

NASA NPR Compliance Matrices

For use in Proposal Preparation

In support of EVM-2 Announcement of Opportunity response preparation attached are two compliance matrices. The first is for NRP 7120.5E requirements and the second is for Safety and Mission Assurance requirements. Each of these is only for use in relation to the Science Mission Directorate Earth Science Divisions Class D Missions. Upon selection the tailoring will be finalized by NASA Headquarters in conjunction with the selected Project and the Earth System Science Pathfinder Program Office.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term “small CAT 3” refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
2.1.1	Regardless of the structure of a program or project meeting the criteria of Section P.2, this NPR shall apply to the full scope of the program or project and all the activities under it.	Regardless of the structure of a program or project meeting the criteria of Section P.2, this NPR shall apply to the full scope of the program or project and all the activities under it.	No Change.
2.1.4.1	Projects are Category 1, 2, or 3 and shall be assigned to a category based initially on: (1) the project life-cycle cost (LCC) estimate, the inclusion of significant radioactive material, and whether or not the system being developed is for human space flight; and (2) the priority level, which is related to the importance of the activity to NASA, the extent of international participation (or joint effort with other government agencies), the degree of uncertainty surrounding the application of new or untested technologies, and spacecraft/payload development risk classification.	Projects are Category 1, 2, or 3 and shall be assigned to a category based initially on: (1) the project life-cycle cost (LCC) estimate, the inclusion of significant radioactive material, and whether or not the system being developed is for human space flight; and (2) the priority level, which is related to the importance of the activity to NASA, the extent of international participation (or joint effort with other government agencies), the degree of uncertainty surrounding the application of new or untested technologies, and spacecraft/payload development risk classification.	Addition of a small CAT 3 for implementation guidance.
2.1.4.1	When projects are initiated, they are assigned to a NASA Center or implementing organization by the MDAA consistent with direction and guidance from the strategic planning	When projects are initiated, they are assigned to a NASA Center or implementing organization by the MDAA consistent with direction and guidance from the strategic planning	No change.

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	process. They are either assigned directly to a Center by the Mission Directorate or are selected through a competitive process such as an Announcement of Opportunity (AO). For Category 1 projects, the assignment shall be with the concurrence of the NASA AA.	process. They are either assigned directly to a Center by the Mission Directorate or are selected through a competitive process such as an Announcement of Opportunity (AO). For Category 1 projects, the assignment shall be with the concurrence of the NASA AA.	
2.2.1	Programs and projects shall follow their appropriate life cycle, which includes life-cycle phases; life-cycle gates and major events, including KDPs; major life-cycle reviews (LCRs); principal documents that govern the conduct of each phase; and the process of recycling through Formulation when program changes warrant such action.	Programs and projects shall follow their appropriate life cycle, which includes life-cycle phases; life-cycle gates and major events, including KDPs; major life-cycle reviews (LCRs); principal documents that govern the conduct of each phase; and the process of recycling through Formulation when program changes warrant such action.	No change.
2.2.2	Each program and project performs the work required for each phase, which is described in the NASA Space Flight Program and Project Management Handbook and NPR 7123.1. This work shall be organized by a product-based WBS developed in accordance with the Program and Project Plan templates (appendices G and H).	Each program and project performs the work required for each phase, which is described in the NASA Space Flight Program and Project Management Handbook and NPR 7123.1. This work shall be organized by a product-based WBS developed in accordance with the Program and Project Plan templates (appendices G and H).	No change.

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2.2.3	The documents shown on the life-cycle figures and described below shall be prepared in accordance with the templates in appendices D, E, F, G, and H.	The documents shown on the life-cycle figures and described below shall be prepared in accordance with the templates in appendices D, E, F, G, and H.	<p>The 5 documents related to 2.2.3 (with templates in appendices) include FAD, PCA, Program Plan, Formulation Agreement (FA) and Project Plan. The only 2 documents that project is responsible to produce are the FA and the Project Plan. The FAD is a Mission Directorate (MD) document; the PCA is a NASA AA document prepped by MD, and the Program Plan is prepared by the Program Manager. The two project docs: FA and Project Plan, layout out plan on how project will execute formulation and implementation.</p> <p>The project has option to propose approach on how they plan to document (aka tailor) the formulation plan (e.g. FA) and Project Plan. The proposed plan with rationale is communicated to DA for approval.</p> <p>Example: The project may propose to produce an early Project Plan to cover work in formulation in lieu of a FA and update the Project Plan for the work they plan to do in implementation.</p>

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2.2.4	Each program and project shall perform the LCRs identified in its respective figure in accordance with NPR 7123.1, applicable Center practices, and the requirements of this document.	Each program and project shall perform the LCRs identified in its respective figure in accordance with NPR 7123.1, applicable Center practices, and the requirements of this document. Project proposes review plan to DA for approval.	DA will decide reviews, captured in para 2.3.1 below. Project may propose review plan to DA for approval. The project may propose alternate approach (aka tailored), for example, may propose combining or eliminating reviews. This information is communicated with rationale to DA for approval.
2.2.5	The program or project and an independent Standing Review Board (SRB) shall conduct the SRR, SDR/MDR, PDR, CDR, SIR, ORR, and PIR LCRs in figures 2-2, 2-3, 2-4, and 2-5.	The program or project and an independent Standing Review Board (SRB) shall conduct the SRR, SDR/MDR, PDR, CDR, SIR, ORR, and PIR LCRs in figures 2-2, 2-3, 2-4, and 2-5. For small CAT 3, substitute an independent review team for the SRB.	For small CAT 3 in lieu of a SRB, an independent assessment is conducted by an independent review team (IRT) convened by the Convening Authorities (MDAA, DA and Center Director) as agreed to by the program and project; consistent with the approved project review plan.
2.2.5.1	The Conflict of Interest (COI) procedures detailed in the NASA Standing Review Board Handbook shall be strictly adhered to.	The Conflict of Interest (COI) procedures detailed in the NASA Standing Review Board Handbook shall be strictly adhered to.	No change.
2.2.5.2	The portion of the LCR conducted by the SRB shall be convened by the Convening Authorities in accordance with Table 2-2.	The portion of the LCR conducted by the SRB shall be convened by the Convening Authorities in accordance with Table 2-2.	For small CAT 3 – IRT will conduct all LCR reviews convened by the Convening Authorities (see 2.2.5).

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2.2.5.3	The program or project manager, the SRB chair, and the Center Director (or designated Engineering Technical Authority representative) shall mutually assess the program or project's expected readiness for the LCR and report any disagreements to the Decision Authority for final decision.	The program or project manager, the SRB chair (IRT chair for small CAT 3) and the Center Director (or designated Engineering Technical Authority representative) shall mutually assess the program or project's expected readiness for the LCR and report any disagreements to the Decision Authority for final decision.	Independent Review Team is used in place of an SRB.
2.2.6	In preparation for these LCRs, the program or project shall generate the appropriate documentation per the Appendix I tables of this document, NPR 7123.1, and Center practices, as necessary, to demonstrate that the program's or project's definition and associated plans are sufficiently mature to execute the follow-on phase(s) with acceptable technical, safety, and programmatic risk.	In preparation for these LCRs, the program or project (CAT 1, 2 and 3) shall generate the appropriate documentation per the Appendix I tables of this document, NPR 7123.1, and Center practices, as necessary, to demonstrate that the program's or project's definition and associated plans are sufficiently mature to execute the follow-on phase(s) with acceptable technical, safety, and programmatic risk. [For small CAT 3, the project shall generate documents supported with objective evidence as approved by the DA to proceed to the next phase.]	For small CAT 3, in preparation for the LCR, the project shall only be required to generate documents supported with objective evidence as approved by the DA which demonstrates the project's readiness to proceed to the next phase with acceptable technical, safety, and programmatic risk. During upfront planning, the project proposes the documents/formats and obtains approval by DA, and documents the approved plan.

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Para #	NPR 7120.5 Requirement	7120.5 Requirement w/small CAT 3	Implementation Guidance
Table 1-4 - Project Milestone Products Maturity Matrix:			
1.	FAD [Baseline at MCR]		FAD is produced by Mission Directorate or Program. Project does not produce the FAD but must align to it in their formulation planning.
2.	Program Plan [Baseline at MCR]		Program Plan is produced by the Program. Project does not produce this Program Plan but must align to it in their project planning.
2.a	Applicable Agency strategic goals [Baseline at MCR]	Applicable Agency strategic goals [Baseline at MCR]	No Change: All programs and project must be able to trace to the Agency Strategic Plan. This is normally documented and flowed down through FAD, PCA, Program Plan, FA and Project Plan to show traceability to the goals and objectives in the Agency Strategic Plan.
2.b	Documentation of program-level requirements and constraints on the project (from the Program Plan) and stakeholder expectations, including mission objectives/goals and mission success criteria [Baseline at SRR]	Documentation of program-level requirements and constraints on the project (from the Program Plan) and stakeholder expectations, including mission objectives/goals and mission success criteria [Baseline at SRR]	No change.
2.c	Documentation of driving mission, technical, and programmatic ground rules and assumptions [Baseline at SDR/MDR]	Documentation of driving mission, technical, and programmatic ground rules and assumptions [Baseline at SDR/MDR]	No change.

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Para #	NPR 7120.5 Requirement	7120.5 Requirement w/small CAT 3	Implementation Guidance
3.	Partnerships and interagency and international agreements [Baseline U.S. partnerships and agreements at SDR/MDR; Baseline International agreements at PDR]	Partnerships and interagency and international agreements [Baseline U.S. partnerships and agreements at SDR/MDR; Baseline International agreements at PDR]	No change.
4.	ASM minutes	ASM minutes (N/A small CAT 3)	N/A small CAT 3. Question this one. Not consistent with understanding of NASA AA position, need to check.
5.	NEPA compliance documentation per NPR 8580.1	NEPA compliance documentation per NPR 8580.1	No change
6.	Mishap Preparedness and Contingency Plan [Baseline at SMSR] [per NPR 8621.1]	Mishap Preparedness and Contingency Plan [Baseline at SMSR] [per NPR 8621.1]	No change.

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<p>Note 1: Most of the small CAT 3 project products, as applicable and tailored to the project, may be included as sections on the Project Plan, or may be a different format other than a separate document. This may include configuration controlled presentation slides, spread sheets, or similar. It should be the documentation the project uses to do its work and is sufficient for review by the Independent Review Team. Following is the list of Tables I-4 and I-5 products and the Implementation Guidance column provides further information referencing this note and identifies standalone products.</p>			
Table 1-4 - Project Technical Products			
1.	Concept Documentation [Approved at MCR]	Concept Documentation [Approved at MCR] (No change for small CAT 3)	No change. Refer to Note 1.
2.	Mission, Spacecraft, Ground, and Payload Architectures [Baseline mission and spacecraft architecture at SRR; Baseline ground and payload architectures at SDR/MDR]	Mission, Spacecraft, Ground, and Payload Architectures [Baseline mission and spacecraft architecture at SRR; Baseline ground and payload architectures at SDR/MDR] (No change for small CAT 3)	No change. Refer to Note 1.
3.	Project-Level, System, and Subsystem Requirements [Baseline project-level and system-level requirements at SRR; Baseline subsystem requirements at PDR],	Project-Level, System, and Subsystem Requirements [Baseline project-level and system-level requirements at SRR; Baseline subsystem requirements at PDR], (No change for small CAT 3)	No change Refer to Note 1.
4.	Design Documentation [Baseline Preliminary Design at PDR; Baseline Detailed Design at CDR; Baseline As-built hardware and software at MRR/FRR],	Design Documentation [Baseline Preliminary Design at PDR; Baseline Detailed Design at CDR; Baseline As-built hardware and software at MRR/FRR], (No change for small CAT 3)	No change. Refer to Note 1.
5.	Operations Concept [Baseline at PDR],	Operations Concept [Baseline at PDR], (No change for small CAT 3)	No change. Refer to Note 1.
6.	Technology Readiness Assessment	Technology Readiness Assessment	No change.

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Para #	NPR 7120.5 Requirement	7120.5 Requirement w/small CAT 3	Implementation Guidance
	Documentation ,	Documentation , (No change for small CAT 3)	Refer to Note 1.
7.	Engineering Development Assessment Documentation,	Engineering Development Assessment Documentation, (No change for small CAT 3)	No change. Refer to Note 1.
8.	Heritage Assessment Documentation,	Heritage Assessment Documentation, (No change for small CAT 3)	No change. Refer to Note 1.
9.	Safety Data Packages [Baseline at CDR] [per NPRs 8715.3, 8735.1, and 8735.2],	Safety Data Packages [Baseline at CDR] [per NPRs 8715.3, 8735.1, and 8735.2], (No change for small CAT 3)	No change. Standalone document per compliance with Safety Data Package requirements.
10.	ELV Payload Safety Process Deliverables [Baseline at SIR] [per NPR 8715.7],	ELV Payload Safety Process Deliverables [Baseline at SIR] [per NPR 8715.7], (No change for small CAT 3)	No change. Standalone document per compliance with ELV Payload Safety Process Deliverables requirements.
11.	Verification and Validation Report [Baseline at MRR/FRR],	Verification and Validation Report [Baseline at MRR/FRR], (No change for small CAT 3)	No change. Refer to Note 1.
12.	Operations Handbook [Baseline at ORR],	Operations Handbook [Baseline at ORR], (No change for small CAT 3)	No change. Refer to Note 1.
13.	Orbital Debris Assessment Report [Final at SMSR] [per NPR 8715.6],	Orbital Debris Assessment Report [Final at SMSR] [per NPR 8715.6], (No change for small CAT 3)	No change. Standalone document per compliance with Orbital Debris Assessment Report requirements.
14.	End of Mission Plans per NPR 8715.6/NASA-STD 8719.14, App B [Baseline at SMSR],	End of Mission Plans per NPR 8715.6/NASA-STD 8719.14, App B [Baseline at SMSR], (No change for small CAT 3)	No change. Standalone document per compliance with End of Mission Plans requirements.

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Para #	NPR 7120.5 Requirement	7120.5 Requirement w/small CAT 3	Implementation Guidance
15.	Mission Report	Mission Report (No change for small CAT 3)	No change. Refer to Note 1

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Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
Table 1-4 - Project Management, Planning, and Control Products:			
1.	Formulation Agreement [Baseline for Phase A at MCR; Baseline for Phase B at SDR/MDR],	Formulation Agreement [Baseline for Phase A at MCR; Baseline for Phase B at SDR/MDR], (No change for small CAT 3)	No change Standalone document covering FA content topics as applicable and tailored to the project.
2.	Project Plan [Baseline at PDR],	Project Plan [Baseline at PDR],	No change. Standalone document covering Project Plan content topics as applicable and tailored to the project
3.	Plans for work to be accomplished during next Implementation life-cycle phase [Baseline for Phase Cat PDR; Baseline for Phase D at SIR; Baseline for Phase E at MRR/FRR; Baseline for Phase F at DR]	Plans for work to be accomplished during next Implementation life-cycle phase [Baseline for Phase Cat PDR; Baseline for Phase D at SIR; Baseline for Phase E at MRR/FRR; Baseline for Phase F at DR]	No change. Refer to Note 1
4.	Documentation of performance against Formulation Agreement (see #1 above) or against plans for work to be accomplished during Implementation life-cycle phase (see #3 above), including performance against baselines and status/closure of formal actions from previous KDP,	Documentation of performance against Formulation Agreement (see #1 above) or against plans for work to be accomplished during Implementation life-cycle phase (see #3 above), including performance against baselines and status/closure of formal actions from previous KDP. (For small CAT 3 – only documentation of performance against plans, including performance against baselines is required.)	No change. Documentation of performance against the project documented plans they established for formulation and implementation including performance against baselines.

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Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
5.	Project Baselines [Baseline at PDR],	Project Baselines [Baseline at PDR],	No change. Refer to Note 1
5.a	Top technical, cost, schedule and safety risks, risk mitigation plans, and associated resources.	Top technical, cost, schedule and safety risks, risk mitigation plans, and associated resources,	No change. Refer to Note 1
5.b	Staffing requirements and plans.	Staffing requirements and plans,	No change. Refer to Note 1
5.c	Infrastructure requirements and plans, business case analysis for infrastructure Alternative Future Use Questionnaire (NASA Form 1739), per NPR 9250.1 [Baseline for NF 1739 Section A at SDR/MDR; Baseline for NF 1739 Section B at PDR],	Infrastructure requirements and plans, business case analysis for infrastructure Alternative Future Use Questionnaire (NASA Form 1739), per NPR 9250.1 [Baseline for NF 1739 Section A at SDR/MDR; Baseline for NF 1739 Section B at PDR],	No change. Refer to Note 1
5.d	Schedule [Baseline Integrated Master Schedule at PDR],	Schedule [Baseline Integrated Master Schedule at PDR],	No change. Refer to Note 1
5.e	Cost Estimate (Risk-Informed or Schedule-Adjusted Depending on Phase) [Baseline at PDR],	Cost Estimate (Risk-Informed or Schedule-Adjusted Depending on Phase) [Baseline at PDR],	No change. Refer to Note 1
5.f	Basis of Estimate (cost and schedule)	Basis of Estimate (cost and schedule) (No change for small CAT 3)	No change. Refer to Note 1 Project documents basis/explanation on how they determined the project cost estimate.
5.g	Joint Cost and Schedule Confidence Level(s) and supporting documentation [Baseline at PDR]	Joint Cost and Schedule Confidence Level(s) and supporting documentation [Baseline at PDR] (N/A small CAT 3)	N/A small CAT 3; (not required)
5.h	External Cost and Schedule	External Cost and Schedule	N/A small CAT 3 (not required but

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	Commitments [Baseline at PDR],	Commitments [Baseline at PDR] (N/A small CAT 3),	does have internal cost and schedule commitments)
5.i	CADRe [Baseline at PDR],	CADRe [Baseline at PDR] (N/A small CAT 3)	N/A small CAT 3. Although small CAT3 projects don't have to do a CADRe, request they voluntarily share documentation with the CAD (i.e., not produce anything new, just share existing documentation).
6	Decommissioning/Disposal Plan [Baseline at DR]	Decommissioning/Disposal Plan [Baseline at DR]	No change. Refer to Note 1

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Table 1 - Project Plan Control Plans Maturity Matrix:			
1.	Technical, Schedule, and Cost Control Plan [Baseline at SDR/MDR],	Technical, Schedule, and Cost Control Plan [Baseline at SDR/MDR],	No change Refer to Note 1
2.	Safety and Mission Assurance Plan [Baseline at SRR] [per NPDs 8730.5 and 8720.1, NPRs 8715.3, 8705.2, 8705.6, and 8735.2, and NASA Stds 8719.13 and 8739.8],	Safety and Mission Assurance Plan [Baseline at SRR] [per NPDs 8730.5 and 8720.1, NPRs 8715.3, 8705.2, 8705.6, and 8735.2, and NASA Stds 8719.13 and 8739.8],	No change Refer to Note 1.
3.	Risk Management Plan [Baseline at SRR] [per NPR 8000.4],	Risk Management Plan [Baseline at SRR] [per NPR 8000.4],	No change Refer to Note 1.
4.	Acquisition Plan [Baseline at SRR],	Acquisition Plan [Baseline at SRR], (No change for small CAT 3)	No change Refer to Note 1
5.	Technology Development Plan (may be part of Formulation Agreement) [Baseline at MCR] [per NPD 7500.2 and NPR 7500.1],	Technology Development Plan (may be part of Formulation Agreement) [Baseline at MCR] [per NPD 7500.2 and NPR 7500.1], (No change for small CAT 3)	No change Refer to Note 1
6.	Systems Engineering Management Plan [Baseline at SRR],	Systems Engineering Management Plan [Baseline at SRR], (No change for small CAT 3)	No change Refer to Note 1
7.	Information Technology Plan [Baseline at SDR/MDR] [NPDs 2200.1 and 1440.6 and NPRs 2200.2, 1441.1, 2800.1, and 2810.1],	Information Technology Plan [Baseline at SDR/MDR] [NPDs 2200.1 and 1440.6 and NPRs 2200.2, 1441.1, 2800.1, and 2810.1], (No change for small CAT 3)	No change Refer to Note 1
8.	Software Management Plan(s) [Baseline at SDR/MDR] [per NPR 7150.2 and NASA-STD-8739.8],	Software Management Plan(s) [Baseline at SDR/MDR] [per NPR 7150.2 and NASA-STD-8739.8], (No change for small CAT 3)	No change Refer to Note 1

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9.	Verification and Validation Plan [Baseline at PDR],	Verification and Validation Plan [Baseline at PDR], (No change for small CAT 3)	No change Refer to Note 1
10.	Review Plan [Baseline at SRR],	Review Plan [Baseline at SRR], (No change for small CAT 3)	No change Refer to Note 1
11.	Mission Operations Plan [Baseline at ORR],	Mission Operations Plan [Baseline at ORR], (No change for small CAT 3)	No change Refer to Note 1
12.	Environmental Management Plan [Baseline at SDR/MDR] [per NPR 8580.1],	Environmental Management Plan [Baseline at SDR/MDR] [per NPR 8580.1], (No change for small CAT 3)	No change Documented per Environmental Management Plan requirements or can use OSI provided check list (copy on NEN PM CoP, 7120.5 link)
13.	Integrated Logistics Support Plan [Baseline at PDR] [per NPD 7500.1],	Integrated Logistics Support Plan [Baseline at PDR] [per NPD 7500.1], (No change for small CAT 3)	No change Refer to Note 1
14.	Science Data Management Plan [Baseline at ORR] [per NPD 2200.1 and NPRs 2200.2 and 1441.1],	Science Data Management Plan [Baseline at ORR] [per NPD 2200.1 and NPRs 2200.2 and 1441.1], (No change for small CAT 3)	No change Refer to Note 1
15.	Integration Plan [Baseline at PDR],	Integration Plan [Baseline at PDR], (No change for small CAT 3)	No change Refer to Note 1
16.	Configuration Management Plan [Baseline at SRR],	Configuration Management Plan [Baseline at SRR], (No change for small CAT 3)	No change Refer to Note 1

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17.	Security Plan [Baseline at PDR] [per NPD 1600.2 and NPRs 1600.1 and 1040.1],	Security Plan [Baseline at PDR] [per NPD 1600.2 and NPRs 1600.1 and 1040.1], (No change for small CAT 3)	No change Refer to Note 1
18.	Project Protection Plan [Baseline at PDR],	Project Protection Plan [Baseline at PDR], (No change for small CAT 3)	No change. Standalone document per compliance with Project Protection Plan requirements
19.	Technology Transfer (formerly Export) Control Plan [Baseline at PDR] [per NPR 2190.1],	Technology Transfer (formerly Export) Control Plan [Baseline at PDR] [per NPR 2190.1], (No change small CAT 3)	No change If project has anything related to Export Control, will need to comply per Tech Transfer requirements.
20.	Lessons Learned Plan [Baseline at PDR] [per NPD 7120.4 and NPR 7120.6],	Lessons Learned Plan [Baseline at PDR] [per NPD 7120.4 and NPR 7120.6], (No change for small CAT 3)	No change Refer to Note 1.
21.	Human Rating Certification Package [Initial at SRR; certified at MRR/FRR] [per NPR 8705.2],	Human Rating Certification Package [Initial at SRR; certified at MRR/FRR] [per NPR 8705.2], (No change for small CAT 3)	No change Only required if applicable. If applicable to project, documented in compliance with Human Rating Certification Package requirements.
22.	Planetary Protection Plan [Baseline at PDR] [per NPD 8020.7 and NPR 8020.12],	Planetary Protection Plan [Baseline at PDR] [per NPD 8020.7 and NPR 8020.12], (No change for Small CAT 3)	No change Only required if applicable. If applicable to project, documented in compliance with Planetary Protection requirements
23.	Nuclear Safety Launch Approval Plan [Baseline at SDR/MDR] [per NPR 8715.3],	Nuclear Safety Launch Approval Plan [Baseline at SDR/MDR] [per NPR 8715.3], (No change for small CAT 3)	No change. Only required if applicable. to project, documented in compliance with Nuclear Safety Launch Approval Plan requirements

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24.	Range Safety Risk Management Process Documentation [Baseline at SIR] [per NPR 8715.5],	Range Safety Risk Management Process Documentation [Baseline at SIR] [per NPR 8715.5], (No change for small CAT 3)	No change
25.	Education Plan [Baseline at PDR],	Education Plan [Baseline at PDR],	At project’s discretion.
26.	Communications Plan [Baseline at PDR]	Communications Plan [Baseline at PDR]	At project’s discretion.

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2.2.8	Projects in phases C and D (and programs at the discretion of the MDAA) with a life-cycle cost estimated to be greater than \$20 million and Phase E project modifications, enhancements, or upgrades with an estimated development cost greater than \$20 million shall perform earned value management (EVM) with an EVM system that complies with the guidelines in ANSI/EIA-748, Standard for Earned Value Management Systems.	Projects in phases C and D (and programs at the discretion of the MDAA) with a life-cycle cost estimated to be greater than \$20 million and Phase E project modifications, enhancements, or upgrades with an estimated development cost greater than \$20 million shall perform earned value management (EVM) with an EVM system that complies with the guidelines in ANSI/EIA-748, Standard for Earned Value Management Systems. <i>For small CAT 3, EVM principles, per the attached EVM guide, will be used for in-house small scale Cat 3 space flight projects with life-cycle cost projected to be below \$150M.</i>	EVM plans will be incorporated into the Project Plan, where applicable. <ul style="list-style-type: none"> • EVM principles, per the attached EVM guide, will be used for in- house small scale Cat 3 space flight projects with life-cycle cost projected to be below \$150M.
2.2.8.1	EVM system requirements shall be applied to appropriate suppliers, in accordance with the NASA Federal Acquisition Regulation (FAR) Supplement, and to in-house work elements.	EVM system requirements shall be applied to appropriate suppliers, in accordance with the NASA Federal Acquisition Regulation (FAR) Supplement, and to in-house work elements. (For small CAT 3 this requirement is limited to development contracts projected to exceed \$50M and to in-house work elements projected to exceed \$100M LCC.)	EVM system requirements shall be applied to suppliers with development contracts projected to exceed \$50M, in accordance with the NASA Federal Acquisition Regulation (FAR) Supplement, and to in-house work elements projected to exceed \$150M LCC.
2.2.8.2	For projects requiring EVM, Mission	For projects requiring EVM, Mission	No change.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term “small CAT 3” refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
	Directorates shall conduct a pre-approval integrated baseline review as part of their preparations for KDP C to ensure that the project's work is properly linked with its cost, schedule, and risk and that the management processes are in place to conduct project-level EVM.	Directorates shall conduct a pre-approval integrated baseline review as part of their preparations for KDP C to ensure that the project's work is properly linked with its cost, schedule, and risk and that the management processes are in place to conduct project-level EVM.	
2.2.10	Each program and project shall complete and maintain a Compliance Matrix (see Appendix C) for this NPR and attach it to the Formulation Agreement for projects in Formulation and/or the Program or Project Plan. The program or project will use the Compliance Matrix to demonstrate how it is complying with the requirements of this document and verify the compliance of other responsible parties.	Each program and project shall complete and maintain a Compliance Matrix (see Appendix C) for this NPR and attach it to the Formulation Agreement for projects in Formulation and/or the Program or Project Plan. The program or project will use the Compliance Matrix to demonstrate how it is complying with the requirements of this document and verify the compliance of other responsible parties. (No change for small CAT 3)	No change
2.3.1	Each program and project shall have a Decision Authority who is the Agency's responsible individual who determines whether and how the program or project proceeds through the life cycle and the key program or project cost, schedule, and content parameters that govern the remaining life-cycle	Each program and project shall have a Decision Authority who is the Agency's responsible individual who determines whether and how the program or project proceeds through the life cycle and the key program or project cost, schedule, and content parameters that govern the remaining life-cycle	No change.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term “small CAT 3” refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
	activities.	activities.	
2.3.1.1	The NASA AA shall approve all Agency Baseline Commitments (ABCs) for programs requiring an ABC and projects with a life-cycle cost greater than \$250 million.	The NASA AA shall approve all Agency Baseline Commitments (ABCs) for programs requiring an ABC and projects with a life-cycle cost greater than \$250 million. (For small CAT 3 projects the DA shall approve the project baseline)	All projects develop an ABC, only those at \$250M and above are approved by NASA AA and reported externally. As such, this is N/A for a small CAT 3 and the DA will approve the internal ABC for a small CAT 3 at KDP-C.
2.3.2	Each program and project shall have a governing PMC.	Each program and project shall have a governing PMC.	No change.
2.3.3	The Center Director (or designee) shall oversee programs and projects usually through the CMC, which monitors and evaluates all program and project work (regardless of category) executed at that Center.	The Center Director (or designee) shall oversee programs and projects usually through the CMC, which monitors and evaluates all program and project work (regardless of category) executed at that Center.	No change.
2.3.4	Following each LCR, the independent SRB and the program or project shall brief the applicable management councils on the results of the LCR to support the councils' assessments.	Following each LCR, the independent SRB (for small CAT 3 projects substitute an independent team, SRB not required) and the program or project shall brief the applicable management councils on the results of the LCR to support the councils' assessments.	For small CAT 3, independent review team used in place of an SRB.
2.4.1	After reviewing the supporting material and completing discussions with concerned parties, the Decision Authority determines whether and	After reviewing the supporting material and completing discussions with concerned parties, the Decision Authority determines whether and	No change.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term “small CAT 3” refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
	how the program or project proceeds into the next phase and approves any additional actions. These decisions shall be summarized and recorded in the Decision Memorandum signed at the conclusion of the governing PMC by all parties with supporting responsibilities, accepting their respective roles.	how the program or project proceeds into the next phase and approves any additional actions. These decisions shall be summarized and recorded in the Decision Memorandum signed at the conclusion of the governing PMC by all parties with supporting responsibilities, accepting their respective roles.	
2.4.1.1	The Decision Memorandum shall describe the constraints and parameters within which the Agency, the program manager, and the project manager will operate; the extent to which changes in plans may be made without additional approval; any additional actions that came out of the KDP; and the supporting data (i.e., the cost and schedule datasheet) that provide further details.	The Decision Memorandum shall describe the constraints and parameters within which the Agency, the program manager, and the project manager will operate; the extent to which changes in plans may be made without additional approval; any additional actions that came out of the KDP; and the supporting data (i.e., the cost and schedule datasheet) that provide further details.	No change.
2.4.1.2	A divergence from the Management Agreement that any party identifies as significant shall be accompanied by an amendment to the Decision Memorandum.	A divergence from the Management Agreement that any party identifies as significant shall be accompanied by an amendment to the Decision Memorandum.	No change
2.4.1.3	During Formulation, the Decision Memorandum shall establish a target life-cycle cost range (and schedule range, if applicable) as well as the Management Agreement addressing	During Formulation, the Decision Memorandum shall establish a target life-cycle cost range (and schedule range, if applicable) as well as the Management Agreement addressing	No change.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term “small CAT 3” refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
	the schedule and resources required to complete Formulation.	the schedule and resources required to complete Formulation.	
2.4.1.5	All projects and single-project programs shall document the Agency's life-cycle cost estimate and other parameters in the Decision Memorandum for Implementation (KDP C), and this becomes the ABC.	All projects and single-project programs shall document the Agency's life-cycle cost estimate and other parameters in the Decision Memorandum for Implementation (KDP C), and this becomes the ABC.	No change.
2.4.1.6	Tightly coupled programs shall document their life-cycle cost estimate, in accordance with the life-cycle scope defined in the FAD or PCA, and other parameters in their Decision Memorandum and ABC at KDP I.	Tightly coupled programs shall document their life-cycle cost estimate, in accordance with the life-cycle scope defined in the FAD or PCA, and other parameters in their Decision Memorandum and ABC at KDP I.	No change.
2.4.1.7	Programs or projects shall be rebaselined when: (1) the estimated development cost exceeds the ABC development cost by 30 percent or more (for projects over \$250 million, also that Congress has reauthorized the project); (2) the NASA AA judges that events external to the Agency make a rebaseline appropriate; or (3) the NASA AA judges that the program or project scope defined in the ABC has been changed or the tightly coupled program or project has been interrupted.	Programs or projects shall be rebaselined when: (1) the estimated development cost exceeds the ABC development cost by 30 percent or more (for projects over \$250 million, also that Congress has reauthorized the project); (2) the NASA AA judges that events external to the Agency make a rebaseline appropriate; or (3) the NASA AA judges that the program or project scope defined in the ABC has been changed or the tightly coupled program or project has been interrupted.	No change.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term “small CAT 3” refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
2.4.2	All programs and projects develop cost estimates and planned schedules for the work to be performed in the current and following life-cycle phases (see Appendix I tables). As part of developing these estimates, the program or project shall document the basis of estimate (BOE) in retrievable program or project records.	All programs and projects develop cost estimates and planned schedules for the work to be performed in the current and following life-cycle phases (see Appendix I tables). As part of developing these estimates, the program or project shall document the basis of estimate (BOE) in retrievable program or project records.	No change.
2.4.3	Tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) shall develop probabilistic analyses of cost and schedule estimates to obtain a quantitative measure of the likelihood that the estimate will be met in accordance with the following requirements.	Tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) shall develop probabilistic analyses of cost and schedule estimates to obtain a quantitative measure of the likelihood that the estimate will be met in accordance with the following requirements.	No change.
2.4.3.1	Tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) shall provide a range of cost and a range for schedule at KDP 0/KDP B, each range (with confidence levels identified for the low and high values of the range) established by a probabilistic analysis and based on	Tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) shall provide a range of cost and a range for schedule at KDP 0/KDP B, each range (with confidence levels identified for the low and high values of the range) established by a probabilistic analysis and based on	No change.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term “small CAT 3” refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
	identified resources and associated uncertainties by fiscal year.	identified resources and associated uncertainties by fiscal year.	
2.4.3.2	At KDP I/KDP C, tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) shall develop a resource-loaded schedule and perform a risk-informed probabilistic analysis that produces a JCL.	At KDP I/KDP C, tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) shall develop a resource-loaded schedule and perform a risk-informed probabilistic analysis that produces a JCL.	N/A small CAT 3. No change.
2.4.4	Mission Directorates shall plan and budget tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) based on a 70 percent joint cost and schedule confidence level or as approved by the Decision Authority.	Mission Directorates shall plan and budget tightly coupled and single-project programs (regardless of life-cycle cost) and projects (with an estimated life-cycle cost greater than \$250 million) based on a 70 percent joint cost and schedule confidence level or as approved by the Decision Authority.	N/A small CAT 3. No change.
2.4.4.1	Any JCL approved by the Decision Authority at less than 70 percent shall be justified and documented.	Any JCL approved by the Decision Authority at less than 70 percent shall be justified and documented.	N/A small CAT 3. No change.
2.4.4.2	Mission Directorates shall ensure funding for these projects is consistent with the Management Agreement and in no case less than the equivalent of a 50 percent JCL.	Mission Directorates shall ensure funding for these projects is consistent with the Management Agreement and in no case less than the equivalent of a 50 percent JCL.	For small CAT 3 consistent with the Management Agreement. No change.
3.3.1	Programs and projects shall follow the Technical Authority process	Programs and projects shall follow the Technical Authority process	No change.

Proposed Small Class D / CAT 3 (< \$150M LCC) NPR 7120.5 Guidance

In guidance matrix, term "small CAT 3" refers to a Class D/CAT 3 project with LCC < \$150M

Para #	NPR 7120.5 Requirement	Requirement w/small CAT 3	Implementation Guidance
	established in Section 3.3 of this NPR.	established in Section 3.3 of this NPR.	
3.4.1	Programs and projects shall follow the Dissenting Opinion process in this Section 3.4.	Programs and projects shall follow the Dissenting Opinion process in this Section 3.4.	No change.
3.5.1	Programs and projects shall follow the tailoring process in this Section 3.5.	Programs and projects shall follow the tailoring process in this Section 3.5.	No change.
3.5.5	A request for a permanent change to a prescribed requirement in an Agency or Center document that is applicable to all programs and projects shall be submitted as a "change request" to the office responsible for the requirements policy document unless formally delegated elsewhere.	A request for a permanent change to a prescribed requirement in an Agency or Center document that is applicable to all programs and projects shall be submitted as a "change request" to the office responsible for the requirements policy document unless formally delegated elsewhere.	No change.
3.6.1	A Center negotiating reimbursable space flight work with another agency shall propose NPR 7120.5 as the basis by which it will perform the space flight work.	A Center negotiating reimbursable space flight work with another agency shall propose NPR 7120.5 as the basis by which it will perform the space flight work.	NASA can accept equivalent to 7120.5 but the applicable requirements for this category would apply. The planned approach will be documented in the agreement. (For small CAT 3 - NASA will accept equivalent to 7120.5 (applicable and tailored to the project.)
3.7.1	Each program and project shall perform and document an assessment to determine an approach that maximizes the use of SI.	Each program and project shall perform and document an assessment to determine an approach that maximizes the use of SI.	No Change.

Earth Venture Class D SMA Compliance Matrix

Document	Content Tailoring (None, Combined, Waived)	Required to be Available for review	Summary presented in Review	Delivered for Review (final review level initiated)*	Comments	Reference/Applicability
Mission Assurance Implementation Plan (MAIP)	Potentially combined with other requirements ; may include other plans (e.g., EEE Parts, M&P, SA, ESD, CM, etc.)			Center (approval)	Detailed review necessary as is basis for remaining MA activities. Tailor some of the content of the MAIP.	Deliverable
Tailored Payload Safety Requirements			Safety Reviews (SR) II & III	Center (approval)	Only presented to support PSWG activities Personnel and Range Safety items shall meet all requirements. Flight Hardware requirements should be consistent with the overall mission reliability and risk posture	NPR 8715.7, Expendable Launch Vehicle Payload Safety Program NPR 8715.3, NASA General Safety Program Requirements
Request for a Safety Variance				Center (approval)	This is only for personnel and range safety.	NPR 8715.7, Expendable Launch Vehicle Payload Safety Program NPR 8715.3, NASA General Safety Program Requirements

*Unless otherwise indicated in this column Center Refers to the NASA Center in its role as the Safety and Mission Assurance Technical Authority

System Safety Program Plan	Potentially combined with MAIP		PDR (subsequently only at SRs)	Center (approval)	This may not be required if the mission is a hosted or ISS payload.	NASA-STD 8719.24, NASA Expendable Launch Vehicle Payload Safety Requirements.
Hazard Analysis (HA) Preliminary Hazard Analysis (PHA)		X	SRI, SR II & III	Center (review)	Must contain all levels of Hazard Analysis (Personnel and Range Safety)	NPR 8715.7, Expendable Launch Vehicle Payload Safety Program NPR 8715.3, NASA General Safety Program Requirements
Safety Hazard Analysis for Critical Lifts	Not Required					NASA-STD-8719.9 Standard for Lifting Devices and Equipment
Safety Data Package I-III			SR I-III in support of KDPs	Center (approval)	Only presented to support PSWG activities Personnel and Range Safety items shall meet all requirements. Flight Hardware requirements should be consistent with the overall mission reliability and risk posture	NPR 8715.3, NASA General Safety and Program Requirements
Hazardous Procedures for Payload Integration and Test (I&T) and Pre-launch				Center (approval)		NPR 8715.3, NASA General Safety and Program Requirements

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Processing						
Mishap Preparedness and Contingency Plan (MPCP)	None			NASA HQ (approval)		NPR 8621.1, NASA Procedural Requirements for Mishap Reporting, Investigating, and Recordkeeping
Failure Mode and Effects Analysis (FMEA) and Critical Items List (CIL)	As-Needed	X		Center (review)	Only address safety critical interfaces/functions/items	NPR 8705.4, Risk Classification for NASA Payloads
Parts Stress Analysis	As-Needed	X		Center (review)		Use Doing organization processes
Reliability Program Plan	Potentially combined with MAIP			Center (review)		Use Doing organization processes
Reliability Analysis	As-Needed	X		Center (review)	Reliability analyses are limited to safety critical items and interfaces	Use Doing organization processes
Fault Tree Analysis (FTA)	As-Needed	X		Center (review)	Only address safety critical functions/items	

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Software Assurance Plan	Potentially combined with MAIP			Center (review)		NASA-STD-8739.8, NASA Standard for Software Assurance
EEE Parts Control Plan (PCP)	Potentially combined with MAIP			Center (approval)		NPD 8730.2 NASA Parts Policy
EEE Parts List		X		Center (review)		NPD 8730.2 NASA Parts Policy

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As Built EEE Parts List (ABPL)	Inclusion in End Item Acceptance Data Package (EIDP)	X		Center (review)		NPD 8730.2 NASA Parts Policy
Materials and Processes (M&P) Selection, Control, and Implementation Plan	May be combined with the MAIP.			Center (approval)		NASA-STD-6016, Standard Materials and Processes Requirement for Spacecraft
Life Test Plan and Reports for Lubricated Mechanisms	The Life Test Plan may be combined with the M&P Plan and/or MAIP or part of engineering life test plan	X		Center (review)		

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Materials Usage Agreement (MUA)				Center (approval)		NASA-STD-6016, Standard Materials and Processes Requirement for Spacecraft
Materials Identification and Usage List (MIUL)	Government provided access to data. Inclusion in End Item Acceptance Data Package (EIDP)	X		Center (approval)		NASA-STD-6016, Standard Materials and Processes Requirement for Spacecraft
Nondestructive Evaluation Plan	If necessary combine with the M&P Plan and/or MAIP.	X		Center (review)		NASA-STD-5009, Nondestructive Evaluation Requirements for Fracture-Critical Metallic Components
Orbital Debris Analysis Report (ODAR)	None			NASA HQ (approval)	Submitted through Mission Directorate	NPR 8715.6A NASA Procedural Requirements for Limiting Orbital Debris
End Of Mission and Disposal Plan (EOMDP)	None		SMSR	NASA HQ (approval)	Submitted through Mission Directorate	NASA-STD-8719.14 Process for Limiting Orbital Debris

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End Item Data Package (EIDP)	None			Center (approval)		EIDP format is determined by Center Technical Authority
Ground Systems Plan	Combined with Hazardous Procedures for Payload Integration and Test (I&T) and Pre-launch Processing			Center (review)		NPR 8715.3, NASA General Safety and Program Requirements
Operations Hazard Analysis	Combined with Hazardous Procedures for Payload Integration and Test (I&T) and Pre-launch Processing	X	SR II & III	Center (review)	Only presented to support PSWG activities	NPR 8715.3, NASA General Safety and Program Requirements
Disposal Plan	Combined with EOM		SMSR	NASA HQ		NPR 8715.3, NASA General Safety and Program Requirements
GIDEP Alert/NASA Advisory Dispositions	None	X		Follow GIDEP processes, center review		NPR 8735.1, Procedures for Exchanging Parts, Materials, Software, and Safety Problem Data Utilizing the Government-Industry Data Exchange Program (GIDEP) and NASA Advisories
Reliability Program Plan	Combine with MAIP			Center (review)	Limit to safety and interface requirements.	NASA-STD 8729.1 Planning, Developing and Managing an Effective Reliability and Maintainability (R&M) Program
Risk Management Plan (can be combined with Project Management Plan)	Combined with Project Management Plan			Center (review)		

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