRs is very similar to the evaluation of Step 1 proposals, as described in Section 7.1 of the AO or the PEA. The evaluation criteria and their factors, specified in Sections 7.2.2 through 7.2.4 in the AO or Sections 7.2.1 through 7.2.3 in the PEA, apply fully to CSRs. However, all factors related to the probability of mission success and to the realism of the proposed costs to NASA will be considered in greater depth of detail. Additional factors, such as implementation plans for E/PO, will also be evaluated. In case of conflict between the AO or the PEA and the CSR Guidelines, the CSR Guidelines take precedence.

All information relevant to the evaluation including information presented during the Site Visit, information provided in response to weaknesses and questions, and information contained in the CSR will be considered during the evaluation.

Each CSR must be a self-contained document and must not refer to information contained in the Step 1 proposal. Except for compliance checking by NASA and for determining if reevaluation of Scientific Merit of the Investigation is required (as described below), the Step 1 proposals will not be used in the Step 2 evaluation.

The PI-Managed Mission Cost will not increase by more than 20% from that in the Step 1 proposal to that in the Phase A Concept Study Report, and, in any case, will not exceed the PI-Managed Mission Cost cap.

The evaluation criteria are Scientific Merit of the Investigation; Scientific Implementation Merit and Feasibility of the Investigation; Feasibility of the Mission Implementation, Including Cost Risk; and Quality and Merit of the Education and Public Outreach, Student Collaborations, and Small Business Contracting Plans

### **Definition of Heritage**

Heritage is not an evaluation criterion. However it is an aspect of multiple evaluation criteria, factors, and subfactors.

In considering the heritage of any aspect of the mission, the evaluation team will consider the design, manufacture, software, provider, use, operating environment, referenced mission, and other factors. The evaluation team will consider the degree of difference between the proposed use and the referenced (heritage) use. The evaluation team will assess whether the degree of modification is consistent with any risk mitigation claimed and whether the degree of modification is consistent with any cost savings claimed. The following table provides a guide as to how the evaluation team will consider the spectrum of claimed heritage.

	<b>Full heritage</b>	<b>Partial heritage</b>	<b>No heritage</b>
<b>Design</b>	Identical	Minimal modifications	Major modifications

<b>Manufacture</b>	Identical	Limited update of parts and processes necessary	Many updates of parts or processes necessary
<b>Software</b>	Identical	Identical functionality with limited update of software modules	Major modifications
<b>Provider</b>	Identical provider and development team	Different however with substantial involvement of original team	Different and minimal or no involvement of original team
<b>Use</b>	Identical	Same interfaces and similar use within a novel overall context	Significantly different from original
<b>Operating Environment</b>	Identical	Within margins of original	Significantly different from original
<b>Referenced Mission</b>	In operation	Built and successfully ground tested	Not yet successfully ground tested

### Scientific Merit of the Investigation

The ~~Lead~~ Explorer Program Acquisition Scientist will determine whether any issues that may have emerged in the course of the concept study have effected significant changes to the science objectives or other aspects of the proposed Baseline and Threshold Science Missions (see Requirement CS-17 in Section II of this document) in such a manner as to have impacted the basis for the evaluation of the scientific merit of the investigation as determined by the peer review panel for the Step 1 proposal. If there are no significant changes to the proposed investigation that undermine the basis of this rating, the peer review panel rating for scientific merit of the Step 1 proposal will be the rating for scientific merit of the CSR. If there are significant changes, the Program Scientist will convene a peer review panel to reevaluate the scientific merit of the objectives in light of these changes. The factors for reevaluating this criterion will be the same as those used for the Step 1 proposal review (Section 7.2.2 of the AO or Section 7.2.1 of the PEA).

### Scientific Implementation Merit and Feasibility of the Investigation

All of the factors defined in Section 7.2.3 of the AO or Section 7.2.2 of the PEA apply to the evaluation of the CSR. Note that details have been added to one of the subfactors of Factor B-1, Merit of the instruments and mission design. Also, an additional subfactor has been added to Factor B-2, Probability of technical success.

- Factor B-1. Merit of the instruments and mission design for addressing the science goals and objectives. This factor includes the degree to which the proposed mission will address the goals and objectives; the appropriateness of the selected instruments and mission design for addressing the goals and objectives; the degree to which the proposed instruments and mission can provide the necessary data, including details on data collection strategy and

plans (*n.b.*, details added for the evaluation of the CSR); and the sufficiency of the data gathered to complete the scientific investigation.

- Factor B-2. Probability of technical success. This factor includes the maturity and technical readiness of the instruments; the adequacy of the plan to develop the instruments within the proposed cost and schedule; the robustness of those plans, including recognition of risks and mitigation plans for retiring those risks; the likelihood of success in developing any new technology that represents an untested advance in the state of the art; the ability of the development team - both institutions and individuals - to successfully implement those plans; and the likelihood of success for both the development and the operation of the instruments within the mission design. This factor includes assessment of technology readiness, heritage, environmental concerns, accommodation, and complexity of interfaces for the instrument design (*n.b.*, subfactor added for the evaluation of the CSR).
- Factor B-3. Merit of the data analysis, data availability, and data archiving plan. This factor includes the merit of plans for data analysis and data archiving to meet the goals and objectives; to result in the publication of science discoveries in the professional literature; and to preserve data and samples of value to the science community. Considerations in this factor include assessment of planning and budget adequacy and evidence of plans for well-documented, high-level data products and software usable to the entire science community; assessment of adequate resources for physical interpretation of data; reporting scientific results in refereed journals; and assessment of the proposed plan for the timely release of the data to the public domain for enlarging its science impact.
- Factor B-4. Science resiliency. This factor includes both developmental and operational resiliency. Developmental resiliency includes the approach to descoping the Baseline Science Mission to the Threshold Science Mission in the event that development problems force reductions in scope. Operational resiliency includes the ability to withstand adverse circumstances, the capability to degrade gracefully, and the potential to recover from anomalies in flight.
- Factor B-5. Probability of science team success. This factor will be evaluated by assessing the experience, expertise, and organizational structure of the science team and the mission design in light of any proposed instruments. The role of each Co-Investigator will be evaluated for necessary contributions to the proposed investigation; the inclusion of Co-Is who do not have a well defined and appropriate role may be cause for downgrading of the CSR evaluation.
- Factor B-6. Merit of any science enhancement options (SEOs) or science/technology enhancement options (STEOs), if proposed. This factor includes assessing the appropriateness of activities selected to enlarge the science impact of the mission; the potential of the selected activities to enlarge the science impact of the mission; and the appropriate costing of the selected activities. The peer review panel will inform NASA whether the evaluation of the proposed SEO(s) or STEO(s) impacted the overall rating for scientific implementation merit and feasibility. Lack of an SEO or STEO will have no impact on the CSR's overall rating for scientific implementation merit and feasibility.

Factor A-3 of the AO or the PEA will be re-evaluated as a factor for Scientific Implementation Merit and Feasibility; it has been renumbered as Factor B-7.

- Factor B-7. Likelihood of scientific success. This factor includes how well the anticipated measurements support the goals and objectives; the adequacy of the anticipated data to complete the investigation and meet the goals and objectives; and the appropriateness of the mission requirements for guiding development and ensuring scientific success.

A new evaluation factor that is not described in the AO or the PEA and was not evaluated for Step 1 proposals will also be included. This factor will be evaluated for the CSRs in addition to the factors specified in Section 7.2.3 of the AO or Section 7.2.2 of the PEA and updated above as Factors B-1 through B-7.

- Factor B-8. Maturity of proposed Level 1 science requirements and Level 2 project requirements. This factor includes assessment of whether the Level 1 requirements are mature enough to guide the achievement the objectives of the Baseline Science Mission and the Threshold Science Mission, and whether the Level 2 requirements are consistent with the Level 1 requirements. The CSR will be evaluated for whether the requirements are stated in unambiguous, objective, quantifiable, and verifiable terms that do not conflict. The CSR will be evaluated for the adequacy, sufficiency, and completeness of the Level 1 and Level 2 requirements, including their utility for evaluating the capability of the instruments and other systems to achieve the mission objectives. The stability of the Level 1 science requirements and Level 2 project requirements will be assessed including whether the requirements are ready, upon initiation of phase B, to be placed under configuration control with little or no expected modifications for the lifecycle of the mission.

### **Feasibility of the Mission Implementation, Including Cost Risk**

All of the factors defined in Section 7.2.4 of the AO or Section 7.2.3 of the PEA apply to the evaluation of the CSR. All of these factors are interpreted as including an assessment as to whether technical, management, and cost feasibility are at least at a Phase A level of maturity.

Note that the risk management aspects of Factor C-4, *Adequacy and robustness of the management approach and schedule, including the capability of the management team*, have been removed from Factor C-4 and included in a new evaluation factor, Factor C-6, *Adequacy of the risk management plan*.

- Factor C-1. Adequacy and robustness of the instrument implementation plan. The maturity and technical readiness of the instrument complement will be assessed, as will the ability of the instruments to meet mission requirements. This factor includes an assessment of the instrument design, accommodation, interface, heritage, and technology readiness. This factor includes an assessment of the instrument hardware and software designs, heritage, and margins. This factor includes an assessment of the proposer's understanding of the processes, products, and activities required to accomplish development and integration of the instrument complement. This factor also includes adequacy of the plans for instrument systems

engineering and for dealing with environmental concerns. This factor includes an assessment of plans for the development and use of new instrument technology and the adequacy of backup plans to mature systems within the proposed cost and schedule when technologies having a TRL less than 6 are proposed.

- Factor C-2. Adequacy and robustness of the mission design and plan for mission operations. This factor includes an assessment of the overall mission design and mission architecture, the spacecraft design and design margins (including margins for launch mass, delta-V, and propellant), the concept for mission operations (including communication, navigation/tracking/trajjectory analysis, and ground systems and facilities), and the plans for launch services. This factor includes mission resiliency – the flexibility to recover from problems during both development and operations – including the technical resource reserves and margins, system and subsystem redundancy, and reductions and other changes that can be implemented without impact to the Baseline Science Mission.
- Factor C-3. Adequacy and robustness of the flight systems. This factor includes an assessment of the flight hardware and software designs, heritage, and margins. This factor includes an assessment of the proposer's understanding of the processes, products, and activities required to accomplish development and integration of all elements (flight systems, ground and data systems, etc.). This factor includes an assessment of the adequacy of the plans for spacecraft systems engineering, qualification, verification, mission assurance, launch operations, and entry/descent/landing. This factor includes the plans for the development and use of new technology and the adequacy of backup plans to ensure success of the mission when technologies having a TRL less than 6 are proposed. The maturity and technical readiness of the spacecraft, subsystems, and operations systems will be assessed. The adequacy of the plan to mature systems within the proposed cost and schedule, the robustness of those plans, including recognition of risks and mitigation plans for retiring those risks, and the likelihood of success in developing any new technologies will be assessed.
- Factor C-4. Adequacy and robustness of the management approach and schedule, including the capability of the management team. This factor includes: the adequacy of the proposed organizational structure and WBS; the management approach including project level systems engineering; the roles, qualifications, and experience of the PI, PM, other named key management team members, and implementing organization, mission management team, and known partners; the commitment, spaceflight experience, and relevant performance of the PI, PM, other named key management team members, and implementing organization, mission management team, and known partners against the needs of the investigation; the commitments of partners and contributors; and the team's understanding of the scope of work covering all elements of the mission, including contributions. This factor also includes assessment of CSR elements such as the relationship of the work to the project schedule, the project element interdependencies, the associated schedule margins, and an assessment of the likelihood of launching by the proposed launch date. Also evaluated under this factor are the proposed project and schedule management tools to be used on the project along with the subcontracting plan including small and small disadvantaged businesses.

- Factor C-5. Adequacy and robustness of the cost plan, including cost feasibility and cost risk. This factor includes CSR elements such as cost, cost risk, cost realism, and cost completeness including assessment of the basis of estimate, the adequacy of the approach, the methods and rationale used to develop the estimated cost, the discussion of cost risks, the allocation of cost reserves by phase, and the team's understanding of the scope of work (covering all elements of the mission, including contributions). CSRs will be evaluated for the adequacy of the cost reserves and whether CSRs with inadequate cost reserves demonstrate a thorough understanding of the cost risks. This factor also includes an assessment of the proposed cost relative to estimates generated using parametric models and analogies. Also evaluated under this factor are the proposed cost management tools to be used on the project.

The following evaluation factor has been removed as a subset of Factor C-4 described in the AO or the PEA and has been revised for the evaluation of the CSR.

- Factor C-6. Adequacy of the risk management plan. The adequacy of the proposed risk management approach will be assessed, as will any risk mitigation plans for new technologies, any long-lead items, and the adequacy and availability of any required manufacturing, test, or other facilities. The approach to any proposed descoping of mission capabilities will be assessed against the proposed Baseline Science Mission. The plans for managing the risk of contributed critical goods and services will be assessed, including the commitment of partners and contributors as documented in Letters of Commitment and the adequacy of contingency plans for coping with the failure of a proposed cooperative arrangement or contribution; when no mitigation is possible, this should be explicitly acknowledged. The stability and reliability of proposed partners, and the appropriateness of any proposed contribution, is not assessed as a management risk but will be assessed by SMD as a programmatic risk element of the investigation.

The following are new evaluation factors that are not described in the AO or the PEA and were not evaluated for Step 1 proposals. These will be evaluated for the CSRs in addition to the factors given in Section 7.2.4 of the AO or Section 7.2.3 of the PEA and updated above as Factors C-1 through C-6.

- Factor C-7. Ground Systems. This factor includes an assessment of the proposed mission operations plans, facilities, hardware and software, processes, and procedures.
- Factor C-8. Approach and feasibility for completing Phase B. The completeness of Phase B plans and the adequacy of the Phase B approach will be assessed. This assessment will include evaluation of the activities/products, the organizations responsible for those activities/products, and the schedule to accomplish the activities/products.

For the purpose of the CSR, investigation teams are not required to hold reserves against Governments Furnished Equipment (GFE) such as the Launch Vehicle (LV). They should assume the Government will deliver as promised on factors such as LV performance and schedule. The Government is holding separate reserves on its promises.

## **Quality and Merit of the Education and Public Outreach, Student Collaboration, and Small Business Contracting Plans**

The following are new evaluation factors that are not described in the AO or the PEA and were not evaluated for Step 1 proposals. These will be evaluated for CSRs.

Quality of Plans for Core E/PO Program. This factor will be evaluated against the criteria described in the document *Explanatory Guide to the NASA Science Mission Directorate Education and Public Outreach Evaluation Criteria* (April 2008), which can be found in the Explorer Program Library. A discussion of these criteria is included in that document. See Section I in Part II of this document for further details on E/PO requirements.

For full missions proposed against the AO, the minimum allowable core E/PO program cost is defined to be 1% of the PI-Managed Mission Cost Cap. Missions must designate at least the minimum allowable core E/PO program cost for implementation of the core E/PO program. There is no maximum allowable cost for the core E/PO program; however, the funding for the core E/PO program must be included in the PI-Managed Mission Cost.

E/PO programs are optional for MOs. Lack of an E/PO will have no impact on the CSR's overall rating for scientific implementation merit and feasibility. There is no minimum and no maximum allowable cost for the MO E/PO. NASA is providing an E/PO incentive that is defined to be 1% of the PI-Managed Mission Cost Cap. The proposed cost of the E/PO, up to the E/PO incentive, is outside of the PI-Managed Mission Cost. If the E/PO costs more than the E/PO incentive, then the rest of the cost of the E/PO must be within the PI-Managed Mission Cost.

Overall Merit of Student Collaboration (SC), if proposed. This factor will include an assessment of whether the scope of the SC follows the guidelines in section 5.5.3 of the AO or Section 4.4 of the PEA. The criteria to be used to evaluate the SC component and a discussion of those criteria are described in the document *Explanatory Guide to the NASA Science Mission Directorate Educational Merit Evaluation Factors for Student Collaboration Elements* (September 2007), which can be found in the Explorer Program Library.

For full missions proposed against the AO, there is no minimum and no maximum allowable cost for a SC. NASA is providing a student collaboration incentive that is defined to be 1% of the PI-Managed Mission Cost Cap. The proposed cost of the SC, up to the student collaboration incentive, may be outside of the PI-Managed Mission Cost. If the SC costs more than the student collaboration incentive, then the rest of the cost of the SC must be within the PI-Managed Mission Cost.

Merit of the Small Business Subcontracting Plans. This factor will be evaluated on the participation goals and quality and level of work performed by small business concerns overall, as well as that performed by the various categories of small business concerns listed in FAR 52.219-9, except for Small Disadvantaged Businesses (SDBs). Offerors will separately identify, and will be evaluated on participation targets of SDBs in North American Industry

Classification System (NAICS) codes determined by the Department of Commerce to be underrepresented industry sectors.

### **Weighting of Criteria**

The percent weighting indicates the approximate significance of each evaluation criterion in the Decision Official's consideration:

- Scientific merit of the investigation: approximately 25%;
- Scientific implementation merit and feasibility of the investigation: approximately 20%;
- Feasibility of mission implementation, including cost risk: approximately 50%; and
- Quality of plans for core E/PO (as applicable), SDB sub-contracting, and for an optional SC, if proposed: approximately 5%.

### **Additional Selection Factors**

At the continuation decision (*i.e.* final down-selection), it may be necessary for the Selecting Official to consider NASA budget changes and/or other programmatic factors, including but not limited to changes in scientific mandates, national priorities, and budgetary forecasts that were not evident when the AO or the PEA were issued. The PI-managed Mission Cost, as well as other programmatic factors, may be additional selection factors.

## PART II - REQUIRED QUANTITIES, MEDIA, FORMAT, AND CONTENT

Successful implementation of an Explorer investigation demands that the investigation be achievable within established constraints on cost and schedule. The information requested in Part II of this document will enable the evaluation team to assess how well each investigation team understands the complexity of its proposed investigation, its technical risks, and any weaknesses that will require specific action during Phase B. *Investigation teams are cautioned that omissions or inaccurate or inadequate responses to any of the following requirements will negatively affect the overall evaluation.*

Requirement CS-1. A CSR shall consist of one volume divided into readily identifiable sections that correspond and conform to Sections A through L of the following guidelines. It shall be typewritten in English and shall employ metric (SI) and/or standard astronomical units, as applicable. It shall contain all data and other information that will be necessary for scientific and technical evaluations; provision by reference to external sources, such as Internet websites, of additional material that is required for evaluation of the CSR is prohibited. Exception: The cost proposal (Section K) and any cost appendices (e.g. M.4, M.16) may be submitted as a separate volume.

Requirement CS-2. All printed parts of a CSR, including photographs and/or colored graphics, shall be printed on recyclable white paper. Page size shall be either American standard 8.5 x 11 inches or European standard A4. Foldout pages (11 x 17 inches or A3) may be employed at the proposer's discretion, but see Requirement CS-4 for assessment of foldout pages against the page limit. Three-ring binders are acceptable.

Requirement CS-3. Text shall not exceed 55 lines per page. Margins at the top, both sides, and bottom of each page shall be no less than 1 inch if printed on 8.5 x 11 inch paper; no less than 2.5 cm at the top and both sides, and 4 cm at the bottom if printed on A4 paper. Single-column or double-column formats are acceptable for text pages. Type fonts for text and figure captions shall be no smaller than 12-point (*i.e.*, no more than 15 characters per inch; six characters per centimeter). All text in figures and tables shall be legible; fonts smaller than 8-point are often illegible.

Requirement CS-4. CSRs shall conform to the page limits specified in the *CSR Structure and Page Limits* table, below. A page quota larger than that in the Step 1 proposal has been allotted to accommodate an expected greater maturity of detail in sections F through H, plus E/PO plans and Phase B plan. In Sections E and F of the CSR, two extra pages each are allotted for each separate science instrument and two extra pages each are allotted for each separate flight element (*e.g.*, cruise element, landed element, sample return element, and additional spacecraft). Five extra pages are allotted for a Student Collaboration (SC). Every side of a page upon which printing appears will count against the page limits unless specifically exempted. Each foldout page will count as two pages against the page limits unless specifically exempted (*e.g.*, cost tables required in Sections J and K).

## CSR Structure and Page Limits:

Section	Page Limits
A. Cover Page and Investigation Summary	No page limit, but be brief
B. Fact Sheet	2
C. Table of Contents	No page limit
D. Executive Summary	5
E. Science Investigation (changes highlighted)	30
F. Science Implementation (including SEOs or STEOs, if any) G. Mission Implementation H. Management I. Other Factors to be Evaluated, Including E/PO, SCs, and Small Disadvantaged Business Subcontracting J. Preliminary Design and Technology Completion (Phase B) Plan	98 for full missions <b>or</b> 75 pages for missions of opportunity + 2 pages/instrument + 2 pages/each separate flight element +6 for E/PO +5 for SC, not including schedule foldouts
K. Cost Proposal L. Justification and Cost Proposal for optional SEO or STEO Activities, if applicable	No page limit, but data must be presented in formats described; be brief
M. Appendices (No other appendices permitted) <ol style="list-style-type: none"> <li>1. Letters of Commitment*</li> <li>2. Relevant Experience and Past Performance</li> <li>3. Resumes*</li> <li>4. Phase B Contract Implementation Data*</li> <li>5. Data Management Plan</li> <li>6. Any Incentive Plan(s)*</li> <li>7. Technical Content of Any International Agreements*</li> <li>8. International Participation Plans*</li> <li>9. Planetary Protection Plan</li> <li>10. <del>Cartography Plan-Draft Mission Definition Requirements Agreement</del></li> <li>11. End of Mission Plan</li> <li>12. Compliance with Procurement Regulations by NASA PI Proposals*</li> <li>13. Master Equipment List</li> <li>14. Heritage*</li> <li>15. SDB Subcontracting Plan*</li> <li>16. Additional Cost Data to Assist Validation**</li> <li>17. Science change matrix</li> <li>18. Communications Design Data*</li> <li>19. Acronyms and Abbreviations</li> <li>20. References*</li> <li>21. <del>Impact of the NLS-2 Contract*</del></li> <li>22. <del>NASA-Developed Technology Infusion Plan</del></li> <li>23. <del>Description of Enabling Nature of ASRG (if ASRG use is proposed)</del></li> </ol>	No page limit, but small size encouraged.  * Electronic only. Include appendix in the PDF of the CSR but do not include it in the hardcopy CSR. Applies to Appendices M.1, M.3, M.4, M.6, M.7, M.8, M.12, M.15, M.18, <u>and</u> M.20, <u>and</u> <del>M.21</del> .  ** Hardcopy and electronic for text and high-level summary tables. Electronic only for detailed cost tables. Include text and high-level summary tables in both the hardcopy and PDF of the CSR, but include detailed cost tables only in the PDF of the CSR. Applies to Appendix M.16.

Requirement CS-5. One copy of every CSR shall bear on its cover sheet the original signatures of the Principal Investigator and an official of the PI's institution who is authorized to commit its resources (see Section A, below). This "original" copy shall be printed on a single side of each page, and it shall be bound in a manner (*e.g.*, with a binder clip, with a rubber band, in an accordion folder, etc.) that allows it to be disassembled easily for reproduction in the event that NASA needs additional copies

The signed original of the CSR and ninety (90) paper "review" copies of the CSR are required; two-sided printing is required for the review copies. Each review copy shall be numbered. An additional 25 copies of the Fact Sheet (see Section C below) are required.

Requirement CS-6. A CD-ROM (CD) or single-layer DVD-ROM (DVD) containing unlocked, bookmarked, searchable PDF file(s) of the CSR - limited to the main body of the CSR, all tables, all appendices, and the MEL - as well as a separate PDF of the Fact Sheet and Microsoft Excel files of cost tables and the MEL, shall be attached to the original and all review copies of the CSR. These files must be identical to the paper copies for sections where paper copies are submitted.

Requirement CS-7. The CD or DVD shall also contain an electronic version of the schedule in a Microsoft Project format. The tasks in the schedule must follow the standard WBS defined in NPR 7120.5D NID. The detail on the schedule is requested to go to at least level 3 for the spacecraft (one level below the spacecraft level) and level 4 for the payload (one level below each instrument) where the data are available.

Requirement CS-8. Include on the CD or DVD a list of people that worked on the CSR whose names were not already mentioned in the Step 1 proposal. For instance, the list should include any CSR writer, Red Team member, reviewer, etc. Do not include organizations that are listed as team members on the CSR cover page and do not include people who work at those organizations.

This request and requirement is only for the identification of new organizations (since the Step 1 proposal) and the identification of people from organizations that are not listed on the CSR cover page. The purpose of this requirement is to avoid placing people on the evaluation team who have unrecognized conflicts of interest. Everybody at the proposing institutions has a known conflict of interest, and a list of the people at the proposing institutions who worked on the concept study is not requested or required. The intent is to obtain a list organizations and individuals who would otherwise be unknown to NASA as having a conflict, for instance independent consultants or consulting organizations who helped with the concept study or academic colleagues who red teamed the concept study report.

Requirement CS-9. Create a separate document that contains a table with all of the requirements (Requirement CS-1 through Requirement CS-99) and the page, section, or table number that is the main place in the CSR where the requirement is addressed. Provide this table as a PDF document to the Explorer Program Acquisition Scientist by email no later than September ~~21~~24, 2012.

Each CD or DVD that will accompany the original or a copy of the CSR must include the required files. These CDs or DVDs and the files in them must be compatible with Microsoft Windows XP or higher and Apple Mac OS X 10.6 or higher.

The CDs or DVDs must not have paper labels because, if they become unglued, slot-loading drives cannot read them. Other methods, including water based markers may be used to label the CDs or DVDs.

Requirement CS-10. If science objectives provided with the Step 1 proposal have changed as a result of the concept study, these changes from the original proposal's science investigation section shall be clearly identified.

The required uniform format and contents are summarized below. Failure to follow this outline may result in reduced ratings during the evaluation process.

#### A. COVER PAGE AND INVESTIGATION SUMMARY

Requirement CS-11. A Graphic Cover Page and Summary Information, prepared as directed below, shall preface every CSR. These pages will not be counted against the page limits.

Requirement CS-12. The Graphic Cover Page shall contain the following information and elements displayed on the cover page of the CSR:

- The investigation title;
- The name of the proposing organization;
- The name of the PI;
- The name and title of an official who is authorized to commit the proposing organization through the submission of the CSR;
- The signature of the PI and the authorizing official (unless these signatures appear on the CSR Summary Information) only on the original copy, per Requirement CS-5;
- Names and institutions of all participants in the investigation;
- The total NASA – SMD cost of the investigation;
- The proposed contributions and contributing organizations, and
- A summary of the investigation, not to exceed 300 words.

#### B. FACT SHEET

Requirement CS-13. Every CSR shall include a fact sheet that provides a brief summary of the investigation. Information conveyed on this fact sheet shall include:

- Science objectives (including the importance of the science to the program science goals);
- Mission overview;
- Instrument complement;
- Key spacecraft characteristics;
- Mission management and participating organizations (including all named key teaming arrangements);
- Schedule summary;

- The proposed PI-Managed Mission Cost in real year dollars (RY\$) and in fiscal year 2011 dollars (FY11\$) from Cost Table Template 1; and
- The proposed Total Cost, including a breakdown of any contributed costs by contributing organization, in RY\$ and in FY11\$.

## C. TABLE OF CONTENTS

Requirement CS-14. The CSR shall contain a Table of Contents that parallels the outline provided in Sections D through M below. Figures and tables shall also be included.

## D. EXECUTIVE SUMMARY

Requirement CS-15. The Executive Summary shall summarize the contents of the CSR and shall include an overview of the proposed baseline investigation, including its scientific objectives, technical approach, management plan, cost estimate, and E/PO, SC, and SDB subcontracting plans. The Executive Summary shall not exceed 5 pages in length.

## E. SCIENCE INVESTIGATION

Requirement CS-16. This section shall describe the science investigation as specified by Requirements B-15 through B-18 in Appendix B of the AO or Section VII in Appendix B of the SALMON AO plus Section 6.2 of the PEA. If there are no changes from the Step 1 proposal, this section shall be reproduced identically from the Step 1 proposal, with a statement that there have been no changes. Such a statement may be inserted before the first page of this section or it may be included in Appendix M.17.

Requirement CS-17. Any changes to the Baseline and Threshold Science Missions defined in the Step 1 proposal shall be identified and the rationale for the change(s) provided. Such changes to the science mission shall be highlighted in bold or a color with column marking for easy identification. In addition, a change matrix showing the original (proposed) science objective(s), any new or revised science objective(s), rationale for the change(s), and its (their) location(s) within the CSR is required as an appendix (see Section M.17). Corrections (*e.g.*, typos and errors) and nominal updates (*e.g.*, revised references, clarified sentences) to this section, that do not constitute a change to the proposed science mission (*i.e.* no change to science mission objectives, requirements, implementation details, measurements and data, *etc.*) are not required to be individually identified and tracked; however, a summary of such changes shall be provided.

## F. SCIENCE IMPLEMENTATION (including Science Enhancement Options or Science/Technology Enhancement Options if any).

### F.1 Level 1 Science Requirements

The Level 1 science requirements identify the mission, science, and programmatic requirements as well as constraints imposed on the project. Consistent with NPR 7120.5D NID, both baseline and threshold requirements are to be described. Baseline science requirements are the mission performance requirements necessary to achieve the full science objectives of the mission.

Threshold science requirements are those mission performance requirements necessary to achieve the minimum science acceptable for the investment.

The Level 1 science requirements (referred to as program level requirements in NPR 7120.5D NID) and Level 2 project requirements specify requirements and constraints on science data collection, mission and spacecraft performance, prime mission lifetime, budget, schedule, launch vehicle, and any other requirements or constraints that need to be controlled. The requirements provide the criteria to be used to evaluate whether a project should be called for a termination review if it appears it might fail to meet its requirements.

A key element of risk management is the definition of mission success criteria. Mission success criteria should be the first level of flow-down of requirements from the overall mission science objectives. The mission science objectives are the “need” for the mission and the mission success criteria represent how you know you have met that “need.” Mission success criteria are based on the threshold science requirements. Level 1 requirements then would flow down from the mission success criteria. Level 1 requirements would be robust enough (i.e., have sufficient margin) to ensure the system’s detail design could be manufactured, built and tested to achieve the mission success. In a perfect world, mission success criteria would be written before Level 1 requirements. However this is not a perfect world, and writing mission success criteria before Level 1 requirements is not a requirement for the CSR. To the extent that they are known at the end of Phase A, identify the draft mission success criteria in the CSR.

Note that the new NPR 7120.5D NID (NM 7120-97) requires the mission success criteria to be baselined during Phase A at SRR. If the mission success criteria are not included in the CSR, they will need to be baselined after downselect when the project falls under NM 7120-97.  
~~A key element of risk management is the definition of mission success criteria. Mission success criteria are a subset of the Level 1 requirements that define what must be achieved to satisfy the objectives addressed by the project. Mission success criteria are performance requirements. While other requirements may define how to build an instrument (e.g., specify wavelength range), mission success criteria specify how the instrument must perform in collecting the data. These criteria are established to drive requirements, define allowable trade space, and guide risk and safety decisions. Mission success criteria should be clearly identified as the portion of the Level 1 science requirements that, when met, will fully satisfy all baseline program objectives.~~

Requirement CS-18. A set of proposed Level-1 science requirements that will achieve the objectives of the Baseline Science Mission shall be provided. State both baseline science requirements and threshold science requirements. To the extent that they are known, identify the draft mission success criteria based on the baseline-threshold science requirements. The Level 1 science requirements of the investigation, as agreed to by the PI, PM and other key personnel, must be clearly identified in this section. A set of Level 2 requirements that will guide the design and development of the mission shall be provided. Lower level requirements shall be provided to the extent that they are known and necessary to explain and justify the design concept including instrument capability, instrument performance, and other aspects of the system architecture that enable the accomplishment of the mission science objectives. State each requirement in unambiguous, objective, quantifiable, and verifiable terms. Requirements shall not conflict with

each other. The Level 2 requirements shall be listed in Appendix 10, Draft Mission Definition Requirements Agreement.

### F.2 Science Mission Profile

Requirement CS-19. This section shall discuss the science observing profile, including all mission-relevant parameters, such as orbit, navigation accuracy, operational time lines including observing periods, data transmission periods and techniques, and time-critical events. The science observation strategy shall also be described in sufficient detail to understand the complexity of science operations, *i.e.*, are the operations regular re-iteration of data collection sequences, thereby establishing a routine flow, or are there numerous, uniquely planned events thereby requiring repeated planning, testing, and upload cycles. The observation planning and decision-making processes shall be outlined including any priorities assigned to specific observations or measurements and any plans to update the observing strategy based on early observations. The schedule and workforce associated with science planning shall also be described. If science operations involve an ebb and flow of personnel to reduce costs during cruise or “quiet” phases, describe plans for maintaining sufficient trained personnel and for how they will be moved off and then back on the project. The manner in which the proposed investigation objectives, selected instruments, and measurement requirements drive the proposed mission design and operations plan should be apparent from this discussion.

### F.3 Instrumentation

Requirement CS-20. This section shall describe the instrumentation and the rationale for its selection. It shall identify the individual instruments and instrument systems, including their characteristics and requirements, and indicate items that are proposed for development, as well as any existing instrumentation or design/flight heritage. It shall provide a clear understanding of how the concept will provide the required data, show how it can be accommodated by the spacecraft, demonstrate that instruments have the necessary (unobstructed, if required) fields-of-view over the measurement period required, describe the technology readiness levels and the approach to bring systems to technology readiness level (TRL) 6 at preliminary design review (PDR). If no development plan is needed, the reasons for this shall be explicitly stated and the rationale shall be described. A description of each instrument design, with a block diagram showing the instrument systems and their interfaces, along with a description of the estimated performance of the instrument, shall be included. These instrument and performance characteristics (which shall be considered as requirements on the flight system) shall include mass, power, volume, data rate(s), thermal, pointing (such as control, stability, jitter, drift, and accuracy), relevant resolution, observable precision, retrieved parameter sensitivity and accuracy, and calibration requirements. This section shall demonstrate that the instrumentation can meet the measurement requirements, including factors such as retrieval results for each remote sensor, error analysis of the information in all sensors, vertical and horizontal resolution, and signal-to-noise (S/N) calculations. It shall also discuss effects, such as radiation, temperature and contamination, on each instrument’s measurement capabilities as a function of mission time.

Requirement CS-21. The following information shall be provided for each science instrument proposed:

- Mass (include lower level breakouts);
- Viewing direction in body coordinates;
- Pointing accuracy and stability requirements
- Operational modes;
- Operational mode timeline;
- Data demand for each instrument operational mode;
- Onboard data processing and storage required from spacecraft;
- Power demand for each instrument operational mode including peak, average, and stand-by power; and
- Instrument thermal control capability.

#### F.4 Data Sufficiency

Requirement CS-22. This section shall discuss the quality and quantity of data to be generated by each instrument, as they relate to the proposed science investigation goals and objectives. The flow-down from science investigation goals to measurement objectives and instrument performance shall be stated clearly and supported by quantitative analysis.

#### F.5 Data Plan

Requirement CS-23. A schedule-based end-to-end data management plan, including approaches for data retrieval, validation, preliminary analysis, image processing, calibration, correction, and archiving shall be described. The plan shall:

- Identify science products (*e.g.*, flight data, ancillary or calibration data, theoretical calculations, higher order analytical or data products, and laboratory data), including a list of the specific data products, and the individual team members responsible for the data products;
- Identify the appropriate data archive and the formats and standards to be used. If a NASA archive is not identified, discuss how the mission will satisfy NASA's obligation to preserve data for future researchers.
- Include an estimate of the raw data volume and a schedule for the submission of raw and reduced data, in physical units accessible to the science community, to the data archive, as well as required calibration information to the data archive; and
- Demonstrate allocation of sufficient resources (cost, schedule, workforce, computational) for archiving as well as for preliminary analysis of the data by the Project Science Team, publication of the results in refereed scientific journals, as well as for the development of any new algorithms, software, or other tools; ~~and~~.

#### F.6 Science Team

Requirement CS-24. This section shall identify each key member of the science team (*i.e.*, one whose participation is essential to the success of the investigation) and his/her roles and responsibilities. Resumes or curricula vitae of science team members shall be included as appendices to the CSR. The role of each co-investigator (Co-I) shall be explicitly defined, the necessity of that role shall be justified, and the funding source (NASA or contributed) for the PI

and each Co-I shall be noted. Non-funded members of the science team shall be identified in the CSR as collaborators; the role of collaborators may be defined and justified.

#### F.7 Plan for SEO or STEO

Requirement CS-25. If applicable, this section shall describe plans for science enhancement option (SEO) or science/technology enhancement option (STEO) activities (see Section 5.1.5 of the AO or 4.4.5 of the SALMON AO). Additionally, a justification and a cost plan for SEO or STEO activities are required in Section L of this document.

### G. MISSION IMPLEMENTATION

#### G.1 General Requirements and Mission Traceability.

Requirement CS-26. This section shall provide a description of the proposed spaceflight mission that will enable the science investigation. In some areas (*e.g.*, instruments), the data requested may have already been presented in another section of the CSR (*e.g.*, the Science Implementation section). In such a case, a CSR may provide a reference to that section and need not repeat the data in this section.

Requirement CS-27. The mission functional requirements that the science goals and objectives impose on the mission design elements, including mission design, instrument accommodation, spacecraft design, required launch vehicle capability, ground systems, communications approach, and mission operations plan, shall be provided in tabular form and supported by narrative discussion. Table B2 in Appendix B of the AO or Table B.4 of the PEA provide examples of a tabular Mission Traceability Matrix, with examples of matrix elements. Specific information that describes how the science investigation imposes unique requirements on these mission design elements shall be included.

#### G.2 Mission Concept Descriptions.

Requirement CS-28. Designs for all elements of the mission shall be described in sufficient detail to demonstrate that the concept meets all of the basic requirements for a space flight mission, including mission design, spacecraft design, and supporting ground systems. Discussion of how the various mission elements meet the Mission Functional Requirements shall be included.

Requirement CS-29. This section shall address all elements of the mission design architecture, including the following elements to the extent that they are applicable to the mission. Any additional elements that are applicable to explaining the mission and demonstrating its feasibility shall also be addressed.

- Proposed launch date launch window, and launch date flexibility;
- Mission duration;
- Orbit type (Earth orbit, heliocentric, etc.) and orbit parameters (semi-major axis, eccentricity, inclination, node time of day, argument of perigee, altitude) for all orbits, and trajectory

design and trajectory parameters for ballistic and low-thrust trajectories to permit independent validation, as applicable to the proposed investigation;

- All critical events, which includes launch vehicle separation real-time telemetry;
- Telecomm link summary for all communication modes (based on requirements identified in Appendix M.18, Communications Design Data);
- All ground station(s) usage (*e.g.*, location(s), and transmitting and receiving communication parameters); and
- Space system's fault management approach and design.

Requirement CS-30. For proposals submitted to the AO, this section shall demonstrate compatibility with the proposed performance level launch vehicle as defined in the AO and the Explorer Program Library by providing the fairing size, spacecraft mass, launch mass margin, and mission orbit characteristics such as altitude, eccentricity, and inclination. Any non-standard requirements such as additional fairing doors, cleanliness and purge requirements, *etc.*, shall be described. The packaged flight system in the proposed fairing, with critical clearance dimensions, and preliminary estimates of launch loads and structural margins shall be included.

Explorer Phase A study teams are to continue to use the launch vehicle performance classes described in Section 5.9.2 of the AO and in the Explorer Program Library. Explorer Phase A study teams should work with Diana Calero, (321) 867-8197, Diana.M.Calero@nasa.gov, for Launch Services Program support.

Requirement CS-31. This section shall address all aspects of the flight system including the following flight system capabilities to the extent that they are applicable to the mission. Any additional elements that are applicable to explaining the mission and demonstrating its feasibility shall also be addressed. Note that the heritage of the components and subsystems are to be discussed in Appendix M.14.

- Spacecraft Parameters:
  - (a) Figure of the complete spacecraft/instrument system, on the launch vehicle and in-flight, with major components labeled and approximate overall dimensions.
  - (b) Block diagram of the spacecraft subsystems and their components.
- Subsystem descriptions including structure, telecommunications, thermal, power, propulsion, attitude determination and control, command and data handling, and flight software, to include their interface and interaction with the fault management design. (Note that the discussion of the telecommunications subsystem should be limited to specifications, design, and proposed component hardware – discussion of the link performance is addressed as part of Appendix M.18). Subsystem detail shall include the following information:
  - (a) Propulsion including (i) a list of all specific events of the proposed delta-V budget (including 3-sigma values for stochastic maneuvers); (ii) for each propulsion mode propulsion type(s) (monoprop, bi-prop, dual-mode, solar electric, *etc.*), engines and thrust levels, specific impulse, and propellant allocation (impulse vs. attitude control system); (iii) propellant margin.

- (b) Command and Data Handling including (i) spacecraft housekeeping data rates for nominal and safing strategy; (ii) data storage unit size (Mbits); (iii) maximum storage record and playback rate.
- (c) Power: As appropriate, identify (i) type of array structure (rigid, flexible, body mounted); (ii) solar array axes of rotation (vector projected in spacecraft coordinates); (iii) array size; (iv) solar cell type and efficiency; (v) expected power generation at Beginning of Life and End of Life; (vi) worst case Sun incidence angle to solar panels during science mission; (vii) battery type and storage capacity; (viii) worst case battery Depth of Discharge (DOD); (ix) spacecraft bus voltage; and (x) power profiles and margins for all power modes.
- (d) Attitude Determination and Control, including system pointing requirements and capabilities. Describe or define the following: (i) each spacecraft operational mode including the sensors and actuators used, control method, and safing and/or contingency modes; (ii) attitude determination methodology and estimate of accuracy including identifying whether ground post-processing is required to meet science needs; (iii) agility requirements for slews or scanning; (iv) appendage pointing requirements including articulation control methods and deployment accommodations; (v) sensor selection and performance including identifying mounting location and field-of-view (FOV); (vi) actuator selection and sizing including identifying mounting location(s); (vii) translational maneuver (Delta-V) control and accuracy; (viii) momentum management approach and mitigation of impacts on navigation accuracy, if applicable; (ix) on-orbit calibrations, if required, including expected accuracy; (x) attitude control requirements for the spacecraft pointing control, pointing knowledge (at the instrument interface), pointing stability or jitter.
- (e) Thermal control, including (i) temperature requirements; (ii) temperature control approach (*i.e.*, passive *vs.* active); and (iii) special thermal design considerations (*e.g.*, cryogenic instrument requirements).
- (f) Structures, including requirements, governing load cases and margins, chosen materials, and their qualification testing.
- (g) Flight Software: (i) Provide a description of the software architecture including the operating system and the major software modules to a sufficient depth to demonstrate how this software architecture supports the proposed mission functions; (ii) Indicate the estimated lines-of-code for each major module and the basis for these estimates; (iii) Address the development approach for any major new algorithms to be incorporated in the flight software including the approach for interface management and software verification.

Requirement CS-32. This section shall summarize contingencies and margins of all key flight systems resources. For the driving mission element requirements derived from the Mission Functional Requirements, it shall provide estimates of implementation performance and design margins with respect to the required performance. It shall include the following:

- Mass;
- Propellants;
- Power;
- CPU utilization
- Data Storage; and

- Attitude Control.

For any other driving mission element requirements derived from the Mission Functional Requirements, provide estimates of implementation performance and design margins with respect to the required performance (see the table following Requirement B-34 in Appendix B of the AO or the table in Section VIII in Appendix B of the SALMON AO for definitions of contingency and margin).

Requirement CS-33. This section shall address the following elements of mission operations and communication to the extent they are applicable to the mission. Any additional elements that are applicable to explaining the mission operations and demonstrating their feasibility shall also be addressed. This section shall provide

- Description of ground systems and facilities including supporting ground software at the Mission Operations Center (MOC) and the Science Operations Center (SOC) required for development and testing and operations;
- Telecommunications, Tracking, and Navigation (Deep-Space/Lunar and Earth Orbital missions, as well as missions that utilize telecom relay orbiters) including downlink information and data volume, uplink information, and for all transmit and receive modes, provide mode timeline, data rate(s), and durations, and the ground network utilization plan including ground stations, downlink frequencies/ periods/ capacities/ margins, etc., retransmission capability;
- Plan for acquiring and returning critical event data, including clear identification of procurement and costing for supplemental resources (*e.g.*, mobile ground stations) if such are needed;
- Operations plan, including a quantitative discussion of nominal sequence planning and commanding showing the ability of the Mission Operations and Ground Data System to analyze the spacecraft and payload data and to generate the necessary sequences to enable the spacecraft to meet the planned mission timelines, team training, and availability of spacecraft experts for operations, operations center development; and
- Operational concept that includes the following. Operational Scenarios with a description of each mission phase from launch through end of mission and an integrated description of the ground events and spacecraft/payload events for key mission phases. Timelines for each key mission phase; containing S/C, Payload, and ground events and processing and identifying margin for each phase if available. Data Flow Diagrams which clearly show the major operational facilities and key software components utilized for both the uplink and downlink processes. A Phase E Organization diagram and Team Responsibilities clearly indicating the key manager for each of the project facilities in the data flow diagram. An identification of the heritage of each project facility including: the software and hardware within that facility and the identification of the percentage of new, modified or no changes for each major software element. A plan for required maintenance and refresh of vender supplied ground systems (hardware and software) during extended cruise operations. A plan for retention of adequate development and test resources, spacecraft and GSE test beds, etc. during Phase E that addresses the impact of operations development and testing on routine and contingency mission operations.

### G.3 Development Approach.

Investigation teams shall describe how all development challenges, including those associated with new technology, will be addressed.

Requirement CS-34. This section shall describe the development plan. This description shall include the following items:

- The systems engineering approach shall be specifically discussed, including the definition, flow-down, tracking, control, and verification of design requirements; resource allocation and control; interface requirements; and hardware and software configuration control. This discussion of the systems engineering approach shall include roles and responsibilities and any unique aspects of the proposed mission that pose unusual System engineering challenges;
- Identification of instrument to spacecraft interfaces;
- Discussion of fault management approach and design;
- Identification of any special or unique implementation / interfaces for supplemental resources that may have been added for critical event coverage;
- Essential trade studies;
- Management and closure of action items, hardware discrepancies, test anomalies, *etc.*; and
- Plan for handling special processes (*e.g.*, if radioactive sources are proposed, the approach to supporting the development, submittal, and approval of the necessary NEPA process and the Nuclear Safety Launch Approval process).

Requirement CS-35. This section shall describe the plan for mission assurance. Plans for using reliability tools, such as fault tree analysis, probabilistic risk assessments, and failure modes and effects analyses, shall be described. Other mission assurance activities such fault tolerance, reliability (*e.g.*, use or non-use of redundancy, requirements for burn-in of parts, and requirements for total operating time without failure prior to flight). Processes for identifying and tracking the correction of failures, both hardware and software, from the piece part to the system level shall be described.

### G.4 New Technologies/Advanced Developments.

Requirement CS-36. This section shall describe any proposed new technologies and/or advanced developments and the approaches that will be taken to reduce their associated risks. If no advanced development is required, the justification for TRL 6 or above shall be clearly demonstrated. These descriptions shall address the following topics:

- Identification and justification of the TRL for each proposed new development and/or advanced development at the time the CSR is submitted (for TRL definitions, see NPR 7120.8, *NASA Research and Technology Program and Project Management Requirements*, in the Program Library);
- Rationale for combining the TRL values of subsystems to derive the full system TRL as proposed;
- Rationale for the stated TRL value of a system that is an adaptation of an existing system of known TRL;
- Plan for maturing each of the identified items to a minimum of TRL 6, defined as “system/subsystem model or prototype demonstration in a relevant environment, space, or

ground” by the end of Phase B (include discussion of simulations, prototyping, systems testing, life testing, *etc.*, as appropriate);

- An estimate of the resources (manpower, cost, and schedule) required to complete the technology development; and
- Fallbacks/alternatives that exist and are planned, a description of the cost, decision date(s) for fallbacks/alternatives, relevant development schedules, and performance liens they impose on the baseline design, and the decision milestones for their implementation.

#### G.5 Assembly, Integration, Test, and Verification.

Requirement CS-37. An illustration and discussion of the time-phased flow of the Integration and Test (I&T) Plan shall be presented. Additionally, the key facilities, test beds, and team members involved in the I&T Plan shall be summarized.

Requirement CS-38. The project's verification approach shall be described in this section. Flow diagrams, narrative text, and/or other relevant data may be used to convey this information. Elements of the approach that pose special challenges for the project (*e.g.*, mission critical performance or functional requirements that can't be tested on the ground, special facilities that may be required for testing, large scale simulation tools that must be developed and how they will be validated, critical path items, *etc.*) shall be highlighted. The description of testing and verification shall demonstrate the credibility of the overall approach as reflected by consistency between the described test plans and the schedule, cost, and other resources needed to carry them out. The testing and verification of the space system's fault management approach and implementation shall be discussed.

#### G.6 Schedule.

Requirement CS-39. A project schedule foldout (or foldouts) covering all phases of the investigation shall be provided. This foldout will not be counted against the page limits. The schedule format shall indicate the month and year of each milestone, have a corresponding table of dates, and follow standard NASA WBS elements for task descriptions as prescribed in NPR 7120.5D NID. The schedule foldout and accompanying narrative shall address major milestones, including the following items:

- Spacecraft development, integration and test, and major review dates;
- Instrument development and major review dates including instrument-to-spacecraft/host integration and test;
- Ground systems development and major review dates (*e.g.*, mission operations and data analysis development schedule);
- Major deliverables (*e.g.*, ICDs, simulators, engineering modules, flight modules, *etc.*);
- Spacecraft/launch vehicle integration and launch readiness;
- Long-lead item specifications, development paths, and their impacts to schedule;
- Development schedule for student collaborations (SCs), science enhancement options (SEOs), or science/technology enhancement options (STEOs) if any;
- Schedule critical path identification, including any significant secondary critical paths; and

- Funded schedule reserve, with indications of appropriate reserves associated with major milestones and deliverables, including allocated critical path reserves.

## H. MANAGEMENT

Requirement CS-40. This section shall describe the management approach, including essential management functions and the overall integration of these functions:

- The organizational structure, including
  - (a) An organization chart that clearly indicates how the investigation team is structured;
  - (b) The internal operations and lines of authority with delegations, together with internal interfaces;
  - (c) Relationships with NASA, major subcontractors, and associated investigators; and
  - (d) The names of the primary team members, their organizations, and their reporting relationships in the program
- The commitments and the roles and responsibilities of all institutional team members, including team members responsible for E/PO (as applicable).

Requirement CS-41. This section shall demonstrate how the proposer's plans, decision-making processes, tools (including performance measurement and reporting), and organization will be applied to manage and control the project during development and operation. The decision-making processes that the team will use, focusing particularly on the roles of the PI, Project Manager (PM), and Project Systems Engineer (PSE) in that process shall be described. In particular, the management processes as they apply to the relationships among organizations and key personnel shall be described, including systems engineering and integration; requirements development; configuration management; schedule management; team member coordination and communication; progress reporting (both internal and to NASA); performance measurement; and resource management. This discussion shall include all phases of the mission, including preliminary analysis, technical definition, design and development, and operations phases, as well as products and results expected from each phase. Include a clear description of the methods and frequency of planned communication within the project team.

Requirement CS-42. This section shall summarize the relevant institutional experience and refer to supporting detail included in Section M.2, Relevant Experience and Past Performance. If experience for a partner organization is not equivalent to, or better than, the requirements for the proposed mission, explain how confidence can be gained that the mission can be accomplished within cost and schedule constraints

Requirement CS-43. Each key position, including its roles and responsibilities, how each key position fits into the organization, and the basic qualifications required for each key position, shall be described. A discussion of the unique or proprietary capabilities that each member organization brings to the team, along with a description of the availability of personnel at each partner organization to meet staffing needs shall be included. The contractual and financial relationships between team partners shall be described.

Requirement CS-44. This section shall name all of the team members who will occupy the key project management positions identified in Requirement CS-43. It shall describe the previous

work experience of each of these key individuals, including the outcomes and complexity of the work they did, and it shall explain the relevance of these experiences to the responsibilities of the key project management positions they will occupy. It shall address the role(s), responsibilities, commitments by phase, and percentage of time devoted to the mission for the PI, PM, PSE, and all other named key management individuals, and shall provide reference points of contact, including address and phone number, for each of these individuals.

Requirement CS-45. This section shall describe plans for risk management, both in the overall mission design and in the individual systems and subsystems. NASA's required risk management procedures are provided in NPR 8000.4, Risk Management Procedural Requirements, which is available through the Explorer Program Library. The *Explorer Program Safety, Reliability, and Quality Assurance Requirements* document, available through the Program Library, will also apply. Plans for using standard risk management tools, including probability and impact charts, risk lists, mitigation plans and triggers shall be described. The role(s) in the risk management process of each of the key management personnel shall be discussed.

When quantitative risk assessments are given, the probability and impact of occurrence must be specified before mitigation, and specifying probability and impact after mitigation is encouraged (but not required).

Requirement CS-46. A summary of reserves in cost and schedule shall be identified by Phase, project element, and year, and the rationale for them shall be discussed. The specific means by which integrated costs, schedule, and technical performance will be tracked and managed must be defined. Specific reserves and the timing of their application must be described. Management of the reserves and margins, including who in the management organization manages the reserves and when and how the reserves are released, must be discussed. This must include the strategy for maintaining reserves as a function of cost-to-completion. All funded schedule margins shall be identified. The relationship between the use of such reserves, margins, potential descope options, and their effect on cost, schedule, and performance must be fully discussed. When considering potential descope options, consider the investigation as a total system including instrument(s), spacecraft, ground system, launch services, and operations.

Requirement CS-47. This section shall clearly delineate the Government-furnished property, services, facilities, etc. required to accomplish all phases of the mission.

Requirement CS-48. This section shall list the major project reviews expected to be conducted during the project's life cycle consistent with NPR 7120.5D NID and the approximate time frame in the Project Schedule each review will occur.

Note that regular reviews of the progress of the E/PO component of the missions must be held in the same way that progress on the scientific and technical aspects are reviewed.

Requirement CS-49. The E/PO plans, including management, schedule, and funding profile, shall be compliant with SMD Policy Document SPD-18 "Policy and Requirements for the E/PO Programs of SMD Missions." In addition, the E/PO plan shall budget for E/PO lead participation

in annual NASA SMD ~~Planetary~~ Science Education and Public Outreach Forum (SEPOF) E/PO meetings. Information about the ~~Planetary~~ SEPOF may be found at <http://science.nasa.gov/researchers/education-public-outreach/science-education-and-public-outreach-forums/>. E/PO plans are optional for MOs.

Requirement CS-50. This section shall clearly describe the approach to reporting progress to the Government and indicate the progress reviews the Government is invited to attend to provide independent oversight. The process, including the individual or organization responsible for reporting integrated cost, schedule, and technical performance must be discussed. A description of the information to be presented must be included.

Requirement CS-51. This section shall describe plans to retire risk due to uncertainty associated with contributions by the end of Phase A. It shall address:

- Commitments for contributions from implementing organizations and/or other funding agencies. Letters of commitment from all organizations involved in a contribution, particularly including the implementing organization (e.g., laboratory or institute) and, if external funding is required, the funding agency (e.g., national space agency) shall be provided as an appendix (see Section M.1, Requirement CS-81 and Requirement CS-82).
- Mitigation plans, where possible, for the failure of funding or contributions to be provided when that funding or contributions is outside the control of the PI. Mitigation may include, but is certainly not limited to, descoping the contributed items and/or holding reserves to develop the contribution directly. Note that reserves held for this purpose are considered encumbered. When no mitigation is possible, this must be explicitly acknowledged, and the stability and reliability of proposed partners, as well as the appropriateness of any proposed contribution, should be addressed.
- Acknowledgement of the complexities and risks involved with contributions, and plans to handle those complexities or risks. This includes the schedule risk for implementing technical assistance agreements and international agreements. An adequate and realistic schedule must be allocated for having international agreements executed. NASA will not begin working on any international agreements until after the continuation decision is made.

#### I. OTHER FACTORS TO BE EVALUATED, INCLUDING EDUCATION AND PUBLIC OUTREACH, STUDENT COLLABORATIONS, AND SMALL DISADVANTAGED BUSINESS SUBCONTRACTING

Requirement CS-52. This section shall describe a detailed E/PO plan (as applicable). This plan shall include:

- A summary description of the planned E/PO effort;
- A summary of the benefits offered by the mission beyond the scientific benefits brought by obtaining and analyzing the desired scientific data;
- Plans for product development and dissemination, contributions to the training of underserved and/or underutilized groups in science and technology, arrangements with partners, schedules and budgets for activities, defined in sufficient detail to be evaluated.
- Where appropriate, references to the Management Plan (Section H of these guidelines) and other relevant sections for information on how the work is to be arranged, directed, implemented, reviewed, and reported.

- Letters of commitment from partners/subcontractors and resumes from key E/PO personnel shall be included as appendices to the CSR (Section M.1 of these guidelines).
- The E/PO plans, including management, schedule, and funding profile, shall be compliant with SMD Policy Document SPD-18 "Policy and Requirements for the E/PO Programs of SMD Missions." In addition, the E/PO plan shall budget for E/PO lead participation in annual NASA SMD ~~Planetary~~ Science Education and Public Outreach Forum (SEPOF) E/PO meetings. Information about the ~~Planetary~~ SEPOF may be found at <http://science.nasa.gov/researchers/education-public-outreach/science-education-and-public-outreach-forums/>.

Requirement CS-53. If a Student Collaboration is proposed, this section shall describe a detailed plan. This plan shall include:

- A statement that clearly identifies the SC as an E/PO element;
- A summary description of the planned SC;
- A development schedule for the SC, including decision points for determining readiness for flight;
- A demonstration of how the SC will be incorporated into the mission investigation on a non-impact basis;
- A demonstration of how the SC will be clearly separable from the rest of the mission investigation;
- An adequate plan for the mentoring and oversight of students to maximize the opportunity for teaching, learning, and success in contributing to the mission; and
- Identify the cost of the SC separately from the investigation.

Requirement CS-54. A Small/Small Disadvantaged Business (SDB) subcontracting plan, covering phases B/C/D/E/F, shall be provided as an appendix; see Section M.15, Requirement CS-96.

## J. PRELIMINARY DESIGN AND TECHNOLOGY COMPLETION (PHASE B) PLAN

Requirement CS-55. This section shall address plans and products for the Preliminary Design and Technology Completion Phase (Phase B). It shall identify the key mission tradeoffs to be performed and options to be investigated during Phase B that could lead to reductions in risk of implementation, including those issues, technologies, and decisions points critical to mission success. This section shall also describe and provide the rationale for any anticipated long-lead acquisitions.

Requirement CS-56. The Phase B Plan shall include a detailed schedule, and shall define the products to be delivered and the schedule for their delivery. The schedule shall include the PDR and delivery dates of the following required products:

- A detailed descope plan including the criteria, impact and savings of descope options;
- A complete set of Baseline Level 1 requirements including mission success criteria; and
- The baseline project plan.

Requirement CS-57. If more than one contractual arrangement is needed, a separate SOW and budget breakout shall be provided for each organization. Subsequent phases will be added to the contract after each phase has been approved through the confirmation review process.

## K. COST PROPOSAL

Requirement CS-58. A Work Breakdown Structure (WBS) as defined in NPR 7120.5D NID shall be provided and used to describe how all project costs are accounted in the cost proposal.

Requirement CS-59. This section shall detail the estimated cost of the proposed investigation. The estimated cost shall encompass all proposed activities, including all applicable mission phases, mission unique or special launch services, flight systems, ground systems, ground network fees, contributions, core E/PO program (as applicable), any other AO-specific activities (e.g., SC), and all cost reserves. Cost for ground network fees, data archive, and other mission-unique elements shall be clearly described. These costs shall be consistent with the policies and requirements in Sections 4 and 5 of the AO or the PEA.

Requirement CS-60. This section shall describe the methodologies used to develop the cost estimate and provide an overview of the cost estimate development process. Any additional cost estimates or other validation efforts shall be described, the results presented, and any significant discrepancies discussed. The rationale for the proposed cost reserve levels shall be presented. Additional Basis of Estimate data shall be provided to assist the validation of the costs estimates. Examples of useful Basis of Estimate data include cost comparisons to analogous items/missions, vendor quotes, and parametric model results.

Requirement CS-61. This section shall discuss cost risks and mitigation strategies.

Requirement CS-62. This section shall provide a foldout cost table, using the template of Cost Table Template 1, which will not be counted against the page limit. The table shall identify the proposed cost required in each mission phase and in each fiscal year; the costs shall be in RY\$. The top portion of the table shall contain cost data relevant to the PI-managed Mission Cost. The lower portion shall contain cost data for contributions and enhanced mission costs. The rows in the table shall be the NASA standard WBS elements as defined in NPR 7120.5D NID. The costs for most elements shall be provided to WBS level 3. It is requested that instruments be shown to WBS level 4 where the data is available. Exceptions are the costs of individual instruments and any unique flight system elements such as landers or sample return capsules, which shall be explicitly shown. The columns in the table shall be grouped and subtotaled by mission phase and shall be labeled with the appropriate fiscal years. Fiscal years that span more than one mission phase shall be split into two columns by mission phase. The table includes totals by phase and life cycle in RY\$ and FY11\$. Investigation teams shall use their own forward pricing rates to translate between RY\$ and FY11\$. For organizations that are without approved forward pricing rates, investigation teams may use the NASA inflation/deflation indices in Table B4 of the AO and Table B.7 of the PEA to translate between real year dollars (RY\$) and fiscal year 2011 dollars (FY11\$).

Requirement CS-63. The CSR cost proposal shall provide information on the anticipated costs for all mission phases. A detailed cost proposal is required for Phase B. Cost estimates are also required for the follow on phases (C/D, and E, F) including a description of the estimating techniques used to develop the cost estimates. See Section L for requirements for any SEO or STEO costs. A discussion of the basis of estimate shall be provided, with a discussion of heritage and commonality with other programs. Quantify and explain any cost savings that result from heritage. All costs, including all contributions made to the investigation, shall be included. Specific information that would better enable NASA to validate costs (e.g., WBS level\_3 data) may be provided as an appendix (see Appendix M.16). This will include cost by fiscal year to the lowest level of detail the project is working with, in Microsoft Excel format.

Requirement CS-64. Provide a table with the new obligation authority (NOA) required in RY dollars by FY using the format of Cost Table Template 6. If the mission is selected for flight, SMD will use this information to prepare its budget request.

Requirement CS-65. For Phase B only, a Time Phased Cost Breakdown for each WBS element, using the template of Cost Table Template 2, shall be completed. Use only the line items shown in Cost Table Template 2 that are relevant for each phase of the project. The purpose of this set of tables is to provide detailed insight into how the project allocates funding during each phase of work.

Requirement CS-66. The cost of the entire project shall be summarized on one page, and presented using the template of Cost Table Template 3. The purpose of the table is to (1) provide detailed insight into project costs by cost element and (2) provide a basis for comparison of the project proposed cost with the evaluation team's independent cost analysis. Identify each reserve amount to the lowest level consistent with the proposed reserve management strategy. For example, if each subsystem manager will have spending authority over a reserve for the subsystem, each such amount shall be identified separately. If more convenient, the reserve details may be shown in a separate table, with totals reported using the template of Cost Table Template 3. Show costs (NASA SMD and contributed) associated with each Co-I using the template of Cost Table Template 4 in one page; all Co-Is shall be identified in this table.

Requirement CS-67. All contributions provided by NASA Centers, including Civil Servant services, as well as the cost for the use of Government facilities and equipment on a full-cost accounting basis, shall be included. All direct and indirect costs associated with the work performed at NASA Centers shall be fully costed and accounted for in the CSR and summarized in one page using the template provided using the template of Cost Table Template 5. The purpose of this data is twofold: 1) to determine those costs that are included in the NASA SMD cost but are not funded out of the Explorer program, and 2) to determine civil service contributions that are not included in the NASA SMD cost. Teams should work with their respective NASA Centers to develop estimates for these costs. Contributions by NASA Centers should be documented by a Letter of Commitment, provided as an appendix (see Section M.1, Requirement CS-81 and Requirement CS-82).

Definitions for cost element terms shown in the cost tables are provided in Appendix C.2 of the AO.

Requirement CS-68. The inflation index provided in Table B4 of the AO and Table B.7 of the PEA shall be used to calculate all real-year dollar amounts, if an industry forward pricing rate is not available. If something other than the provided inflation index is used, the rates used must be documented.

Requirement CS-69. All costs shall include all burdens and profit/fee in real-year dollars by fiscal year, assuming the inflation rates used by NASA (Table B4 of the AO and Table B.7 of the PEA) or specifically documented industry forward pricing rates.

Requirement CS-70. This section shall provide a detailed cost proposal for performing Phase B. The cost proposal should correlate with the plans set forth in the Science, Technical Approach, and Management sections of the concept study. This cost proposal shall include the following elements:

- Contract Pricing Proposal. Complete cost and pricing data for Phase B shall be included with the CSR as an appendix (see Section M.4 and Requirement CS-85).
- Work Breakdown Structure. A WBS shall be provided for Phase B. The structure of the WBS should be consistent with the plans set forth in the Technical Approach and Management sections of the concept study and the Statement of Work provided as an Appendix to the concept study. The WBS shall be described to the subsystem level (e.g., Attitude Control System, Propulsion, Structure and Mechanisms) for the spacecraft, to at least the instrument level for simple instruments, and to the major component level for more complicated instruments. All other WBS elements shall be at least to the major task level (e.g., Project Management, Systems Engineering, Ground Support Equipment).
- Workforce Staffing Plan. A workforce staffing plan that is consistent with the WBS shall be provided. This plan shall include all team member organizations and must cover all management, technical (scientific and engineering), and support staff. The workforce staffing plan shall be phased by month. Time commitments for the PI, PM, Co-Is, and other key personnel must be clearly shown.
- Proposal Pricing Technique. The process and techniques used to develop the cost proposal for Phase B shall be described. For portions of the cost proposal developed with a grass-roots methodology, the bases from which the estimates were derived and details on how the estimates were extrapolated from the bases shall be provided. For portions of the cost proposal derived from vendor quotes/historical actuals/catalogue prices/etc., information sufficient to understand the fidelity of the values shall be provided. For portions of cost the proposal derived from analogies, the value of and the methodology for extrapolating the analogy shall be described. For portions of the cost proposal derived parametrically, the cost-estimating model(s) and techniques used in the cost estimate for Phase B shall be described. The heritage of the models and/or techniques applied to this estimate, including any differences between missions contained in the model's data base and key attributes of the proposed mission shall be described. Assumptions used as the basis for the cost for Phase B shall be included, and those that are critical to cost sensitivity in the investigation shall be identified. If any "discounts" were assumed in the cost estimates for business practice initiatives or streamlined technical approaches, a description of how these have been incorporated in the cost estimate and will be managed by the investigation team shall be provided.

- Phase B Time-Phased Cost Summary. A summary of the total costs for Phase B consistent with the table created for Requirement CS-65 (Cost Table Template 2) shall be provided. The cost summary for Phase B shall be developed consistent with the WBS and must include all costs to NASA SMD along with all contributed costs. The time phased cost summary for Phase B shall be phased by month.
- Elements of Cost Breakdown. Cost or pricing data as defined in FAR 15.401 and supporting evidence stating the basis for the estimated costs by the WBS levels used in the table created for Requirement CS-65 (Cost Table Template 2) shall be provided. This information is in addition to that provided in Requirement CS-62 through Requirement CS-66 (Cost Table Templates 1 through 5). The cost proposal shall include, but is not limited to, the following cost elements:
  - (a) Direct Labor. (i) The basis of labor-hour estimates for each of the labor classifications; (ii) the number of productive work-hours per month; (iii) a schedule of the direct labor rates used in the proposal, with a discussion of the basis for developing the proposed direct labor rates for the team member organizations involved; the forward-pricing method (including midpoint, escalation factors, anticipated impact of future union contracts, etc.); and elements included in the rates, such as overtime, shift differential, incentives, and allowances; (iv) if available, evidence of Government approval of direct labor rates for proposal purposes for each labor classification for the proposed performance period; and (v) if Civil Servant labor is to be used in support of the Phase B study, but is not to be charged directly to the investigation, this labor shall be considered as a contribution by a domestic partner, subject to the same restrictions as other contributions by domestic or foreign partners, and a discussion of the source of funding for the Civil Servant contributions shall be provided.
  - (b) Direct Material. A summary of material and parts costs for each element of the WBS shall be provided.
  - (c) Subcontracts. Each effort (task, item, etc., by WBS element) to be subcontracted, and list the selected or potential subcontractors, locations, amount budgeted/proposed, and types of contracts shall be identified. Explain the adjustments, if any, and the indirect rates (or burdens) applied to the subcontractors' proposed or anticipated amounts. Describe fully the cost analysis or price analysis and the negotiations conducted regarding the proposed subcontracts.
  - (d) Other Direct Costs: (i) A summary of travel and relocation costs, including the number of trips, their durations, and their purposes; (ii) a summary of all unique computer related costs; (iii) specific task areas of problems that require consultant services, including the quoted daily rate, the estimated number of days, associated costs (*e.g.* travel) if any, and a statement of whether the consultant has been compensated at the quoted rate for similar services performed with Government contracts; and (iv) any other direct costs included in the proposal for Phase B, provided in a manner similar to that described above.
  - (e) Indirect Costs. (i) all indirect expense rates for the team member organizations (in the context of the AO or the PEA, indirect expense rates include labor overhead, material overhead, general and administrative [G&A] expenses, and any other cost proposed as an allocation to the proposed direct costs); (ii) a schedule of off-site burden rates, including a copy of the company policy regarding off-site vs. on-site effort, if applicable; (iii) evidence of Government approval of any/all projected indirect rates for the proposed period of performance, including the status of rate negotiations with the cognizant

Government agency, and a comparative listing of approved bidding rates and negotiated actual rates for the past five fiscal years; and (iv) fee arrangements for the major team partners.

Requirement CS-71. This section shall provide a cost estimate for performing the Final Design and Fabrication/System Assembly, Integration and Test, and Launch (Phase C/D) portion of the mission. The Phase C/D cost estimates shall correlate with the plans set forth in the Science, Technical Approach, and Management sections of the CSR. In completing this section, the following guidelines will apply:

- Work Breakdown Structure. A WBS shall be included for Phase C/D. The WBS shall be described to the subsystem level (e.g., Attitude Control System, Propulsion System, Structure and Mechanisms) for the spacecraft and to the instrument level for the payload. All other elements of the WBS should be to the major task level (Project Management, Systems Engineering, Ground Support Equipment, E/PO, etc.).
- Cost Estimating Techniques. The process and techniques used to develop the Phase C/D cost estimate shall be described and a description of the cost estimating model(s) and techniques used in the Phase C/D cost estimate shall be provided. The heritage of the models applied to this estimate including any differences between missions contained in the model's database and key attributes of the proposed mission shall be discussed. Include the assumptions used as the basis for the Phase C/D cost and identify those that are critical to the cost sensitivity in the investigation. Identify any "discounts" assumed in the cost estimates for business practice initiatives or streamlined technical approaches and the basis for these discounts. Describe how these have been incorporated in the cost estimate and will be managed by the investigation team.
- Workforce Staffing Plan. A workforce-staffing plan (including civil service) that is consistent with the WBS shall be provided. This workforce-staffing plan shall include all team member organizations and should cover all management, manufacturing, technical (scientific and engineering), E/PO, and support staff. The workforce-staffing plan shall be phased by fiscal year. Time commitments for the PI, PM, and other key personnel shall be clearly shown.
- Phase C/D Time-Phased Cost Summary. A summary of the total Phase C/D costs consistent with the WBS in Requirement CS-65 (Cost Table Template 2) shall be provided. The Phase C/D cost summary shall be consistent with the WBS and shall include all costs to NASA, along with all contributed costs. The Phase C/D time-phased cost summary shall be phased by fiscal year. Phase C/D extends 30 days beyond launch so be sure to account for all costs for this period, including tracking support and mission operations.

Requirement CS-72. This section shall provide a cost estimate for performing the Operations and Sustainment Phase (Phase E) of the mission. The Phase E cost estimates shall correlate with the plans set forth in the Science, Technical Approach, and Management sections. In completing this section, the following guidelines will apply:

- Work Breakdown Structure. A WBS must be included for the Mission Operations and Data Analysis Phase of the mission. The WBS should be consistent with the plans set forth in the Technical Approach and Management sections and the Statement of Work that is provided as an Appendix.
- Cost Estimating Technique. Describe the process and techniques used to develop the Phase E cost estimate. For portions of the cost proposal developed using a grass-roots methodology,

provide the bases from which the estimates were derived and details on how the estimates were extrapolated from the bases. For portions of the cost proposal derived from vendor quotes/historical actuals/catalogue prices/etc. include sufficient information to understand the fidelity of the values. For portions of cost in the CSR derived from analogies, describe the value of and the methodology for extrapolating the analogy. For portions of the cost proposal derived parametrically, provide a description of the cost-estimating model(s) and techniques used in your Phase E cost estimate. Discuss the heritage of the models applied to this estimate including any differences between missions contained in the model's database and key attributes of the proposed mission. Include the assumptions used as the basis for the Phase E cost and identify those which are critical to cost sensitivity in the investigation. If any "discounts" were assumed in the cost estimates for business practice initiatives or streamlined technical approaches, describe how these have been incorporated in the cost estimate and will be managed by the investigation team.

- Workforce Staffing Plan. Provide a workforce staffing plan (including civil service) which is consistent with the WBS. This workforce staffing plan must include all team member organizations and must cover all management, manufacturing, technical (scientific and engineering), and support staff. The workforce staffing plan must be phased by fiscal year. Time commitments for the PI, Co-Is, PM, and other key personnel must be clearly shown.
- Phase E Time-Phased Cost Summary. Provide a summary of the total Phase E costs consistent with the WBS in Requirement CS-65 (Cost Table Template 2). The Phase E cost summary should be developed consistent with the WBS and must include all costs to NASA SMD, along with all contributed costs. The Phase E time phased cost summary must be phased by fiscal year.

Requirement CS-73. This section shall provide a cost estimate for performing the Closeout Phase (Phase F) of the mission. The Phase F cost estimates should correlate with the plans set forth in the Science, Technical Approach, and Management sections. In completing this section, the following guidelines will apply:

- Work Breakdown Structure. A WBS must be included for the Closeout of the mission. The WBS should be consistent with the plans set forth in the Technical Approach and Management sections and the Statement of Work that is provided as an Appendix.
- Cost Estimating Technique. Describe the process and techniques used to develop the Phase F cost estimate. For portions of the cost proposal developed using a grass-roots methodology, provide the bases from which the estimates were derived and details on how the estimates were extrapolated from the bases. For portions of the cost proposal derived from vendor quotes/historical actuals/catalogue prices/etc. include sufficient information to understand the fidelity of the values. For portions of cost the proposal derived from analogies, describe the value of and the methodology for extrapolating the analogy. For portions of the cost proposal derived parametrically, provide a description of the cost-estimating model(s) and techniques used in your Phase F cost estimate. Discuss the heritage of the models applied to this estimate including any differences between missions contained in the model's database and key attributes of the proposed mission. Include the assumptions used as the basis for the Phase F cost and identify those which are critical to cost sensitivity in the investigation. If any "discounts" were assumed in the cost estimates for business practice initiatives or streamlined technical approaches, describe how these have been incorporated in the cost estimate and will be managed by the investigation team.

- Workforce Staffing Plan. Provide a workforce staffing plan (including civil service) which is consistent with the Work Breakdown Structure. This workforce staffing plan must include all team member organizations and must cover all management, manufacturing, technical (scientific and engineering), and support staff. The workforce staffing plan must be phased by fiscal year. Time commitments for the PI, Co-Is, PM, and other key personnel must be clearly shown.
- Phase F Time-Phased Cost Summary. Provide a summary of the total Phase F costs consistent with Requirement CS-65 (Cost Table Template 2). The Phase F cost summary should be developed consistent with the Work Breakdown Structure and must include all costs to NASA SMD, along with all contributed costs. The Phase F time phased cost summary must be phased by fiscal year.

Requirement CS-74. This section shall summarize the estimated costs to be incurred in Phases A through F of the investigation for the E/PO component (**as applicable**). Detailed E/PO cost information shall be provided in the format of E/PO Templates 1, 2, and 3. Summary E/PO cost information shall be provided in Cost Table Templates 1 through 7 and be consistent with the E/PO Template information and the activities, products, programs, partnership arrangements, etc., defined in Section H. **Funding for MO E/PO activities are outside the PEA cost caps, and will therefore result in a separate decision by NASA as to whether to accept or reject these proposed expansions to the cost-capped baseline science mission.**

Requirement CS-75. This section shall summarize the estimated costs to be incurred in Phases A through F including: Concept and Technology Development (Phase A), Preliminary Design and Technology Completion (Phase B); Final Design and Fabrication (Phase C); System Assembly, Integration and Test, and Launch, extending through in-orbit checkout, usually launch plus 30 days (Phase D); Operations and Sustainment (Phase E); Closeout (Phase F); launch vehicle, upper stages, and launch services; ground system costs; and cost of activities associated with social or educational benefits (if not incorporated in any of Phases A through F). The table in Requirement CS-62 (Cost Table Template 1) must be used to summarize these costs. The total mission cost estimate shall be consistent with the Work Breakdown Structure. Detailed plans for any aspects of the mission not discussed elsewhere in the CSR shall be discussed here. The funding profile shall be optimized for the mission. Contributions not included in the NASA SMD cost shall be clearly identified as separate line items.

Immediately following the continuation decision (*i.e.*, down-selection), the contractor will be requested to submit a formal cost proposal based upon the Federal Acquisition Regulation (FAR) Part 15. The instruction and format for submission of this formal cost proposal are found in FAR Part 1 .403-5 and Table 15.2. The definitive contract will include an option provision for Phase B, C/D, E, and F with a not-to-exceed amount for each phase.

Requirement CS-76. The cost elements proposed in the formal proposal for contract award shall be traceable to the cost proposal provided in the CSR. Any changes in cost from the CSR shall be described in detail.

**COST TABLE TEMPLATE 1**  
**TOTAL MISSION COST FUNDING PROFILE TEMPLATE**  
(FY costs\* in Real Year Dollars, Totals in Real Year and FY 2011 Dollars)

Item	FY1	FY2	FY3	FY4	FY5	Fyn	...	Total (Real Yr.)	Total (FY 2011)
Phase A	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
- Organization B									
- etc.									
Phase B	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
Phases C and D	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
Phase E	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
Phase F	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
<b>PI Mission Cost</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
Contributions by Organization (Non-U.S. or U.S.) to:									
Phase A	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
Phase B	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
Phases C and D	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
Phase E	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
Phase F	\$	\$	\$	\$	\$	\$	\$	\$	\$
- Organization A									
<b>Contributed Costs (Total)</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Total Mission Cost</b>									\$

\* Costs must include all costs including fee

## COST TABLE TEMPLATE 2

(Phased costs in Real Year Dollars, Totals in Real Year and FY2011 Dollars)

TIME PHASED COST BREAKDOWN BY WBS AND MAJOR COST CATEGORY					
WBS/Cost Category Description	FY1	FY2	...	Total (RYS)	Total (FY11\$)
<b>Total Direct Labor Cost</b>	\$	\$	\$	\$	\$
WBS 1.0 Management					
WBS 2.0 Spacecraft					
WBS 2.1 Structures & Mechanisms					
WBS 2.2 Propulsion					
etc.					
<b>Total Subcontract Costs</b>	\$	\$	\$	\$	\$
WBS # and Description					
:					
etc.					
<b>Total Materials &amp; Equipment Cost</b>	\$	\$	\$	\$	\$
WBS # and Description					
:					
etc.					
<b>Total Reserves</b>	\$	\$	\$	\$	\$
WBS # and Description					
:					
etc.					
<b>Total Other Costs</b>	\$	\$	\$	\$	\$
WBS # and Description					
:					
etc.					
Fee					
E/PO					
Other (Specify)					
<b>Total Contract Cost</b>	\$	\$	\$	\$	\$
<b>Total Other Costs to NASA SMD</b>	\$	\$	\$	\$	\$
Launch Services					
Ground Segment					
E/PO					
Other (Specify)					
<b>Total Contributions (Non-U.S. or U.S.)</b>	\$	\$	\$	\$	\$
Organization A:					
WBS # and Description					
etc.					
Organization B:					
WBS # and Description					
etc.					
<b>TOTAL COST FOR PHASE</b>	\$	\$	\$	\$	\$

**COST TABLE TEMPLATE 3**  
**FISCAL YEAR COSTS IN REAL YEAR DOLLARS (to nearest thousand)**  
(Totals in Real Year and Fiscal Year 2011 Dollars)

WBS#	WBS Element	Phase A/B				Phase C/D				Phase E				Phase F		TOTAL		
		FY 1	FY n	RY Tot	FY Tot	FY1	FY2	FY n	RY Tot	FY Tot	FY 1	FY n	RY Tot	FY Tot	RY Tot	FY Tot	RY Tot	FY Tot
	Phase A																	
01	Project Management																	
02	Systems Engineering																	
03	Safety & Mission Assurance																	
04	Science / Technology																	
05	Payload(s)																	
	List each instrument separately																	
06	Spacecraft																	
	List each separate flight system element																	
07	Mission Operations																	
08	Launch Vehicle / Services																	
09	Ground System(s)																	
10	Systems Integration & Testing																	
11	Education and Public Outreach																	
	Reserves																	
	<b>PI-Managed Mission Cost</b>																	
	<b>Contributions</b>																	
	List by organization and WBS element																	
	Total Contributions																	
	<b>Total Mission Cost</b>																	
	<b>Other AO-specific Activities</b>																	
	List by activity and WBS element																	
	<b>Enhanced PI-Managed Mission Cost</b>																	
	Phase B Bridge Phase Funding (included above)																	

Label columns with actual fiscal years. Add or remove FY columns as necessary.

**COST TABLE TEMPLATE 4  
CO-I COMMITMENT AND COST  
FUNDING PROFILE TEMPLATE**

(FY costs in Real Year Dollars, Totals in Real Year and FY2011 Dollars)

	Phase B	Phases C and D	Phase E	Total (Real Year)	Total (FY 2011)
<b><i>NASA SMD Cost</i></b>					
Co-I #1 Name/Organization					
Percent Time					
Cost					
Co-I #2 Name/Organization					
Percent Time					
Cost					
Co-I #n Name/Organization					
Percent Time					
Cost					
<b>Total NASA SMD Co-I Cost</b>					
<b><i>Contributions</i></b>					
Co-I #1 Name/Organization					
Percent Time					
Cost					
Co-I #2 Name/Organization					
Percent Time					
Cost					
Co-I #n Name/Organization					
Percent Time					
Cost					
<b>Total Contributed Co-I Cost</b>					

**COST TABLE TEMPLATE 5  
NASA CIVIL SERVICE COSTS  
FUNDING PROFILE TEMPLATE**

(FY costs in Real Year Dollars, Totals in Real Year and FY2011 Dollars)

Item	FY1	FY2	FY3	FY4	FY5	FYn	...	Total (Real Yr.)	Total (FY 2011)
Workforce	\$	\$	\$	\$	\$	\$	\$	\$	\$
- NASA Center A									
- NASA Center B									
- etc.									
Facilities	\$	\$	\$	\$	\$	\$	\$	\$	\$
- NASA Center A									
E/PO, Other*	\$	\$	\$	\$	\$	\$	\$	\$	\$
- NASA Center A									
<b>NASA Civil Service Costs included in NASA SMD Cost</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Contributions by NASA Centers</b>									
Workforce	\$	\$	\$	\$	\$	\$	\$	\$	\$
- NASA Center A									
- NASA Center B	\$	\$	\$	\$	\$	\$	\$	\$	\$
- etc.	\$	\$	\$	\$	\$	\$	\$	\$	\$
Facilities									
- NASA Center A									
E/PO, Other*									
- NASA Center A									
<b>Contributed NASA Civil Service Costs</b>	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Mission Totals</b>									\$

\*Specify each item on a separate line.

**COST TABLE TEMPLATE 6**  
**NEW OBLIGATION AUTHORITY BUDGET PROFILE TEMPLATE**  
(all budget numbers in Real Year Dollars)

	FY1	FY2	FY3	FY4	FY5	Fyn	...	Total
<b>PI Mission Cost</b>	\$	\$	\$	\$	\$	\$	\$	\$
<b>SC Incentive (optional)</b>	\$	\$	\$	\$	\$	\$	\$	\$
<b>SEO or STEO (optional)</b>	\$	\$	\$	\$	\$	\$	\$	\$
<b>Total</b>	\$	\$	\$	\$	\$	\$	\$	\$

Total NOA (RY\$) in Cost Table Template 6 must match total costs (RY\$) provided in Cost Table Template 1 and other cost tables.

**E/PO Template #1**  
**E/PO Program Budget**

(FY costs in Real Year Dollars, Totals in Real Year and FY 2011 Dollars)

	FY1	FY2	FY3	FYn	Total (Real Yr.)	Total (FY 2011)
Personnel						
Subcontract #1						
Subcontract #2						
Subcontract #n						
Consultants						
Equipment						
Supplies						
Travel						
Other Direct Costs						
Facilities						
Administration						
Other Indirects						
Subtotal						
Cost Sharing						
<b>TOTAL</b>						

## INSTRUCTIONS FOR E/PO BUDGET SUMMARY – TEMPLATE #1

Requirement CS-77. Provide, as attachments, detailed computations of all estimates in each cost category with narratives as required to fully explain each proposed cost as follows.

1. Personnel: Attachments shall list the number and titles of personnel, amounts of time to be devoted to the project, and rates of pay including salaries, wages, and fringe benefits.
2. Subcontracts/Partners/Co-I Institutions: Attachments shall describe the work to be subcontracted, estimated amount, recipient and the reason for subcontracting. Enter the annual totals on this budget summary page. In addition, complete a more detailed budget summary form describing the subcontractor's/partner's/Co-I institution's use of NASA funds that the proposer requested through this solicitation (see Template #2 format).
3. Consultants: Identify consultants to be used, why they are necessary, the time (number of days) they will spend on the project, and quoted daily rates of pay. State whether the consultant has been compensated at the quoted rate for similar services performed in connection with Government contracts.
4. Equipment: List separately. Explain the need for items costing more than \$5,000. Describe basis for estimated cost. General purpose equipment is not allowable as a direct cost unless specifically approved by the NASA 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 work proposed and why it cannot be purchased with indirect funds.
5. Supplies: Provide general categories of needed supplies, the method of acquisition, and the estimated cost.
6. Travel: Describe the purpose of the proposed travel in relation to the contract and provide the basis of estimate, including information on destination, number of trips, and number of travelers.
7. Other Direct Costs: Enter the total of direct costs not covered by 1 through 6. Attach an itemized list explaining the need for each item and the basis for the estimate.
8. Facilities and Administration (F&A) Costs: Identify F&A cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, and telephone number of the Federal agency official having cognizance. If unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate.
9. Other Indirects: Enter the total of indirect costs not covered by 8. Attach an itemized list explaining the need for each item.
10. Subtotal: Enter the sum of items 1 through 9.
11. Cost Sharing: Enter any amount proposed. If cost sharing is based on specific cost items, identify each item and amount in an attachment.
12. Total: Enter the total after subtracting item 11 from item 10.

**E/PO Template #2**  
**Subcontract Budgets**

(Costs in Real Year Dollars, Totals in Real Year and FY 2011 Dollars)

	Subcontract #1	Subcontract #2	Subcontract #n
Personnel			
Consultants			
Equipment			
Supplies			
Travel			
Other Direct Costs			
Facilities			
Administration			
Other Indirects			
Subtotal			
Cost Sharing			
TOTAL (Real Yr.)			
TOTAL (FY 2011)			

## INSTRUCTIONS FOR E/PO BUDGET SUMMARY – TEMPLATE #2

Requirement CS-78. Provide, as attachments, detailed computations of all estimates in each cost category with narratives as required to fully explain each proposed cost as follows.

1. Personnel: Attachments shall list the number and titles of personnel, amounts of time to be devoted to the project, and rates of pay including salaries, wages, and fringe benefits.
2. Consultants: Identify consultants to be used, why they are necessary, the time (number of days) they will spend on the project, and quoted daily rates of pay. State whether the consultant has been compensated at the quoted rate for similar services performed in connection with Government contracts.
3. Equipment: List separately. Explain the need for items costing more than \$5,000. Describe basis for estimated cost. General purpose equipment is not allowable as a direct cost unless specifically approved by the NASA 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 work proposed and why it cannot be purchased with indirect funds.
4. Supplies: Provide general categories of needed supplies, the method of acquisition, and the estimated cost.
5. Travel: Describe the purpose of the proposed travel in relation to the project and provide the basis of estimate, including information on destination, number of trips, and number of travelers.
6. Other Direct Costs: Enter the total of direct costs not covered by 1 through 5. Attach an itemized list explaining the need for each item and the basis for the estimate.
7. Facilities and Administration (F&A) Costs: Identify F&A cost rate(s) and base(s) as approved by the cognizant Federal agency, including the effective period of the rate. Provide the name, address, and telephone number of the Federal agency official having cognizance. If unapproved rates are used, explain why, and include the computational basis for the indirect expense pool and corresponding allocation base for each rate.
8. Other Indirects: Enter the total of indirect costs not covered by 7. Attach an itemized list explaining the need for each item.
9. Subtotal: Enter the sum of items 1 through 8.
10. Cost Sharing: Enter any amount proposed. If cost sharing is based on specific cost items, identify each item and amount in an attachment.
11. Total Estimated Costs: Enter the total after subtracting item 10 from item 9.

### E/PO Template #3

#### Key Personnel

(Percent Time Committed/Direct Costs, Including Benefits,  
in Real Year Dollars, Totals in Real Year and FY 2011 Dollars)

	FY1	FY2	FY3	FYn	Total (Real Yr.)	Total (FY 2011)
Institution 1						
PI (% time)						
PI (direct cost)						
E/PO lead (% time)						
E/PO (direct cost)						
Institution 2						
PI (% time)						
PI (direct cost)						
E/PO lead (% time)						
E/PO (direct cost)						
Institution n						
PI (% time)						
PI (direct cost)						
E/PO lead (% time)						
E/PO (direct cost)						

#### INSTRUCTIONS FOR E/PO BUDGET SUMMARY – TEMPLATE #3

Requirement CS-79. Workforce staffing plan for key personnel shall be phased by fiscal year. In tabular form, the Workforce Table for Key Personnel shall provide the names and intended work commitment for the mission PI and key E/PO personnel of the investigation, both in time (rounded to the nearest 0.01 of a Work Year typically of 1880 hours) and salary (without addition of overhead or fees - rounded to the nearest \$1K) for each year of the proposed period of performance.

## L. JUSTIFICATION AND COST PROPOSAL FOR ANY SEO or STEO ACTIVITIES

SEO or STEO activities, discussed in Section 5.1.5 of the AO or 4.4.5 of the SALMON AO respectively, include extended missions, guest investigator programs, general observer programs, and archival data analysis programs. The selections from the Step 1 proposals were made primarily on the merit of the baseline proposed science; no prejudice or commitment to any attendant proposed SEO or STEO activity was made at selection. It is incumbent upon investigation teams, therefore, to fully discuss these project additions in the CSR.

Funding for SEO or STEO activities are outside the AO and the PEA cost caps, and will therefore result in a separate decision by NASA as to whether to accept or reject these proposed expansions to the baseline science mission. Therefore, the CSR must provide sufficient clarity to allow contractual execution if NASA elects to fund any SEO or STEO activities.

All definitions, guidelines and constraints outlined in the AO or the PEA and applicable to SEOs or STEOs are still valid for the concept study. There are no page count limits for narrative descriptions, rationale, and data for these enhancements, but conciseness and brevity are encouraged.

Requirement CS-80. If applicable, this section shall provided sufficient data and justifications to enable analysis of not only the science value of the concept, but also its viability and cost. This section shall also provide a cost estimate for performing any SEO or STEO activities. In completing the Cost section, the guidelines for Phases B through D apply. Complete a one page summary of costs using the format shown using the format of Cost Table Template 7. Also, include the total amount in the SEO or STEO line item at the bottom of the table in Requirement CS-66 (Cost Table Template 3). Include a discussion of the estimating techniques used to develop the cost estimates.

**COST TABLE TEMPLATE 7**  
**FUNDING PROFILE TEMPLATE FOR ANY SEO OR STEO ACTIVITIES**  
(FY costs in Real Year Dollars, Totals in Real Year and FY 2011 Dollars)

Item	FY1	FY2	Fyn	Total (Real Yr.)	Total (FY 2011)
Extended Mission	\$	\$	\$	\$	\$
- Organization A					
- Organization B					
- etc.					
Guest Investigator Program	\$	\$	\$	\$	\$
- Organization A					
General Observer Program					
- Organization A					
Archival Data Analysis Program	\$	\$	\$	\$	\$
- Organization A					
<b>Additions to NASA SMD Cost</b>	\$	\$	\$	\$	\$

## M. APPENDICES

The following additional information is required to be supplied with the CSR. This information is to be provided in the form of appendices to the CSR, and, as such, will not be counted within the specified page limit.

### 1. Letters of Commitment.

Requirement CS-81. This appendix shall include letters of commitment from (i) all organizations offering contributions of goods and/or services (including Co-I services, both U.S. and non-U.S.) on a no-exchange-of-funds basis, including all non-U.S. organizations providing hardware or software to the investigation and (ii) all major or critical participants in the CSR regardless of source of funding, signed by officials authorized to commit the resources of the respective institutions or organizations. Personal letters of commitment signed by the individual shall be provided from (iii) every U.S. or non-U.S. Co-I. Critical participants are those participants who are assigned tasks considered by the PI to be critical to the success of the mission, including those who provide unique required services. All other participants are non-critical. See AO section 5.8.1 for detailed definitions of (i), (ii), and (iii). If the use of NASA-provided communication or navigation services is proposed, this appendix will include a letter of commitment.

Requirement CS-82. This appendix shall include letters of commitment from non-U.S. individuals and/or institutions that are team members or contributors to Explorer investigations. These letters of commitment shall provide evidence that the non-U.S. institution and/or government will commit the appropriate technical, personnel, and funding resources to the proposed investigation if selected by NASA. Such commitments shall be submitted no later than the site visit.

The required elements in a letter of commitment are: a precise description of what is being contributed by the partner and what assumptions are being made about NASA's role; the strongest possible statement of whether the contribution will be funded, or what further decisions must be made before the funding is committed by the partner. An authorized officer or representative of the partner institution or government must sign the respective letter of commitment.

Letters of commitment provided for Step 1 proposal can be reused if the description of the commitment is unchanged and if the letter of commitment meets the requirements for letters of commitment for the Concept Study Report.

### 2. Relevant Experience and Past Performance.

In evaluating the CSR, NASA will consider the past performance of the major partner organizations. The evaluation of past performance will not be arithmetic; instead, the information deemed to be most relevant and significant will receive the greatest consideration. Relevant experience will be viewed as the demonstrated accomplishment of work, which is comparable or related to the objectives of the CSR. This includes space-based instrument development and

investigations and associated development processes including engineering processes, management processes, operations, data analysis and delivery of data to the PDS or other appropriate data archives. NASA will review the past performance information provided by the proposer. In addition, NASA may review the major team partners past performance on other NASA and/or non-NASA projects or contracts that provide insight into those institutions past performance on airborne or space-based instrument development and investigations and associated development processes including engineering processes, management process, operations, data analysis and delivery of data to the appropriate data archive. In conducting the evaluation, NASA reserves the right to use all information available.

Requirement CS-83. This appendix shall describe relevant experience and past performance by the major team partners (organizations) in meeting the requirements of projects similar to the subject of the CSR. This may include space-based instrument development and investigations. The discussion of relevant experience and past performance shall include a description of each project; its relevance to the subject of the CSR; the proposed performance and the actual performance; the planned delivery schedule of data to the appropriate data archive and the actual delivery schedule of data to the appropriate data archive, the proposed cost and actual cost; the proposed schedule and actual schedule; an explanation of any differences between proposed performance, cost and schedule and what was actually achieved; and points of contact for the past project's customer. If the customer for the past project was the United States government, then the contract number must be included along with current technical point(s) of contact and phone number(s). For projects that are not yet complete, the current projected performance, cost, and schedule must be used in place of actual values. Projects that ended more than 5 years ago need not be included.

*Investigation teams are cautioned that omissions or an inaccurate or inadequate response to this evaluation item will have a negative effect on the overall evaluation, and while NASA may consider data from other sources, the burden of providing relevant references that NASA can readily contact rests with the investigation team.*

### 3. Resumes.

Requirement CS-84. This appendix shall include resumes or curriculum vitae for the PI and all Co-Is identified in the Science section, for any key project personnel identified in the Management section, and for key E/PO lead personnel. The resumes shall clearly indicate experience related to the job the individual will perform on the proposed investigation. Any project management experience that the PI or PM have shall be described in their resumes. Resumes or curriculum vitae shall be no longer than three pages for the PI and one page for each additional participant.

### 4. Phase B Contract Implementation Data.

This appendix provides data necessary for the Explorer Program Office to modify the contract during the Bridge Phase in order to add Phase B activities to the contract.

Requirement CS-85. This appendix shall provide cost and pricing data for Phase B, that meet the requirements of the FAR Part 15 Table 15-2. These cost and pricing data are necessary and required to implement the contract. Complete cost or pricing data shall be included with the CSR for each organization participating in Phase B, and must be signed by each organization's authorized representative. This requirement may be satisfied with one form, provided that all institutions involved in Phase B are included and have provided the appropriate signatures. These data are *in addition* to the data provided in Cost Tables Templates 1-7 for evaluation purposes, allocate project costs per the cost categories defined in Table 15-2, but still align at the highest levels with the evaluation data. Also see Section ~~J~~K of Part II above for additional guidance.

Requirement CS-86. This appendix shall provide draft Statements of Work (SOWs) for all potential contracts with NASA. SOWs shall be provided for each contract phase (*i.e.* Phases B through F) and shall clearly define all proposed deliverables (including science data) for each option, potential requirements for Government facilities and/or Government services, and a proposed schedule for the entire mission.

#### 5. Data Management Plan.

Requirement CS-87. This appendix shall provide a discussion of all plans (schedules, costs, and deliverables) and their approach and commitment to delivering project data to the appropriate NASA data archives and indicate such in the plans and schedules for Phase B. This discussion shall also provide assurance that that all activities (“womb to tomb”) have been considered and included with appropriate resources separately allocated and budgeted.

#### 6. Incentive Plan(s).

Requirement CS-88. If applicable, the appendix shall provide draft incentive plans. Incentive Plans must outline contractual incentive features for all major team members. Incentive plans must include both performance and cost incentives, as appropriate.

#### 7. Technical Content of any International Agreement(s).

Requirement CS-89. Draft language for the technical content of any International Agreement(s) are required for all non-U.S. partners in the investigation. A sample agreement is available in the Program Library. The draft language must include (i) a brief summary of the mission and the foreign partner's role in it, (ii) a list of NASA's responsibilities within the partnership, and (iii) a list of the non-U.S. partner's responsibilities in within the partnership. Note that NASA prefers to establish agreements with government funding agencies, not with the institution that will be funded to perform the work.

#### 8. International Participation Plans - Discussion of Compliance with U.S. Export Laws and Regulations (Update from Proposal).

Requirement CS-90. If the investigation includes international participation, either through involvement of non-U.S. nationals and/or involvement of non-U.S. entities, this appendix shall

describe any updates to plans for compliance with U.S. export laws and regulations, *e.g.*, 22 CFR 120-130, *et seq.* and 15 CFR 730-774, *et seq.*, provided in the Step 1 proposal (see Section J.5 of Appendix B in the AO or Section XII.5 of Appendix B in the SALMON AO). The discussion shall describe in detail the proposed international participation and shall include, but not be limited to, whether or not the international participation may require the proposer to obtain the prior approval of the Department of State or the Department of Commerce via a technical assistance agreement or an export license or whether a license exemption/exception may apply. If prior approvals via licenses are necessary, discuss whether the license has been applied for or, if not, the projected timing of the application and any implications for the schedule. Information regarding U.S. export regulations is available at <http://www.pmddtc.state.gov/> and <http://www.bis.doc.gov/>. Investigation teams are advised that under U.S. law and regulation, spacecraft and their specifically designed, modified, or configured systems, components, parts, etc., such as instrumentation responsive to the AO or the PEA, are generally considered “Defense Articles” on the United States Munitions List and subject to the provisions of the International Traffic in Arms Regulations (ITAR), 22 CFR 120-130, *et seq.*

#### 9. Planetary Protection Plan.

This appendix is not applicable to the Explorer CSRs and should be left out. The appendices following this one should not be renumbered as SMD is standardizing the format of CSRs including appendix numbers.

#### 10. Draft Mission Definition Requirements Agreement Sample Curation Plan.

A draft Mission Definition Requirements Agreement (MDRA) shall be provided. MDRA define mission level 2 requirements for the baseline mission, encompassing the programmatic, science and instrument, mission implementation and spacecraft, and ground data requirements. MDRA examples will be provided in the EX Program Library. This appendix is not applicable to the Explorer CSRs and should be left out. The appendices following this one should not be renumbered as SMD is standardizing the format of CSRs including appendix numbers.

#### 11. End of Mission Plan.

This appendix is required only for missions conducting significant operations or ending their mission life in Low Earth Orbit (LEO) (<2000 km perigee), near Geosynchronous orbit (GEO) (GEO  $\pm$  300 km), or at the Moon (*e.g.* lunar orbiters, impactors, or landers).

Per NPR 8715.6A, NASA Procedural Requirements for Limiting Orbital Debris, Orbital Debris is defined as any object placed in space by humans that remains in orbit, and no longer serves any useful function or purpose. Objects range from spacecraft to spent launch vehicle stages to components and also include materials, trash, refuse, fragments, or other objects which are deliberately or inadvertently cast off or generated.

NPR 8715.6A and NASA-STD 8719.14, NASA Process for Limiting Orbital Debris, require all missions to develop an Orbital Debris Assessment Report (ODAR) and assess whether an End-of-Mission Plan (EOMP) is required. NPR 8715.6 and NASA-STD 8719.14 are available in the Explorer Program Library.

Every selected investigation team must conduct a formal assessment during Phase A of the orbital debris the spacecraft or instrument will create upon mission termination.

Requirement CS-91. When required, this section shall include a discussion of how end-of-mission requirements will be met.

#### 12. Compliance with Procurement Regulations by NASA PI Proposals.

This appendix is required only for CSRs submitted by NASA PIs or NASA Centers (excluding JPL). CSRs submitted by NASA Centers must comply with regulations governing proposals submitted by NASA PIs (NFS 1872.308). Additional instructions may be found in Procurement Information Circular (PIC) 05-15 at <http://www.hq.nasa.gov/office/procurement/regs/pic.html>.

Requirement CS-92. For NASA Center proposals, this section shall include any descriptions, justifications, representations, indications, statements, and/or explanations that are required by the regulations.

#### 13. Master Equipment List.

Requirement CS-93. This appendix shall include a Master Equipment List (MEL) summarizing all flight element subsystem components and individual instrument element components to support validation of proposed mass and power estimates, design heritage, and cost. A template for this MEL is included as Table B5 of the AO.

Requirement CS-94. The MEL shall be additionally provided in Microsoft Excel format on each CD or DVD submitted with the CSR.

#### 14. Heritage.

Requirement CS-95. This section shall discuss each element of any heritage from which the proposed investigation derives substantial benefit, including heritage from spacecraft subsystems, instruments, ground systems, flight and ground software, test set ups, simulations, analyses, etc. This discussion shall be at an appropriate level of granularity (*e.g.*, component, assembly, subsystem) to clearly separate the heritage element from other elements of the design. The discussion of each element shall include:

- A concise description of the design heritage claimed;
- Anticipated benefits to the proposed investigation;
- A brief rationale supporting the claim that the benefits of heritage will be achieved; and
- For any proposed elements with substantial design heritage, a comparison of the cost of the heritage items to the proposed cost.

CSRs shall substantiate all heritage claims, including descriptions of changes required to accommodate project-unique applications and needs. Where enhancements to heritage elements are proposed or heritage is from a different application, sufficient descriptions must be provided to independently assess the current level of maturity.

#### 15.SDB Subcontracting Plan.

Requirement CS-96. A Small and Small Disadvantaged Business (SDB) subcontracting plan, covering phases B/C/D/E/F, including the proposed goals and targets and the quality and level of work that will be performed by various categories of small business concerns, as described in Appendix A, Section XIII, of the AO or the SALMON AO, shall be provided. Its effect on the technical, management, and cost feasibility of the investigation shall be described. This plan will be negotiated prior to any Phase B contract award.

#### 16.Additional Cost Data to Assist Validation (Optional).

In addition to the specific cost table data requested in the Cost Proposal (Section J), investigation teams may also provide any additional costing information/data that they feel will assist NASA to validate the project's proposed costs. Vendor quotes, cost estimates, rationale for design heritage cost savings, are all examples of data that can be included here.

#### 17.Science Change Matrix.

Requirement CS-97. If the Phase A effort results in changes from any science objective proposed in Step 1, this appendix shall provide the original objective, the new or revised objective, rationale for the change, and the section/paragraph in the CSR where the change occurs.

#### 18.Communications Design Data.

Requirement CS-98. Provide data and detailed link analyses for all communication modes, adequate to assess the design of the communications concept. This shall include a communications block diagram (showing all components) and link budget design control tables for all radio communications links (data and carrier) showing relevant spacecraft and earth station parameters and assumptions for the highest data rate and the emergency link at the maximum distance and throughput at which each particular link could be used. In particular the following parameters shall be provided: transmitter power, transmitter Antenna Gain, Transmitter Off-Boresight Pointing Loss, Transmitter Circuit Loss, Carrier Frequency, Transmitter-Receiver Range, Receiver Antenna Gain, Receiver Off-Boresight Pointing Loss, Receiver Circuit Loss, Receiver Bandwidth, Receiver System Temperature, Hot Body Noise Temperature, Data Modulation Index, Ranging Modulation Index, Data Rate, Forward Error Correcting Code including code rate, block size (if applicable), constraint length (if applicable), Carrier Modulation Index, Carrier Link Margin, and Data Link Margin. For more information on these requirements, including table format, see *NASA's Mission Operations and Communication Services*, in the Explorer Program Library.

## 19. Acronyms and Abbreviations List.

Requirement CS-99. This section shall provide a list of abbreviations and acronyms.

## 20. References List (Optional).

CSRs may provide, as an appendix, a list of reference documents and materials used in the concept study. The documents and materials themselves cannot be submitted, unless they are within the CSR's page limit. Investigation teams are encouraged to include an active URL for those documents available through the Internet. If the URL is password protected, provide the password in the CSR.

N. AMENDMENT TO EXPLORER CONCEPT STUDY GUIDELINES RE NEW 7120 REQUIREMENTS:

The Explorer Phase A is being conducted under NPR 7120.5D NID (NM 7120-81), which is the version that was used for the AO/PEA. Explorer CSRs will be evaluated within the context of NM 7120-81. No change is being levied on the proposing teams in the applicable version of NPR 7120.5D between the AO/PEA and the CSR. However, any missions approved to continue into Phase B will need to use whatever version of NPR 7120.5 is valid at that time. That might be the second version of NPR 7120.5D NID (NM 7120-97), it might be a further version of NPR 7120.5D NID, it might be NPR 7120.5E. (Reference: Q&A #12)

Once entering Phase B, Explorer projects will be subject to the same requirements as all other NASA missions. Note that the CSR only satisfies some of the KDP-B deliverable requirements, and that the balance will have to be developed early in Phase B (consistent with Section 2.2.6.1 in NM 7120-97: "In a two-step AO process, projects are down-selected following evaluation of concept study reports and the down-selection serves as KDP B. Following this selection, the process becomes conventional with the exception that KDP B products requiring Mission Directorate input will be finished as early in Phase B as feasible."). (Reference: Chart 4 of the "TMC Requirements" presentation at the Explorer 2011 Concept Study Kickoff Meeting)

In order to facilitate the selected mission's adoption of the newer version of NPR 7120.5 upon downselect, the following requirements are being added to the CSR Guidelines.

Requirement CS-100. The planned work beyond downselect must be consistent with the requirements of the latest version of NPR 7120.5, currently NM 7120-97. That includes any work required to satisfy all KDP-B requirements as early in Phase B as feasible. That also includes any work necessary to meet requirements for reviews and documents that differ between NM 7120-81 and NM 7120-97. Any difference in planned work beyond the downselect should be incorporated into the SOW, schedule, budget, etc.

Requirement CS-101: There may be additional costs caused by the difference in planned work between NM 7120-81 and NM 7120-97. If these costs are non-zero, a section of CSR Section K, Cost Proposal, must be provided to explain why the difference in requirements between NM 7120-81 and NM 7120-97 results in increased work, exactly what the increased work is, and how that increased work was costed. This section will be evaluated during downselect. These additional costs may drive the PI managed Mission Cost above the cost cap, and only if the justification is compelling will funding be provided above the cost cap for the difference in planned work.

For now, the applicable version for defining post-downselect planned work is the second version of NPR 7120.5D NID (NM 7120-97). If a newer version is approved by the Agency before CSR's are due, instructions will be provided regarding the version that is applicable for this requirement. As it is the Agency's intention that the next version will be NPR 7120.5E, and NPR 7120.5E is intended to be essentially identical to NM 7120-97, SMD does not think this uncertainty induces much risk.