### TECHNICAL REPORT

## CEN/CLC/TR 17603-11

## RAPPORT TECHNIQUE

#### TECHNISCHER BERICHT

September 2021

ICS 49.140

**English version** 

### Space engineering - Technology readiness level (TRL) guidelines

Ingénierie spatiale - Guide d'utilisation des Niveaux de Maturité Technologique (NMT)

Raumfahrttechnik - Richtlinien zum technischen Reifegrad (TRL)

This Technical Report was approved by CEN on 26 March 2021. It has been drawn up by the Technical Committee CEN/CLC/JTC

CEN and CENELEC members are the national standards bodies and national electrotechnical committees of Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Norway, Poland, Portugal, Republic of North Macedonia, Romania, Serbia, Slovakia, Slovenia, Spain, Sweden, Switzerland, Turkey and United Kingdom.





**CEN-CENELEC Management Centre:** Rue de la Science 23, B-1040 Brussels

# **Table of contents**

Europ	ean Fo	reword	5
Introd	uction.		6
1 Sco <sub>l</sub>	pe		7
2 Refe	rences		8
3 Tern	ns, defi	nitions and abbreviated terms	10
3.1	Terms	defined in other documents	10
3.2	Terms	specific to the present document	11
3.3	Abbrev	viated terms and symbols	11
4 TRL	history	and evolution	13
4.1	History	/ and evolution	13
4.2	Differe (Europ	ences between M95r and ISO 16290 standard as seen by ECSS bean interpretation)	13
4.3	TRL in	nplementation in ECSS system	14
4.4	TRL a	nd assessment basic principles	14
5 Tech	nnology	readiness assessment (TRA) guidelines	17
5.1		uction	
5.2		al principles for technology readiness assessment	
	5.2.1	TRL standard	17
	5.2.2	TRA pre-requisites	21
	5.2.3	Independent verification of the TRL	22
	5.2.4	Discipline specific TRA process	22
	5.2.5	Typical technology readiness assessment (TRA) process	22
	5.2.6	TRA criteria	23
	5.2.7	Viability of TRL progression	23
5.3	TRL ev	valuation by level	24
	5.3.1	TRL 1: Basic principles observed and reported	
	5.3.2	TRL 2: Technology concept and/or application formulated	24
	5.3.3	TRL 3: Analytical and experimental critical function and/or characteristic proof-of-concept	24

		5.3.4	TRL 4 : Component and/or breadboard functional verification in laboratory environment	25
	λ	5.3.5	TRL 5 : Component and/or breadboard critical function verification in a relevant environment	26
	3	5.3.6	TRL 6: Model demonstrating the critical functions of the element in a relevant environment	27
		5.3.7	TRL 7 : Model demonstrating the element performance for the operational environment	28
		5.3.8	TRL 8 : Actual system completed and accepted for flight ("flight qualified")	28
		5.3.9	TRL 9: Actual system "flight proven" through successful mission operations	29
	5.4	Guidelin	nes for other uses of TRLs in R&T&D activities	29
6	Imple	ementat	ion in projects	32
	6.1	General		32
	6.2	Critical 1	functions and technologies in projects	33
		6.2.1	Overview	33
		6.2.2	Technology readiness status list (TRSL) and transference to critical item list	34
	6.3	Technol	ogy readiness assessment (TRA) in projects	34
	6.4	Typical	levels linked to project phases and milestones	35
7			odel philosophy and technology demonstration and	00
			th model types and technology degrapheries	
	7.1	7.1.1	th model types and technology demonstration  Link between TRL and model types	
		7.1.1	Link between TRL and technology demonstrators	
	7.2		essment of TRL for re-use of element with existing TRA	
	1.2	7.2.1	Technical guidelines	
		7.2.2	Technology re-use in a new environment	
Δ	nney		considerations for software	
•	A.1		specific to the present annex	
	A.2		L scale and software developments	
	A.3	Basic pr	rinciples	48
	A.4		FRL with Software	
	A.5	Relation	ship between TRL and criticality categories	56
A	nnex		considerations for EEE components	
н	ıınex	U IKL (	considerations for materials and manufacturing processes	อร

#### CEN/CLC/TR 17603-11:2021 (E)

#### **Figures**

Figure 4-2: Evolution technology maturity  Figure 5-1: Illustration of a new RF transistor then RF amplifier progressing through TRL  Figure 5-2: Example of ESA technology activity template  Figure 5-3: Illustration of a Technology Roadmap  Figure 6-1: Risk versus TRL and complexity  Figure 6-2: Evolution of technology options during preliminary project phases  Figure 6-3: Project phases and generalised institutional expectation of TRA outcome  Figure 6-4: Project phases and generalised commercial expectation of TRA outcome  Tables  Table 5-1: TRL summary - Milestones and work achievement (adapted from ISO 16290)  Table 6-1: Benefits of use of TRA  Table 7-1: Models types associated to TRLs  Table 7-2: Use of commonly-used models for TRL progression  Table 7-3: Links between TRL and Heritage Category  Table 7-4: Technology maturity transfer for re-use  Table A-1: Link between Software development status and TRL	21 30 33 35 37
Figure 5-2: Example of ESA technology activity template	30 31 35 37 38
Figure 5-3: Illustration of a Technology Roadmap  Figure 6-1: Risk versus TRL and complexity  Figure 6-2: Evolution of technology options during preliminary project phases  Figure 6-3: Project phases and generalised institutional expectation of TRA outcome  Figure 6-4: Project phases and generalised commercial expectation of TRA outcome  Tables  Table 5-1: TRL summary - Milestones and work achievement (adapted from ISO 16290)  Table 6-1: Benefits of use of TRA  Table 7-1: Models types associated to TRLs  Table 7-2: Use of commonly-used models for TRL progression  Table 7-3: Links between TRL and Heritage Category  Table 7-4: Technology maturity transfer for re-use	31 35 37 38
Figure 6-1: Risk versus TRL and complexity	35 37 38
Figure 6-2: Evolution of technology options during preliminary project phases	35 37 38
Figure 6-3: Project phases and generalised institutional expectation of TRA outcome  Figure 6-4: Project phases and generalised commercial expectation of TRA outcome  Tables  Table 5-1: TRL summary - Milestones and work achievement (adapted from ISO 16290)  Table 6-1: Benefits of use of TRA	37 38
Tables Table 5-1: TRL summary - Milestones and work achievement (adapted from ISO 16290) Table 6-1: Benefits of use of TRA Table 7-1: Models types associated to TRLs Table 7-2: Use of commonly-used models for TRL progression Table 7-3: Links between TRL and Heritage Category	38
Tables  Table 5-1: TRL summary - Milestones and work achievement (adapted from ISO 16290)  Table 6-1: Benefits of use of TRA  Table 7-1: Models types associated to TRLs  Table 7-2: Use of commonly-used models for TRL progression  Table 7-3: Links between TRL and Heritage Category	
Table 5-1: TRL summary - Milestones and work achievement (adapted from ISO 16290)  Table 6-1: Benefits of use of TRA  Table 7-1: Models types associated to TRLs  Table 7-2: Use of commonly-used models for TRL progression  Table 7-3: Links between TRL and Heritage Category  Table 7-4: Technology maturity transfer for re-use	18
Table 6-1: Benefits of use of TRA	18
Table 6-1: Benefits of use of TRA  Table 7-1: Models types associated to TRLs  Table 7-2: Use of commonly-used models for TRL progression  Table 7-3: Links between TRL and Heritage Category  Table 7-4: Technology maturity transfer for re-use	
Table 7-1: Models types associated to TRLs	36
Table 7-2: Use of commonly-used models for TRL progression	
Table 7-4: Technology maturity transfer for re-use	
Table 7-4: Technology maturity transfer for re-use	45
Table A-1 : Link between Software development status and TRI	46
Table 7. T. Link between contware development status and TNL	50
Table B-1 : Milestones and work achievement for EEE components TRL	57
Table C-1: Use of TRL for with materials and manufacturing process development	

## **European Foreword**

This document (CEN/CLC/TR 17603-11:2021) has been prepared by Technical Committee CEN/CLC/JTC 5 "Space", the secretariat of which is held by DIN.

It is highlighted that this technical report does not contain any requirement but only collection of data or descriptions and guidelines about how to organize and perform the work in support of EN 16603-11.

This Technical report (CEN/CLC/TR 17603-11:2021) originates from ECSS-E-HB-11A.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. CEN [and/or CENELEC] shall not be held responsible for identifying any or all such patent rights.

This document has been prepared under a mandate given to CEN by the European Commission and the European Free Trade Association.

This document has been developed to cover specifically space systems and has therefore precedence over any TR covering the same scope but with a wider domain of applicability (e.g.: aerospace).

### Introduction

This Handbook supports the application of the TRL, and provides guidelines to its use in projects and its independent verification within each specific project context.

This Handbook provides guidelines for best practice for interpretation of the requirements contained in ECSS-E-AS-11 and for the implementation of the process of technology readiness assessment for technologies applied to a critical function of an element.

The ECSS-E-AS-11 - "Adoption Notice of ISO 16290 Definition of the Technology Readiness Levels (TRLs) and their criteria of assessment" adopts ISO 16290 with a minimum set of modifications, to allow for reference and for a consistent integration in ECSS system of standards.

TRL is a scale for technology maturity assessment and not a method of technology engineering nor development. TRL is used in R&T&D activities and also in project activities.

For project activities, a technology readiness assessment informs the project manager (until the end of B phase) of the risk when adopting a new technology for a critical function of an element of the system. In the C and D phases TRL is no longer used by the project and the maturity of technology is managed in the critical item list.

For other projects the information of the declared technology maturity can be reused and an assessment of the new project use conditions are considered in the assessment.

In this handbook the three main actors and the respective role of each actor are clearly identified. The three discrete actors are: technology developers, projects teams (using the technology) and the TRA participants (i.e. those who perform the technology readiness assessment).

# 1 Scope

The present handbook is provided to support the implementation of the requirements of ECSS-E-AS-11 to space projects.

With this purpose, this handbook provides guidelines on the way to assess the maturity of a technology of a product in a given environment, to use the TRL assessment outcome in the product development framework, and to introduce some further refinements for specific disciplines or products to which the TRL assessment methodology can be extended.

Le mology The concept of Manufacturing Readiness Level (MRL) is not addressed in this document, whilst the concept of TRL can be applied to the technology-related aspects of manufacturing.

## 2 References

The following documents are referenced in this text or provide additional information useful for the reader.

EN Reference	Reference in text	Title
EN 16601-00-01	ECSS-S-ST-00-01	ECSS system – Glossary of terms
EN 16603-10	ECSS-E-ST-10	Space engineering – System engineering general requirements
EN 16603-10-02	ECSS-E-ST-10-02	Space engineering – Verification
EN 16603-10-03	ECSS-E-ST-10-03	Space engineering – Testing
EN 16603-10-06	ECSS-E-ST-10-06	Space engineering – Technical requirements specification
EN 16603-10-24	ECSS-E-ST-10-24	Space engineering – Interface management
EN 16603-11	ECSS-E-AS-11	Adoption notice of ISO 16290, Space systems – Definition of the Technology Readiness Levels (TRLs) and their criteria of assessment (1 October 2014)
TR 17603-10-02	ECSS-E-HB-10-02	Space engineering – Verification guidelines
EN 16603-40	ECSS-E-ST-40	Space engineering – Software
EN 16603-70	ECSS-E-ST-70	Space engineering – Ground systems and operations
EN 16601-10-10	ECSS-M-ST-10-01	Space project management – Organization and conduct of reviews
EN 16601-60	ECSS-M-ST-60	Space project management – Cost and schedule management
EN 16601-80	ECSS-M-ST-80	Space project management – Risk management
EN 16602-10	ECSS-Q-ST-10	Space product assurance – Product assurance management
EN 16602-10-04	ECSS-Q-ST-10-04	Space product assurance – Critical-item control
EN 16602-20	ECSS-Q-ST-20	Space product assurance – Quality assurance
EN 16602-20-10	ECSS-Q-ST-20-10	Space product assurance – Off-the-shelf items utilization in space systems
EN 16602-30	ECSS-Q-ST-30	Space product assurance – Dependability
EN 16602-40	ECSS-Q-ST-40	Space product assurance - Safety
EN 16602-60	ECSS-Q-ST-60	Space product assurance – Electrical, electronic and electromechanical (EEE) components

#### CEN/CLC/TR 17603-11:2021 (E)

electronic and electromechanical (EEE) components  EN 16602-70  ECSS-Q-ST-70  Space product assurance – Materials, mechanical parts and processes  EN 16602-70-71  ECSS-Q-ST-70-71  Spaced product assurance – Materials, processes and their data selection	EN Reference	Reference in text	Title
and processes  EN 16602-70-71  ECSS-Q-ST-70-71  Spaced product assurance – Materials, processes and their data selection  EN 16602-80  ECSS-Q-ST-80  Space product assurance – Software product assurance  Space systems - Definition of the Technology Readiness Levels (TRLs) and their criteria of assessment  TECHNOLOGY READINESS LEVELS, A White Paper, April 6, 1995, John C. Mankins Advanced Concepts Office, Office of Space Access and Technology NASA 1  https://www.hq.nasa.gov/office/codeq/trl/trl.pdf	EN 16602-60-13	ECSS-Q-ST-60-13	* *
EN 1602-70-71 ECSS-Q-ST-80 Space product assurance – Materials, processes and their data selection  Space product assurance – Software product assurance  Space systems - Definition of the Technology Readiness Levels (TRLs) and their criteria of assessment  Mankins 95 reference (M95r)  Mankins 95 reference (M95r)  TeCHNOLOGY READINESS LEVELS, A White Paper, April 6, 1995, John C. Mankins Advanced Concepts Office, Office of Space Access and Technology NASA 1  https://www.hq.nasa.gov/office/codeq/trl/trl.pdf	EN 16602-70	ECSS-Q-ST-70	
ISO 16290:2013  Space systems - Definition of the Technology Readiness Levels (TRLs) and their criteria of assessment  Mankins 95 reference (M95r)  TECHNOLOGY READINESS LEVELS, A White Paper, April 6, 1995, John C. Mankins Advanced Concepts Office, Office of Space Access and Technology NASA 1  https://www.hq.nasa.gov/office/codeq/trl/trl.pdf	EN 16602-70-71	ECSS-Q-ST-70-71	Spaced product assurance – Materials, processes and
ISO 16290:2013  Space systems - Definition of the Technology Readiness Levels (TRLs) and their criteria of assessment  Mankins 95 reference (M95r)  TECHNOLOGY READINESS LEVELS, A White Paper, April 6, 1995, John C. Mankins Advanced Concepts Office, Office of Space Access and Technology NASA 1  https://www.hq.nasa.gov/office/codeq/trl/trl.pdf	EN 16602-80	ECSS-Q-ST-80	Space product assurance – Software product assurance
Raper, April 6, 1995, John C. Mankins Advanced Concepts Office, Office of Space Access and Technology NASA 1 https://www.hq.nasa.gov/office/codeq/trl/trl.pdf			Space systems - Definition of the Technology Readiness Levels (TRLs) and their criteria of
Sabrelien Scherated DITILS			Paper, April 6, 1995, John C. Mankins Advanced Concepts Office, Office of Space Access and
			https://www.hq.nasa.gov/office/codeq/trl/trl.pdf
9			
9			
			9