

## **COSPAR PLANETARY PROTECTION POLICY** (20 October 2002; Amended 24 March 2005)

APPROVED BY THE BUREAU AND COUNCIL, WORLD SPACE CONGRESS, HOUSTON, TEXAS, USA

(Prepared by the COSPAR/IAU Workshop on Planetary Protection, 4/02, with updates 10/02)

### **PREAMBLE**

*Noting* that COSPAR has concerned itself with questions of biological contamination and spaceflight since its very inception, and

*noting* that Article IX of the Treaty on Principles Governing the Activities of States in the Exploration and Use of Outer Space, Including the Moon and Other Celestial Bodies (also known as the UN Space Treaty of 1967) states that:

States Parties to the Treaty shall pursue studies of outer space, including the Moon and other celestial bodies, and conduct exploration of them so as to avoid their harmful contamination and also adverse changes in the environment of the Earth resulting from the introduction of extraterrestrial matter, and where necessary, shall adopt appropriate measures for this purpose. (UN 1967)

*therefore*, COSPAR maintains and promulgates this planetary protection policy for the reference of spacefaring nations, both as an international standard on procedures to avoid organic-constituent and biological contamination in space exploration, and to provide accepted guidelines in this area to guide compliance with the wording of this UN Space Treaty and other relevant international agreements.

### **POLICY**

COSPAR,

*Referring* to COSPAR Resolutions 26.5 and 26.7 of 1964, the Report of the Consultative Group on Potentially Harmful Effects of Space Experiments of 1966, the Report of the same Group of 1967, and the Report of the COSPAR/IAU Workshop of 2002,

*notes* with appreciation and interest the extensive work done by the Panel on Standards for Space probe Sterilization and its successors the Panel on Planetary Quarantine and the Panel on Planetary Protection and

*accepts* that for certain space mission/target body combinations, controls on contamination shall be imposed in accordance with a specified range of requirements, based on the following policy statement:

Although the existence of life elsewhere in the solar system may be unlikely, the conduct of scientific investigations of possible extraterrestrial life forms, precursors, and remnants must not be jeopardized. In addition, the Earth must be protected from the potential hazard posed by extraterrestrial matter carried by a spacecraft returning from another planet. Therefore, for certain space mission/target planet combinations, controls on contamination shall be imposed, in accordance with issuances implementing this policy. (DeVincenzi et al. 1983)

The five categories for target body/mission type combinations and their respective suggested ranges of requirements are described as follows, and in Table 1. Assignment of categories for specific mission/body combinations is to be determined by the best multidisciplinary scientific advice. For new determinations not covered by this policy, such advice should be obtained through the auspices of the Member National Scientific Institutions of COSPAR. In case such advice is not available, COSPAR will consider providing such advice through an *ad hoc* multidisciplinary committee formed in consultation with its Member National Scientific Institutions and International Scientific Unions:

**Category I** includes any mission to a target body which is not of direct interest for understanding the

process of chemical evolution or the origin of life. No protection of such bodies is warranted and no planetary protection requirements are imposed by this policy.

**Category II** missions comprise all types of missions to those target bodies where there is significant interest relative to the process of chemical evolution and the origin of life, but where there is only a remote chance that contamination carried by a spacecraft could jeopardize future exploration. The requirements are for simple documentation only. Preparation of a short planetary protection plan is required for these flight projects primarily to outline intended or potential impact targets, brief Pre- and Post-launch analyses detailing impact strategies, and a Post-encounter and End-of-Mission Report which will provide the location of impact if such an event occurs. Solar system bodies considered to be classified as Category II are listed in the Appendix to this document.

**Category III** missions comprise certain types of missions (mostly flyby and orbiter) to a target body of chemical evolution and/or origin of life interest or for which scientific opinion provides a significant chance of contamination which could jeopardize a future biological experiment. Requirements will consist of documentation (more involved than Category II) and some implementing procedures, including trajectory biasing, the use of cleanrooms during spacecraft assembly and testing, and possibly bioburden reduction. Although no impact is intended for Category III missions, an inventory of bulk constituent organics is required if the probability of impact is significant. Category III specifications for selected solar system bodies are set forth in the Appendix to this document. Solar system bodies considered to be classified as Category III also are listed in the Appendix.

**Category IV** missions comprise certain types of missions (mostly probe and lander) to a target body of chemical evolution and/or origin of life interest or for which scientific opinion provides a significant chance of contamination which could jeopardize future biological experiments. Requirements imposed include rather detailed documentation (more involved than Category III), including a bioassay to enumerate the bioburden, a probability of contamination analysis, an inventory of the bulk constituent organics and an increased number of implementing procedures. The implementing procedures required may include trajectory biasing, cleanrooms, bioload reduction, possible partial sterilization of the direct contact hardware and a bioshield for that hardware. Generally, the requirements and compliance are similar to *Viking*, with the exception of complete lander/probe sterilization. Category IV specifications for selected solar system bodies are set forth in the Appendix to this document. Solar system bodies considered to be classified as Category IV also are listed in the Appendix.

**Category V** missions comprise all Earth-return missions. The concern for these missions is the protection of the terrestrial system, the Earth and the Moon. (The Moon must be protected from back contamination to retain freedom from planetary protection requirements on Earth-Moon travel.) For solar system bodies deemed by scientific opinion to have no indigenous life forms, a subcategory "unrestricted Earth return" is defined. Missions in this subcategory have planetary protection requirements on the outbound phase only, corresponding to the category of that phase (typically Category I or II). For all other Category V missions, in a subcategory defined as "restricted Earth return," the highest degree of concern is expressed by the absolute prohibition of destructive impact upon return, the need for containment throughout the return phase of all returned hardware which directly contacted the target body or unsterilized material from the body, and the need for containment of any unsterilized sample collected and returned to Earth. Post-mission, there is a need to conduct timely analyses of any unsterilized sample collected and returned to Earth, under strict containment, and using the most sensitive techniques. If any sign of the existence of a nonterrestrial replicating entity is found, the returned sample must remain contained unless treated by an effective sterilizing procedure. Category V concerns are reflected in requirements that encompass those of Category IV plus a continuing monitoring of project activities, studies and research (i.e., in sterilization procedures and containment techniques).

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Further, COSPAR

*Recommends* that COSPAR members provide information to COSPAR within a reasonable time not to exceed six months after launch about the procedures and computations used for planetary protection for each flight and again within one year after the end of a solar-system exploration mission about the areas of the target(s) which may have been subject to contamination. COSPAR will maintain a repository of these reports, make them available to the public, and annually deliver a record of these reports to the Secretary General of the United Nations. For multinational missions, it is suggested that the lead partner should take the lead in submitting these reports.

Reports should include, but not be limited to, the following information:

1. The estimated biological burden at launch, the methods used to obtain the estimate (e.g., assay techniques applied to spacecraft or a proxy), and the statistical uncertainty in the estimate.
2. The probable composition (identification) of the biological burden for Category IV missions, and for Category V “restricted Earth return” missions.
3. Methods used to control the biological burden, decontaminate and/or sterilize the space flight hardware.
4. The organic inventory of all impacting or landed spacecraft or spacecraft-components, for quantities exceeding 1 kg.
5. Intended minimum distance from the surface of the target body for launched components, for those vehicles not intended to land on the body.
6. Approximate orbital parameters, expected or realized, for any vehicle which is intended to be placed in orbit around a solar system body.
7. For the end-of-mission, the disposition of the spacecraft and all of its major components, either in space or for landed components by position (or estimated position) on a planetary surface.

(COSPAR 1969, 1984, 1994; Rummel et al. 2002)

## REFERENCES

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 1967; TIAS No. 6347, 1967.

Table 1. Proposed Categories for Solar System Bodies and Types of Missions  
 (DeVincenzi et al. 1983, 1994; COSPAR 1984, 1994; Rummel et al. 2002)

	Category I	Category II	Category III	Category IV	Category V
<u>Type of Mission</u>	Any but Earth Return	Any but Earth Return	No direct contact (flyby, some orbiters)	Direct contact (lander, probe, some orbiters)	Earth return
<u>Target Body</u>	See Appendix	See Appendix	See Appendix	See Appendix	See Appendix
<u>Degree of Concern</u>	None	Record of planned impact probability and contamination control measures	Limit on impact probability  Passive bioload control	Limit on probability of non-nominal impact  Limit on bioload (active control)	If <u>restricted</u> Earth return: <ul style="list-style-type: none"> <li>No impact on Earth or Moon;</li> <li>Returned hardware sterile;</li> <li>Containment of any sample.</li> </ul>
<u>Representative Range of Requirements</u>	None	Documentation only (all brief): <ul style="list-style-type: none"> <li>PP plan</li> <li>Pre-launch report</li> <li>Post-launch report</li> <li>Post-encounter report</li> <li>End-of-mission report</li> </ul>	Documentation (Category II plus) <ul style="list-style-type: none"> <li>Contamination control</li> <li>Organics inventory (as necessary)</li> </ul> Implementing procedures such as: <ul style="list-style-type: none"> <li>Trajectory biasing</li> <li>Cleanroom</li> <li>Bioload reduction (as necessary)</li> </ul>	Documentation (Category II plus) <ul style="list-style-type: none"> <li>P<sub>c</sub> analysis plan</li> <li>Microbial reduction plan</li> <li>Microbial assay plan</li> <li>Organics inventory</li> </ul> Implementing procedures such as: <ul style="list-style-type: none"> <li>Trajectory biasing</li> <li>Cleanroom</li> <li>Bioload reduction</li> <li>Partial sterilization of contacting hardware (as necessary)</li> <li>Bioshield</li> </ul> Monitoring of bioload via bioassay -	<i>Outbound</i> Same category as target body/ outbound mission  <i>Inbound</i> If <u>restricted</u> Earth return: <ul style="list-style-type: none"> <li>Documentation (Category II plus)</li> <li>P<sub>c</sub> analysis plan</li> <li>Microbial reduction plan</li> <li>Microbial assay plan</li> <li>Trajectory biasing</li> <li>Sterile or contained returned hardware</li> <li>Continual monitoring of project activities</li> <li>Project advanced studies/research.</li> </ul> If unrestricted Earth return:

- None

## APPENDIX: IMPLEMENTATION GUIDELINES AND CATEGORY SPECIFICATIONS FOR INDIVIDUAL TARGET BODIES (Version March 24, 2005)

### Implementation Guidelines on the Use of Clean-Room Technology for Outer-Planet Missions

COSPAR,

*Noting* that in the exploration of the outer planets, the probabilities of growth of contaminating terrestrial micro-organisms are extremely low, reflecting the fact that the environments of these planets appear hostile to all known biological processes,

*noting* also that these environments do not preclude the possibility of *indigenous* life forms in some of these environments,

*recognizing* that the search for life is a potentially valid objective in the exploration of the outer solar system,

*recognizing* that the organic chemistry of these bodies remains of paramount importance to our understanding of the process of chemical evolution and its relationship to the origin of life,

*recognizing* that study of the processes of the pre-biotic organic syntheses under natural conditions must not be jeopardized,

*recommends* the use of the best available clean-room technology, comparable with that employed for the *Viking* mission, for all missions to the outer planets and their satellites.

(COSPAR 1976)

### Numerical Implementation Guidelines for Forward Contamination Calculations

To the degree that numerical guidelines are required to support the overall policy objectives of this document, and except where numerical requirements are otherwise specified, the guideline to be used is that the probability that a planetary body will be contaminated during the period of exploration should be no more than  $1 \times 10^{-3}$ . The period of exploration can be assumed to be no less than 50 years after a Category III or IV mission arrives at its protected target. No specific format for probability of contamination calculations is specified.

### Implementation Guidelines for Category V Missions

If during the course of a Category V mission there is a change in the circumstances that led to its classification, or a mission failure, e.g.:

- New data or scientific opinion arise that would lead to the reclassification of a mission classified as “Unrestricted Earth return” to “Restricted Earth return,” and safe return of the sample cannot be assured, OR
  - The sample containment system of a mission classified as “Restricted Earth return” is thought to be compromised, and sample sterilization is impossible,
- then the sample to be returned shall be abandoned, and if already collected the spacecraft carrying the sample must not be allowed to return to the Earth or the Moon.

## Category-Specific Listing of Target Body/Mission Types

Category I: Flyby, Orbiter, Lander: Venus; Moon; Undifferentiated, metamorphosed asteroids; others TBD

Category II: Flyby, Orbiter, Lander: Comets; Carbonaceous Chondrite Asteroids; Jupiter; Saturn; Uranus; Neptune; Pluto/Charon; Kuiper-Belt Objects; others TBD

Category III: Flyby, Orbiters: Mars; Europa; others TBD

Category IV: Lander Missions: Mars; Europa; others TBD

Category V: Any Earth-return mission. “Restricted Earth return”: Mars; Europa; others TBD; “Unrestricted Earth return”: Moon; others TBD.

## CATEGORY III/IV/V REQUIREMENTS FOR MARS

### Missions to Mars

Category III. Mars orbiters will not be required to meet orbital lifetime requirements\* if they achieve bioburden levels equivalent to the *Viking* lander pre-sterilization total bioburden. (\*Defined as 20 years after launch at greater than or equal to 99% probability, and 50 years after launch at greater than or equal to 95% probability.) (DeVincenzi et al. 1994)

Category IV for Mars is subdivided into IVa, IVb, and IVc:

Category IVa. Lander systems not carrying instruments for the investigations of extant martian life are restricted to a biological burden no greater than *Viking* lander pre-sterilization levels

Category IVb. For lander systems designed to investigate extant martian life, all of the requirements of Category IVa apply, along with the following requirement:

∑ The entire landed system must be sterilized at least to *Viking* post-sterilization biological burden levels, or to levels of biological burden reduction driven by the nature and sensitivity of the particular life-detection experiments, whichever are more stringent

**OR**

∑ The subsystems which are involved in the acquisition, delivery, and analysis of samples used for life detection must be sterilized to these levels, and a method of preventing recontamination of the sterilized subsystems and the contamination of the material to be analyzed is in place.

Category IVc. For missions which investigate martian special regions (see definition below), even if they do not include life detection experiments, all of the requirements of Category IVa apply, along with the following requirement:

∑ Case 1. If the landing site is within the special region, the entire landed system shall be sterilized at least to the *Viking* post-sterilization biological burden levels.

∑ Case 2. If the special region is accessed through horizontal or vertical mobility, either the entire landed system shall be sterilized to the *Viking* post-sterilization biological burden levels, **OR** the subsystems which directly contact the special region shall be sterilized to these levels, and a method of preventing their recontamination prior to accessing the special region shall be provided.

If an off-nominal condition (such as a hard landing) would cause a high probability of inadvertent biological contamination of the special region by the spacecraft, the entire landed system must be sterilized to the *Viking* post-sterilization biological burden levels.

### Definition of “Special Region”

A Special Region is defined as a region within which terrestrial organisms are likely to propagate, **OR** a region which is interpreted to have a high potential for the existence of extant martian life forms.

Given current understanding, this is apply to regions where liquid water is present or may occur. Specific examples include but are not limited to:

- ∑ Subsurface access in an area and to a depth where the presence of liquid water is probable
- ∑ Penetrations into the polar caps
- ∑ Areas of hydrothermal activity.

### Sample Return Missions from Mars

Category V. The Earth return mission is classified, “Restricted Earth return.”

- Unless specifically exempted, the outbound leg of the mission shall meet Category IVb requirements. This provision is intended to avoid “false positive” indications in a life-detection and hazard-determination protocol, or in the search for life in the sample after it is returned. A “false positive” could prevent distribution of the sample from containment and could lead to unnecessary increased rigor in the requirements for all later Mars missions.
- Unless the sample to be returned is subjected to an accepted and approved sterilization process, the sample container must be sealed after sample acquisition, and a redundant, fail-safe containment with a method for verification of its operation before Earth-return shall be required. For unsterilized samples, the integrity of the flight containment system shall be maintained until the sample is transferred to containment in an appropriate receiving facility.
- The mission and the spacecraft design must provide a method to “break the chain of contact” with Mars. No uncontained hardware that contacted Mars, directly or indirectly, shall be returned to Earth. Isolation of such hardware from the Mars environment shall be provided during sample container loading into the containment system, launch from Mars, and any in-flight transfer operations required by the mission.
- Reviews and approval of the continuation of the flight mission shall be required at three stages: 1) prior to launch from Earth; 2) prior to leaving Mars for return to Earth; and 3) prior to commitment to Earth re-entry.
- For unsterilized samples returned to Earth, a program of life detection and biohazard testing, or a proven sterilization process, shall be undertaken as an absolute precondition for the controlled distribution of any portion of the sample.

## CATEGORY III/IV/V REQUIREMENTS FOR EUROPA

### Missions to Europa

Category III and IV. Requirements for Europa flybys, orbiters and landers, including bioburden

reduction, shall be applied in order to reduce the probability of inadvertent contamination of an European ocean to less than  $1 \times 10^{-4}$  per mission. These requirements will be refined in future years, but the calculation of this probability should include a conservative estimate of poorly known parameters, and address the following factors, at a minimum:

- Bioburden at launch
- Cruise survival for contaminating organisms
- Organism survival in the radiation environment adjacent to Europa
- Probability of landing on Europa
- The mechanisms and timescales of transport to the European subsurface
- Organism survival and proliferation before, during, and after subsurface transfer

Preliminary calculations of the probability of contamination suggest that bioburden reduction will likely be necessary even for Europa orbiters (Category III) as well as for landers, requiring the use of cleanroom technology and the cleanliness of all parts before assembly, and the monitoring of spacecraft assembly facilities to understand the bioload and its microbial diversity, including specific problematic species. Specific methods should be developed to eradicate problematic species. Methods of bioburden reduction should reflect the type of environments found on Europa, focusing on Earth extremophiles most likely to survive on Europa, such as cold and radiation tolerant organisms (SSB 2000).

### Sample Return Missions from Europa

Category V. The Earth return mission is classified, “Restricted Earth return.”

- Unless specifically exempted, the outbound leg of the mission shall meet the contamination control requirements given above. This provision should avoid “false positive” indications in a life-detection and hazard-determination protocol, or in the search for life in the sample after it is returned. A “false positive” could prevent distribution of the sample from containment and could lead to unnecessary increased rigor in the requirements for all later Europa missions.
- Unless the sample to be returned is subjected to an accepted and approved sterilization process, the sample container must be sealed after sample acquisition, and a redundant, fail-safe containment with a method for verification of its operation before Earth-return shall be required. For unsterilized samples, the integrity of the flight containment system shall be maintained until the sample is transferred to containment in an appropriate receiving facility.
- The mission and the spacecraft design must provide a method to “break the chain of contact” with Europa. No uncontained hardware that contacted Europa, directly or indirectly, shall be returned to Earth. Isolation of such hardware from the European environment shall be provided during sample container loading into the containment system, launch from Europa, and any in-flight transfer operations required by the mission.
- Reviews and approval of the continuation of the flight mission shall be required at three stages: 1) prior to launch from Earth; 2) prior to leaving Europa for return to Earth; and 3) prior to commitment to Earth re-entry.
- For unsterilized samples returned to Earth, a program of life detection and biohazard testing, or a proven sterilization process, shall be undertaken as an absolute precondition for the controlled distribution of any portion of the sample (SSB 1998).

## CATEGORY REQUIREMENTS FOR SMALL SOLAR SYSTEM BODIES

## Missions to Small Solar System Bodies

Category I, II, III, or IV. The small bodies of the solar system not elsewhere discussed in this policy represent a very large class of objects. Imposing forward contamination controls on these missions is not warranted except on a case-by-case basis, so most such missions should reflect Categories I or II. Further elaboration of this requirement is anticipated.

## Sample Return Missions from Small Solar System Bodies

Category V. Determination as to whether a mission is classified “Restricted Earth return” or not shall be undertaken with respect to the best multidisciplinary scientific advice, using the framework presented in the 1998 report of the US National Research Council’s Space Studies Board entitled, *Evaluating the Biological Potential in Samples Returned from Planetary Satellites and Small Solar System Bodies: Framework for Decision Making* (SSB 1998). Specifically, such a determination shall address the following six questions for each body intended to be sampled:

1. Does the preponderance of scientific evidence indicate that there was never liquid water in or on the target body?
2. Does the preponderance of scientific evidence indicate that metabolically useful energy sources were never present?
3. Does the preponderance of scientific evidence indicate that there was never sufficient organic matter (or CO<sub>2</sub> or carbonates and an appropriate source of reducing equivalents) in or on the target body to support life?
4. Does the preponderance of scientific evidence indicate that subsequent to the disappearance of liquid water, the target body has been subjected to extreme temperatures (i.e., >160°C)?
5. Does the preponderance of scientific evidence indicate that there is or was sufficient radiation for biological sterilization of terrestrial life forms?
6. Does the preponderance of scientific evidence indicate that there has been a natural influx to Earth, e.g., via meteorites, of material equivalent to a sample returned from the target body?

For containment procedures to be necessary (“Restricted Earth return”), an answer of “no” or “uncertain” needs to be returned to all six questions.

For missions determined to be Category V, “Restricted Earth return,” the following requirements shall be met:

- Unless specifically exempted, the outbound leg of the mission shall meet contamination control requirements to avoid “false positive” indications in a life-detection and hazard-determination protocol, or in any search for life in the sample after it is returned. A “false positive” could prevent distribution of the sample from containment and could lead to unnecessary increased rigor in the requirements for all later missions to that body.
- Unless the sample to be returned is subjected to an accepted and approved sterilization process, the sample container must be sealed after sample acquisition, and a redundant, fail-safe containment with a method for verification of its operation before Earth-return shall be required. For unsterilized samples, the integrity of the flight containment system shall be maintained until the sample is transferred to containment in an appropriate receiving facility.
- The mission and the spacecraft design must provide a method to “break the chain of contact” with the small body. No uncontained hardware that contacted the body, directly or indirectly, shall be returned to

Earth. Isolation of such hardware from the the body's environment shall be provided during sample container loading into the containment system, launch from the body, and any in-flight transfer operations required by the mission.

- Reviews and approval of the continuation of the flight mission shall be required at three stages: 1) prior to launch from Earth; 2) prior to leaving the body or its environment for return to Earth; and 3) prior to commitment to Earth re-entry.
- For unsterilized samples returned to Earth, a program of life detection and biohazard testing, or a proven sterilization process, shall be undertaken as an absolute precondition for the controlled distribution of any portion of the sample (SSB 1998).