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# Asteroid Redirect Mission (ARM) Formulation Assessment and Support Team (FAST) Final Report

*Daniel D. Mazanek and David M. Reeves, Langley Research Center, Hampton, Virginia*

*Paul A. Abell, Johnson Space Center, Houston, Texas*

*Erik Asphaug, Arizona State University, Tempe, Arizona*

*Neyda M. Abreu, Penn State DuBois, DuBois, Pennsylvania*

*James F. Bell, Arizona State University, Tempe, Arizona*

*William F. Bottke, Southwest Research Institute, Boulder, Colorado*

*Daniel T. Britt and Humberto Campins, University of Central Florida, Orlando, Florida*

*Paul W. Chodas, Jet Propulsion Laboratory, Pasadena, California*

*Carolyn M. Ernst, John Hopkins University, Laurel, Maryland*

*Marc D. Fries, Johnson Space Center, Houston, Texas*

*Leslie S. Gertsch, Missouri University of Science and Technology, Rolla, Missouri*

*Daniel P. Glavin, Goddard Space Flight Center, Greenbelt, Maryland*

*Christine M. Hartzell, University of Maryland, College Park, Maryland*

*Amanda R. Hendrix, Planetary Science Institute, Niwot, Colorado*

*Joseph A. Nuth, Goddard Space Flight Center, Greenbelt, Maryland*

*Daniel J. Scheeres, University of Colorado, Boulder, Colorado*

*Joel C. Sercel, TransAstra Corporation, Lake View Terrace, California*

*Driss Takir, United States Geological Survey, Flagstaff, Arizona*

*Kris Zacny, Honeybee Robotics, Pasadena, California*

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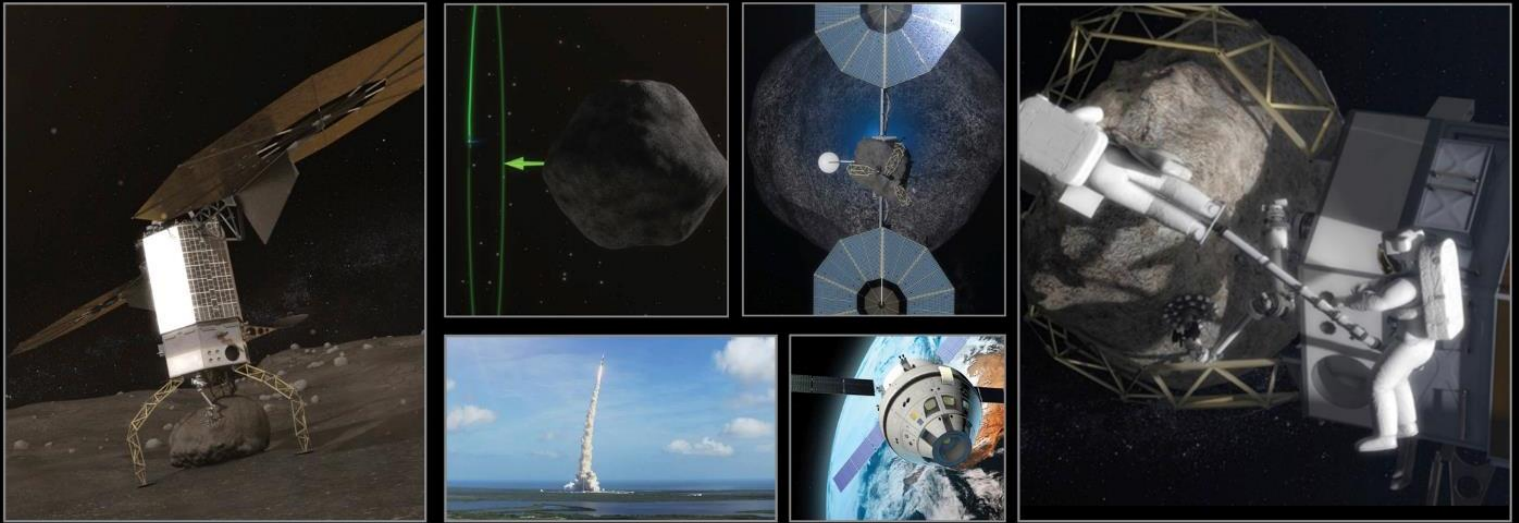
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Fax: 757-864-6500

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## Executive Summary

The Formulation Assessment and Support Team (FAST) for the Asteroid Redirect Mission (ARM) was a two-month effort, chartered by NASA, to provide timely inputs for mission requirement formulation in support of the Asteroid Redirect Robotic Mission (ARRM) Requirements Closure Technical Interchange Meeting (TIM) held December 15-16, 2015. Additionally, the FAST was tasked with developing an initial list of potential mission investigations and providing input on potential hosted payloads and partnerships. The FAST explored several aspects of potential science benefits and knowledge gain from the ARM. Expertise from the science, engineering, and technology communities was represented in exploring lines of inquiry related to key characteristics of the ARRM reference target asteroid (2008 EV<sub>5</sub>) for engineering design purposes. Specific areas of interest included target origin, spatial distribution and size of boulders, surface geotechnical properties, boulder physical properties, and considerations for boulder handling, crew safety, and containment. In order to increase knowledge gain potential from the mission, opportunities for partnerships and accompanying payloads were also investigated. This report and associated public comments will be used to support mission requirements formulation and serve as an initial inquiry to the science and engineering communities relating to the characteristics of the ARRM reference target asteroid. This report also provides a suggested list of potential investigations sorted and grouped based on their likely benefit to ARM and potential relevance to NASA science and exploration goals. These potential investigations could be conducted to reduce mission risks and increase knowledge return in the areas of science, planetary defense, asteroid resources and in-situ resource utilization (ISRU), and capability and technology demonstrations. Participation in the FAST by non-civil service personnel was limited to providing non-consensus, non-voting input. This report represents the FAST's final product for the ARM.

The ARM consists of two mission segments: 1) the ARRM, which will be the first robotic mission to visit a large (greater than ~100 m diameter) near-Earth asteroid (NEA), collect a multi-ton boulder and regolith from its surface, use the boulder to perform an enhanced gravity tractor asteroid deflection demonstration, and then transport the asteroidal material to a stable orbit around the Moon; and 2) the Asteroid Redirect Crewed Mission (ARCM), in which astronauts will explore the boulder and return samples to Earth. NASA originally proposed a robotic mission concept to capture an entire small asteroid (4-10 m in size) that would leverage several key ongoing activities in human exploration, space technology, and planetary defense. Subsequently, an alternate approach to collect a boulder from a large asteroid was also proposed. NASA evaluated both mission approaches to determine their feasibility, identify the important differences between them, and evaluate the key risks and figures of merit for each concept. On March 25, 2015, NASA announced the selection of the boulder capture option for the robotic segment of ARM. The ARRM is planned to launch at the end of 2020 and the ARCM is planned for late 2025.

To achieve its long-term goal of sending humans to Mars, NASA plans to proceed in a series of incrementally more complex human spaceflight missions. Today, human flight experience extends only to Low Earth Orbit (LEO); should problems arise during a mission, the crew can return to Earth in a matter of minutes to hours. The next logical step for human spaceflight is to gain flight experience in the vicinity of the Moon. These cis-lunar missions will provide a "proving ground" for the testing of systems and operations while still accommodating an emergency return path to the Earth that would last only several days. Cis-lunar mission experience will be essential for more ambitious human missions beyond the Earth-Moon neighborhood, which will require weeks, months, or even years of transit time. A principle objective of the ARM is to develop a high-power Solar Electric Propulsion (SEP) vehicle, and demonstrate that it can efficiently move large masses and operate for many years in interplanetary space, which is critical for



deep-space exploration missions. A second prime objective of ARM is to conduct a human spaceflight mission involving in-space interaction with a natural object in order to provide the systems and operational experience that will be required for eventual human exploration of Mars, including the Martian moons Phobos and Deimos. The ARCM provides an opportunity for the early flights of the Orion program, which will take place before the infrastructure for more ambitious flights will be available. Astronauts will participate in the scientific, in-space investigation of nearly pristine asteroid material, which will be at most only minimally altered by the capture process. The ARCM will provide the opportunity for human explorers to work in space with asteroid material, testing the activities that would be performed and tools that would be needed for later exploration of primitive body surfaces in deep space. The operational experience would be gained close to our home planet, making it a significantly more affordable approach to obtaining this experience. This report was not intended to provide an in-depth description of the ARM or the associated spacecraft, systems, and operations. For further details about the ARM, please visit <http://www.nasa.gov/asteroidinitiative>.

NASA has identified the NEA 2008 EV<sub>5</sub> as the reference target for ARRM mission planning. A radar-based shape model shown in Figure 1. Note that the yellow shading in the figure denotes those areas of 2008 EV<sub>5</sub>'s surface that were either invisible to or only seen at grazing incidence by radar observations. Final target selection will be made approximately a year before launch. 2008 EV<sub>5</sub> is a carbonaceous (C-type) asteroid that has been remotely characterized (radar, visual, and infrared wavelengths) and is believed to be hydrated. It provides significant return mass (boulders greater than 20 metric tons) within the current baseline of five years between the ARRM and the ARCM. 2008 EV<sub>5</sub> provides a valid target that can be used to help with formulation and development efforts, and is the main NEA on which the FAST focused its attention.

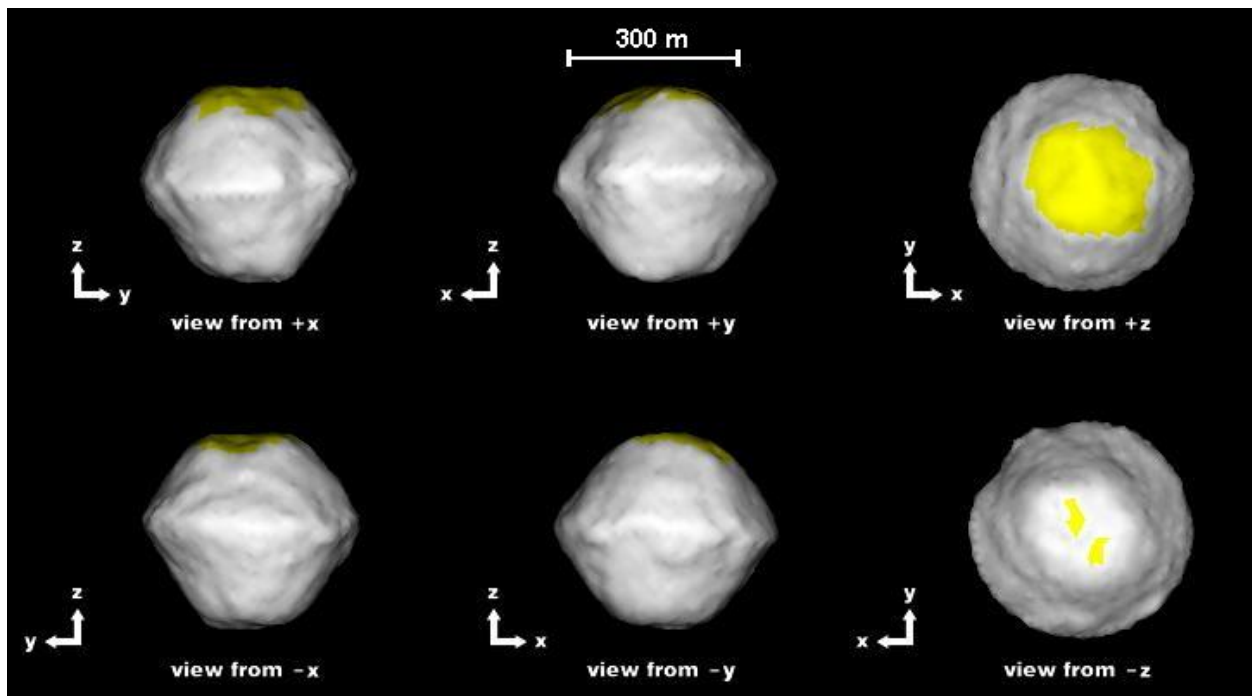


Figure 1: 2008 EV<sub>5</sub> shape model from radar observations [Busch et al., 2011].

The first section of this report provides an overview of the FAST, including its purpose, an overview of ARM, a summary of the study request, and information about the FAST selection process and membership. Eighteen participants were selected from exactly 100 applications received from highly qualified individuals representing academia, industry, NASA, non-profit research institutes, and other organizations (see Table 2 in the “FAST Overview” section for a list of the FAST members).

The second section of this report includes responses to a set of high-priority questions that were derived from the ARRM engineering team’s risk analysis and needed to help design and develop the ARRM mission, spacecraft, and capture system. The responses were formulated to support the ARRM Requirements Closure TIM. The questions have been grouped into seven topics and the major findings for each question are summarized below. For additional details, please see the “FAST Responses to ARRM Project Questions” section and associated appendices and references for each topic.

### **1. Origin of 2008 EV<sub>5</sub>**

**What is the orbital history of 2008 EV<sub>5</sub>, and has that history affected the properties of the asteroid and candidate boulders? (Where has it been in the Solar System and for how long? Has it been closer/farther from the Sun than it is now?)** Initial dynamical modeling indicates that 2008 EV<sub>5</sub> likely was produced from a much larger body in the asteroid belt (diameter greater than 100 km), probably from a catastrophic disruption event that resulted in a highly fractured, shattered, or reaccumulated object (rubble pile). Subsequently, 2008 EV<sub>5</sub> migrated inward across the inner main belt over many millions of years until it reached a planetary gravitational resonance that drove it into the NEA population. After escaping the asteroid belt en route to its current orbit, 2008 EV<sub>5</sub> spent considerable time with perihelion values less than 1 AU. Table 1 shows the probability that the surface of 2008 EV<sub>5</sub> exceeded the corresponding temperature. These temperature estimates are not only a function of 2008 EV<sub>5</sub>’s proximity to the Sun but also its physical parameters (e.g., shape, size, albedo, etc.), which are modestly uncertain. The interiors of the boulders on 2008 EV<sub>5</sub>’s surface would have experienced lower temperatures. These results lead to high and low probability scenarios. For the former case, 2008 EV<sub>5</sub>’s boulders and subsurface likely did not experience temperatures greater than 500 K and thus common organic and hydrated compounds may be present, but are likely depleted in the top ~5 cm of both the surface layers of the boulders and 2008 EV<sub>5</sub> itself. Similarly, boulder organics may have also been depleted via exposure to ionization radiation (e.g., cosmic rays), whose penetration depth is on the order of a meter. For the latter case, boulders residing near or on the surface may have been thermally processed. 2008 EV<sub>5</sub> has an estimated geometric albedo that is higher than many carbonaceous chondrites. If 2008 EV<sub>5</sub>’s estimated albedo remains above 8%, the best match to 2008 EV<sub>5</sub>’s characteristics is likely a CR carbonaceous chondrite (Renazzo-type meteorite). However, CI (Ivuna-type), CM (Mighei-type), and CK (Karoonda-type) carbonaceous chondrites are also possible matches given the uncertainty of the albedo estimates and the spectral response of the asteroid.

Table 1: Results from initial dynamical modeling of 2008 EV<sub>5</sub>'s migration from its most likely origin to its current orbit showing the probability that 2008 EV<sub>5</sub>'s surface exceeded a given temperature and the corresponding perihelion for each surface temperature.

Probability	2%	14%	24%	44%	60%	80%	100%
Surface Temperature	1,030 K	730 K	600 K	510 K	460 K	420 K	340 K
Corresponding Perihelion	0.1 AU	0.2 AU	0.3 AU	0.4 AU	0.5 AU	0.6 AU	0.9 AU

## 2. Boulder Spatial and Size Distributions

**What is the expected size-frequency distribution for boulders on 2008 EV<sub>5</sub>?** Although a large percentage of 2008 EV<sub>5</sub>'s surface was observed by radar, only approximately half of the area permitted the identification of candidate boulders. Six distinct candidate 10-m-scale boulders have been identified in these images, indicating the existence of at least 10 such boulders over the asteroid's entire surface. Based on 2008 EV<sub>5</sub>'s radar scattering properties and the highest-resolution images of asteroid surfaces (Eros and Itokawa) from spacecraft, there are likely millions of 10-cm scale cobbles on 2008 EV<sub>5</sub>. Assuming a power-law distribution of boulders on 2008 EV<sub>5</sub> that follows that of the Eros global dataset, ~16,000 1-5 m boulders and ~1,300 2-3 m boulders are expected on the surface of 2008 EV<sub>5</sub>. If it is assumed that there is a power-law distribution of boulders on 2008 EV<sub>5</sub> that connects the radar 10-m data to the radar 10-cm data, ~3,000 1-5 m boulders and ~360 2-3 m boulders would be expected on the surface of 2008 EV<sub>5</sub>. A 2-3 m boulder likely reflects the largest boulder that can be returned from 2008 EV<sub>5</sub> if the ARRM is launched at the end of 2020 and the ARCM takes place in late 2025. Data from upcoming asteroid missions could provide more data. Hayabusa2 will arrive at the C-type asteroid Ryugu (formerly 1999 JU<sub>3</sub>) in June of 2018. NASA's Origins, Spectral Interpretation, Resource Identification, Security-Regolith Explorer (OSIRIS-REx) will arrive at the B-type asteroid Bennu in August of the same year. These will be the first primitive asteroids for which high-resolution images will be obtained, and they are roughly similar in size to 2008 EV<sub>5</sub>. Power-law fits can be made to boulder counts for bodies where sufficient data are available and a power-law distribution for fragments produced by fracturing could also be considered. It should be noted that the mechanical properties of rocks on 2008 EV<sub>5</sub> can be expected to be significantly different than those on Eros and Itokawa due to differences in material properties (e.g., microporosity, mineralogy, etc.).

**What is the expected distribution of boulder shapes for boulders on 2008 EV<sub>5</sub>?** Most boulders found on Itokawa greater than six meters in diameter are elongated with b/a (width/length) ratios of approximately 0.7. The third, vertical dimension of boulders (height) cannot be determined in most of the Hayabusa images to provide reliable estimates of c/a ratios (height/length). Several past laboratory impact experiments have been conducted and show that the fragments produced are irregular in shape and not regular 3-axis ellipsoids. An open question is whether the aspect ratio would be different for weaker rocks subject to thermal degradation, like those expected on 2008 EV<sub>5</sub>. This question will be addressed by OSIRIS-REx and Hayabusa2.

**What is the expected spatial distribution of ~1-5 meter boulders on 2008 EV<sub>5</sub>?** Based on the number of observed boulders (six distinct 10-m-scale candidates), the number of cobbles inferred from radar roughness, and the assumption that a power-law relationship exists between boulder diameter and cumulative size-frequency distribution, the number of boulders of a given size per area can be

calculated assuming a roughly uniform distribution across the surface. This information alone cannot tell us further information about the actual distribution, and it is expected that the boulders would preferentially settle in the equatorial or near-equatorial regions.

**What is the expected distribution in safe landing areas around ~1-5 m boulders on 2008 EV<sub>5</sub>?** The number of boulders of a given size in a 10-m diameter circle can be estimated assuming a uniform distribution of boulders across the surface. Multiplying this value by the asteroid's surface area will yield the total number of boulders greater than or equal to a given diameter in a 10-m diameter circle. Generally speaking, relatively flat, boulder-populated areas are predicted on 2008 EV<sub>5</sub>; however the nature of these flat areas at the spatial scale of the Asteroid Redirect Vehicle (ARV) contact pads (~1 m) requires careful consideration. Additionally, other characteristics of safe landing zones need to be considered (e.g., crushing stress of the particulate regolith surface).

**What is the expected distribution in depth of burial for ~1-5 m boulders on 2008 EV<sub>5</sub>?** Due to the nature of spacecraft images of Eros and Itokawa, there is minimal information with regard to the burial of boulders on their surfaces. Regolith does migrate on asteroids, either from potential highs to lows (e.g., Itokawa) or via crater ejecta (probably less important on smaller objects, as the majority of the ejecta is likely to exceed escape velocity). Boulders formed in fragmentation events have an average aspect ratio a:b:c (length:width:height) of 1:0.7:0.5. Assuming these shapes, burial estimates could be made based on three-dimensional images taken by the ARV. If the boulder's maximum dimension parallel to the ground does not coincide with the intersection with the regolith, a symmetric shape to the boulder could be assumed and a depth of burial estimated. Three-dimensional images of the boulder will be essential for this characterization. Observations of the distribution of regolith and surface slopes could help to inform whether regolith has moved into/out of the area and may have buried boulders.

### **3. Surface Geotechnical Properties**

**What are the expected surface regolith geotechnical properties of the target asteroid?** The asteroid surface is more likely to be a pebble-rich lag depleted of fines, and as such, the near-surface porosity should be higher and the compaction lower than the asteroid's bulk compaction and porosity, unless significant interior void space exists. This is an effect of the low surface acceleration and solar radiation pressure, which will tend to strip off fine particles and leave lags of larger, harder to move materials. Whatever the porosity and compaction, it is likely that the same processes apply within a given landing area, so it should be fairly uniform. In turn, this should be applicable to all ARRM targets. The exceptions are "low" areas, such as those observed on Eros and Itokawa that were filled with relatively fine material. Due to 2008 EV<sub>5</sub>'s top shape and other dynamical properties, some regions (e.g., equator) may have significantly different particle size distributions compared to others (e.g., the poles). Coefficient of friction is a function of the magnitude of cohesive forces between regolith and the ARV's Contact and Restraint Subsystem (CRS) contact pads. The main sources of cohesive forces are van der Waals and electrostatic forces, but van der Waals forces should dominate. A very rough analytical estimate of the expected range of bearing strength of the surface regolith is 185-4,368Pa; however, numerical models such as Discrete Element Method (DEM) models should be used to provide better estimates and sensitivities.

**What is the expected distribution in cohesion between ~1-5 meter boulders and the surface of 2008 EV<sub>5</sub>?** Cohesion is a function of particle size, as well as, particle shape, compaction history, and other material properties. Fines have higher cohesion per unit volume than coarse material. Modeling predicts that fine grains will preferentially attach to larger grains, and thus larger grains embedded in

a matrix of fine grains could be held in place by the strength of the matrix itself. Hence the cohesion between large boulders and regolith will be driven by cohesion between fine particles and is estimated to be 25-250 Pa. A high-resolution camera (mm/pixel or better) would be needed to provide good estimates of regolith size distribution. Particle size distribution could be used together with numerical models (e.g., DEM) to assess regolith cohesion. However, if the models have not been calibrated, the regolith strength values could have significant uncertainty. The models can be calibrated through in-situ testing of regolith properties by deploying geotechnical instruments. The geotechnical data could then be used analytically, or with an aid of numerical models, to estimate cohesion between the surface and the boulder.

#### **4. Boulder Physical Properties**

**What is the expected distribution in densities for ~1-5 meter boulders on 2008 EV<sub>5</sub>?** 2008 EV<sub>5</sub> appears to be composed of material similar to CR or CM chondrite meteorites, although CI and CK types cannot be ruled out. For these carbonaceous chondrite groups, the bulk densities range from 1.58-3.94 g/cm<sup>3</sup> and porosities are between 35% for CI chondrites and 9.5% for CR chondrites. If the composition of the asteroidal targets can be identified, the data on asteroid bulk density for the major carbonaceous chondrite groups can be used to derive the upper bound on meteorite bulk density and mass. Some combination of remote sensing measurements prior to boulder selection and in-situ measurement prior to collection would identify the mineralogy of the boulder:

- Multi-wavelength spectroscopy (e.g., ultra-violet (UV), visible, near-infrared, thermal, etc.)
- Alpha particle X-ray spectrometry (APXS) and/or laser-induced breakdown spectroscopy (LiBS) for elemental abundances
- Neutron and gamma-ray spectroscopy for volatiles and elemental abundances
- Mössbauer spectroscopy for Fe mineralogy
- X-Ray diffraction (XRD) for general mineralogy

**What is the expected distribution in the coefficient of thermal expansion of ~1-5 meter boulders from 2008 EV<sub>5</sub>?** The coefficient of thermal expansion of CM and CR chondrites is not well studied. However, some informed estimates based on analogs to terrestrial materials can be made. The distribution of the coefficient of thermal expansion is expected to be small. Direct measurements of the coefficient of thermal expansion for CM chondrites are currently being conducted and results should be available soon. In the meantime, the FAST suggests that a coefficient of thermal expansion in the range of 5-15 x 10<sup>-6</sup>/K, similar to that of terrestrial sandstones, dolomites, and concretes, should be assumed.

**What is the expected distribution in minimum shear, compressive, and tensile strengths for ~1-5 meter boulders on 2008 EV<sub>5</sub>?** It is difficult to confidently predict boulder strength on 2008 EV<sub>5</sub> because we have no direct measurements that can be applied without uncertainty in interpretation. Data on asteroid material strength comes from laboratory measurements of small meteorites and data from bolide entry events, from which we estimate the aerodynamic ram pressure at breakup. Other insights come from experience with terrestrial materials and their variation with scale; experience with materials from other bodies such as the Moon and Mars; and analytical models. The difficulty with meteorite strength data is that it is measured from small samples and its applicability to large boulders requires an extrapolation which is uncertain. Similarly, bolide data clearly shows a range of breakup altitudes that are dependent upon uncertain material properties and component sizes. However, the nature of those components and the body's reaction to entry are subject to interpretation. A key

question is whether the bolides themselves (asteroid materials at meter-scale) are representative of meter-size boulders on asteroids.

Meteorite strength fundamentally depends on composition, texture, and structure. In general, meteorites are bi-modal, in their strength with most meteorite types including ordinary chondrites, anhydrous carbonaceous chondrites, and most CMs being quite strong with compressive strengths greater than 40 MPa. The other major strength grouping includes CI and some petrologic type 2 carbonaceous chondrites (C2), such as Tagish Lake, which are quite weak with compressive strengths less than a few MPa. However, there are notable exceptions to this generalization (i.e., weak ordinary chondrites), and the meteorite strength data is sparse on a number of important types (i.e., CMs, CIs and CRs that have few or no measurements). Additionally, it is very likely that the meteorite collection is biased towards stronger materials since more fragile materials are lost during atmospheric entry. Estimation of the overall strength of a boulder could be based on the “weakest link” approach that will likely be at least an order of magnitude weaker than data from individual meteorites.

Given these caveats, along with the uncertainty in 2008 EV<sub>5</sub>'s classification, it is the judgment of the ARM FAST members that boulders on 2008 EV<sub>5</sub> could exhibit strength characteristics that fall within the following ranges:

- shear strength: 0.1-5 MPa
- compressive strength: 0.5-50 MPa
- tensile strength: 0.05-3 MPa

Of these parameters, the one that is most uncertain is tensile strength, and the possibility that tensile strength at large scale may be below the range above cannot be ruled out without further investigation. It should also be noted that there is dispute within the scientific community regarding the compressive strength, with some members of the FAST suggesting that boulder compressive strength may be as low as 0.1 MPa, derived from the assumed aerodynamic stresses during bolide breakup in the atmosphere. More experimental data on the relevant meteorite types and experiments with large-scale simulants are needed to refine these estimates.

Note: If 2008 EV<sub>5</sub>'s actual albedo is near or higher than the mean albedo values presented in the “Origin of 2008 EV<sub>5</sub>” section, 2008 EV<sub>5</sub> is arguably a CR chondrite (though other compositions cannot be definitively ruled out, such as CI, CM, CK, etc.). As a starting point for discussion and new work, it is probably reasonable to assume this composition when making estimates of likely boulder strengths. If 2008 EV<sub>5</sub> actually has a low albedo, however, it is arguably more likely to be a CI or CM chondrite, which show a wide range of meteorite strengths and probable boulder strengths as well. This possibility is more problematic for engineering work, but it cannot be ruled out until additional information on the nature of 2008 EV<sub>5</sub> becomes available. Additionally, given that other candidate NEAs could be hydrated CIs or CMs (the most desirable targets from an ISRU perspective), designing for this wide range of strengths increases mission robustness.

All other things being equal (i.e., similar mineralogy, albedo, exposure history, and shock history), just as with bulk density and other physical properties, a relatively narrow distribution of shear, compressive, and tensile strength of boulders on an individual asteroid should be expected. Because of thermal shock and erosion, angularity and visible fractures may be a measure of relative boulder strength. Stronger boulders may be more angular and weaker boulders more rounded. The physical

properties of homogeneous, isotropic rock are typically normally or lognormally distributed; it can reasonably be expected that boulders on 2008 EV<sub>5</sub> will exhibit a normal or lognormal distribution in strength. Given the uncertainties and caveats in the above discussion, it would seem prudent to work aggressively to refine estimates of boulder strength while exploring capture mechanisms that minimize the required mechanical strength of the boulder. In addition, a broader investigation of the issue of boulder breakup is advisable, including consideration of boulder thermal properties, toughness or brittleness, and ductility.

##### **5. Post-Collection Boulder Handling**

**How should the boulder be handled after collection to minimize impacts to science and to the structural integrity of the object?** In order to avoid fragmentation of the boulder after collection, minimizing physical handling of the boulder until it is in a stable cis-lunar orbit could be helpful. However, additional physical contact with the boulder after collection (e.g., drilling, brushing, or scraping the surface of the boulder) could provide valuable engineering data to aid in safe transportation and the design of tools for future robotic or human sampling of the boulder. The ARRM team must reach a balance between these constraints. Monitoring the boulder during the anchoring process (e.g., adding cameras to the ends of the robotic arms) would be highly beneficial. Imaging the effects of the microspine grippers scraping over the surface or the dispersion of the drilling chips for the anchor could provide considerable insight about the overall integrity of the boulder. Monitoring the performance of the drill anchors may also prove useful. Passive direct monitoring of the boulder during anchoring, return, and in cis-lunar space is highly desirable. Cameras could also be used to inspect the boulder surface to identify any particle shedding or cracking prior to the crewed mission.

##### **6. Pre-ARCM Boulder Assessments for Crew Safety**

**Besides the existing capabilities of the ARV (i.e., cameras and CRS feedback loads), are there other ways to assess the condition of the boulder prior to crew access to determine if it's safe to approach and sample?** To ensure crew safety, a variety of high-heritage and/or flight-proven measurements and techniques could be employed during return from the asteroid or after Lunar Distant Retrograde Orbit (LDRO) insertion, and prior to crew interaction. Assessing the fragility, hardness, sharpness, volatile release potential of samples, and the presence of fractures or textures that might suggest spallation or breakage would be most critical to astronaut safety. The following measurements would be relevant to astronaut safety and/or science/knowledge gain but not as critical: 1) assessing any physical movement or dramatic temperature changes of the samples during the return transit; 2) characterizing and determining the abundance of any dust, volatiles, and/or organics in the samples; 3) characterizing the chemistry and mineralogy of the samples prior to astronaut arrival to make eventual EVAs most efficient; and 4) assessing swatches of space suit material and other relevant witness samples during the robotic mission to influence the choice of ARCM materials, coatings, etc. Finally, the following were of primarily relevance to science/knowledge gain: 1) assess electrostatic potential in the plasma environment around the boulder; 2) use mass determination and volume of the boulder to estimate its density; and 3) estimate the ages of the samples.

##### **7. Containment Considerations**

**Given the uncertainties in the properties of the boulders, potential for contamination, possible thermal effects, and potential for particulate release that could affect spacecraft or crew safety, should some form of containment of the boulder be considered? If so, what type of containment and materials should be considered?** There is a high likelihood that particulates and possibly fragments will evolve from an unprotected boulder while it is attached to the spacecraft. These particles are likely to be small, have a very low relative velocity to the spacecraft, and are not expected

to remain in the vicinity of the boulder due to spacecraft motion and solar radiation pressure. As such, these particles do not present a hazard to crew operations. Thermal effects are a primary factor in contamination and alteration of the boulder, and thus contamination and alteration can be reduced with a containment designed to reduce thermal shock and peak temperature. Monitoring the boulder throughout the period between initial collection by ARRM and sampling operations during ARCM to assess debris generation, contamination, and alteration is a prudent approach. A hermetically sealed containment mechanism for the boulder is not desirable, but a sunshade-like “containment” device should be considered among the possible options. Specific requirements for physical containment of the boulder should be supported with further analyses. Since physical containment of the boulder is not necessarily suggested unless further analyses deem it necessary, a better term for this consideration is the “protection” of the boulder rather than “containment.”

The third section of this report includes an initial list of potential investigations, resulting from brainstorming activities by the FAST, which could be performed by ARM (ARRM and/or ARCM). Many of the identified investigations require additional sensors, subsystems, or operations that are beyond the scope of the current program. These could be performed with additions and modifications as identified in Table 12 in the “Potential Investigations” section of the report. These inputs are not intended to be inclusive of all possibilities, but rather to aid formulation and development of the ARRM, and reflect the FAST members’ experience and expertise in small bodies missions and knowledge related to science, planetary defense, asteroidal resources and ISRU, and relevant capabilities and technologies. In order to present these potential investigations in this report, the 63 areas identified have been sorted and grouped based on their likely benefit to ARM and relevance to NASA’s science, ISRU, planetary defense, and exploration goals by the FAST leadership (Mazanek, Abell, and Reeves) and incorporating input from the rest of the FAST. Within each grouping, the investigations are listed in the order they were proposed by the FAST with no priority or significance implied by the order. Further descriptions of the investigations are presented in the “Potential Investigations” section of the report.

**High Benefit to ARM and High Relevance to NASA Goals:** Asteroid Surface Interaction; Dust/Particulate Mitigation Techniques; Sample Thermal Control; Thermal Imaging of Asteroid Surface; Collect Regolith Samples; Surface Contact Science Package; Collect Samples From Boulder; and Characterize Boulder and Geotechnical Properties.

**High Benefit to ARM and Medium Relevance to NASA Goals:** Low-Velocity Penetrator; Mineralogy and Composition; Multi-Spectral Imaging of Asteroid; Global Mapping of Asteroid (e.g., imaging and radio science); High-Power Radar; Comprehensive Boulder Imaging; LDRO Free-flying Observer; and Asteroid Free-Flyer for Observation.

**High Benefit to ARM and Low Relevance to NASA Goals:** None identified.

**Medium Benefit to ARM and High Relevance to NASA Goals:** Optical Communications Demo; Small Body Seismic Network on Asteroid; Ultrasonic Investigation of Boulder; Anchoring Techniques; Long-term Orbit Determination; Contamination Environment Monitoring; and Boulder Organics and Volatiles Characterization.

**Medium Benefit to ARM and Medium Relevance to NASA Goals:** Surface & Subsurface Composition.

**Medium Benefit to ARM and Low Relevance to NASA Goals:** None identified.



**Low Benefit to ARM and High Relevance to NASA Goals:** Demo of Mining Techniques; Micro-g Mobility Demo (Robotic & Crewed); ISRU Radiation Protection; Planetary Protection (“Break the Chain of Contact”); Tether Demo with Boulder Counterweight; High-Velocity Asteroid Impactor; Radiation Environment Characterization; Collect Boulder Core Sample; Large Sample Return; Cold Trap Volatile Collection Demo; and ISRU Product Characterization.

**Low Benefit to ARM and Medium Relevance to NASA Goals:** Small Body GPS; Remote Stand-off Interaction Demo; Future Planned Instrument Demo; Space Weathering Measurements; Plasma Environment Characterization; Magnetic Environment Characterization; Deploy Science Package; Occultation Exosphere Observations; Dust Mobility Characterization; Characterize Boulder Porosity; Rubble Aggregation Experiment; Observe Kinetic Impact on Asteroid; Deploy Explosive Penetrator on Asteroid; Additional Planetary Defense Demo(s); Plume Generation and Observation; Ablation and/or Spalling Test; In-Space Printing with Asteroidal Materials; Asteroidal Material Manipulation Demo; Instrumented Drill on Asteroid and/or Boulder; Boulder Composition Characterization; Deliver Samples to International Space Station (ISS); Crack the Boulder to Expose New Surfaces; Encapsulate the Boulder for Volatile Collection; Characterize Boulder Permeability; Soil Simulation with Asteroidal Material; Microwave Volatile Extraction Test; Use of Robotic Arms for Strength Tests; and Full ISRU Demo.

**Low Benefit to ARM and Low Relevance to NASA Goals:** None identified.

The fourth section of this report includes a list of additional findings by the FAST in combination with public input that is repeated here in its entirety. No prioritization is implied by the ordering of these findings.

- **Unique Knowledge Gain from ARM:** ARM provides a unique opportunity to gain a wide range of valuable knowledge beyond other asteroid missions or what is available in the current meteorite collection. For example:
  - Investigating pristine sub-surface material, preserved with stratigraphic context (boulder core sample), that has not been significantly altered by the space weathering and ionizing radiation environment (e.g., how organic content, hydration, volatile content, etc. varies with depth).
  - Returning a multi-ton boulder, along with regolith samples for context that would provide valuable information about the surface of asteroids and allow for measurements and investigations that require large mass/samples.
  - Returning multiple kilograms of samples to Earth to allow sensitive laboratory measurements and experiments (i.e., destructive to the sample) that aren’t possible with the limited primitive meteorite collection.
  - Creating an "orbital laboratory" that can be used to demonstrate asteroidal ISRU and other technologies and instruments in an operational environment.
  - Creating the opportunity to correlate observed reflectance spectrum to the sampled asteroid surface (“ground truth”), asteroid interior (through boulder investigations), and known meteorite classes.
- **NASA Goal Traceability:** Although the FAST did not specifically address traceability to the current planetary decadal survey and other NASA exploration roadmaps, many NASA goals could be addressed using the results and opportunities provided by this mission.
- **Pre-launch 2008 EV<sub>5</sub> Characterization:** All existing data should be analyzed to provide physical characterization of 2008 EV<sub>5</sub> to understand mission risks. This includes the European Space

Agency (ESA) MarcoPolo-R team investigations (e.g., observations and modeling) and telescopic data sets. Opportunities for acquiring new data sets should also be investigated (e.g., Spitzer).

- **Meteorite and Simulant Analog Work:** More wide-ranging laboratory studies of appropriate candidate meteorites and simulant development are warranted (e.g., spectra, strength, density, etc.). Investigating the effects of grain size, packing density, and powders-on-slabs would provide stronger insights into the possible physical and chemical composition of 2008 EV<sub>5</sub>.
- **Characterization Precursor:** A precursor to the ARRM target body in order to scout for boulders and provide surface and boulder physical characteristics would effectively increase the characterization phase duration and should be investigated further. This precursor could be a dedicated mission or be co-manifested with the ARV, arriving at the target earlier. Additional benefits would be gained if the precursor had some means of interacting with the surface to provide geotechnical data.
- **Characterization Phase:** Characterization of the target asteroid, candidate boulders, and associated collection areas are critically important. Increasing, to the greatest extent possible, the time allocated for characterization will maximize the knowledge return from the ARRM and probability of mission success, while minimizing the time required for data acquisition, transmission, processing and analysis, and decision making will reduce the overall characterization timeline.
- **Geotechnical Property Estimation:** A mechanical interaction with regolith representative of the boulder collection area is the only way to provide an accurate estimate of the geotechnical properties (e.g., cohesion, friction angle, porosity, etc.) that are critical for boulder collection. Before and after images of the interaction area at sub-cm/pixel resolution would provide context to inform cohesion mapping around target boulders.
- **Boulder and Regolith Characterization:** On a best-effort basis, sufficient camera resolution is required to characterize:
  - The morphological relationship of the boulder to the surrounding terrain – sub-cm/pixel resolution of a representative area of boulder/regolith interface with more of the image devoted to the regolith than the boulder.
  - The physical integrity of the boulder (e.g., cracks, fissures, etc.) – sub-cm/pixel resolution over as much of the boulder surface as possible is desired.
- **Thermal Imaging:** The thermal inertia of boulders, and the entire asteroid surface, is indicative of their near-surface characteristics (e.g., porous vs. solid), and can be measured relatively easily with a thermal detector. Ideally this detector would have two or more wavelengths (e.g., 5 and 10 microns) and a spatial resolution greater than several pixels per boulder (a minimum of about 0.5 meters per pixel). Over an asteroid's rotation period these observations can distinguish between the thermal inertia of low-density, porous aggregates and higher-density, potentially stronger, monolithic material, which would aid in boulder and site selection and in determining the homogeneity of boulder and surface properties.
- **Previously Visited Target:** While selecting a C-type target that will not have been visited before (i.e., not Bennu or Ryugu) is compelling, there is value in returning to a previously visited asteroid and there would be interest in returning a boulder to cis-lunar space for subsequent study and sampling. (see NASA's Small Body Assessment Group (SBAG) ARM Special Action Team Full Report: [http://www.lpi.usra.edu/sbag/documents/SBAG\\_ARM\\_SAT\\_Full\\_Report.pdf](http://www.lpi.usra.edu/sbag/documents/SBAG_ARM_SAT_Full_Report.pdf)).

The fifth section of this report provides a summary of relevant public inputs and comments received by the deadline of December 4, 2015. All public inputs directly relevant to ARM, including any additional comments received in response to the posting of the draft version of the report, are summarized in the “Summary of Public Inputs” section and are posted in their entirety on the FAST website: <http://www.nasa.gov/feature/arm-fast>.

Finally, more detailed responses to each of the ARRM Project questions are provided in the Appendices. These full responses are intended to provide additional information that can be utilized by the ARRM Project Team and are not included in this Executive Summary.

**Reference:**

Busch, M.W. et al. 2011. Radar Observations and the Shape of Near-Earth Asteroid 2008 EV<sub>5</sub>. *Icarus* 212, 649-660.

## FAST Overview

### *Purpose*

The Formulation Assessment and Support Team (FAST) for the Asteroid Redirect Mission (ARM) was chartered by NASA to provide timely inputs for mission requirement formulation in support of the Asteroid Redirect Robotic Mission (ARRM) Requirements Closure Technical Interchange Meeting (TIM) held December 15-16, 2015. Additionally, the FAST was tasked with developing an initial list of potential mission investigations and providing input on potential hosted payloads and partnerships. To aid formulation and development of the ARRM, the FAST focused their inputs on knowledge gain from ARM in the areas of science, planetary defense, asteroidal resources and in-situ resource utilization (ISRU), and capability and technology demonstrations, as well as providing inputs that could increase probability of mission success. This report represents the FAST’s final product for the ARM.

### *Asteroid Redirect Mission Background*

ARM is part of NASA’s plan to advance the new technologies and spaceflight capabilities needed for a human mission to the Martian system in the 2030s, as well as other future human and robotic missions. ARM includes ARRM and the Asteroid Redirect Crewed Mission (ARCM), along with leveraging the global asteroid-observation community’s efforts to detect, track, and characterize candidate asteroids. NASA originally proposed a robotic mission concept to capture an entire small asteroid (4-10 m in size) that would leverage several key ongoing activities in human exploration, space technology, and planetary defense. Subsequently, an alternate approach to collect a boulder from a large asteroid was also proposed. NASA evaluated both mission approaches to determine their feasibility, identify the important differences between them, and evaluate the key risks and figures of merit for each concept. On March 25, 2015, NASA announced the selection of the boulder capture option for the robotic segment of ARM.

ARRM will be the first robotic mission to visit a large (greater than ~100 m diameter) near-Earth asteroid (NEA) and collect a multi-ton boulder, along with regolith samples, from its surface. The spacecraft will use the multi-ton boulder to perform an Enhanced Gravity Tractor (EGT) asteroid deflection demonstration and then transport the asteroidal material to a stable orbit around the Moon, where

astronauts will explore the boulder and return samples to Earth in the mid-2020s as a part of the ARCM. Subsequent human and robotic missions to the material could also be facilitated by its availability in cis-lunar space and would benefit scientific and partnership interests (domestic and international), expanding our knowledge of small celestial bodies and enabling the demonstration of mining asteroid resources for commercial and exploration needs.

To achieve its long-term goal of sending humans to Mars, NASA plans to proceed in a series of incrementally more complex human spaceflight missions. Today, human flight experience extends only to LEO, and should problems arise during a mission, the crew can return to Earth in a matter of minutes to hours. The next logical step for human spaceflight is to gain flight experience in the vicinity of the Moon. These cis-lunar missions will provide a “proving ground” for the testing of systems and operations while still accommodating an emergency return path to the Earth that would last only several days. Cis-lunar mission experience will be essential for more ambitious human missions beyond the Earth-Moon neighborhood, which will require weeks, months, or even years of transit time. A principle objective of the ARM is to develop a high-power Solar Electric Propulsion (SEP) vehicle, and demonstrate that it can efficiently move large masses and operate for many years in interplanetary space, which is critical for deep-space exploration missions. A second prime objective of ARM is to conduct a human spaceflight mission involving in-space interaction with a natural object, in order to provide the systems and operational experience that will be required for eventual human exploration of Mars, including the Martian moons Phobos and Deimos. The ARCM provides an opportunity for the early flights of the Orion program, which will take place before the infrastructure for more ambitious flights will be available. Astronauts will participate in the scientific in-space investigation of nearly pristine asteroid material, at most only minimally altered by the capture process. The ARCM will provide the opportunity for human explorers to work in space with unaltered asteroid material, testing the activities that would be performed and tools that would be needed for later exploration of primitive body surfaces in deep space. The operational experience would be gained close to our home planet, with a relatively quick return to Earth if problems should arise.

The ARRM will utilize an advanced 50 kW-class SEP spacecraft along with sensors and a robotic Capture Module to characterize the target NEA, identify and select candidate boulders, allow contact with the target NEA, and collect the selected boulder from the surface. Following final restraint of the boulder, the ARV will transfer into a halo orbit around the target NEA and demonstrate the EGT technique, with the collected boulder augmenting the spacecraft mass and thereby significantly increasing the gravitational force between the spacecraft and the NEA. The instrumentation currently planned includes a sensor suite for high-resolution mapping and characterization during asteroid flybys and extended horizon views for onboard navigation during the descent and planetary defense demonstration phases. The ARV is also planned to provide images of the boulder through descent and capture. Limited accommodations for science/payload instrumentation (mass, power, and volume) are planned. After the ARV returns to a Lunar Distant Retrograde Orbit (LDRO) in the mid-2020s, initial astronaut exploration and sampling of the returned material will be performed during the ARCM. The capabilities, systems, and operational experience developed and implemented by ARM and subsequent missions to the returned asteroidal material will advance NASA's goal of sending humans to deep-space destinations and eventually to the surface of Mars. Currently, the ARRM is planned to be launched at the end of 2020 and the ARCM is planned for late 2025.

NASA has identified the asteroid 2008 EV<sub>5</sub> as the reference target for ARRM mission planning (see Figure 1 in the “Executive Summary”). 2008 EV<sub>5</sub> has been characterized by ground-based radar and optical and infrared wavelengths, and has orbital and physical characteristics that are compatible with the

planned ARM timeline and operations. Specifically, significant mass return (greater than 20 t) is possible with launch of the ARRM at the end of 2020 and the ARCM in late 2025. Remote measurements of 2008 EV<sub>5</sub> show that it is a carbonaceous (C-type) asteroid that is believed to be water/volatile-rich and may contain significant amounts of organic materials. NASA has other candidate targets (Ryugu, Bennu, and Itokawa) and will continue the search for additional asteroids with final target selection occurring approximately one year prior to the ARRM launch. However, 2008 EV<sub>5</sub> provides a valid target that can be used to help with formulation and development efforts, and is the main NEA around which the FAST focused its attention.

The ARM and Asteroid Grand Challenge (AGC) together make up NASA's Asteroid Initiative, by which the agency seeks to enhance its ongoing work in the identification and characterization of near-Earth objects for further scientific investigation. The AGC complements the ARM and other asteroid-related activities at NASA in a way that allows the agency to engage the public for science, technology, and planetary defense efforts in support of the challenge to “find all asteroid threats to human populations and know what to do about them.” This work includes locating potentially hazardous asteroids and identifying those in viable orbits that allow for collection and redirection of a multi-ton boulder into a stable lunar orbit for future exploration by astronauts.

This report was not intended to provide an in-depth description of the ARM or the associated spacecraft, systems, and operations. Please visit <http://www.nasa.gov/asteroidinitiative> for further details about the ARM and the AGC.

### *Study Request*

The FAST was requested to work in collaboration with ARM management and technical personnel at the participating field centers to provide input during the requirements definition phase of the ARRM, which includes spacecraft interfaces, requirements, and design considerations as they relate to the ARCM. Additionally, the FAST assisted in developing an initial list of potential mission investigations focused on the following four main areas as they support the robotic and crewed segment objectives: science, planetary defense, asteroidal resources and ISRU, and capability and technology demonstrations. All ARM investigations will be required to operate within the ARRM and the ARCM capabilities, as well as programmatic constraints. Finally, the FAST provided input to NASA on potential hosted payloads and partnerships in coordination with NASA Headquarters and Ames Research Center, which are leading these areas of external cooperation. Payloads could include hosted instruments, demonstrations, deployable assets, and experiments related to these four main investigation areas.

### *Membership*

FAST membership consisted of openly solicited NASA and non-NASA participants (U.S. citizens and permanent residents) who were selected by a committee that included key NASA Headquarters stakeholders, ARM leadership, and other NASA leadership. The selected members had demonstrated expertise and knowledge in areas highly relevant to the ARM primary areas of interest. Exactly 100 applications were received from highly qualified individuals representing academia, industry, NASA, non-profit research institutes, and other organizations. The applications were reviewed by the ARM Mission Investigator, Deputy Investigator, Analysis and Integration Lead, ARRM Project Manager, HEOMD Chief Exploration Scientist, NASA's NEO Programs Executive, HEOMD Program Executive, and ARM Program Director. Eighteen participants were selected by the above committee and were approved by NASA's

Associate Administrator on August 19, 2015. Participation in the FAST by non-civil service personnel was limited to providing non-consensus, non-voting input. The selected participants and their affiliations, along with the FAST leadership, are provided in Table 2.

*Table 2: ARM FAST Membership.*

<b>Last Name</b>	<b>First Name</b>	<b>Roll</b>	<b>Organization</b>
Mazanek	Dan	ARM Mission Investigator	NASA Langley Research Center
Abell	Paul	ARM Deputy Investigator	NASA Johnson Space Center
Reeves	David	Analysis and Integration Lead	NASA Langley Research Center
Asphaug	Erik	Member	Arizona State University
Abreu	Neyda	Member	Penn State DuBois
Bell	Jim	Member	Arizona State University
Bottke	Bill	Member	Southwest Research Institute
Britt	Dan	Member	University of Central Florida
Campins	Humberto	Member	University of Central Florida
Chodas	Paul	Member	Jet Propulsion Laboratory
Ernst	Carolyn	Member	Johns Hopkins University-Applied Physics Laboratory
Fries	Marc	Member	NASA Johnson Space Center
Gertsch	Leslie	Member	Missouri University of Science and Technology
Glavin	Dan	Member	NASA Goddard Space Flight Center
Hartzell	Christine	Member	University of Maryland
Hendrix	Amanda	Member	Planetary Science Institute
Nuth	Joe	Member	NASA Goddard Space Flight Center
Scheeres	Dan	Member	University of Colorado
Sercel	Joel	Member	TransAstra Corporation
Takir	Driss	Member	United States Geological Survey
Zacny	Kris	Member	Honeybee Robotics

## FAST Responses to ARRM Project Questions

The following are answers to questions that were put forth by the ARRM Project specifically seeking input from the FAST. The questions were given priority and addressed by FAST sub-teams. The sub-team findings are provided below. The information provided by the FAST will be incorporated into the ARRM design parameter database and/or engineering trade studies. These data will aid in the design and development of systems and help make the mission robust enough to handle the uncertainties in the mission environment within the constraints and risk posture of the ARRM Project. For readability, the questions have been grouped into seven topics with references for each question set self-contained in that section. Additional details related to the question responses can be found in the appendices to this document.

## *Origin of 2008 EV<sub>5</sub>*

Response Lead: Bill Bottke

Sub-team Members: Jim Bell, Humberto Campins, Paul Chodas, Carolyn Ernst, Driss Takir, and Amanda Hendrix

**What is the orbital history of 2008 EV<sub>5</sub> and has that history affected the properties of the asteroid and candidate boulders? (Where has it been in the Solar System and for how long? Has it been closer/farther from the Sun than it is now?) What are the leading theories on the origin of 2008 EV<sub>5</sub>? What is the prime source region for this object? From what type of object and where did it most likely originate? What is known of its formation and/or history?**

2008 EV<sub>5</sub> started its existence as part of a much larger body in the asteroid belt, with a likely diameter greater than 100 km [Morbidelli et al., 2009] (see Appendix A1 for a more lengthy discussion of all issues in this section). Given its size, 2008 EV<sub>5</sub>'s parent body possibly experienced early thermal evolution from the decay of radiogenic nuclides [e.g., McSween et al., 2002], while its surface was battered by impacts for billions of years of cratering events [e.g., Bottke et al., 2005a,b]. 2008 EV<sub>5</sub>'s immediate history likely started when its parent body experienced a large cratering event or, more likely, a catastrophic disruption event that resulted in a highly fractured, shattered, or reaccumulated object (rubble pile). As a result, 2008 EV<sub>5</sub> may have been produced as a re-assembly of ejected fragments, as suggested by numerical simulations of catastrophic disruptions [e.g., Michel et al., 2001] that indicate that most bodies larger than one hundred meters produced during such events are not intact fragments, but rather rubble piles formed by reaccumulation of smaller pieces due to their mutual attractions. From there, the newly-liberated 2008 EV<sub>5</sub> began to undergo dynamical evolution via non-gravitational torques; the Yarkovsky effect caused it to slowly drift in semimajor axis, while the Yarkovsky-O'Keefe-Radzievskii-Paddack (YORP) effect steadily modified its spin vector [e.g., Bottke et al., 2006; 2015]. In fact, YORP torques probably produced sufficient mass movement/mass shedding for 2008 EV<sub>5</sub> to take on a top-like appearance [Walsh et al., 2009; Busch et al., 2012]. 2008 EV<sub>5</sub>'s rotation period has probably been highly variable over its lifetime.

Dynamical models indicate that 2008 EV<sub>5</sub> migrated inward across the inner main belt over long timescales (i.e., the order of ~0.01-1 Gyr) until it reached a main belt "escape hatch," or planetary gravitational resonance, that drove it into the near-Earth asteroid (NEA) population over a timescale of the order of ~1 Myr. From there, gravitational interactions with both the planets and resonances allowed it to reach its current orbit within a few Myr to a few tens of Myr [e.g., Gladman et al., 1997]. While 2008 EV<sub>5</sub> was in transit, boulders exposed on the surface would be subject to comminution from impacts onto 2008 EV<sub>5</sub>, although the same events might also allow new boulders to be created/exposed. Thermally induced cracking and erosion are also possible sources of boulder comminution [e.g., Delbo et al., 2014].

2008 EV<sub>5</sub>'s likely parent body, the context of other 2008 EV<sub>5</sub>-like fragments both inside and outside of the main belt, and where precisely 2008 EV<sub>5</sub> departed the main belt need to be identified in order to better determine 2008 EV<sub>5</sub>'s collisional, dynamical, and thermal history. This requires a much more extensive modeling and remote observational campaign than has yet been performed. The information provided below is the best that can be done within the timescale, capabilities, and charter of the FAST.

Remote observation and modeling work indicates that 2008 EV<sub>5</sub> is ~400 m in diameter [Busch et al., 2011; Alí-Lagoa et al., 2013]. It has a reflectance spectrum consistent with carbonaceous chondrites and is blue-sloped at wavelengths longer than 0.75 microns, with a possible absorption band in the 1 micron

region [Reddy et al., 2012]. The estimated geometric albedo was obtained three ways: 1) by correcting the absolute magnitude for bias using Pravec et al. [2014], a geometric albedo of 9-10%  $\pm$  3% was obtained; 2) an analysis of the 2008 EV<sub>5</sub> phase function by C. Hergenrother yielded 9% (+5%, -3%); and 3) applying an empirical photometric model by D. Takir yielded 13% (+1%, -8%) [see Appendices A1, A2, and A4]. These values are higher than many carbonaceous chondrites. According to an analysis by E. Cloutis [see Appendix A3], if 2008 EV<sub>5</sub>'s estimated albedo remains above 8%, the best match to 2008 EV<sub>5</sub>'s characteristics indicate that it is likely a CR-type carbonaceous chondrite. Note that with the uncertainty in the albedo and absorptions, 2008 EV<sub>5</sub> could also be a CI, CM, or possibly a CK. If the albedo is at the low end of this range, it would imply a CI/CM chondrite composition [Reddy et al., 2012; see also Appendix A1].

Given that CR chondrites appear to be the best match to 2008 EV<sub>5</sub>'s mean albedo, it is useful to briefly describe them here. They are a mix of reduced, oxidized, anhydrous, hydrated, organic, and pre-solar components. They have highly variable, but on average roughly equal, amounts of hydrated fine-grained matrix and chondrules (forsteritic olivine + enstatite + feldspathic glass). Their petrographic types range from 1 (anhydrous silicates rare) to 3 (hydrated silicates rare); most CRs are type 2. All but one CR1 chondrite have substantial metallic-iron blebs (10-16 wt.%) and hydrated crystalline and amorphous silicates (~5.7 wt.% water).

E. Cloutis's analysis of 2008 EV<sub>5</sub>'s spectroscopic signature based on Reddy et al. [2012] indicates that it is an assemblage consisting of both hydrated and anhydrous silicates, specifically ferric iron-free phyllosilicate and iron-bearing olivine [Appendix A3]. This places it in the realm of petrologic type 2-3 carbonaceous chondrites, but could include mildly to moderately thermally metamorphosed members (e.g., possible matches to CR-type meteorites that were heated to about 600°C).

Using 2008 EV<sub>5</sub>'s current orbit combined with numerical modeling work [Bottke et al., 2002; 2015], it can be argued that 2008 EV<sub>5</sub> departed the inner main belt between 2.2-2.3 AU with inclinations greater than 8° (Appendix A1). Particular similarities were found for modeled asteroids having inclinations of ~2-3° and 5°. This may suggest a link to large, low-albedo carbonaceous chondrite-like "asteroid families" (i.e., swarms of fragments produced by a disrupted asteroid) such as the Erigone, Eulalia, and New Polana families [Campins et al., 2010; Walsh et al., 2014; Bottke et al., 2015]. These potential matches, however, are contingent upon whether some members of these families have albedos like 2008 EV<sub>5</sub>. Another intriguing source for 2008 EV<sub>5</sub> would be the diffuse population of higher albedo carbonaceous chondrite-like asteroids residing in the innermost main belt region between 8° < *i* < 15°. These bodies have yet to be investigated in detail.

After escaping the asteroid belt, en route to its current orbit, 2008 EV<sub>5</sub> spent considerable time with perihelion values *q* < 1 AU. By tracking modeled asteroids from the main belt all the way to 2008 EV<sub>5</sub>'s observed orbit and then estimating the temperatures experienced by these bodies at their subsolar points along the way [Marchi et al., 2009; Delbo and Michel, 2011; Alí-Lagoa et al., 2013; see also Appendix A1], it was determined that the median time spent by the 2008 EV<sub>5</sub>-like test asteroids with *q* < 0.5, 0.7, and 1.0 AU was ~0.1, 1.4, and 7 Myr, respectively. Fewer than 50% of the test asteroids spent any time at *q* < 0.5 AU.

From these model runs, Table 3 shows the probability that the surface of 2008 EV<sub>5</sub> exceeded the corresponding temperature. The interiors of the boulders on or near 2008 EV<sub>5</sub>'s surface would have experienced lower temperatures.



*Table 3: Results from initial dynamical modeling of 2008 EV<sub>5</sub>'s migration from its most likely origin to its current orbit showing the probability that 2008 EV<sub>5</sub>'s surface exceeded a given temperature and the corresponding perihelion for each surface temperature.*

Probability	2%	14%	24%	44%	60%	80%	100%
Surface Temperature	1,030 K	730 K	600 K	510 K	460 K	420 K	340 K
Corresponding Perihelion	0.1 AU	0.2 AU	0.3 AU	0.4 AU	0.5 AU	0.6 AU	0.9 AU

Overall, we argue that the greatest likelihood is that 2008 EV<sub>5</sub>'s boulders and subsurface did not experience temperatures greater than 500 K. Here common organic and hydrated compounds that break up at relatively moderate temperatures (e.g., 300-670 K) may still be depleted in both the surface layers of the boulders and 2008 EV<sub>5</sub> itself (i.e., possibly down to 5 cm depth; [Delbo and Michel, 2011]). Similarly, boulder organics may have also been depleted via exposure to ionization radiation (e.g., cosmic rays), whose penetration depth is on the order of a meter. In the lower-probability case, 2008 EV<sub>5</sub> spent enough time near the Sun that boulders currently located on its surface were thermally modified. Additional thermal modeling work is needed to better quantify these probabilities, with the temperatures reached by 2008 EV<sub>5</sub>'s current population of surface boulders being a function of 2008 EV<sub>5</sub>'s past proximity to the Sun, its physical parameters (including past variations in 2008 EV<sub>5</sub>'s spin axis), and the residence time of those boulders near the surface [Alí-Lagoa et al., 2013].

For more information on the origin of 2008 EV<sub>5</sub>, see Appendix A.

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### *Boulder Spatial and Size Distributions*

Response Lead: Carolyn Ernst

Sub-team Members: Erik Asphaug, Bill Bottke, Humberto Campins, Paul Chodas, Christine Hartzell, Dan Scheeres, and Driss Takir

#### **What is the expected size-frequency distribution for boulders on 2008 EV<sub>5</sub>?**

- **Based on the current radar data, what can we tell about the size-frequency distribution for boulders on 2008 EV<sub>5</sub>?**

It is possible to identify six distinct candidate 10-m-scale boulders on 2008 EV<sub>5</sub>'s surface by visual inspection of the radar images. At least ten such boulders likely exist over the asteroid's entire surface [See Appendix B2].

Based on 2008 EV<sub>5</sub>'s radar scattering properties and the highest-resolution images of asteroid surfaces (Eros and Itokawa) from spacecraft, there are likely millions of 10-cm scale cobbles on 2008 EV<sub>5</sub>. If it is assumed that there is a power-law distribution of boulders on 2008 EV<sub>5</sub> that follows that of the Eros global dataset, ~16,000 1-5 m boulders (~1,300 2-3 m boulders) would be expected on the surface of 2008 EV<sub>5</sub>. A 2-3 m boulder likely reflects the largest boulder that can be returned if the ARRM is launched at the end of 2020 and the ARCM takes place in late 2025. If it is assumed that there is a power-law distribution of boulders on 2008 EV<sub>5</sub> that connects the radar 10-m data to the radar 10-cm data, ~3,000 1-5 m boulders (~360 2-3 m boulders) would be expected on the surface of 2008 EV<sub>5</sub>.

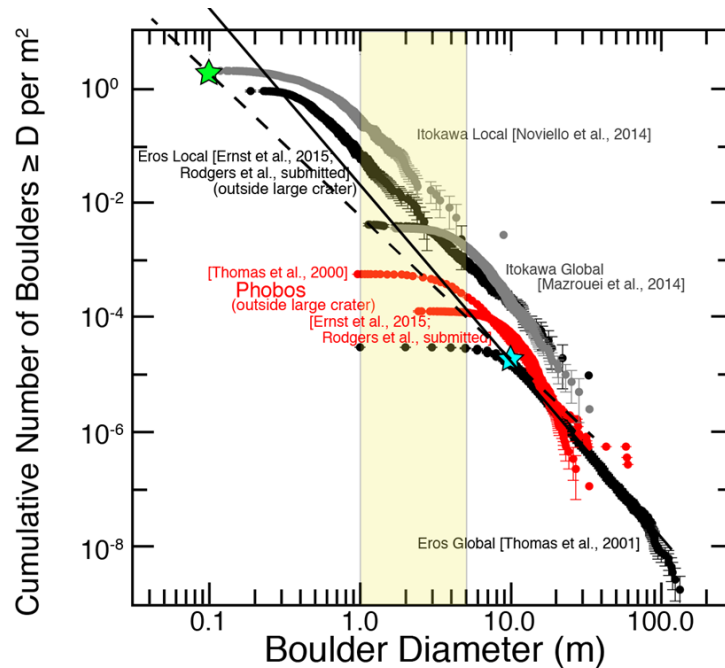


Figure 2: Measured block populations on Eros, Itokawa, and Phobos. The yellow rectangle indicates the 1-5 m boulder size range of interest for the ARR. The cyan and green stars represent the 10-m boulder observations and the 10-cm cobble size, respectively, for 2008 EV<sub>5</sub> based on radar [See Appendix B2]. The surface area of 2008 EV<sub>5</sub>, used to normalize the radar boulder counts, is taken to be 540,000 m<sup>2</sup>. The solid line extrapolates from the 10-m 2008 EV<sub>5</sub> data point using the Eros global power-law distribution (exponent of -3.2). The dashed line connects the two 2008 EV<sub>5</sub> data points.

- **Can any relevant information be extrapolated from existing data from other C-complex asteroids (i.e., Bennu)?**

The available data to answer this question are limited. The most appropriate data that exist today come from radar studies of 2005 YU<sub>55</sub> and 1992 UY<sub>4</sub>, small C-complex asteroids in near-Earth space that are possibly organic-rich. Analysis suggests boulders exist on both of those bodies [Benner et al., 2015].

Available in-situ asteroid data from spacecraft come from main belt asteroids Mathilde, the ~53 km C-type flyby target of the Near Earth Asteroid Rendezvous (NEAR) mission, and Lutetia, the ~100 km X-complex flyby target of ESA's Rosetta mission. Mathilde was only imaged at 160 m/pixel, insufficient to determine whether boulders exist [Thomas et al., 1999]. Boulders are observed on Lutetia, but Lutetia's precise composition is debated (some scientists favor a high-albedo carbonaceous chondrite, while others favor an enstatite chondrite match [Barucci et al., 2015]). Boulders have been observed on bodies that could also be broadly characterized as C-complex, including Phobos and Deimos, the carbonaceous chondrite-like moons of Mars, as well as comet Churyumov-Gerasimenko, the final destination of the Rosetta mission (Table 4).

Table 4: Small bodies for which boulder counts have been made from spacecraft imaging. The minimum boulder sizes measured are directly related to the best image resolution available for a given object.

Name	Mean Diameter (km)	Spectral Type	Min boulder size of global count (m)	Min boulder size of regional count (m)	Power law found	Data source	References
Eros	17	S	15	0.05	-3.2 as low as -2.3 locally	NEAR	Thomas et al., 2001; C. Ernst, personal communication
Itokawa	0.35	S	6	0.1	-3.1 -3.5 as low as -2.2 locally	Hayabusa	Michikami et al., 2010; Mazrouei et al., 2014; Noviello et al., 2014; C. Ernst, personal communication
Toutatis	3	S	n/a	10	n/a	Chang'E-2	Jiang et al., 2015
Lutetia	98	M	n/a	60	-5.0	Rosetta	Küppers et al., 2012
Ida	31	S	n/a	45	n/a	Galileo	Lee et al., 1996
Phobos	22	D	n/a	~4	-3.3	Viking MGS MEX MRO	Thomas et al., 2000; Ernst et al., 2015; C. Ernst, personal communication
Deimos	12	D	n/a	~4	-3.2	Viking	Lee et al., 1986; C. Ernst, personal communication
Churyumov-Gerasimenko	4	comet	7	n/a	-3.6 global local ranges -2.2 to -4.0	Rosetta	Pajola et al., 2015

Hayabusa2 will arrive at the C-type asteroid Ryugu (formerly 1999 JU<sub>3</sub>) in June of 2018. OSIRIS-REx will arrive at the B-type asteroid Bennu in August of the same year. The observations of Bennu and Ryugu will provide critical inputs to the ARRM, not only because these will be the first carbonaceous asteroids for which high-resolution images are available, but also because they are roughly similar in size and shape to 2008 EV<sub>5</sub>. This may mean that they have undergone similar evolutions, but this is not definitive. Comparisons of Bennu and Ryugu to Eros and Itokawa will be vital for determining whether what is known from the extensive literature on Eros and Itokawa can reasonably be extrapolated to other near-Earth asteroids (e.g., boulder size-frequency distributions, boulder spatial distributions, etc.), or whether they are not representative. Regardless, the data from Hayabusa2 and OSIRIS-REx, along with what is already known about Eros and Itokawa, will provide a more complete picture of asteroid properties for two main taxonomic types in the NEA population. Additionally, the observations of Bennu and Ryugu will provide important “ground-truthing” of Earth-based remote sensing observations and have implications for detecting boulders from these types of observations.

That said, OSIRIS-REx and Hayabusa2 will not arrive at Bennu or Ryugu until mid-2018—too late to provide inputs into the mechanical designs and mission requirements, but before the currently scheduled ARRM launch date.

- **Is it expected that the size-frequency distribution of boulders on 2008 EV<sub>5</sub> follows a power law distribution?**

Power-law fits can be made to boulder size-frequency distributions where sufficient data are available (see Table 4). The boulders themselves may have been produced by more than one of the following mechanisms: 1) collisional origin of 2008 EV<sub>5</sub>; 2) impact cratering; or 3) thermal fracturing of native rock.

This means the power-law measured is dependent on local geological context, material strength, and possibly the sizes of the boulders that break down to produce smaller boulders. A power-law index is observed for many terrestrial fragmented objects [Turcotte, 1997; see also Table 1 in Pajola et al., 2015]. Those materials listed in Pajola et al. [2015] show power law exponents ranging from -1.89 to -3.54.

In the cases of Eros, Itokawa, and Phobos, the approach of extending the size-frequency distribution (SFD) from large (tens-of-meter-sized) boulders to small (tens-of-centimeter-sized) boulders using a power-law fit to the large population yields reasonable estimates of small block populations. It is important to note that geologic context matters for the absolute block density. In other words, if lower-resolution counts include multiple geologic settings, they will not extrapolate accurately to local areas containing only one setting [Rodgers et al., submitted; Ernst et al., 2015].

- **What is the expected distribution of boulder shapes for boulders on 2008 EV<sub>5</sub>?**

Mazrouei et al. [2014] measured the aspect ratio for boulders greater than six meters in diameter on Itokawa. Most boulders of this size are found to be elongated with b/a ratios (width/length) of 0.7. The third, vertical dimension of boulders (height) cannot be determined in most of the Hayabusa images to provide reliable estimates of c/a ratios (height/length). Michikami et al. [2010] report b/a ratios for Itokawa boulders to be 0.62-0.68. Michikami et al. [2016] measured 21 boulders on Itokawa, finding a mean c/a of 0.46.

Table 5 contains a compilation of several reports of fragment dimensions based on laboratory impact experiments. Note that the fragments are not actually 3-axis ellipsoids, but rather are irregular in shape. An open question is whether the aspect ratio would be different for weaker rocks (e.g., those found on a C-type asteroid like 2008 EV<sub>5</sub>) and how much of an influence thermal degradation might have. This question will be addressed after robotic spacecraft arrive at Ryugu and Bennu in 2018.

*Table 5: Compilation of fragment ratios b/a and c/a from several publications in the literature. Dimensions are defined to be  $a \geq b \geq c$  for an assumed triaxial ellipsoid shape.*

Reference	Target	Projectile	Impact Velocity	b/a	c/a
Fujiwara et al., 1978	Basalt	Polycarbonate cylinders	1-4 km/s	0.73	0.50
Capaccioni et al., 1986	Basalt Concrete	Aluminum spheres	9 km/s	0.7 ± 0.15	0.5 ± 0.15
Giblin et al., 1998	Porous ice	Solid ice	6 km/s	0.56-0.71 ± 0.1-0.2	0.40-0.48 ± 0.1-0.2
Durda et al., 2015	Basalt	Aluminum spheres	4-6 km/s	0.72 ± 0.13	0.39 ± 0.13
Michikami et al., 2016	Basalt	Nylon spheres	1.6-7.0 km/s	0.7	0.5

## **What is the expected spatial distribution of ~1-5 meter boulders on 2008 EV<sub>5</sub>?**

- **Where on 2008 EV<sub>5</sub> have boulders been detected?**

Although a large percentage of 2008 EV<sub>5</sub>'s surface was observed by radar, only approximately half of the area permitted the identification of candidate boulders. Over this area, six distinct candidate 10-m-scale boulders were observed [Appendix B2]. However, due to the nature of the radar data, the exact location of the boulders cannot be determined, with the exception of one prominent boulder that is located near the asteroid's south pole.

- **Given an assumed number of certain size boulders based on a power law, is there anything that can be said about the spatial distribution of these boulders on an asteroid's surface? Specifically, does spin rate play a role in concentrating certain sized boulders at certain latitudes?**

Based on the number of observed boulders, the number of cobbles inferred from radar roughness, and the assumption that a power-law relationship exists between boulder diameter and cumulative size-frequency distribution, the number of boulders of a given size per area (e.g., Figure 2) can be calculated assuming a roughly uniform distribution across the surface. This information alone is not enough to determine the actual distribution.

On Itokawa, potential lows are "ponds" full of cm-sized cobbles, and most of the boulders are located in other regions of the asteroid. If this is true for 2008 EV<sub>5</sub>, concentrations of ponds at the geopotential lows with boulders at higher regions within the geopotential should be expected. Where these geopotential lows are located is a strong function of the asteroid density. For a low density of 1.5 g/cm<sup>3</sup>, the low will be at the equator and within the prominent concavity seen in the radar data. For a large density of 2.5 g/cm<sup>3</sup> the geopotential low shifts off of the equator and no longer lies within the crater, but instead is at the base of the ridge.

Although multiple mechanisms can be responsible for the presence of boulders on the surface (e.g., reaccumulation, the Brazil nut effect, etc.), if the boulders are sourced from the likely crater that shows up as a large concavity in the radar shape model, the distribution of the boulders would depend upon ejecta patterns around an irregularly shaped body and would require much more analysis to estimate. It is expected that the boulders would preferentially settle in the equatorial or near-equatorial regions, however.

## **What is the expected distribution in safe landing areas around ~1-5 m boulders on 2008 EV<sub>5</sub>? For a 10-m diameter circle centered on the target boulder, what is the expected range and likelihood over that range for the following landing site properties on C-type asteroids?**

Starting with the assumption of uniform spatial distribution and a power law size-frequency distribution, the number of boulders of a given size in a 10-m diameter circle can be estimated assuming a uniform distribution of boulders across the surface. Multiplying this value by the area will yield the total number of boulders greater than or equal to a given diameter in a 10-m diameter circle. If the boulders are not roughly uniformly distributed across the surface, more assumptions must be made (this will be further discussed later in this section). Likely, the processes acting to move 10-m boulders would be similar to those acting to move 2-3-m boulders. However, the responses might differ in that massive objects tend

to be more easily fragmented than smaller ones, with strength decreasing with approximately the square root of size, yet require more energetic events to dislodge and accelerate.

The radar images of 2008 EV<sub>5</sub> have a resolution of 7.5 m/pixel in range [Busch et al., 2011]. Therefore, the shape model can provide local geometric topography to approximately 15 m. Outside of boulders and craters, local slopes generally would not be expected to change significantly from the 15-m scale down to the 1-m scale.

Local slopes will influence landing site safety beyond the implications for hazards to the solar arrays. Tipping hazards will be present that could seriously affect the landing operations. Eros-sized asteroids have abundant fine materials compared to smaller asteroids, which are coarser due to winnowing by solar wind and radiation effects [Hartzell and Scheeres, 2013]. The sweeping of fines ejected by electrical forces, impact vibrations, and thermal shocks leaves behind coarser material in the lag deposits on asteroid surfaces.

Steep, cratered topography is not prevalent on the asteroids less than ~1 km that are of interest to the ARRM. Additionally, most small bodies seen up close and with radar appear to conform (within some reasonable angle of repose) to equilibriums of figure. On Itokawa, the smallest asteroid with good imaging, there are very few craters [Hirata et al., 2009]. On Eros, seismic shaking has acted to erase many (though not all) craters less than 100 meters in diameter [Chapman et al., 2002; Thomas and Robinson, 2005], and by implication, other loose topography at that scale. Thus, Eros' regolith is loose, perhaps up to 100 meters globally [Robinson et al., 2002]. A thick, mobile regolith would also explain the relatively flat topography; less than 5% of the surface of Eros is steeper than 30° [Zuber et al., 2000]. Therefore, generally speaking, relatively flat, boulder-populated areas are predicted to occur on 2008 EV<sub>5</sub>.

Another environmental concern that needs to be considered is the dust environment that could be a potential hazard for instrumentation (e.g., camera lenses, inlets, etc.) and/or systems (seals, joints, exposed bearings, solar panels, etc.). The main hazards associated with the dust environment are: 1) spacecraft sinking during landing and/or ascent; 2) high cohesion between regolith and spacecraft contact pad; 3) electrostatic motion of small dust grains; and 4) dust and debris liberation during the boulder capture process (e.g., thruster plume, contact pad interaction, boulder acquisition and separation). If the landing velocity leads to forces that exceed the crush stress of the particulate regolith surface, the asteroid material might fluidize and slide out of the way of the contact pads, instead of holding in place to support the Contact and Restraint Subsystem (CRS), which is discussed further in the "Surface Geotechnical Properties" section. Thus, care must be taken that the landing is done with minimal deceleration and little vibration. Additionally, the risk of the spacecraft sinking into the regolith during landing or ascent is dependent on the compaction of the regolith, which is expected to be essentially uniform about the body except immediately next to boulders, where there may be a regolith "apron" [Robinson et al., 2002]. The regolith apron (produced either by the migration of dust or dust production from thermal cycling of the boulder) is unlikely to be deep enough to produce a serious sinking hazard. A regolith apron is likely to be composed of small, uncompacted regolith grains, which would form relatively strong cohesive bonds with the spacecraft. However, the fact that this apron of dust is overlaying the more densely packed surface indicates that the material is likely to fracture during separation at this striation. The plasma environment while the spacecraft is on the surface remains unknown. In order to minimize the likelihood of contamination of the spacecraft by electrostatically driven dust, the landing operation should take place close to the subsolar point and in a region with few micron-sized and smaller grains, as investigated by multispectral photometry if available.

## What is the expected distribution in depth of burial for ~1-5 m boulders on 2008 EV<sub>5</sub>?

- **Based on the theories of how asteroids and boulders form and evolve, is there anything that can be said about the likely range or distribution of burial depths?**

Due to the nature of spacecraft images of Eros and Itokawa, there is minimal information with regard to the burial of boulders on their surfaces. Regolith does migrate on asteroids, either from potential highs to lows (e.g., Itokawa) or via crater ejecta (probably less important on smaller objects, as a major fraction of the ejecta is likely to exceed escape velocity).

A minimum regolith depth of 20-40 m on Eros has been estimated based on the excavated volume of all large craters [Thomas et al., 2001]. Geomorphic observations indicate 50-100 m regolith depth, possibly globally [Robinson et al., 2002]. On Itokawa, regolith depth estimates find a minimum of ~2.3 m in the lowlands, based on roughness measurements [Barnouin-Jha et al., 2008], transitioning to a global rubble pile structure at greater depths [Fujiwara et al., 2006].

- **Is there a way to determine/estimate the depth of burial from the visual images from the characterization phase?**

Boulders formed in fragmentation events have an average aspect ratio a:b:c (length:width:height) of 1:0.7:0.5 (2:√2:1) (see Table 5). Assuming these shapes, burial estimates could be made based on three-dimensional images taken by ARV. If the boulder's maximum dimension parallel to the ground does not coincide with the intersection with the regolith, a symmetric shape to the boulder could be assumed and a depth of burial estimated. Three-dimensional digital images of the boulder will be essential for this characterization. Observations of the distribution of regolith and surface slopes/potential could help to inform whether regolith has moved into or out of the area and may have buried boulders.

- **What other ways are there to determine/estimate the depth of burial from the visual images from the characterization phase? What other ways are there to determine/estimate the depth of burial in-situ?**

Seismic shaking can dislodge and transport boulders from depth [Asphaug et al., 2001; Miyamoto et al., 2007] as part of a convective size-sorting (Brazil nut effect and related mechanisms). Deflation can leave behind exposed surface structures like remnants and clods. Many such apparent clasts may be too weak for ARRM boulder retrieval. Embedded boulders emerging from the subsurface could be more difficult to extract than boulders that have been tossed downhill onto existing regolith surfaces. Mission emphasis should be to identify boulders that have survived ejection or been scattered by landslide movements, and avoid exclusively focusing on boulders buried in smooth sediments. Boulders found in rougher, higher-energy environments would be stronger on average than random clasts found in regolith, and would be subject to a much lower possibility of small particulate cementation. Among these, boulders that further show evidence for meteoroid fragmentation and spallation would indicate greatest competency. A sampling approach that is able to operate in a boulder-strewn environment is likely to find very many strong, suitably-sized boulders to choose from.

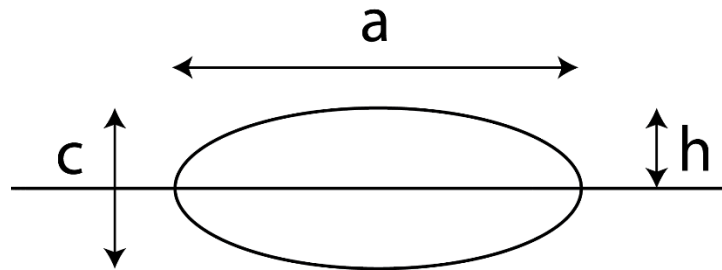
If a flat operational environment is required, such as a gravel-field with an isolated boulder or a wide margin, then cohesion of the regolith is more of a concern. Cementation of discrete boulders by regolith can possibly be detected by thermal imaging as, generally speaking, a boulder cohesively coupled to the



regolith would also be thermally coupled. This might show up as conductive cooling on week-long timescales. In principle this rock/regolith thermal coupling can be investigated by thermal cameras before the sampling is conducted to help in selecting among candidate boulders.

Laser altimeter data could also be used to measure the exposed height of boulders ('h' in Figure 3), thus enabling estimates of the short-axis ('c') dimension. This could be compared to the expected 'a' dimension, other boulders on 2008 EV<sub>5</sub>, other boulders on Itokawa, Ryugu, and Bennu, and expected impact fragment dimensions (see Table 5) to place estimates on burial depth, as depicted in Figure 3.

Ground Penetrating Radar (GPR) is another approach [e.g., Hamran et al., 2014] that is a promising tool for rock and hazard avoidance. Generally the technique is capable of imaging dielectric contrasts through a few meters of loose rocky material; however, the imaging technique works best for a background material with relatively uniform dielectric properties. Therefore, it would be a good choice for imaging boulders embedded in beds of dust, for instance, but not for imaging the specific configurations of boulders within blocky landslides and ejecta deposits, for which multiple scattering effects diminish the signal. As an added investigation, GPR provide valuable contrast and mitigate risks in dusty environments where the temptation will be to land (because it is flat), and because it can obtain subsurface context wherever the sample is acquired. The added mass and cost of such an instrument is not insubstantial, but the most critical operational aspect is the possibly low SNR of the measurements. The radar electronics and antenna have to be isolated from the spacecraft electronics, which can become a strong source of noise, especially when motors are involved. The spacecraft itself is a strong radar reflector, and due to the relatively omnidirectional nature of GPR, it is challenging to image boulders in close proximity if they are comparable in size to the major spacecraft elements. If 2008 EV<sub>5</sub> is the target asteroid, and if the CR-designation holds, then the high-metallic content of analogous materials would lead to a radar response that might enhance meter-scale imaging by providing strong contrasts (e.g., a metallic lag beneath silicate dust) or obscure imaging by scattering and attenuation.



*Figure 3: Example of a buried boulder. The dimension h could be measured with a laser altimeter and the dimension 'a' could be measured with a camera. By assuming a typical a:c ratio from other boulders on the body, from boulders on Itokawa, or from impact fragment experiments, the dimension 'c' could be modeled, and the depth of burial estimated.*

For more information, see Appendix B1.

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### *Surface Geotechnical Properties*

Response Lead: Kris Zacny

Sub-team Members: Dan Britt, Leslie Gertsch, Christine Hartzell, Dan Scheeres, and Joel Sercel

**What are the expected surface regolith geotechnical properties of the target asteroid? For example: What is the expected range in the coefficient of friction between the target asteroid surface regolith and the Contact and Restraint Subsystem (CRS) contact pads? How uniform is this expected to be?**

The coefficient of friction is a function of the magnitude of cohesive forces between regolith and the CRS contact pads. The main sources of cohesive forces are van der Waals and electrostatic forces, but van der Waals forces are more dominant [Scheeres, 2010]. Karafiathand and Mohr [1969] found that the coefficient of friction is not affected by the ultra-high vacuum (Table 6). However, ultra-high vacuum increases the total frictional resistance by an adhesion/cohesion which is essentially constant over the range of normal loads in the experiment.

*Table 6: Coefficient of friction between steel disc and crushed basalt in vacuum and at 1 g [Karafiathand and Mohr, 1969].*

	Between steel disc and crushed coarse basalt (250-500 micron)		Between steel disc and crushed fine basalt (38-62 micron)		Between steel disc coated with coarse basalt and crushed basalt	
	Vacuum	Air	Vacuum	Air	Vacuum	Air
Initial Coefficient of Friction (effect of regolith dilation to allow grain displacement)	0.35	0.35	No Data	No Data	No Data	No Data
Kinetic Coefficient of Friction	0.28	0.27	0.20	0.18	0.28	0.20

- **What is the expected range of surface compaction and porosity of the regolith surrounding the boulder? How uniform is this expected to be?**

The asteroid surface is more likely to be a pebble-rich lag depleted of fines and as such the near-surface porosity should be higher and compaction lower than the asteroid’s bulk compaction and porosity, unless significant interior void space exists. Whatever the porosity and compaction, it is likely that the same processes apply all around the selected landing area, so it should be fairly uniform. In turn, this should be applicable to all ARRM targets. The exceptions are “low” areas, such as those observed on Eros and Itokawa that were filled with relatively fine material. Due to 2008 EV<sub>5</sub>’s top shape and other dynamical properties, some regions (e.g., equator) may have significantly different particle size distributions compared to others (e.g., the poles). For reference, properties of Itokawa (S-type), Bennu (B-type), and 253 Mathilde (C-type) are:

- Itokawa: bulk density = 2.0 g/cm<sup>3</sup>; bulk porosity of 40.6%, or packing fraction of 0.59. [Abe et al., 2006; Gaskell et al., 2008]
- Bennu: bulk density = 1.26 ± 0.07 g/cm<sup>3</sup> (1-sigma uncertainty) [Chesley, 2014]
- 253 Mathilde: bulk density = 1.34 g/cm<sup>3</sup> [Veverka, 1999]

Figure 4 shows macroporosities and densities of asteroids [Britt et al., 2002] and Figure 5 shows macroporosities of asteroid and comets [Consolmagno et al., 2008]. It is worth noting that without measurements of an asteroid’s internal structural, it is not possible to definitively determine how much of the estimated macroporosity (large-scale voids and fractures probably produced by the asteroid’s impact history) shown in Figure 4 and Figure 5 is due to microporosity (fractures, voids, and pores on the scale of tens of micrometers internal to the various-sized particles that form the asteroid). This microporosity may be particularly relevant for C-type asteroids such as 2008 EV<sub>5</sub>.

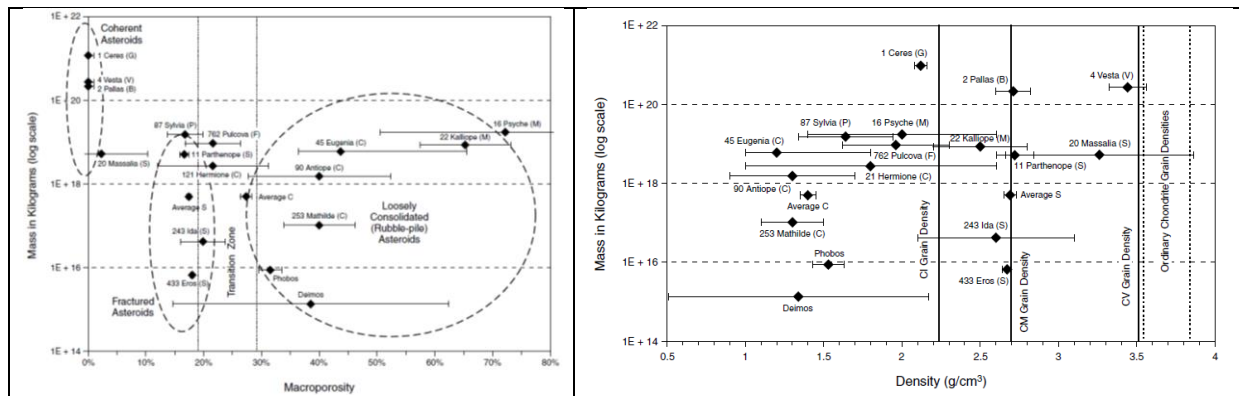


Figure 4: Macroporosities and densities of asteroids. [Britt et al., 2002].

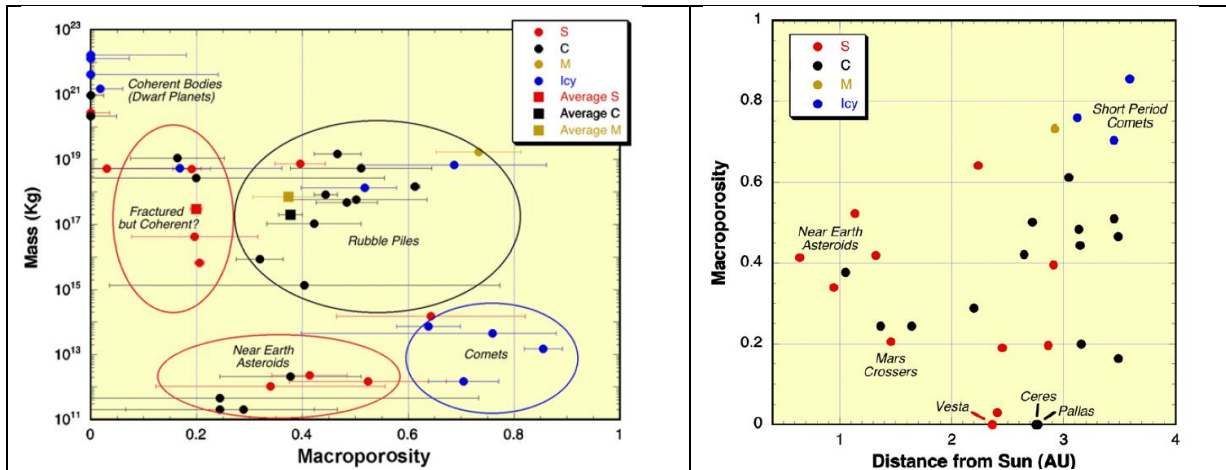


Figure 5: Macroporosities of asteroid and comets [Consolmagno et al., 2008].

- **What is the expected particle size-frequency distribution of the regolith, and how does this influence the design of the CRS contact pads and geological context samplers?**

Based on particle size-frequency distribution of rocks and boulders on Itokawa in the millimeter to tens of meters size range [Michikami, 2008], as well as grains from less than 100 micron down to 1 micron sizes returned by Hayabusa [Tsuchiyama, 2011], the cumulative size distribution of coarse and fine regolith is expected to have a power-index of approximately  $d^{-2.8}$ .

Coarse gravel (1 cm or greater) is expected to exist on the surface overlaying fine grained material with the fraction of fines increasing with depth. The combination of low surface acceleration and solar radiation pressure tends to strip off fine particles that have been generated by comminution processes, and leave lags of larger, harder to move materials.

Since forces during the boulder extraction will be reacted through the CRS contact pads back to the asteroid, the pads need to be designed to prevent excessive sinkage. If regolith is rich in fines, its cohesion and bearing strength will be greater, and contact pads could therefore be made smaller. The same is true if regolith is more compact. If regolith is coarse, cohesion will be lower and contact pads would need to be larger. The same is true if regolith has low density/high porosity. Contact pads also need to leave the surface when the spacecraft departs with the boulder. These two steps (boulder extraction and contact pad extraction from the surface) have competing requirements: for boulder extraction, contact pad area needs to be maximized, while for contact pad extraction, the area needs to be minimized. Therefore, mission risk is likely reduced if the three contact pads are oversized (with appropriate margin) to prevent excessive sinkage. The issue of departing from the surface could be eliminated by implementing “decoupling” subsystems that would leave the pads behind. This approach requires additional study to assess the ability of the capture system to perform multiple collection attempts and to retain the surface regolith samples obtained by the geological context samplers.

It is challenging to design a regolith sampler that will work with any and all particle sizes. The sampler would therefore benefit by being designed for a specific range of particle sizes.

- **What is a set of earth analog surfaces (e.g., concrete, sand, etc.) that could be used to bound the expected range of surface variability for use in validating the design of the landing system?**

From a regolith interaction standpoint, analog material should be designed to match the regolith geotechnical properties. As such, parameters that are important include particle size distribution, particle shape, particle strength, magnetic moment, and particle density. All other material bulk properties, such as bulk density, porosity, and shear strength (cohesion and friction angle) are directly influenced by these grain properties. Environmental parameters, such as vacuum and gravity, could have a much greater effect on geotechnical properties of granular material, and this needs to be taken into account.

The OSIRIS-REx team has developed several asteroid simulants, including Tagish Lake 7c (TL7c) [Hildebrand, 2015]. The University of Central Florida is currently developing several asteroid simulants with a range of strengths and particle sizes. The use of asteroid simulants is the preferred analog material for validating the design of the landing system.

- **What is the expected bearing strength of surface regolith? This is needed to determine if ARV requires dampers within the three legs.**

Since asteroid gravity is negligible, Terzaghi's equation [Terzaghi, 1943] for circular or square footing could be used to obtain a first order bearing capacity of the regolith. The bearing capacity of the regolith is defined as  $\sigma = 1.3 * (c+c') * N_c$ , where  $c$  is the regolith cohesion due to van Der Waals forces,  $c'$  is the apparent cohesion due to particles interlocking, and  $N_c$  is the bearing capacity factor.

The low limit for bearing strength can be calculated assuming the friction angle  $\phi=0^\circ$  ( $N_c = 5.7$ ),  $c = 25$  Pa and  $c' = 0$  Pa. Hence  $\sigma = 1.3 * (25 + 0) * 5.7 = 185$  Pa.

The upper limit for bearing strength can be calculated assuming  $\phi = 10^\circ$  ( $N_c = 9.6$ ),  $c = 250$  Pa and  $c' = 100$  Pa. Hence  $\sigma = 1.3 * (250 + 100) * 9.6 = 4,368$  Pa.

These are very rough estimates of the lower and upper limits of the bearing strength. Numerical modeling should be used to provide better estimates and sensitivities to different regolith and spacecraft parameters.

It should be noted that additional information with respect to regolith bearing strength will be available once the OSIRIS-REx and Hayabusa2 missions perform their sampling operations.

### **What is the expected distribution in cohesion between ~1-5 meter boulders and the surface of 2008 EV<sub>5</sub>?**

Fine grains will preferentially attach to larger grains, and thus larger grains embedded in a matrix of fine grains would be held in place by the strength of the matrix itself. Hence, the cohesion between large boulders and regolith will be driven by cohesion between fine particles, estimated to be in the range of 25-250 Pa [Sánchez and Scheeres, 2014].

- **How does cohesion translate into the required extraction force for a given sized boulder?**

$F_{\text{extraction}}$  is a sum of two forces: cohesive force and inertial force. Cohesive force is attributed to boulder-regolith cohesion, which is driven by regolith's matrix and can vary from an estimated 25-250 Pa [Sanchez and Scheeres, 2014], and the surface area of the boulder in contact with the regolith,  $A_{\text{boulder}}$ . The inertial force is a function of the acceleration the boulder achieves during the process of lifting it off the surface. Hence,  $F_{\text{extraction}} = \text{cohesion} * A_{\text{boulder}} + \text{Force}_{\text{inertia}}$ . The extraction force could potentially be reduced by “peeling” the boulder off the surface [Kultchitshy et al., 2015]. However, this needs to be traded against operational complexity and time.

- **Is there a way to estimate (or narrow the uncertainty in) the cohesion between the surface and boulder based on the visual images from the in-situ characterization phase?**

It is not possible to estimate with great certainty the cohesion between the surface and the boulder from visual images alone. A high-resolution camera (mm per pixel or better) would be needed to provide good estimates of the regolith size distribution. Particle size distribution could be used together with numerical models (e.g., DEM) to assess regolith cohesion. However, if models have not been calibrated, the regolith strength values could have significant uncertainty. The models can be calibrated through in-situ testing of regolith properties. The regolith strength, which drives cohesion between the boulder and the surface, can be determined by deploying geotechnical instruments. The geotechnical data could then be used analytically, or with the aid of numerical models (e.g., DEM), to estimate the cohesion between the surface and the boulder.

- **How is the cohesive force expected to “break” during boulder extraction?**

The extraction of a boulder from a regolith with a size distribution ranging down to microns to 100s of microns requires the breaking of cohesive bonds within the regolith. Based on DEM simulations [Sanchez and Scheeres, 2014], this occurs in two phases: a quasi-elastic phase followed by a plastic phase when the bonds between individual grains are broken. Due to the physics of cohesion, fine particles will preferentially adhere to a larger boulder, meaning that extraction occurs by breaking cohesive forces within the regolith. Figure 6 shows the results of a DEM simulation of a boulder extraction from a cohesive regolith [Sanchez and Scheeres 2014]. Note that the cohesive regolith preferentially adheres to the boulder, meaning that extraction occurs by breaking the cohesive forces within the regolith.

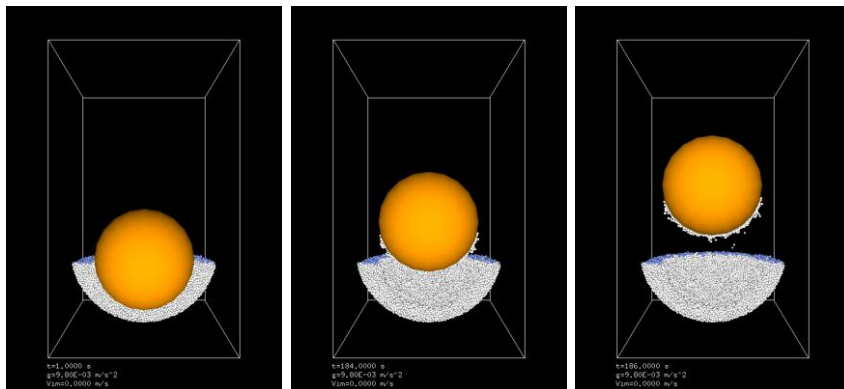


Figure 6: DEM simulation of a boulder extraction from a cohesive regolith [Sanchez and Scheeres 2014].

Figure 7 gives an example of a general shape of the Pull Force,  $F_p$ , as a function of time [Kulchitsky et al., 2015]. The exact shape will depend on the cohesive values as well as extraction methods (e.g., constant acceleration, peeling, etc.).  $F_c$  is a DEM computed cohesive force that needs to be exceeded to remove the boulder from the surface. In this example, a 400 N pulling force is not sufficient to separate the boulder from the regolith.

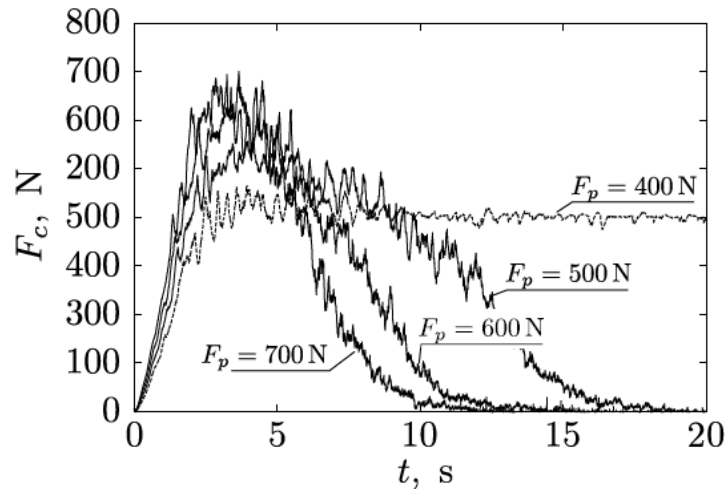


Figure 7. Resistance force profiles for different pull forces ( $F_p$ ) in “peeling” test and regolith cohesive strength  $c = 100 \text{ Pa}$  [Kulchitsky et al., 2015].

- **Are there any other likely physical properties or mechanisms that would prevent a boulder from being extracted?**

Unless the boulder can be inspected underneath, there will always be a risk that another rock could be wedging the boulder in place. Additionally, the boulder could be buried in the regolith along its long axis, which would likely complicate accurately determining its depth of burial. There is also some uncertainty related to the effect that phyllosilicate minerals have on the strength of regolith and forces between the regolith and boulder. Further study is required to determine if this is a significant issue.

For more information on the entire “Surface Geotechnical Properties” section, see Appendix C.

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### *Boulder Physical Properties*

Response Lead: Dan Britt

Sub-team Members: Neyda Abreu, Erik Asphaug, Humberto Campins, Leslie Gertsch, Joel Sercel, and Kris Zacny

#### **What is the expected distribution in densities for ~1-5 meter boulders on 2008 EV<sub>5</sub>? What uncertainty in density will exist after the in-situ visual imaging and characterization phase?**

The bulk densities, grain densities, and porosities for the subclasses of carbonaceous chondrites are shown in Table 7. For a given meteorite analog, the upper bound of the bulk density uncertainty should be in the range cited. The major uncertainty is in the lower bound of the bulk density because of atmospheric filter bias against weak materials. Note that the ranges of density values are powerfully constrained by the physics of minerals. A mineral is an arrangement of atoms set by fundamental physics. While a mineral assemblage (rock) can be made less dense by introducing porosity, under asteroidal conditions it is physically impossible to make a given mineral denser. The uncertainty will be in the identification of the meteorite analog and the lower bound of the bulk density.

Meteorite data are inherently biased by a range of selection effects including orbital dynamics, atmospheric stresses eliminating weak materials, and a limited time series of sampling. Meteorite data should be considered upper bounds for bulk density since they are strong enough to survive entry. Boulders on the surfaces of asteroids may be weaker and less dense. There may be significant systematic differences between meteorite properties and pristine asteroid properties. In-situ sensing data, including reflectance spectroscopy and thermal inertia, can provide valuable insight into mineralogy, and the data from meteorite collections cited in this section provides an upper bound and ranges of bulk density.

Table 7: Carbonaceous Chondrite Physical Properties [Macke et al., 2011].

Meteorite Type	Average Bulk Density (g/cm <sup>3</sup> )	Bulk Density Range (g/cm <sup>3</sup> )	Average Grain Density (g/cm <sup>3</sup> )	Grain Density range (g/cm <sup>3</sup> )	Porosity (%)	Porosity Range (%)
CI	1.58	single measurement	2.43	single measurement	35	single measurement
CM	2.20	1.88-2.47	2.92	2.74-3.26	24.7	15.0-36.7
CV	3.03	2.59-3.46	3.54	3.25-3.68	14.6	0.6-27.7
CO	3.03	2.18-3.48	3.52	2.99-3.78	13.6	0-41.3
CK	2.90	2.54-3.39	3.58	3.37-3.66	17.8	0-23.4
CR	3.11	2.29-3.94	3.42	3.06-3.88	9.5	0-25.0
CB	5.25	4.90-5.55	5.65	5.63-5.66	3.9	2.0-5.8

An indication of the variance in the distribution of boulder densities is provided by Macke et al. [2011]. They measured bulk density and porosity for 26 stones of two major CM falls, Murchison and Murray. The physical properties of these stones are homogeneous to within a few percent. Similar measurements were carried out for major CV, CO, and ordinary chondrite falls. Again, in all cases a similar pattern of physical properties was observed. It is therefore expected that the strength of boulders across a given asteroid would have similar physical properties.

Some combination of remote sensing measurements prior to boulder selection and in-situ measurement prior to collection would identify the mineralogy of the boulder:

- Multi-wavelength spectroscopy (e.g., ultra-violet (UV), visible, near-infrared, thermal etc.)
- Alpha particle X-ray spectrometry (APXS) and/or laser-induced breakdown spectroscopy (LiBS) for elemental abundances
- Neutron and gamma-ray spectroscopy for volatiles and elemental abundances
- Mössbauer spectroscopy for Fe mineralogy
- X-Ray diffraction (XRD) for general mineralogy
- **How can a conservative mass estimate be derived from this information in order to ensure the selected boulder does not exceed the ARV return capability?**

If the composition of the asteroidal targets can be identified, the available data on meteorite bulk density for the major meteorite classes can be used to derive the upper bound on meteorite bulk density and mass.

**What is the expected distribution in the coefficient of thermal expansion of ~1-5 meter boulders from 2008 EV<sub>5</sub>?**

The coefficient of thermal expansion ( $\alpha$ ) of CM and CR chondrites is not well studied. A thermal characterization of the boulder by remote sensing prior to sampling would be beneficial for studies of thermal response as described below. However, some informed estimates based on analogs to terrestrial materials can be made. Also, as with bulk density and other physical properties, the distribution of the coefficient of thermal expansion is expected to be small. Direct measurements of the coefficient of thermal expansion for CM chondrites are being conducted and results should be available soon. In the meantime, it is expected that  $\alpha$  for these materials will be in the range of 5-15 x 10<sup>-6</sup>/K, similar to that of terrestrial sandstones, dolomites, and concretes.

If it is desired to determine if thermal processes are likely to break or spall the boulder, in addition to the coefficient of thermal expansion, other parameters such as Young’s Modulus and compressive strength are needed. In certain geometries involving spalling off the edges of a boulder, the thermal stress failure mode can actually be in shear. So in addition, the shear modulus or Poisson’s ratio along with thermal conductivity and specific heat is needed. Given the same caveats as provided in regard to coefficient of thermal expansion, reasonable expected values for these parameters are provided in Table 8. It is also worth noting that the presence of different mineralogies within the boulder with various coefficients of thermal expansion also influence the thermal cracking efficiency by introducing stress concentrations.

*Table 8: Estimated Values of Carbonaceous Chondrite Physical Properties Related to Spalling and Thermal Fracture.*

<b>Parameter</b>	<b>Min</b>	<b>Typical</b>	<b>Max</b>
<b>Specific Heat (J/kg/K)</b>	1,000	2,000	3,000
<b>Density (kg/m<sup>3</sup>)</b>	1,900	2,250	3,000
<b>Thermal Conductivity (W/K/m)</b>	1.0	2.0	3.0
<b>Poisson’s Ratio</b>	0.18	0.20	0.25
<b>Young’s Modulus (Pa)</b>	1.0E+10	2.0E+10	3.0E+10
<b>Tensile Strength (Pa)</b>	3.0E+05	1.0E+06	3.0E+06
<b>Compressive Strength (Pa)</b>	1.0E+06	3.0E+07	5.0E+07
<b>Shear Strength (Pa)</b>	5.0E+05	1.0E+07	2.0E+07
<b>Coefficient of thermal expansion (10<sup>-6</sup>/K)</b>	5	10	15

- **Homogeneity of Major Meteorite Falls:**

Heterogeneity is an important property of meteorites and disrupted meteoroids, and presumably of the large boulders on asteroids, so meteorite falls are important to consider. According to Macke et al. [2011]: “The abundance of stones for Murchison and Murray provides an excellent opportunity to explore the homogeneity of stones from the same fall. Murchison and Murray are relatively uniform in texture, and so by comparing stones from each fall it is possible to get a sense of the homogeneity of the parent body on the scale of the size of the original meteoroid, approximately decimeters to meters. In all parameters and for both meteorites, variation among stones (determined by one standard deviation) was less than 10% from the mean value, with the greatest degree of variability in the porosities. For Murchison, grain density ranged from 2.87 to 3.05 g/cm<sup>3</sup> (mean 2.96 g/cm<sup>3</sup>, with a variability of 0.05 g/cm<sup>3</sup>, or 1.6% of the mean value). Bulk density averaged 2.31 g/cm<sup>3</sup>, ranging from 2.15 to 2.40 g/cm<sup>3</sup>. Variability in bulk density was 0.07 g/cm<sup>3</sup>, or 3.1% of the mean. Porosity ranged from 18.7% to 24.9%, with a variability of 2.2% (10.0% of the mean 22.1% porosity). Magnetic susceptibility averaged 3.73, with a range from 3.54 to 3.90. Variability was 0.13, or 3.6% of the average. It should be noted that the mean uncertainties for the individual measurements were 0.01 g/cm<sup>3</sup> for grain density, 0.02 g/cm<sup>3</sup> for bulk density, 0.9% for porosity, and 0.09 for magnetic susceptibility. This indicates that, while measurements did vary between stones, the differences were not many times larger than measurement uncertainty. Overall, the stones from Murchison that were included in the study are homogeneous to within a few percent. Murray produces similar results. Bulk density varied 0.05 g/cm<sup>3</sup> (2.3% of the mean of 2.30 g/cm<sup>3</sup>), grain density

varied  $0.02 \text{ g/cm}^3$  (0.7% of the mean  $2.91 \text{ g/cm}^3$ ), porosity 1.8% (8.6% of the mean porosity of 20.8%), and magnetic susceptibility 0.15 (4.0% of the mean of 3.66). Mean measurement uncertainties for the stones were the same as for Murchison, but the overall variability is less. This indicates that at least for the stones in this survey, Murray may be more homogeneous overall than Murchison.”

### **What is the expected distribution in minimum shear, compressive, and tensile strengths for ~1-5 meter boulders on 2008 EV<sub>5</sub>?**

It is difficult to confidently predict boulder strength on 2008 EV<sub>5</sub> because we have no direct measurements that can be applied without uncertainty in interpretation. Data on asteroid material strength comes laboratory measurements of small meteorites and data from bolide entry events, from which we estimate the aerodynamic ram pressure at breakup (see Table 9 and Table 10). Other insights come from experience with terrestrial materials and their variation with scale; experience with materials from other bodies such as the Moon and Mars; and analytical models. The difficulty with meteorite strength data is that it is measured from small samples and its applicability to large boulders requires an extrapolation which is uncertain. Similarly, bolide data clearly shows a range of breakup altitudes that are dependent upon uncertain material properties and component sizes. However, the nature of those components and the body’s reaction to entry are subject to interpretation. A key question is whether the bolides themselves (asteroid materials at meter-scale) are representative of meter-size boulders on asteroids.

Meteorite strength fundamentally depends on composition, texture, and structure. In general, meteorites are bi-modal in their strength, with most meteorite types including ordinary chondrites, anhydrous carbonaceous chondrites, and most CMs being quite strong with compressive strengths greater than 40 MPa. The other major strength grouping includes CI and some petrologic type 2 carbonaceous chondrites (C2), such as Tagish Lake, which are quite weak with compressive strengths less than a few MPa. However, there are notable exceptions to this generalization (i.e., weak ordinary chondrites), and the meteorite strength data is sparse on a number of important types (i.e., CMs, CIs and CRs that have few or no measurements). Additionally, it is very likely that the meteorite collection is biased towards stronger materials since more fragile materials are lost during atmospheric entry. Estimation of the overall strength of a boulder could be based on the “weakest link” approach that will likely be at least an order of magnitude weaker than data from individual meteorites.

Given these caveats, along with the uncertainty in 2008 EV<sub>5</sub>’s classification, it is the judgment of the ARM FAST members that boulders on 2008 EV<sub>5</sub> could exhibit strength characteristics that fall within the following ranges:

- shear strength: 0.1-5 MPa
- compressive strength: 0.5-50 MPa
- tensile strength: 0.05-3 MPa

Of these parameters, the one that is most uncertain is tensile strength, and the possibility that tensile strength at large scale may be below the range above cannot be ruled out without further investigation. It should also be noted that there is dispute within the scientific community regarding the compressive strength, with some members of the FAST suggesting that boulder compressive strength may be as low as 0.1 MPa, derived from the assumed aerodynamic stresses during bolide breakup in the atmosphere. More experimental data on the relevant meteorite types and experiments with large-scale simulants are needed to refine these estimates.

Note: If 2008 EV<sub>5</sub>'s actual albedo is near or higher than the mean albedo values presented in the "Origin of 2008 EV<sub>5</sub>" section, 2008 EV<sub>5</sub> is arguably a CR chondrite (though other compositions cannot be definitively ruled out, such as CI, CM, CK, etc.). As a starting point for discussion and new work, it is probably reasonable to assume this composition when making estimates of likely boulder strengths. If 2008 EV<sub>5</sub> actually has a low albedo, however, it is arguably more likely to be a CI or CM chondrite, which show a wide range of meteorite strengths and probable boulder strengths as well. This possibility is more problematic for engineering work, but it cannot be ruled out until additional information on the nature of 2008 EV<sub>5</sub> becomes available. Additionally, given that other candidate NEAs could be hydrated CIs or CMs (the most desirable targets from an ISRU perspective), designing for this wide range of strengths increases mission robustness.

All other things being equal (i.e., similar mineralogy, albedo, exposure history, and shock history), just as with bulk density and other physical properties, a narrow distribution of shear, compressive, and tensile strength of boulders on an individual asteroid should be expected. Because of thermal shock and erosion, angularity and visible fractures may be a measure of relative boulder strength: stronger boulders may be more angular and weaker boulders more rounded. The physical properties of homogeneous, isotropic rock are typically normally or lognormally distributed; it can reasonably be expected that boulders on 2008 EV<sub>5</sub> will exhibit a normal or lognormal distribution in strength.

Given the uncertainties and caveats in the above discussion, it would seem prudent to work aggressively to refine estimates of boulder strength while exploring capture mechanisms that minimize the required mechanical strength of the boulder. In addition, a broader investigation of the issue of boulder breakup is advisable, including consideration of boulder thermal properties, toughness or brittleness, and ductility.

*Table 9: Compressive and Tensile Strength of Terrestrial Materials and Chondrites [Kimberley, 2011, Hildebrand, 2006].*

<b>Material or Meteorite</b>	<b>Terrestrial Comment or Meteorite Type</b>	<b>Compressive Strength (MPa)</b>	<b>Tensile Strength (MPa)</b>
Concrete (Unreinforced)	Typical Sidewalk	20-40	2-5
Quartz	Single Crystal	1100	55
Granite		100-140	7-25
Charcoal Briquette		~5	Not Measured
Medium dirt clod		0.2-0.4	Not Measured
Tagish Lake	C2	0.25-1.2	~0.3
Murchison	CM	~50	Not Measured
Holbrook, AZ	L6	6.2	Not Measured
La Lande, NM	L5	373.4	Not Measured
Tsarev	L5	160-420	16-62
Covert	H5	75.3	Not Measured
Kunashak	L5	265	49
Elenovka	L5	20	2
Krymka	LL3	160	22
Seminole	H4	173	22.5
Plutusk	H5	21.3	31

Table 10: Bolide Breakup Data [Popova, 2011].

Meteorite (Type)	Compressive Strength Range of Meteorite Type (MPa)	Initial Mass (Metric Tons) / Diameter (Meters)	Compressive Strength at First Breakup (MPa)	Maximum Compressive Strength (Mpa)
Pribram (H5)	77-247	1.3 / 0.9	0.9	Not observed
Lost City (H5)	77-247	0.16 / 0.45	0.7	2.8
Innisfree (L5)	20-450	0.04 / 0.28	0.1	3
Tagish Lake (C2)	0.25-1.2	65 / 4.2	0.3	2.2
Moravka (H5-6)	77-327	1.5 / 0.93	<0.9	5
Neuschwanstein (EL6)	Not observed	0.3 / 0.55	3.6	9.6
Park Forest (L5)	20-450	10 / 1.8	0.03	7
Villalbeto de la Pena (L6)	63-98	0.6 / 0.7		5.1
Bunburra Rockhole (Ach)	Not observed	0.022 / 0.24	0.1	0.9
Almahata Sitta (Ure, OC)	Not observed	70 / 4	0.2-0.3	1
Jesenice (L6)	63-98	0.17 / 0.45	0.3	3.9
Grimsby (H4-6)	77-327	0.03 / 0.13	0.03	3.6

- **How homogenous are the boulder strength properties within a boulder? What is the potential, and likely, variability throughout the boulder? What is the potential for defects (fracture planes, etc.)? Is there any reason to believe the strength of boulders on an asteroid would vary with latitude or any other spatial parameter or orientation due to thermal cycling or other effects?**

Experience with the meteorites suggests that the density of fractures in asteroidal boulders will be high. However, fractures can be zones of strength as well as weakness. The shock history of meteorites does vary across the meteorite collection, but variation within a single meteorite is small. Data from the major meteorite showers are homogeneous to the first order. This suggests that the material strength within a single boulder will be fairly homogenous, but bulk strength will be driven by macro-porosity and fractures.

The near surface material on an asteroid will probably be more space-weathered than the interior so it could be weaker and more fractured. The diurnal thermal skin depth is about 3 cm and that will be the major source of erosion from thermal shock. The extent of thermal shock will depend on the insolation distribution. Latitude variation is possible but will probably be much less important than more critical factors such as boulder strength, shock history, and albedo.

- **How can “strong” boulders be distinguished from “weak” ones in-situ? What can be determined about the strength from in-situ visual and other measurements? What is the uncertainty in these measurements?**

There is no definitive way to compare strengths of boulders using visual inspection alone. However, if only visual data is available, one possible method that merits further examination is to observe the boulder's angularity. Because of thermal shock and erosion from thermal shock, angularity and visible fractures may be a measure of boulder strength. Stronger boulders may be more angular while weaker boulders become more rounded faster from the erosion driven by thermal shock. To determine the absolute strength of boulders will require some method of direct contact. As the spacecraft approaches the boulder, the following measurements could be possible: 1) from a specified distance; deploy low-speed kinetic impactors; 2) on the surface, deploy a Schmidt Hammer-like device; or 3) once the anchoring process starts, use drilling telemetry.

- **What is a set of Earth analog surfaces that could be used to bound the expected range of variability for use in validating the design of the capture system?**

The Center for Lunar and Asteroid Surface Science (CLASS) and Deep Space Industries (DSI) are developing a family of simulants with correct compressive and shear strength. These should be available in quantity for capture system testing by early 2016.

- **Are smaller boulders expected to be stronger than larger ones and if so, by how much?**

All other things being equal, pre-existing fractures would be a function of volume. The relative distribution of large fractures versus small fractures typically follows a power law distribution, so smaller boulders should have a smaller chance to accumulate major fractures on average. However, the expected difference in the 1-5 meter range would probably be minimal. That said, the following describes the known data on strength and the factors that go into determining a boulder's strength.

**Bolide Data Explanation:** The data in Table 10 are from observed bolides with recovered meteorites. The second column shows the compressive strength range of that meteorite type. The third column is the estimate of the pre-encounter initial mass and diameter of the asteroid as it entered the atmosphere. The fourth column is the strength at first breakup. This is determined by the dynamic stress produced by the atmosphere at the observed altitude of first breakup and an indication of the overall cohesive strength of the asteroid as a whole. The maximum compressive strength is determined by the altitude of the major breakup event for the bolide. Note that the breakup strengths of the object as a whole are typically much less than the strength of the individual recovered meteorites, which likely indicates the presence of fracture planes or that the asteroid entered the atmosphere as a conglomerate.

**Fracturing and Lag Surfaces:** Asteroidal material is pervasively fractured because of strong collisional evolution over the age of the solar system. Materials in near-Earth space have experienced cycles of collisional fragmentation to arrive in this orbital space. The potential for defects such as fracture planes will be high. Figure 8 shows examples of fracturing observed in carbonaceous chondrites. Figure 8 (a) shows part of the CM2 Murchison fall, which has only been exposed to terrestrial weathering over a short amount of time and shows numerous fractures. It is difficult to ascertain whether the fractures in Murchison formed via asteroidal or atmospheric entry processes. However, the freshness of the fractures suggest that at least some of these fractures formed during atmospheric spallation and that fracturing of 2008 EV<sub>5</sub> boulders may not be as extensive. It is also important to recognize that terrestrial weathering may have affected the strength of meteoritic samples in ways that are not reflective of alteration mechanisms occurring in 2008 EV<sub>5</sub>. In Figure 8 (b), micro-fractures crosscutting a polished petrographic section of Antarctic CR2 chondrite find LAP 04516 are shown. Note that some fractures are free of mineral



deposits while veins can contain minerals that are generally terrestrial in origin (e.g., ferrihydrite, an oxyhydroxide seen in LAP 04516) and are a consequence of terrestrial weathering in meteorite finds. These observations suggest that micro-fractures and cracks were probably free of mineral deposits while in the parent asteroid, potentially resulting in lower strengths than seen in the population of meteorite finds. It should be noted, however, that there are terrestrial mechanisms (e.g., freeze-thaw cycles) that could lower the strengths of the meteorite find samples as well.

For small asteroids, the low gravity probably results in the fine fraction of the surface material being depleted by micrometeorites and the solar wind. This will probably result in a pebble or cobble lag that builds up and armors the surface (like desert pavement).

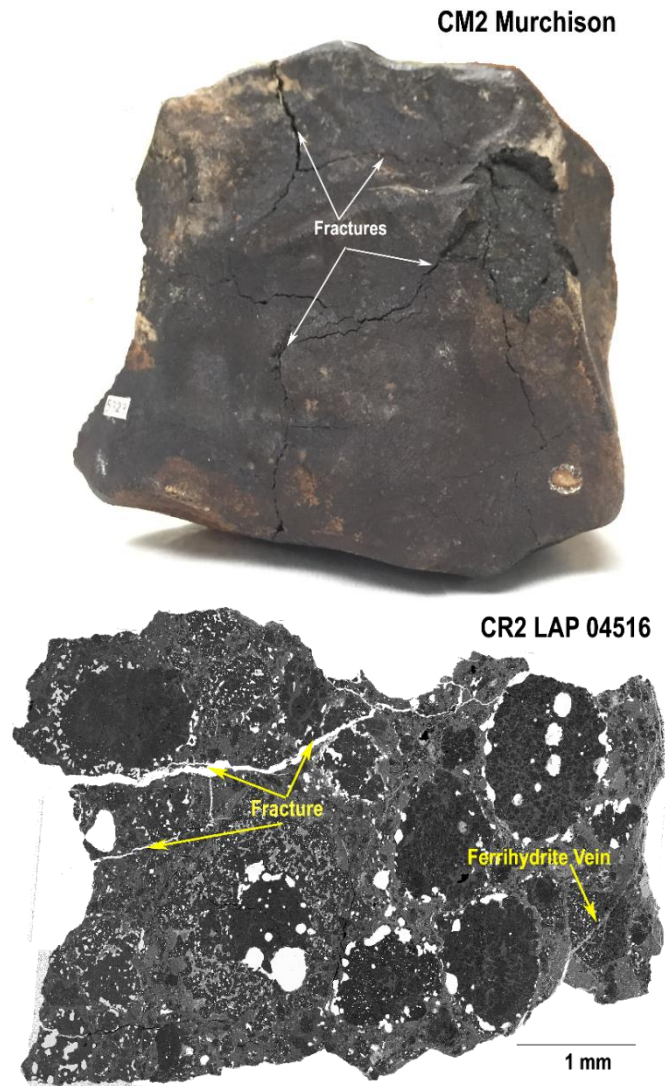


Figure 8: Fractures in carbonaceous chondrites. Top: (a) Hand-sample (~9 cm x 9 cm) specimen of CM2 fall Murchison showing numerous fractures [Image Credit: Cari Corrigan, Smithsonian Institution, 2015]. Bottom: (b) Back-scattered electron (Z-contrast) image showing a polished petrographic thin section of CR2 chondrite LAP 04516 (~5 mm x 3 mm). Micro-fractures crosscutting the section are shown. Note that some fractures are free of mineral deposits while veins can contain minerals that are generally terrestrial in origin [Image Credit: Neyda Abreu, 2015].



**Thermal Erosion:** The weathered layer on a Bennu-like asteroid (similar size, orbit, albedo, rotation as 2008 EV<sub>5</sub>) should be on the order of 2-3 cm. The annual orbital skin depth is approximately 1.5 meters. The annual orbital thermal pulse will affect any loosely bound or frozen volatiles down to about 1.5 meters, known as the annual thermal skin depth. Over long periods of time a much reduced thermal pulse will penetrate deeper into the body, but the magnitude of this effect will require modeling. The geological interpretation of these data is that the outer 2-3 cm will be damaged by micrometeorites and eroded by thermal shock, and any low-temperature volatiles may be cooked-off by the diurnal thermal cycle. As suggested above, angularity of the exposed boulders may be a visual measure of relative strength. Essentially this would be a measure of the boulder's resistance to tensile stress and its extent of past fracturing, where the rounder boulders on a given surface would be weaker. Essentially any sharp edge would become a focus of thermal energy and would be more likely to spall off, rounding the boulder. In general, the roundness of the boulder (for any given age of a surface) could be a measure of relative strength. Additional research and some experiments are needed to verify and calibrate the response, but this observational technique should work as an in-situ measurement to determine relative strength.

**Homogeneity:** While it is common for small amounts of exotic material to be incorporated into meteorites, the fraction of that material in any meteorite is small. Similarly, compositional variability across boulders on a given asteroid is likely to be small [e.g., Bland et al., 2004]. There is not likely to be much variation in the boulder field since a fair degree of homogeneity in composition, shock history, albedo, and thermal properties can be expected.

#### **Suggested Additional Research:**

1. As suggested above, angularity of the exposed boulders may be a visual measure of relative strength. Theoretical calculations and thermal experiments should be able to quantify this effect and provide a visual guide to relative strength.
2. Additional compressive and tensile strength measurements of targeted meteorite types.
3. Exploration of add-on mission implementations, especially surface interaction and remote sensing.

For more information, see Appendix D.

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## *Post-Collection Boulder Handling*

Response Lead: Danny Glavin

Sub-team Members: Neyda Abreu, Marc Fries, Joe Nuth, Joel Sercel, and Kris Zacny

### **How should the boulder be handled after collection to minimize impacts to science and to the structural integrity of the object?**

- **What is the suggested allowable contamination of the boulder surface prior to sample acquisition by the crew?**
- **For the tools currently planned for sampling the boulder by the crew, what is the likelihood the boulder will shed material, fracture, or break up, due to the forces applied by these tools?**
- **After collection, the boulder will experience a different thermal environment than it did on the surface of 2008 EV<sub>5</sub>. What thermal environment constraints are reasonable for protecting the boulder?**

### **Assessment:**

In order to avoid fragmentation of the boulder after collection, minimizing physical handling of the boulder until it is in a stable, cis-lunar orbit is suggested. However, it is recognized that additional physical contact with the boulder after collection (e.g., drilling, brushing, or scraping the surface of the boulder) could provide valuable engineering data to aid in safe transportation and the design of tools for future robotic or human sampling of the boulder.

The ARM mission team must reach a balance between these constraints. Given that CR, CM, and CI type carbonaceous chondrites, the closest analogs to C-type asteroids, contain high water content (~3- 20 wt.%) [Kerridge, 1985; Alexander et al., 2013] mostly bound to hydrated minerals and amorphous phases [Garenne et al., 2014; LeGuillou et al., 2015] and are known to be highly friable meteorites, there is a high likelihood that the boulder will locally fragment and shed material due to the forces applied by tools (e.g., anchoring drills) if indeed the ARM target body is similar to CR, CM, and CI chondrites. CK chondrites have much lower water content (<1 wt.% in Karooda) [Kerridge, 1985].

These risks can be mitigated by conducting a full examination of the boulder, including surface imaging and some means to help identify internal cracks. For example, seismic measurements could be conducted prior to any drilling or sample coring operations. Tools that exert low cutting forces and include an efficient drill cuttings removal system to help contain particulate release during the coring operation can minimize the risk of particle shedding during drilling or other similar activities. The cuttings collected during the anchoring process might also make excellent samples that can be rapidly collected during the first EVA of the ARCM.

### **Monitoring:**

Monitoring the boulder during the anchoring process, such as adding cameras to the ends of the robotic arms, would be highly beneficial. Imaging the effects of the microspine grippers scraping over the surface or the dispersion of the drilling chips for the anchor could provide considerable insight about the overall integrity of the boulder. Monitoring the performance of the drill anchors may also prove useful. Passive direct monitoring of the boulder during anchoring, return, and time spent in cis-lunar space is

highly desirable. Monitoring could include volatile analyses capable of monitoring compositional changes over time as the boulder experiences changes in the thermal environment. Cameras could also be used to inspect the boulder surface to identify any particle shedding or cracking prior to the ARCM.

For contamination, the OSIRIS-REx contamination control requirements for the returned boulder could be used as a starting point [Dworkin et al., 2015]. This would include reducing the levels of organic contamination on hardware surfaces (e.g., < 1000 ng carbon/cm<sup>2</sup>, < 180 ng amino acids/cm<sup>2</sup>, and < 180 ng free hydrazine/cm<sup>2</sup>) that come into direct contact with the boulder surfaces. In practice, this means cleaning sample handling hardware to 100 A/2 particulate surface cleanliness levels and avoiding recontamination of the hardware surfaces prior to launch. The OSIRIS-REx contamination plan also specifies inorganic contamination limits for other elements of interest to science (e.g., K, Ni, Sn, Nd, Pb) [Dworkin et al., 2015]. OSIRIS-REx developed a prohibited materials list mostly driven by the organic contamination requirements and limits on material outgassing rates. This prohibited materials list could be used as a starting point for discussion by engineers and scientists working on ARM. Instead of specifying hard limits on specific volatiles likely to contaminate the surface of the boulder (e.g., water, xenon, NH<sub>3</sub>, and other hydrazine thruster products), a best effort approach to reduce volatile contamination of the boulder surface (e.g., keep thrusters pointed away from the boulder surface) would be reasonable. In addition, active volatile monitoring near the boulder surface and spacecraft, and passive witness control materials would help document the contamination environment around the boulder surface. Witness materials that can trap volatiles such as water, ammonia, xenon, and organics could also be considered.

### **Modeling:**

Thermal models of the selected boulder on the asteroid surface and the spacecraft and boulder configuration should be developed for phases of the mission ranging from the target asteroid to cis-lunar space. If possible and straightforward to do, creating a shape model of the boulder in addition to the thermal models is also suggested. Limiting the thermal shock (e.g., cooling/heating rate) of the boulder during transit to cis-lunar orbit to be no greater than the thermal cycling it experienced on the surface of the asteroid prior to capture will minimize the likelihood of any fracturing or other structural changes. Measuring mass loss of the boulder during the transit is suggested. This might be possible using an Inertial Measurement Unit (IMU) to monitor changes in the angular velocity and linear acceleration of the spacecraft-boulder system. The mass loss, coupled with the shape model taken en route and in cis-lunar orbit could help quantify physical changes to the boulder. Contamination modeling is also needed of the spacecraft thruster exhaust products, and spacecraft outgassing to include molecular mass transport analysis. An important potential application of this modeling activity will be to inform the advisability of adding a thin film or sheet metal shield to the CRS to potentially mitigate the effects of differential solar exposure and contamination of the boulder from spacecraft effluents. The potential benefit of such a shield and determination of its design cannot be evaluated without a reasonable effort in the area of contamination and thermal modeling.

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### *Pre-ARCM Boulder Assessments for Crew Safety*

Response Lead: Jim Bell

Sub-team Members: Marc Fries, Danny Glavin, Christine Hartzell, Amanda Hendrix, Joe Nuth, Joel Sercel, and Kris Zacny

**Besides the existing capabilities of the ARV (i.e., cameras and CRS feedback loads), are there other ways to assess the condition of the boulder prior to crew access to determine if it's safe to approach and sample?**

- **What post-capture (or post-LDRO insertion) measurements should be made prior to crew interaction to ensure crew safety?**

To ensure crew safety, a variety of high-heritage and/or flight-proven measurements and techniques were identified could be employed during return from the asteroid or after LDRO insertion, and prior to crew interaction, and are listed in Table 11. They have been prioritized in the first column as (A) most critical to astronaut safety; (B) relevant to astronaut safety and/or science/knowledge gain but not as critical; and (C) primarily relevant to science/knowledge gain.

- **What measurements prior to crew interaction would enhance scientific or other knowledge gain?**

All measurements that provide information relevant to crew safety could also provide important new information for science or other knowledge gain (*e.g.*, ISRU potential, planetary defense implications). In addition, a small number of additional measurements, also listed in Table 11, would likely be most relevant only for science or other knowledge gain.

Table 11: Post-LDRO Measurements of the Boulder and/or Contact Pad Regolith Samples to Ensure Crew Safety and/or to Enhance Scientific or other Knowledge Gain.

Priority	Measurement	Possible Methods	Safety	Science/ Knowledge
A	Assess fragility, hardness, sharpness, and volatile release potential of samples	<ul style="list-style-type: none"> <li>Acquire movies or time-lapse imaging of the samples while poking, pressing, drilling, brushing, scraping, hammering, and/or grinding</li> <li>Use simulators of end effector tools that will actually be used later by astronauts</li> </ul>	✓	✓
A	Assess presence of fractures or textures that might suggest spallation or breakage	<ul style="list-style-type: none"> <li>Acquire stereo images of the boulder and regolith samples to construct 3-D models of their surfaces prior to any tool interactions</li> </ul>	✓	✓
B	Assess any physical movement or dramatic temperature changes of the samples during the transit to the Moon	<ul style="list-style-type: none"> <li>Use CRS feedback loads (as planned)</li> <li>Obtain thermal measurements of the samples</li> <li>Use acoustic sensors to assess stability/motion</li> </ul>	✓	✓
B	Characterize and determine abundance of any dust, volatiles, and/or organics in the samples	<ul style="list-style-type: none"> <li>Use ion Neutral Mass Spectroscopy covering masses relevant to potential volatiles, PAHs, or other potential carcinogens</li> <li>Perform high-resolution imaging survey (possibly including UV imaging) to assess dust environment</li> <li>Use potentially active-source (<i>e.g.</i>, laser) analysis of chemistry of released gases and/or dust/fragments</li> </ul>	✓	✓
B	Characterize the chemistry and mineralogy of the samples prior to astronauts, to make EVAs most efficient	<ul style="list-style-type: none"> <li>Perform UV, Visible, Near-IR, Mid-IR imaging spectroscopy</li> <li>Use APXS and/or LIBS for elemental abundance.</li> <li>Use neutron and gamma-ray spectroscopy for volatiles and elemental abundances</li> <li>Use Mössbauer spectroscopy for Fe mineralogy</li> <li>Use XRD for general mineralogy</li> </ul>	✓	✓
B	Assess swatches of space suit material and other relevant witness samples during the robotic mission to influence ultimate choice of ARCM materials, coatings, etc.	<ul style="list-style-type: none"> <li>Perform microscope-scale UV, Visible, Near-IR, Mid-IR imaging and spectroscopy</li> </ul>	✓	✓
C	Assess electrostatic potential of the boulder	<ul style="list-style-type: none"> <li>Include Langmuir probe, or voltmeter</li> </ul>	✓	✓
C	Use mass determination and volume of the boulder to estimate its density	<ul style="list-style-type: none"> <li>Perform mass determination from radio tracking</li> <li>Calculate volume from image-derived shape model</li> </ul>		✓
C	Estimate the ages of the samples	<ul style="list-style-type: none"> <li>Include mass spectrometer for exposure age</li> <li>Include mini radiogenic isotope analyzer for absolute age</li> </ul>		✓

### Containment Considerations

Response Lead: Marc Fries

Sub-team Members: Neyda Abreu, Dan Britt, Danny Glavin, Joe Nuth, and Joel Sercel

**Given the uncertainties in the properties of the boulders, potential for contamination, possible thermal effects, and potential for particulate release that could affect spacecraft or crew safety, should some form of containment of the boulder be considered? If so, what type of containment and materials should be considered?**

## **Summary:**

There is a high likelihood that particulates and possibly fragments will evolve from an unprotected boulder while it is attached to the spacecraft. These particles are likely to be small, have a very low relative velocity to the spacecraft, and are not expected to remain in the vicinity of the boulder due to spacecraft motion and solar radiation pressure. As such, these particles do not present a hazard to crew operations. Thermal effects are a primary factor in contamination and alteration of the boulder, and thus contamination and alteration can be reduced with a containment designed to reduce thermal shock and peak temperature. It would be beneficial to monitor the boulder throughout the period between initial collection by ARRM and sampling operations during ARCM to assess debris generation, contamination, and alteration. It was determined that a hermetically sealed containment mechanism for the boulder is not needed nor suggested. A sunshade-like “containment” device should be considered among the possible options, but specific requirements for physical containment of the boulder should be supported with further analyses. Since physical containment of the boulder is not necessarily suggested unless further analyses deem it necessary, a better term for this consideration is the “protection” of the boulder rather than “containment.”

## **Discussion:**

***Justification for protecting the boulder:*** Any need for boulder containment will arise from two fundamental needs:

- 1) Protecting the spacecraft and crew from material arising from the boulder; and
- 2) Protecting the boulder from contamination/alteration arising from contaminants originating from the spacecraft and/or crew.

***Design goals for boulder protection:*** Any form of physical protection offered to the boulder should be capable of preventing or significantly ameliorating two major effects:

- 1) Thermal effects in the boulder. Thermal shock (i.e., rapid changes in temperature) can drive evolution of particulates and fragments from the boulder. Thermal shock can also drive loss and/or alteration of native volatiles from the boulder. Strong, static thermal gradients on the boulder can drive alteration, migration, and/or loss of native volatiles on the boulder and degrade the native state of the boulder ahead of sample collection.
- 2) Contamination of the boulder arising from the spacecraft and crew. Volatiles released from the spacecraft and crew can contaminate the boulder and complicate analyses of native organic species, obfuscating scientific and ISRU investigations. Loss of volatiles, dehydration of native hydrated phases, mobilization of native volatiles, chemical reaction of native species with contaminant species, and other similar alteration effects can also occur while the boulder is attached to the spacecraft.

## **Findings:**

- 1) *There is a high likelihood that particulates and possibly fragments will evolve from an unprotected boulder while it is attached to the spacecraft. Thermal gradients and thermal shock (i.e., rapid heating or cooling) are primary factors in generating fragments, volatiles, and dust from the boulder, thus driving the risk of spacecraft damage from boulder-generated debris.* Studies of meteorites and meteorite analogs show that fractures and impact-derived features are common in surficial asteroidal

materials, and it is reasonable to expect that the ARM boulder may spall material due to pre-existing fractures and other mechanical heterogeneities. Also, since the boulder may be composed of relatively volatile-rich carbonaceous material, it will be innately susceptible to spallation, dust evolution, and possible ejection of fragments at low velocity via volatile loss. These particles are likely to be small, have a very low relative velocity to the spacecraft, and are not expected to remain in the vicinity of the boulder due to spacecraft motion and solar radiation pressure. As such, these particles do not present a hazard to crew operations. The worst-case scenario includes sufficient disruption of the boulder as to compromise the ARV's capability to restrain the boulder. The risk of disruption during transport may be reduced by "squeezing" it with the CRS legs prior to departure from the asteroid and monitoring for fragmentation. If the boulder cracks, a secondary candidate boulder should be considered. Containment of the boulder should address engineering needs to protect the spacecraft against these evolved materials and to prevent significant thermal shock to the boulder. In order to protect the ARRM and ARCM spacecraft from boulder debris and volatiles, the boulder should be protected from thermal shock and excessive static heating. A suitable upper limit for imposed thermal shock may be derived from modeling the thermal history of the boulder on the asteroidal surface prior to collection. More information is needed on the thermal environment of the boulder plus spacecraft combination (see finding #6 below).

- 2) *Thermal effects are a primary factor in contamination and alteration of the boulder, and thus contamination and alteration can be reduced with a containment designed to reduce thermal shock and peak temperature.* The spacecraft thermal environment will drive evolution of volatiles from the spacecraft, evolution and alteration of volatiles in the boulder, transport of contaminants from the spacecraft to the boulder, and migration of contaminants on the boulder. Containment strategies should consider thermal effects from this perspective and should reduce or remove extended static heating from the boulder, as well as pronounced "cold sinks" on the boulder. Materials employed on the ARV should feature low-outgassing materials where possible to diminish volatile contaminant sources, and especially in portions of the spacecraft that will experience extended or extreme heating. More information is needed on the thermal environment of the boulder plus spacecraft combination (see finding #6 below).
- 3) *It would be beneficial to monitor the boulder throughout the period between initial collection by ARRM and sampling operations during ARCM to assess debris generation, contamination, and alteration.* Images of the boulder should be collected at intervals during the mission so that the ARM team can monitor changes in the boulder to include mass loss, volatile migration, and changes in the boulder's mechanical stability. Appropriate imaging would include techniques suited to observing morphological, chemical, and mechanical changes in the boulder as well as watching for evolution of volatiles. This information may also be useful in assessing the mechanical state of the boulder prior to ARCM visits. Witness plates may be employed as a means to maintain "contamination knowledge," collection of spacecraft contaminants on the boulder, and loss or alteration of volatiles in the boulder.
- 4) *A hermetically sealed containment mechanism for the boulder is not needed nor suggested.* A hermetic seal is not a significant improvement for protecting the boulder and spacecraft but it does impose significant complexity upon the ARV. Pressurization of such a container due to volatile loss would be problematic both for spacecraft operations and crewed access to the boulder, and it would not fully prevent evolution, alteration, and migration of native volatiles in the boulder. Quantification of volatile loss and other alteration effects in the boulder can be addressed without the need to contain all volatile loss, through such means as witness plate employment, collection of core sample(s) to include interior material, collection of samples from several sites, and/or other means. In addition,

many potential materials for the construction of a bag around the boulder can also outgas contaminants that would complicate the monitoring of internal outgassing between boulder collection and the first crewed mission.

- 5) *A sunshade-like “containment” device should be considered among the possible options.* Protection of the boulder from thermal effects, and protection of the spacecraft from evolved boulder fragments, might be accomplished with a sunshade-type arrangement. The guiding design principles should be to maintain the boulder in a near-homogenous thermal environment, and to prevent line-of-sight transfer of boulder fragments to the spacecraft body and solar panels to protect the ARV. Design options to consider include the use of optically translucent or scattering materials and materials with moderate to high emissivity that will minimize the presence of large temporal or spatial temperature gradients. As with other spacecraft components, the “sunshade” materials should present low risk of outgassing and particulate shedding that could contaminate the boulder.
- 6) *Specific requirements for physical containment of the boulder should be supported with further analyses.* The FAST can provide estimates based on many years of experience, but data sets that are specific to the ARRM mission and spacecraft design are necessary for finalized mission requirements. Thermal modeling of the boulder and spacecraft configuration should be performed to quantify the expected range of temperatures and degree of thermal shock the boulder will experience. Modeling should also be performed with sufficient areal fidelity to predict the range of temperatures expected across the surface of the captured boulder, in order to identify areas where volatile loss (hot spots) and volatile accumulation (“cold fingers”) can be expected. These modeling results should be made available to the personnel responsible for the ARCM sampling plan to also inform their planning.
- 7) Since physical containment of the boulder is not necessarily suggested unless further analyses deem it necessary, a better term for this consideration is the “protection” of the boulder rather than “containment.” Protection in this case refers to the science and ISRU need to chemically and physically protect the boulder against damage, and the operational need to protect the spacecraft from damage arising from mass loss from the boulder.

## Potential Investigations

The following is an initial list of potential investigations that could be performed by ARM (ARRM and ARCM) resulting from brainstorming activities by the FAST. Many of the identified investigations require additional sensors, subsystems, or operations that are beyond the scope of the current program. These could be performed with additions and modifications as identified in Table 12. This list is not meant to be viewed as final or comprehensive, but it does indicate that a broad range of investigations could be performed that would provide a benefit to the four investigation areas. This list includes only those investigations that could be carried out during the baseline ARM timeline and does not include the potential investigations that could be conducted as a part of final end-of-mission operations for the ARV. Each potential investigation has been characterized by the applicability to each of the investigation areas, potential mission phases in which the investigations could be performed, likely benefit to ARM, perceived relevance to NASA’s science, ISRU, planetary defense, and exploration goals, potential for utilizing the unique opportunities that ARM provides, and extent to which it is currently included in the baseline mission plans (see <http://www.nasa.gov/asteroidinitiative> for further details.)



## *Potential Investigation Descriptions*

For the purposes of this report, the 63 potential investigations have been sorted and grouped based on their likely benefit to ARM and relevance to NASA's science, ISRU, planetary defense, and exploration goals by the FAST leadership (Mazanek, Abell, and Reeves), and have incorporated input from the rest of the FAST. The investigations are numbered in the order they were proposed by the FAST with no priority or significance implied by the order or numbering. A short description of these investigations is included below with all of the full characterization performed by the FAST included in Table 12. Cost, complexity, and risk were not explicitly assessed for this preliminary list.

The descriptions of these investigations are presented in the following format:

**Investigation Name (ID number that corresponds to Table 12):** Investigation description

### *High Benefit to ARM and High Relevance to NASA Goals*

**Asteroid Surface Interaction (7):** Use either an impact or small explosive test to gain asteroid surface property data that would be germane to future robotic and human missions and contribute to our understanding of vehicle to surface interaction. This will provide ARM with surface property data (e.g., cohesion, strength, etc.) prior to boulder collection. At a minimum, the baseline includes the CRS contact pads interacting with the surface, and images of this interaction could be captured by the engineering cameras.

**Dust/Particulate Mitigation Techniques (8):** Demonstrate cleaning and dust/particulate mitigation methods and protocols for suits and EVA systems that will be brought into the crewed volume (electrostatic, physical barriers, plasma interaction, filtration, etc.). These demonstrations could be conducted on both spacecraft and EVA suit materials (swatches) to understand the likelihood that dust will adhere to these surfaces and the effectiveness of the cleaning methods and protocols on these surfaces. This would feed forward to other planetary surface activities (i.e., asteroids, Moon, Mars and Martian moons). The complexity of this investigation depends on the specific mitigation technique. The benefit to ARM is dependent on whether information can be gained from ARRM in time to benefit ARCM.

**Sample Thermal Control (14):** Demonstrate active and passive thermal control methods for small body materials, both in-situ and after sample collection and stowage (i.e., keeping materials at ambient temperature conditions). It is desired to have a diversity of samples across the boulder, as well as the return of the geological context samples, following best practice contamination control. It is also desired that all collected samples be sealed at vacuum and ambient or colder temperatures (-80° C or lower). The benefit to ARM depends on whether it is determined that thermal control is needed to prevent thermal cracking of the boulder during return or in LDRO.

**Thermal Imaging of Asteroid Surface (23):** Thermal imaging of the entire asteroid surface over time in order to determine the thermal properties (e.g., thermal inertia) to assist in characterization of boulders, regolith, and the Yarkovsky and YORP effects.

**Collect Regolith Samples (32):** Collect regolith samples from the asteroid surface near the boulder collection location in order to provide geological context. The regolith has the potential to provide a more

representative sample of the asteroid as a whole rather than the specific boulder composition. There are currently undefined (number and design) context sample collection devices on the CRS pads.

**Surface Contact Science Package (36):** Deploy a surface contact science package to investigate the surface strength, composition, and magnetic susceptibility of the target asteroid, which could help inform the final design of EVA tools and operations.

**Collect Samples from Boulder (38):** Image and collect samples from the entire boulder surface. Images and samples from the side of the boulder that was in contact with the asteroid are highly desirable. Having the capability to rotate the boulder prior to restraint in order to ideally position that side for imaging and EVA purposes would be advantageous. Having the ability to image the entire surface would also allow the development of a full shape model and assist in EVA planning to ensure the most valuable samples are collected within the EVA capabilities. The current capability cannot image the underside of the boulder with arm cameras.

**Characterize Boulder Geotechnical Properties (40):** Characterize the geotechnical properties of the asteroid and boulder to inform both the ISRU investigations and the ARCM. These properties include the permeability, tensile strength, shear strength, volatiles, porosity, particle size, composition, etc. The benefit to ARM would be high if these properties could be identified prior to boulder collection. In the current baseline, the microspines, anchoring drill, and CRS will interact with the boulder and some data may be extracted from those interactions.

### *High Benefit to ARM and Medium Relevance to NASA Goals*

**Low-Velocity Penetrator (4):** Use a low-velocity penetrator and observe regolith interaction in order to validate DEM simulations or verify minimum boulder strength. The penetrator could be controlled or uncontrolled. This could also be used as a deployment mechanism for other investigations. Cost and complexity could vary depending on specific implementation.

**Mineralogy and Composition (18):** Perform imaging for mineralogy and composition mapping with well-calibrated broadband color filters and multi-wavelength sensors (UV, visual, near-IR, thermal-IR). Being able to refine the boulder density estimate and identifying potentially volatile-rich boulders would be the main benefit to ARM.

**Multi-Spectral Imaging of Asteroid (21):** Perform multi-spectral observation of the boulder collection site prior to, and as soon as possible following, boulder collection to observe the physical (e.g., thermal), geotechnical (e.g., cohesion), and compositional properties of the exposed asteroid surface. Repeated multi-spectral imaging of this area to observe any changes is also desired. Depending on the collection site, continued imaging could be performed during Enhanced Gravity Tractor operations. Being able to refine the boulder density estimate and identifying potentially volatile-rich boulders would be the main benefit to ARM.

**Global Mapping of Asteroid (22):** Conduct global mapping to determine the shape, volume, and mass of the asteroid through imaging and radio science in order to determine bulk density, gravity field, center-of-mass, and gross internal structure. The use of a gravity gradiometer may improve the quality of these measurements. In the current baseline, a large majority of the asteroid will be imaged for boulder

characterization and shape and gravity modeling. Higher fidelity would likely be desired for science investigations.

**High-Power Radar (27):** Utilize ground penetrating radar and radar tomography to understand boulder and regolith characteristics as well as imaging the internal structure of the asteroid.

**Comprehensive Boulder Imaging (37):** Perform an investigation of the surface dust and other surface properties of the boulder through imaging of the entire surface in order to help interpret remote observations of the ARRM target asteroid as well as other asteroids that have been and will be imaged by other spacecraft. It would be beneficial to have a method for imaging the side of the boulder that was in contact with the asteroid as well as a method to remove thin layers of the surface to understand the near sub-surface (e.g., sticky pads, grinder, abrader, etc.). This information would also benefit ARCM for EVA planning. In the current baseline, the boulder will be mapped in as much detail as possible with current capabilities. However, there will likely be portions of the boulder that cannot be imaged based on camera placement and arm length.

**LDRO Free-flying Observer (41):** Deploy a free-flyer that could observe the entire boulder in LDRO as well as observe ARCM activities from multiple angles. This would benefit knowledge return in multiple areas as well as public engagement.

**Asteroid Free-flyer for Observation (45):** Deploy a free-flying observation platform that could provide situational awareness, observe boulder collection (for engineering and public relations purposes), observe any follow-on experiments (e.g., impactors), perform long-duration orbit determination for the EGT verification, and/or perform long-duration observation of the target asteroid to witness any potential evolution of the surface properties.

### High Benefit to ARM and Low Relevance to NASA Goals

None identified.

### Medium Benefit to ARM and High Relevance to NASA Goals

**Optical Communications Demo (1):** Demonstrate Deep Space Optical communications in order to raise the Technology Readiness Level (TRL) and reduce risk for future robotic and crewed missions.

**Small Body Seismic Network on Asteroid (2):** Deploy a seismic network on the asteroid in order to gain knowledge of the internal structure of the asteroid, demonstrate small body deployment methods, and understand energy coupling. This could be enhanced with the use of subsurface (or “down hole”) instrumentation. The complexity of this investigation will depend on deployment method.

**Ultrasonic Investigation of Boulder (3):** Deploy sensors on the collected boulder to measure the seismic velocity through the boulder and gain knowledge of the internal structure to determine how energy is absorbed and how effective energy coupling and anchoring techniques would be. This could be enhanced with the use of subsurface (“down hole”) instrumentation. The complexity of this investigation will depend on the deployment method and the benefit to ARM would be increased if knowledge of boulder strength could be gained prior to ARCM.

**Anchoring Techniques (9):** Demonstrate multiple anchoring techniques and tools for small-body, micro-gravity environments. Anchoring drills on microspine grippers will demonstrate one anchoring method in the current baseline.

**Long-term Orbit Determination (11):** Deploy an asset to allow for long-term precise orbit determination of the asteroid following the departure of the ARV. This asset could be deployed on the surface or a long-duration free-flyer. This would demonstrate the capability for future planetary defense efforts to track potentially hazardous NEOs. For certain targets, this could have a higher benefit for verifying the EGT demonstration. However, there are other methods (i.e., radar observations) by which to verify a deflection of 2008 EV<sub>5</sub>.

**Contamination Environment Monitoring (20):** Characterize the contamination environment, specifically any part of the spacecraft that could come in contact with the boulder or any outgassing from the ARV itself. This could be performed by exposing coupons (small swatches of material) or witness plates at various key times throughout the mission. Perform volatile monitoring for exosphere, outgassing, and plume composition to characterize not only the asteroid/boulder outgassing, but also the outgassing from the ARV in order to isolate the asteroid signal. Coordination and interaction with the curation team is vitally important to assess the ARRM and ARCM materials that will be used during EVA to obtain, stow, and contain samples.

**Boulder Organics and Volatiles Characterization (39):** Characterize the composition of the boulder and potential presence of organics and volatiles prior to EVA to help identify potential sampling locations as well as to determine a baseline prior to crew interaction. If volatiles are found, continuing to monitor them through return and crew interaction for changes would also be valuable.

#### Medium Benefit to ARM and Medium Relevance to NASA Goals

**Surface & Subsurface Composition (26):** Obtain surface and subsurface elemental composition measurements of both the boulder and asteroid using remote sensing instruments such as an x-ray, gamma-ray, or neutron spectrometer.

#### Medium Benefit to ARM and Low Relevance to NASA Goals

None identified.

#### Low Benefit to ARM and High Relevance to NASA Goals

**Demo of Mining Techniques (5):** Demonstrate various mining techniques, including both optical and physical. Include demonstrations of particle segregation by density, size, composition, etc. These demonstrations could span the processing and extraction of both feedstock and products. In the current baseline, the Capture Module will demonstrate the removal of a boulder from the surface as a potential mining technique.

**Micro-g Mobility Demo (Robotic & Crewed) (6):** Demonstrate robotic and/or crewed micro-g mobility techniques, both on the surface and in near-proximity of a small body. The complexity of these demonstrations depends on the specific method(s) being demonstrated. In the current baseline, the CRS

will demonstrate landing and hopping, and the microspine technology is also applicable to mobility approaches (i.e., low-gravity crawlers)

**ISRU Radiation Protection (15):** Characterize the effectiveness of asteroidal materials for radiation reduction/ protection against both Galactic Cosmic Radiation (GCR) and Solar Particle Events (SPE) (e.g., deploying tissue-equivalent dosimeters at varying location and depths on the boulder).

**Planetary Protection (“Break the Chain of Contact”) (16):** Demonstrate methods and procedures for obtaining, collecting, and containing samples under Mars planetary protection protocols. These demonstrations would be focused on sample collection protocols in order to "break the chain of contact" with the target body (sample container exterior must not be contaminated with extraterrestrial material). This would not be a full demonstration of Mars planetary protection requirements. Examples would be testing of seals and monitoring contamination during transport, but would not include cleanliness requirements.

**Tether Demo with Boulder Counterweight (17):** Tether the boulder (or a piece of the boulder) to Orion and spin the system to demonstrate the use of asteroidal material as a counter weight for artificial gravity systems. Other elements could be tethered to the boulder for demonstration of tether propulsion using asteroidal material as a counterweight.

**High-Velocity Asteroid Impactor (29):** Conduct a high/hyper-velocity impact experiment, deployed from the ARV, in order to characterize the dust and regolith environment, impact physics, and subsurface composition. This would require imaging of the plume and/or crater over time. ARV would serve as the imager and be at safe standoff during impact. This would occur following boulder collection.

**Radiation Environment Characterization (33):** Use tissue-equivalent radiation sensors on the ARV to monitor GCR and SPE dosage throughout the entire mission.

**Collect Boulder Core Sample (34):** Collect a core sample of at least a 4 cm depth from the boulder. Deeper is better and the extreme of a segmented core all the way through the diameter of the boulder would be useful. It is desired that the core be sealed and held at external ambient temperature or colder. Deeper holes would also allow for the ability to use an instrumented bit and/or other down-hole measurements (e.g., thermal conductivity, temperature, etc.) that would allow the exploration and understanding of the internal structure.

**Large Sample Return (48):** Robotically return large (>100 kg) samples for large-scale ISRU laboratory demonstrations on Earth.

**Cold Trap Volatile Collection Demo (52):** Demonstrate in-space, cold trap water collection with asteroidal volatiles. Use of the generated water for propulsion or other potential uses would help advance the TRL of these systems.

**ISRU Product Characterization (62):** Return all ISRU products for characterization on Earth in a laboratory.

## Low Benefit to ARM and Medium Relevance to NASA Goals

**Small Body GPS (10):** Demonstrate a GPS-like-system for a small body, allowing position and orientation reference for surface and orbital assets.

**Remote Stand-off Interaction Demo (12):** Demonstrate the capability for remote stand-off active interaction with the surface of a low-gravity body (e.g., Laser-induced Breakdown Spectroscopy (LiBS), concentrated sunlight, arc lamps, lasers, etc.).

**Future Planned Instrument Demo (13):** Demonstrate a planned deep-space or planetary instrument in order to increase the TRL of these instruments for future space-flight missions. The benefit to ARM and complexity depends on the instrument being demonstrated.

**Space Weathering Measurements (19):** Perform space weathering environment measurements including solar wind, radiation, and micro-meteoroid impact monitoring.

**Plasma Environment Characterization (24):** Characterize the plasma environment, including potential and electric fields (Langmuir probe) near the surface of both the asteroid and boulder in order to understand the plasma and exosphere environment related to dust and small particle levitation. Complexity is increased due to the addition of activities to the surface operations for asteroid measurements.

**Magnetic Environment Characterization (25):** Characterize the magnetic environment of the asteroid and boulder surface to understand plasma/solar wind interaction and the remnant magnetization of the asteroid. Measurements of the Ion Propulsion System should also be taken in order to isolate the spacecraft signal from the asteroid.

**Deploy Science Package (28):** Deploy in-situ science packages. These could be active or passive, static or mobile. Instrumentation could include APXS, microscope, Fourier Transform Infrared Spectroscopy (FTIR), etc.

**Occultation Exosphere Observations (30):** Use solar or stellar occultations to examine exosphere and dust environment.

**Dust Mobility Characterization (32):** Utilize a dust detector on the CRS contact pads in order to understand dust mobility due to ARV initial interaction as well as active sensor/detector on the ARV to measure dust properties and concentrations around the asteroid. This could potentially be performed at a low level with the engineering cameras.

**Characterize Boulder Porosity (35):** Characterize the micro- and macro-porosity of the boulder. The micro-porosity characterization would require high-resolution imaging at the boulder and likely be a first order characterization, while better characterization would be through examination of returned samples. Macro-porosity would be determined through mass properties determination and possibly acoustic sounding. The benefit to ARM is low as the macro-porosity is unlikely to be determined until after collection.

**Rubble Aggregation Experiment (42):** Perform a full-scale rubble pile accretion and aggregation experiment and observation using asteroidal material in LDRO.

**Observe Kinetic Impact on Asteroid (43):** Use the ARV as an observer of a kinetic impact experiment following the boulder collection and primary planetary defense demonstration (EGT). Additional observation platforms or instruments could be deployed during close proximity operations and/or boulder collection that could provide additional information during and after impact.

**Deploy Explosive Penetrator on Asteroid (44):** Deploy a high-explosive charge and/or an explosive penetrator that could be observed with the ARV or other deployed observing platform. The desired objective would be to observe both the ejecta and crater over a period of time.

**Additional Planetary Defense Demo(s) (46):** Demonstrate additional planetary defense techniques such as laser or solar ablation, alteration of the albedo, volatile plume generation for thrust, ion beam deflection, etc. These could be small-scale experiments that would demonstrate the feasibility of the technique without altering the asteroid's trajectory such that it would interfere with the verification of the EGT deflection.

**Plume Generation and Observation (47):** Demonstrate volatile plume generation through the use of concentrated energy (e.g., laser, solar, arc lamp, etc.) interacting with the asteroid or boulder surface.

**Ablation and/or Spalling Test (49):** Conduct an ablation or thermal spalling test through the use of concentrated energy (e.g., laser, solar, arc lamp, etc.) and characterize any generated volatiles.

**In-Space Printing with Asteroidal Materials (50):** Manipulate asteroid and/or boulder material to generate small-scale structures. Demonstrate in-space printing using asteroid material. It would be desired for these materials to be brought back to Earth for analysis.

**Asteroidal Material Manipulation Demo (51):** Conduct size distribution, particle separation, and material manipulation experiments using boulder or asteroidal material.

**Instrumented Drill on Asteroid and/or Boulder (53):** Use an instrumented drill to measure volatiles and how the volatiles vary with depth. This could be conducted either at the asteroid or on the boulder.

**Boulder Composition Characterization (54):** Through a range of sensing techniques (e.g., gamma ray spectrometer, neutron detector, etc.), characterize the elemental makeup and specifically the hydrogen content in the boulder and asteroid. The benefit would be increased if this could be performed prior to collection.

**Deliver Samples to ISS (55):** Deliver boulder samples (either from Earth or directly from LDRO) to the International Space Station (ISS) for continued low-gravity experimentation.

**Crack the Boulder to Expose New Surfaces (56):** Access the interior of the boulder through cracking or other methods that would expose new surfaces as a means of accessing the potentially more volatile rich interior. Complexity is driven by the desire to maintain restraint on the boulder and eliminate debris creation.

**Encapsulate the Boulder for Volatile Collection (57):** Encapsulate asteroidal material to help with volatile extraction and collection (e.g., using cryotrap to capture outgassed volatiles).

**Characterize Boulder Permeability (58):** Introduce helium, xenon, or another noble gas into the interior the boulder and observe the diffusion through the boulder to measure permeability.

**Soil Simulation with Asteroidal Material (59):** Experiment with asteroidal material created soil simulants and evaluate their effectiveness for botanical purposes. This would be performed either in an Earth laboratory or on ISS.

**Microwave Volatile Extraction Test (60):** Conduct microwave volatile extraction demonstrations.

**Use of Robotic Arms for Strength Tests (61):** Use the robotic arms with various end-effectors as a method to measure the shear and tensile strength of the boulder. In the baseline, the microspines and anchor drill would interact with the boulder and provide some data.

**Full ISRU Demo (63):** Conduct an end-to-end ISRU demonstration that would include rendezvous, material processing, volatile capture, and storage of products.

### Low Benefit to ARM and Low Relevance to NASA Goals

None Identified.

### *Proposed Investigations Categorization Table*

Table 12 shows the full FAST characterization of all the identified potential investigations described above. Each investigation was characterized by the FAST and is listed and numbered in the order in which it was proposed. There is no priority or significance implied by the order. The investigation characterization areas and a key to reading the table are below.

#### **Investigation Area:**

- X = Primary
- = Secondary

#### **Investigation Location:**

Outbound: From launch to the start of the asteroid proximity operations.

At Asteroid: Includes on the surface as well as during all proximity operations.

Inbound: Transit between asteroid vicinity and insertion into LDRO.

LDRO: All uncrewed activities in the LDRO, either before or after the ARCM.

ARCM: Crewed activities, or activities while Orion is in the vicinity of or docked to the ARV.

Earth: Investigations that will be conducted with samples returned to Earth.



**Benefit to ARM:**

Low: Likely provides little to no benefit to ARM.

Med: Likely provides some enhancement to ARM but will not impact objectives or reduces mission risk.

High: Likely provides a major enhancement to ARM that directly impacts objectives or reduces mission risk.

**Relevance to NASA Goals:**

Low: Does not likely align directly with any identified future NASA science or exploration Goals.

Med: Likely aligns with one science or exploration goal.

High: Likely aligns with multiple science and exploration goals.

**Utilizes ARM:**

Yes: The investigation makes use of the unique opportunities ARM provides (e.g., high-power SEP, asteroid interaction, boulder collection, etc.).

No: The investigation could be performed on another flight mission.

**Included in the Baseline:**

No: This investigation is not addressed with the baseline design and/or operations.

Low: This investigation is addressed with the baseline design and/or operations at a low level.

Med: This investigation is addressed with the baseline design and/or operations at a significant level.

High: This investigation is fully addressed with the baseline design and/or operations.

Table 12: Proposed investigation characterization.

#	Investigation	Investigation Area				Investigation Location						Benefit to		Utilizes ARM	Incl. in Baseline		
		Science	PD	ISRU	C & T	Outbound	At Asteroid	Inbound	LDRO	ARCM	Earth	ARM	NASA Goals				
1	Optical Communications Demo				X	X	X	X	X					Med	High	No	No
2	Small Body Seismic Network on Asteroid	X	X	X	X		X							Med	High	Yes	No
3	Ultrasonic Investigation of Boulder	X	X	X	X				X	X				Med	High	Yes	No
4	Low-Velocity Penetrator	X		•	X		X							High	Med	Yes	No
5	Demo of Mining Techniques			X			X		X	X				Low	High	Yes	Low
6	Micro-g Mobility Demo (Robotic & Crewed)				X		X		X	X				Low	High	Yes	Low
7	Asteroid Surface Interaction	X		•	X		X							High	High	Yes	Low
8	Dust/Particulate Mitigation Techniques	•			X		X	X	X	X				High	High	Yes	Low
9	Anchoring Techniques	•	•	•	X		X		X	X				Med	High	Yes	Med
10	Small Body GPS	•		•	X		X							Low	Med	Yes	No
11	Long-term Orbit Determination	X	X		X		X							Med	High	Yes	No
12	Remote Stand-off Interaction Demo	•	•	•	X		X	X	X	X				Low	Med	Yes	No
13	Future Planned Instrument Demo	•			X	X	X	X	X	X				Low	Med	?	No
14	Sample Thermal Control	•		•	X		X	X	X	X	X			High	High	Yes	?
15	ISRU Radiation Protection	X		•	X		X	X	X	X				Low	High	Yes	No
16	Planetary Protection ("Break the Chain of Contact")	•			X		X		X	X	X			Low	High	Yes	No
17	Tether Demo with Boulder Counterweight				X				X					Low	High	Yes	No
18	Mineralogy and Composition	X	•	X			X		X	X	X			High	Med	Yes	No
19	Space Weathering Measurements	X	•	•			X	X	X					Low	Med	No	No
20	Contamination Environment Monitoring	X			•	X		X	X					Med	High	Yes	No
21	Multi-Spectral Imaging of Asteroid	X		•										High	Med	Yes	No

Table 12: Proposed investigation characterization (cont.).

#	Investigation	Investigation Area					Investigation Location					Benefit to		Relevance to		Utilizes ARM	Incl. in Baseline
		Science	PD	ISRU	C & T	Outbound	At Asteroid	Inbound	LDRO	ARCM	Earth	ARM	NASA Goals				
22	Global Mapping of Asteroid	X	•	•			X							High	Med	Yes	Med
23	Thermal Imaging of Asteroid Surface	X	•				X							High	High	Yes	No
24	Plasma Environment Characterization	X					X		X					Low	Med	Yes	No
25	Magnetic Environment Characterization	X		•			X		X					Low	Med	Yes	No
26	Surface & Subsurface Composition	X		•			X	X	X	X				Med	Med	Yes	No
27	High-Power Radar	X	•	•			X		X					High	Med	Yes	No
28	Deploy Science Package	X		•			X			X				Low	Med	Yes	No
29	High-Velocity Asteroid Impactor	X	X	X			X							Low	High	Yes	No
30	Occultation Exosphere Observations	X					X							Low	Med	Yes	No
31	Dust Mobility Characterization	X					X		X					Low	Med	Yes	Low
32	Collect Regolith Samples	X					X							High	High	Yes	High
33	Radiation Environment Characterization	X			X	X	X	X						Low	High	Yes	No
34	Collect Boulder Core Sample	X		•					X	X				Low	High	Yes	No
35	Characterize Boulder Porosity	X	•	•			X		X			X		Low	Med	Yes	No
36	Surface Contact Science Package	X		•	•		X		X	X				High	High	Yes	No
37	Comprehensive Boulder Imaging	X		•			X	X	X					High	Med	Yes	Med
38	Collect Samples from Boulder	X	•	X					X	X				High	High	Yes	Med
39	Boulder Organics and Volatiles Characterization	X		X					X					Med	High	Yes	No
40	Characterize Boulder Geotechnical Properties	X		X	•	•			X	X				High	High	Yes	Low
41	LDRO Free-flying Observer	X			•				X	X				High	Med	Yes	No
42	Rubble Aggregation Experiment	X	•						X					Low	Med	Yes	No

Table 12: Proposed investigation characterization (cont.).

#	Investigation	Investigation Area				Investigation Location				Benefit to			Utilizes ARM	Incl. in Baseline		
		Science	PD	ISRU	C & T	Outbound	At Asteroid	Inbound	IDRO	ARCM	Earth	ARM			NASA Goals	
43	Observe Kinetic Impact on Asteroid	●	X				X						Low	Med	Yes	No
44	Deploy Explosive Penetrator on Asteroid	X	X	X			X						Low	Med	Yes	No
45	Asteroid Free-flyer for Observation	●	X				X						High	Med	Yes	No
46	Additional Planetary Defense Demo(s)		X				X						Low	Med	Yes	No
47	Plume Generation and Observation	X	X	X					X	X			Low	Med	Yes	No
48	Large Sample Return	●	●	X	●				X	X			Low	High	Yes	No
49	Ablation and/or Spalling Test	●		X	●				X	X			Low	Med	Yes	No
50	In-Space Printing with Asteroidal Material			X	●				X	X			Low	Med	Yes	No
51	Asteroidal Material Manipulation Demo			X	●				X	X			Low	Med	Yes	No
52	Cold Trap Volatile Collection Demo	●		X					X	X			Low	High	Yes	No
53	Instrumented Drill on Asteroid and/or Boulder	●	●	X	●				X	X			Low	Med	Yes	No
54	Boulder Composition Characterization	X		X					X	X			Low	Med	Yes	No
55	Deliver Samples to ISS	X	●	X					X	X			Low	Med	Yes	No
56	Crack the Boulder to Expose New Surfaces	●	●	X					X	X			Low	Med	Yes	No
57	Encapsulate the Boulder for Volatile Collection			X					X	X			Low	Med	Yes	No
58	Characterize Boulder Permeability	●		X					X	X			Low	Med	Yes	No
59	Soil Simulation with Asteroidal Material	●		X	X				X				Low	Med	Yes	No
60	Microwave Volatile Extraction Test	●		X	●				X	X			Low	Med	Yes	No
61	Use of Robotic Arms for Strength Tests	●		X	●				X	X			Low	Med	Yes	Low
62	ISRU Product Characterization	●		X							X		Low	High	Yes	No
63	Full ISRU Demo	●		X	●				X				Low	Med	Yes	No

## Summary of Public Inputs

The FAST would like to thank everyone that provided feedback. Where applicable, we have incorporated selected, specific comments into the content of this final report. Below is a summary of all public inputs received by the FAST prior to the close of the public comment period on December 4, 2015 that are relevant to the FAST Charter and in the scope of the mission formulation. The inputs are listed in the order that they were received. The FAST leadership and team members have endeavored to summarize the inputs received, but the reader is encouraged to refer to the complete inputs that are posted in their entirety on the FAST website: <http://www.nasa.gov/feature/arm-fast>. This website posting also includes other inputs that were applicable to the ARM in general, but were not directly relevant to the FAST activity and report. The FAST Charter can also be found on the FAST website.

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### ***Input from Marshall Eubanks (Asteroid Initiatives, Inc.)***

**YORP Torque and Rotation State:** A science goal for the ARRM should be to describe the YORP torque and rotation state of the target as accurately as possible during the initial “stand-off” phase of the mission (before the spacecraft itself can perturb the satellite’s albedo rotation). This should include:

- Characterizing the regions important to YORP and Yarkovsky radiation pressure forces.
- Determining the axial rotation and compare to previous ground-based or other observations of the same target asteroid.
- Observing and characterizing any polar motion (Eulerian wobble period) of the target asteroid.

These observations should be made both before and after boulder collection to determine if the interaction has any impact on rotation (unlikely to be large enough to detect) or albedo (more likely and could impact YORP and Yarkovsky).

**Cause of Surface Restructuring:** The physics of asteroid surface restructuring is unclear, and ARM may be able to provide important constraints on this process. Accurately characterizing the shape will provide information about any past mass motions and imaging the collection site both before and after the boulder collection will help identify any mass flow caused by the collection operations.

**Granular Physics and Cohesion:** The ARRM mission should offer numerous opportunities to investigate the source of cohesion, both during the boulder capture process and possibly during sampling or other surface operations. Among the most important regions for an in-situ surface properties experiment would be any “seas” or “ponds” of smooth fine material. Observations of surface restructuring during the boulder collection process itself should provide information on the cohesion between the boulder and the surrounding regolith. It is also important to observe the behavior of material shaken loose or dropped during the boulder acquisition process, and other surface motions caused by surface operations. The ARRM should also map the surface slopes and local acceleration (gravitational plus rotational) for the complete surface of the target asteroid. In addition, landing pico-spacecraft with accelerometers could provide ground truth for this effort.

**Contextual Sampling of the Target Asteroid:** It is important to collect samples from the “smooth” surfaces, such as those present on Itokawa and Eros, should such surfaces be present on the ARRM target. This material is extremely unlikely to be present on a meteorite sample and would thus likely be a

previously unobserved material type. It would also be beneficial to collect a core sample from these “smooth” areas in order to determine the circulation and size-sorting of the fine granular material, and also constrain the motion of this material over time and past resurfacing events.

**Electrostatic Levitation:** Levitated dust is thought to be important in removing very fine material from strong asteroids; the ARRM mission could test this hypothesis and provide valuable observations for improved modeling of this phenomenon. At the beginning of the mission, the spacecraft could attempt to observe levitated dust through forward or reversed scattering of light. A levitated dust sample return would provide the first samples of such material from any solar system object.

**Comparison with Ground Based Observations:** As with any asteroid mission, an important scientific goal will be the comparison of in-situ results with previous ground-based observations.

**Planetary Defense Data:** The description of the proportions and distribution of fine and coarse material, and of the nature of the cohesion between the various components making up the asteroid, will be very important if it is ever necessary to resort to kinetic impacts or nuclear explosions to deflect a hazardous asteroid.

**Geodetic Control during EGT:** During the ARRM “gravity tractor” planetary defense test, it will be important to have very tight geodetic control over the target asteroid and the ARV itself. The ARV will not be a drag-free platform, and it will thus be necessary to combine radiometric observations of the ARV from Earth, and lidar observations of the target asteroid from the ARV to determine the asteroid’s velocity change from the gravity tractor. The use of phase-connected Very Long Baseline Interferometry (VLBI) of the ARV during the gravity tractor phase of the mission could improve the transverse accuracy of the spacecraft orbit determination.

**Laser Retroreflectors:** Laser retroreflectors for use over distances of a few kilometers can be very small (~1 mm) and lightweight and can provide fiducial points, which have proven to be very important in terrestrial geodesy. If boulder capture or other surface operations result in significant surface motions, it should be possible to track the actual flows, and not just surface shape changes, through lidar to the fiducial points.

**Presence of Water:** Attention should be paid to the availability of water in and around the target asteroid. The ARRM should attempt to characterize the amount of water being released from the target asteroid. The ARRM should attempt to immediately collect a sample from directly underneath the collected boulder, where regolith may have been hidden from the Sun for a considerable time, and thus might serve as a trap for water and other volatiles outgassed from the interior of the body. The acquisition of a core sample would also be of great interest to asteroid water mining, and for mining in general.

**Deep Space Atomic Clock (DSAC):** The DSAC would provide adequate frequency stability to allow for one-way Doppler and range tracking which (with differential VLBI) would substantially reduce the need for Deep Space Network (DSN) tracking time during the gravity tractor phase of the mission.

**Small Spacecraft:** The deployment of small nano- or pico-spacecraft as engineering demonstrations which can also provide useful scientific information. They could be used on the ARRM target to monitor surface changes during the boulder extraction process, and demonstrate the utility of this new technology.

**Bi-Static Radar Reflections:** Bi-static radar reflections using the very strong decametric emissions from electrons flowing in the Io-flux tube could be used to examine the interiors of asteroids with a single receive antenna.

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***Input from Edward L. Patrick (Southwest Research Institute)***

The last pressure gauge applied to a regolith-laden surface was the Cold Cathode Gauge (CCG) placed in 1971 during Apollo 14. The last instrument placed at a regolith surface to conduct mass spectrometry was the Lunar Atmospheric Composition Experiment (LACE) placed during Apollo 17.

If there is any belief whatsoever that the asteroid 2008 EV<sub>5</sub> is hydrated, then it is a science imperative to monitor the local exosphere about that asteroid and volatiles that will most certainly evolve from it upon encounter with the spacecraft and its necessary tools.

The best analytical tool for probing such a body would be a time-of-flight mass spectrometer (TOF-MS). If costs and TRL are a concern, then a quadrupole mass spectrometer (QMS) could be included in the payload at relatively low cost. NASA should include adequate pressure monitoring and analytical chemistry diagnostics for the encounter, probing, and removal of the first boulder from another solar system body.

The loss of science from failing to monitor such gas and volatile evolution from an asteroid will keep the models and scientists as blind and ignorant as we have been with over 40 years of undefended assumptions made about the exosphere of the Moon. There is at least some question in this scientist's mind as to what mechanisms are at work within regolith surfaces that enable the capture and retention of volatiles (and these would include Hg, K and Na). The understanding of these conditions for surface-bounded exospheres (SBEs) has many implications.

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***Input from Edward Strobach (University of Maryland, Baltimore County)***

Below are comments and questions related to the draft report from ARM FAST.

**Question 1:** Has there been an interest in using a gravimeter to probe subsurface structure and density variations? This might be useful for determining a potential candidate for a landing site.

**Question 2:** Through reading one of the sources, I found that the lidar footprint (didn't specify at what distance from the surface) was 7 m X 12 m area. This seems problematic when determining the vertical height (c) for boulders smaller than the lidar footprint. What lidar pulse length would be considered appropriate for probing height variations, and to what accuracy? Is there a certain lidar, with little beam divergence and high vertical resolution, that is both feasible and available for determine vertical variations?

**Question 3:** Are there alternatives for measuring the vertical dimension (c) of boulders besides through laboratory experiments and lidar? Could a high-resolution camera be used to determine 'c'? In

other words, could the solar angle and the position of the surface relative to the Sun, along with the length of the shadows caused by boulders along the surface, be used to determine an approximate height?

**Question 4:** It wasn't clear, but is one of the intents to observe differences in upwelling radiation rates as 2008 EV<sub>5</sub> rotates to determine variations in thermal inertia?

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***Input from Michael Busch (SETI Institute)***

Multiple specific comments and typographical corrections are provided in the complete response, and selected, specific inputs have been incorporated into the final report where applicable. Below is an additional selected comment that was not incorporated into the final report:

I caution against uncritical use of the effective diameter value of  $370 \pm 6$  m from Alí-Lagoa et al. [2013]. The thermophysical modeling described in that paper failed to include significant sources of uncertainty, specifically the uncertainties the 2008 EV<sub>5</sub> shape model as described in Busch et al. [2011], and the possibility of variations in thermal properties across 2008 EV<sub>5</sub>'s surface. So the uncertainty Alí-Lagoa et al. assigned to their effective diameter estimate for 2008 EV<sub>5</sub> is almost certainly far smaller than it should be.

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***Input from Antonella Barucci (LESIA-Paris Observatory)***

Just a comment on the spectra analogy. The available data for 2008 EV<sub>5</sub> are very noisy and not of high quality, so it is very difficult to give a good analogy with meteorites, even if the more similar could be CI or CR meteorites. Phase function effect needs also to be taken in consideration (albedo & spectra). The mission is absolutely appealing and for sure, from what we know, 2008 EV<sub>5</sub> is different in composition and complementary of Bennu and Ryugu.

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***Input from Patrick Michel (Observatoire de la Côte d'Azur)***

Multiple specific comments and typographical corrections are provided in the complete response, and selected, specific inputs have been incorporated into the final report where applicable. Below is an additional selected comment that was not incorporated into the final report:

I strongly push for any mission that aims at interacting directly with a small asteroid, either for sampling, performing an impact (in both the high- and low-speed regimes), deploying a seismic experiment or other packages devoted to the understanding of the mechanics in a low-gravity environment. Without such direct interactions, our understanding on how small body surfaces behave, respond to external actions, and evolve will remain based on many assumptions. ARM and its other potential investigations greatly serve this purpose. Plus, the ARRM reference target, 2008 EV<sub>5</sub>, is very intriguing.

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### ***Input from Laszlo Kestay (United States Geological Survey Astrogeology Science Center)***

The report discusses the pros and cons of sending the ARRM to an asteroid that had been previously surveyed by another spacecraft (e.g., Bennu after it is visited by OSIRIS-REx). However, another alternative, splitting the ARRM into two missions, is only briefly mentioned. We suggest it is important to more fully discuss the concept of sending one or more smaller surveyors to identify the best target for a later boulder-extraction mission. This architecture would essentially zero the risk of not finding an appropriate boulder when the ARRM spacecraft arrives. Additionally, key uncertainties about material and geotechnical properties can be greatly reduced with even relatively simple interactions with the asteroid surface. The report does an excellent job of quantifying the uncertainties facing the ARRM if it is the first mission to the target asteroid, but it does not investigate how much these uncertainties would be reduced with a survey conducted with a relatively small (Clementine or NEAR scale) precursor mission. We strongly encourage a more thorough cost-benefit analysis of splitting the ARRM, taking into consideration the possibility of schedule slips for the ARCM.

Quantitative requirements for the quality of the topographic information are not clearly established. The choice of techniques, types of instruments, and specific instrument requirements depend on the level of precision required by the mission. Even if the most sophisticated “fused” topographic products are not required, considerable pre-flight calibration, data collection, and analysis are required to generate quality products with quantified uncertainties. It is essential to collect images under varying viewing and illumination conditions, which can take many weeks as the spacecraft is positioned in multiple positions relative to the asteroid. After data acquisition, with current tools, it takes many months to complete the topographic analysis, which does not fit within the notional ARRM concept of operations at the asteroid. The processing could be accelerated with new photogrammetric techniques and tools. However, this is a significant new R&D effort that would take some years to complete. Alternatively, the ARRM mission would need to spend more time at the asteroid (with a timeline more similar to the OSIRIS-REx mission) or a precursor “surveyor” mission could be used to characterize the topography. We strongly encourage the report to consider these matters in more detail.

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### ***Input from Raffi Sahul (TRS Technologies)***

The report presents several approaches to remote sensing measurements prior to boulder selection, and in-situ measurement prior to collection would identify the mineralogy of the boulder for physical properties characterization.

We do not find any mention of ultrasonic applications for physical properties characterization. So, we would like to suggest that ultrasonic methods be added to the list. Ultrasound has been well studied, and ultrasonic methods have been used for rock characterization for a long time. Ultrasonic measurements have been proven to have excellent correlation with lab and in-situ testing by other methods.

The latest advances in ultrasonic transducer designs based on new materials, such as single crystals, can be a foundation for development of an ultrasonic instrument that can be sent to the boulder for in-situ measurements for physical properties characterization and analysis.

### ***Input from Mark Sykes (Planetary Science Institute)***

Inputs into the mechanical design and mission requirements for ARM are necessarily highly speculative. Input from OSIRIS-REx and Hayabusa2 cannot be used. In-situ observations by ARM are of no value to design and requirements, but necessary, of course, for deciding the best thing to grab, assuming there is something that can be grabbed.

A reference model of the target asteroid needs to be defined at a sufficient level of detail to be usable to define design requirements for ARM, with clear parameter uncertainties. Then it would be possible to decide what range of uncertainties of what parameters (that may well be correlated) can be accommodated at what cost. It would also be possible (and needed) to then do a full-up risk assessment. There is a lot of good information in the report about various asteroid size, shape, mechanical, etc. property ranges. But no recommendation of a reference model is made, and there is little discussion of the potential impact on mechanical design of the parameter ranges.

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### ***Input from Richard P. Binzel (Massachusetts Institute of Technology)***

Multiple specific comments are provided in the complete response, and selected, specific comments have been incorporated into the final report where applicable. Below are additional selected comments that were not incorporated into the final report:

The report specifically notes that the target selection is not fixed to be 2008 EV<sub>5</sub>, nor is it fixed to be a C-type asteroid. Therefore any and all statements or assessments regarding a “science” or knowledge gain should stipulate whether that purported gain is target dependent. In other words, this report should be specific for how any gain might be diminished (or increased) if sampling (for example) ordinary chondrite asteroid material.

Five “unique” knowledge gains are purported for ARM, yet 4 out of 5 are not unique to ARM and can be accomplished with existing meteorite samples on Earth or through existing missions.

- a. Subsurface sampling (core sampling) unaltered by the space environment is not unique to ARM as this is possible today on Earth for an abundance of meteorite samples having dimensions ranging from tens of centimeters to meter scale.
- b. The requirement for multiple kilograms of samples is not uniquely satisfied by ARM, where instead for example, the Smithsonian Institution houses approximately 5 tons of meteorite material. Experiments that might result in the destruction of large masses of samples are far more likely to be approved for the abundance of meteorite material compared to the very expensive (cost per kilogram) ARM samples returned to an Earth laboratory.
- c. ARM in cis-lunar space is not uniquely required for an “orbital laboratory” to demonstrate asteroidal ISRU methods. These methods can be evaluated in Earth-orbit where 10s to 100s of kilograms of meteorite (or simulant) material can be delivered to LEO for lower cost and even lower astronaut risk as compared to ARM.

- d. ARM is not unique in correlating asteroid spectral properties to surface samples as this has been accomplished previously by the Japanese Hayabusa mission and will be accomplished by Hayabusa2 and NASA's own OSIRIS-REx mission.

Throughout this document (most specifically Tables 9 and 10), assessments are made about “science” gains with no traceability to specific NASA Science Objectives or to Planetary Science Priorities described by the Decadal Survey.

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### ***Input from Brent Archinal (United States Geological Survey Astrogeology Science Center)***

Multiple general and specific comments are provided in the complete response, and selected, specific comments have been incorporated into the final report where applicable. Below are additional selected comments that were not incorporated into the final report:

At several points in the report, there is mention of a need for “three-dimensional images.” Such an acknowledgement immediately leads to the need and recommendation to carry out studies as to: 1) how such data would be collected (e.g., from different directions to obtain stereo), at what resolution, with what accuracy, and given various possible lighting conditions; 2) how such data would be successfully processed into relevant shape models and mapping products; 3) whether such methods can provide sufficient uncertainty information; 4) whether models at the desired level of accuracy and resolution would be likely achieved; and 5) under what timeline the results are needed and whether additional development is needed in order to meet that timeline.

It is very important to acknowledge that to do stereo processing, scale information is required. For most planetary missions this is obtained from orbit determination information relative to the body in question. In a station-keeping situation at a small asteroid, some type of ranging instrument is required in order to do mapping and shape model determination (if not spacecraft navigation). Height measurements can also be made by stereo imaging, and perhaps be done more reliably and completely than with simple lidar measurements. Stereo imaging can provide good simultaneous area coverage, while sophisticated scanning or flash lidar might be required to get similar data. In the end, it's obvious that both stereo imaging and lidar have their own strengths and weaknesses. Ideally, both types of data should be collected and processed together in order to obtain the best possible results regarding boulder and asteroid size and shape – and for the matter, not incidentally, of navigating the spacecraft near the asteroid in question.

Although asteroids and other small bodies have been mapped in the past, the methods and tools to do such mapping are not well developed, tested, or robust. This is described at length in a NASA Ames Research Center white paper [Nefian, et al., 2013] and also addressed in Archinal et al. [2013]. Briefly, there are numerous problems in such processing, including for example: 1) significant manual effort required for processing; 2) substantial periods of time required for processing (i.e., no near real-time or real-time processing); 3) lack of uncertainty information for the mapping products produced; 4) no tools for rigorous joint processing of stereo and lidar data; 5) no tools for “true 3D” modeling of planetary surfaces (including boulders on such surfaces); 6) misunderstandings of coordinate system standards; 7) lack of any standards for planetary instrument calibration and instrument boresight measurement; and 8) lack of visualization tools for the appropriate map projection and display of such products and their uncertainties. See the references for further examples. Tool development to address these issues will be required in order to successfully carry out the ARRM. This will be particularly true if mapping products are

to be generated near real-time for mission operations use. Another practical issue with regard to small body mapping tools is that some of the tools that do exist are only in use with international partners and not at any U.S. institutions, and cannot or at the very least cannot be easily transferred/understood for use by others. It would be useful for the final report to acknowledge at least that problems exist in regard to having adequate algorithms, tools, and methods for small body mapping, and these will have to be addressed as part of the ARRM planning.

In various places, there are discussions of surface slopes or the need to know them. What is often missing is that slopes must be specified over a given baseline. A given shape model (or digital terrain model) can provide slope information at any baseline length from twice its resolution to its largest size. Specification is needed as to what baseline lengths slope will need to be known, and care taken that any shape model used to determine slopes has sufficient resolution.

It is implied that an upper bound on mass can be derived for any boulder, but the report does not indicate that a volume estimate is also required to make the mass estimate.

### **References:**

- Archinal, Brent, Randolph Kirk, Ken Edmundson, Mark Rosiek, Lisa Gaddis, Ara Nefian, Terry Fong, Ross Beyer, and Julie Bellerose (2013). "The Need for NEO Close Mapping and Characterization," in 2013 IAA Planetary Defense Conference, 15-19 April, Flagstaff, AZ.
- Nefian, Ara V., Julie Bellerose, Ross A. Beyer, Brent Archinal, Laurence Edwards, Pascal Lee, Anthony Colaprete, and Terry Fong (2013). "Human and Robotic Mission to Small Bodies: Mapping, Planning and Exploration - A Study for the Advanced Exploration Systems (AES) Joint Robotic Precursor Activities (JRPA) Project." NASA/TM-2013-216538.

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### ***Input from Ed Scott (University of Hawaii)***

The draft report attempts to constrain the strength of boulders on 2008 EV<sub>5</sub> using primarily bolide data and physical measurements on meteorites. Missing from the report is any discussion of the cosmic-ray exposure ages and breccia properties of meteorites, which both suggest that boulders on 2008 EV<sub>5</sub> are probably very weak.

Cosmic-ray exposure ages of stony meteorites are typically 1-100 Myr and date the time when sub-meter-sized meteoroids were exposed to space. CI and CM chondrites have uniquely short cosmic-ray exposure ages of  $\sim 10^5$  to a few times  $10^6$  years: mean values based on <sup>21</sup>Ne abundances are  $1.8 \pm 2.1$  and  $2.8 \pm 3.1$  Myr for CI and CM chondrites, respectively (Herzog and Caffee, 2014, TOG 2<sup>nd</sup> edition). The reasons for these short exposure ages are not fully understood but it is very probable that the lack of longer exposure ages for CI and CM chondrites is due to their very low strength. CR chondrites have longer exposure ages of 1-25 Myr, with an average of  $\sim 8$  Myr.

CI, CM, and CR chondrites share a second unique characteristic: they are all breccias that contain solar wind gases [Bischoff et al., 2006, MESS II]. [For comparison, the proportions for H, L and LL chondrites are 15, 3, and 6%, respectively.] The very low abundance of solar wind and irradiated grains compared with lunar regolith breccia meteorites probably reflects dilution with unirradiated grains [Roth et al., 2011, MAPS]. CM, CR, and CI chondrites are therefore mixtures of materials with diverse alteration histories,

not rocks that were compacted by metamorphism, alteration, or hydrostatic pressure. They were compacted by repeated impacts that locally decreased the porosity and caused low-level shock and deformation of chondrules [Lindgren et al., 2015, GCA]. CM chondrites are nearly all shock stage S1 as more strongly shocked materials did not survive as coherent rocks. Similar processes probably affected the CI parent bodies as CI chondrites are all complex breccias containing solar wind gases [Morlok et al., 2006, GCA].

### **Conclusions:**

CI and CM chondrites, which are probably derived from boulders on their parent asteroids, have breccia properties and cosmic-ray exposure ages that the strong boulders that are required for the ARRM are likely rare or non-existent on CI and CM asteroids. The parent asteroids of CR chondrites probably have somewhat stronger boulders than the CI and CM asteroids as shock levels in CR chondrites are mostly S2 and they have longer exposure ages.

### **References:**

- Bischoff A., Scott E. R. D., Metzler K., and Goodrich C. A. (2006) "Nature and origins of meteoritic breccias." Meteorites and the Early Solar System II. Univ. of Arizona, Tucson.
- Herzog G. F., Caffee M. W. (2014), "1.13 Cosmic-ray exposure ages of meteorites" Treatise on Geochemistry 2<sup>nd</sup> ed, vol 1. Oxford, UK Pages 419-453.
- Lindgren P., Hanna, R. D., Dobson K. J., Tomkinson T., and Lee M. R. (2015) "The paradox between low shock-stage and evidence for compaction in CM carbonaceous chondrites explained by multiple low-intensity impacts." Geochimica et Cosmochimica Acta. Volume 148, Pages 159-178.
- Morlok A., Bischoff A., Stephan T., Floss C., Zinner E., Jessberger E.K. (2006) "Brecciation and chemical heterogeneities of CI chondrites" Geochimica Cosmochimica Acta Volume 70, Pages 5371-5394.
- Roth A. S. G., Baur H., Heber V. S., Reusser E., and Wieler R. (2011) "Cosmogenic helium and neon in individual chondrules from Allende and Murchison: Implications for the precompaction exposure history of chondrules." Meteoritics & Planetary Science Vol. 46 Pages 989-1006.

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## Additional Findings

Beyond the specific questions from the ARRM Project, the FAST, in combination with public input, developed a list of observations and assessments that would provide value to the ARM. Below is a list of these findings. No prioritization is implied by the ordering of these findings.

- **Unique Knowledge Gain from ARM:** ARM provides a unique opportunity to gain a wide range of valuable knowledge beyond other asteroid missions or what is available in the current meteorite collection. For example:
  - Investigating pristine sub-surface material, preserved with stratigraphic context (boulder core sample), that has not been significantly altered by the space weathering and ionizing radiation environment (e.g., how organic content, hydration, volatile content, etc. varies with depth).

- Returning a multi-ton boulder, along with regolith samples for context that would provide valuable information about the surface of asteroids and allow for measurements and investigations that require large mass/samples.
  - Returning multiple kilograms of samples to Earth to allow sensitive laboratory measurements and experiments (i.e., destructive to the sample) that aren't possible with the limited primitive meteorite collection.
  - Creating an "orbital laboratory" that can be used to demonstrate asteroidal ISRU and other technologies and instruments in an operational environment.
  - Creating the opportunity to correlate observed reflectance spectrum to the sampled asteroid surface ("ground truth"), asteroid interior (through boulder investigations), and known meteorite classes.
- **NASA Goal Traceability:** Although the FAST did not specifically address traceability to the current planetary decadal survey and other NASA exploration roadmaps, many NASA goals could be addressed using the results and opportunities provided by this mission.
  - **Pre-launch 2008 EV<sub>5</sub> Characterization:** All existing data should be analyzed to provide physical characterization of 2008 EV<sub>5</sub> to understand mission risks. This includes the ESA MarcoPolo-R team investigations (e.g., observations and modeling) and telescopic data sets. Opportunities for acquiring new data sets should also be investigated (e.g., Spitzer).
  - **Meteorite and Simulant Analog Work:** More wide-ranging laboratory studies of appropriate candidate meteorites and simulant development are warranted (e.g., spectra, strength, density, etc.). Investigating the effects of grain size, packing density, and powders-on-slabs would provide stronger insights into the possible physical and chemical composition of 2008 EV<sub>5</sub>.
  - **Characterization Precursor:** A precursor to the ARRM target body in order to scout for boulders and provide surface and boulder physical characteristics would effectively increase the characterization phase duration and should be investigated further. This precursor could be a dedicated mission or be co-manifested with the ARV, arriving at the target earlier. Additional benefits would be gained if the precursor had some means of interacting with the surface to provide geotechnical data.
  - **Characterization Phase:** Characterization of the target asteroid, candidate boulders, and associated collection areas are critically important. Increasing, to the greatest extent possible, the time allocated for characterization will maximize the knowledge return from the ARRM and probability of mission success, while minimizing the time required for data acquisition, transmission, processing and analysis, and decision making will reduce the overall characterization timeline.
  - **Geotechnical Property Estimation:** A mechanical interaction with regolith representative of the boulder collection area is the only way to provide an accurate estimate of the geotechnical properties (e.g., cohesion, friction angle, porosity, etc.) that are critical for boulder collection. Before and after images of the interaction area at sub-cm/pixel resolution would provide context to inform cohesion mapping around target boulders.
  - **Boulder and Regolith Characterization:** On a best-effort basis, sufficient camera resolution is required to characterize:
    - The morphological relationship of the boulder to the surrounding terrain – sub-cm/pixel resolution of a representative area of boulder/regolith interface with more of the image devoted to the regolith than the boulder.
    - The physical integrity of the boulder (e.g., cracks, fissures, etc.) – sub-cm/pixel resolution over as much of the boulder surface as possible is desired.

- **Thermal Imaging:** The thermal inertia of boulders, and the entire asteroid surface, is indicative of their near-surface characteristics (e.g., porous vs. solid), and can be measured relatively easily with a thermal detector. Ideally this detector would have two or more wavelengths (e.g., 5 and 10 microns) and a spatial resolution greater than several pixels per boulder (a minimum of about 0.5 meters per pixel). Over an asteroid's rotation period these observations can distinguish between the thermal inertia of low-density, porous aggregates and higher-density, potentially stronger, monolithic material, which would aid in boulder and site selection and in determining the homogeneity of boulder and surface properties.
- **Previously Visited Target:** While selecting a C-type target that will not have been visited before (i.e., not Bennu or Ryugu) is compelling, there is value in returning to a previously visited asteroid and there would be interest in returning a boulder to cis-lunar space for subsequent study and sampling. (see SBAG ARM Special Action Team Full Report: [http://www.lpi.usra.edu/sbag/documents/SBAG\\_ARM\\_SAT\\_Full\\_Report.pdf](http://www.lpi.usra.edu/sbag/documents/SBAG_ARM_SAT_Full_Report.pdf)).

## Closing Remarks

This report has been developed over a two-month period to provide input during the requirements definition phase of the ARRM, which includes spacecraft interfaces, requirements, and design considerations as they relate to the ARCM. The inputs represent the FAST's best effort in the time available to assist with the formulation and design of the ARRM mission, spacecraft, and capture system. The FAST has also provided inputs relevant to the ARM in general. These inputs are not intended to represent an exhaustive effort to cover all possibilities, but provide an initial effort based on the FAST members' areas of experience and expertise. All timely public inputs directly relevant to ARM have been summarized in the "Summary of Public Inputs" section of this report and are posted in their entirety on the FAST website (<http://www.nasa.gov/feature/arm-fast>).

The ARM FAST was formally retired following the ARRM Requirements Closure TIM held December 15-16, 2015. NASA intends to fund an ARM Investigation Team (IT), which is currently planned to be formed in the summer of 2016 with a call for membership expected in the spring of 2016. The multidisciplinary IT will assist with the definition and support of investigations in the same four main areas as the FAST. The IT will support ARM program-level and project-level functions, provide technical expertise, and support NASA Headquarters' interactions with the technical communities. The IT will support ARM through mission formulation, mission design and vehicle development, and mission implementation, which includes the operational phases of both the ARRM and the ARCM.

## Appendices

### *Appendix A1: Full Response on the Origin of 2008 EV<sub>5</sub>*

Some additional background details on the response to the question on the orbital history of 2008 EV<sub>5</sub> are provided here, specifically on the dynamical/physical evolution of (341843) 2008 EV<sub>5</sub> and possible links to other main belt families.

NEA (341843) 2008 EV<sub>5</sub> is a candidate target for NASA's Asteroid Redirect Robotic Mission (ARRM). It is not only in a highly accessible Earth-like orbit, but it also appears to have characteristics similar to some

type of carbonaceous chondrites. This potentially makes it highly useful to study in detail from an in-situ resource utilization perspective. In order to maximize the science return/knowledge gain from this mission, it is important to identify where 2008 EV<sub>5</sub> came from and what happened to it along the way to its current orbit. This is a difficult task, with the limited and, in some cases uncertain, information on 2008 EV<sub>5</sub>. Nevertheless, using what is known of both 2008 EV<sub>5</sub> and the asteroid belt from remote observations and collisional/dynamical modeling work, it is possible to winnow down the possibilities.

Taking advantage of what has been learned about asteroid evolution over the past several decades, a reasonable scenario describing how 2008 EV<sub>5</sub> reached its current orbit can be constructed. 2008 EV<sub>5</sub> likely started its existence as part of a much larger body. Given the existing knowledge of planetesimal formation mechanisms, 2008 EV<sub>5</sub>'s parent body probably had a diameter greater than 100 km [Morbidelli et al., 2009]. The formation location of this body could have been the main asteroid belt, but it may also have been another region altogether (e.g., the terrestrial planet region, the giant planet region, or beyond) [Bottke et al., 2006b; Levison et al., 2009; Walsh et al., 2011]. In the latter scenarios, dynamical processes implanted 2008 EV<sub>5</sub>'s parent body in the main belt within the first few hundreds of millions of years of solar system history.

Once formed, 2008 EV<sub>5</sub>'s parent body would have experienced early thermal evolution by the decay of radiogenic nuclides [e.g., McSween et al., 2002], while its surface would have been battered by impacts for billions of years of cratering events [e.g., Bottke et al., 2005a,b]. The location of what is now 2008 EV<sub>5</sub> within this parent body is unknown; if it was deep in the interior, it may have been substantially metamorphosed and potentially desiccated. If it formed near the exterior, it may still be primitive enough to have retained substantial volatiles in the form of hydrated phyllosilicates.

2008 EV<sub>5</sub>'s immediate history likely starts when its parent body experienced a large cratering event or, more likely, a catastrophic disruption event. This collision would have created enormous numbers of fragments near the impact site, some of which were roughly 2008 EV<sub>5</sub>-sized. Here, the clustered semimajor axes  $a$ , eccentricities  $e$ , and inclinations  $i$  of these fragments are referred to as an "asteroid family." 2008 EV<sub>5</sub>'s maximum potential age is therefore the same as that of the family-forming event, and dynamical methods exist that can potentially determine the latter [e.g., Bottke et al., 2006; Nesvorný et al., 2015].

From here, the newly liberated 2008 EV<sub>5</sub>, or perhaps a somewhat larger precursor, began to undergo dynamical evolution via the non-gravitational forces referred to as the Yarkovsky and Yarkovsky-O'Keefe-Radzievskii-Paddack (YORP) effect [e.g., Vokrouhlický and Bottke, 2012]. The Yarkovsky effect describes a small force that affects the orbital motion of  $D < 40$  km bodies. It is caused by sunlight; when these bodies heat up in the Sun, they eventually re-radiate the energy away as heat, which in turn creates a tiny thrust. This recoil acceleration is much weaker than solar and planetary gravitational forces, but it can produce substantial secular semimajor axis changes over timescales ranging from many millions to billions of years. The same physical phenomenon also creates a thermal torque that, complemented by a torque produced by scattered sunlight, can modify the rotation rates and obliquities of small bodies as well. The YORP effect likely modified 2008 EV<sub>5</sub>'s obliquity (or that of its immediate precursor) to a value approaching 180°. This allowed 2008 EV<sub>5</sub> (or its immediate precursor) to drift inward by the Yarkovsky effect far enough to reach a dynamical resonance capable of pushing it out of the main belt and onto a terrestrial planet-crossing orbit.

The transit time for 2008 EV<sub>5</sub> to reach a main belt "escape hatch" is probably on the order of tens of Myr to a billion years, so this phase likely makes up most of its lifetime. From there, powerful resonances



typically drive asteroids onto planet-crossing orbits over less than 1 Myr. Once on planet-crossing orbits, their lifetime is likely to be a few Myr to many tens of Myr. The most common fate for NEAs is to hit the Sun or be thrown out of the inner solar system via an encounter with Jupiter [e.g., Gladman et al., 1997; Bottke et al., 2002]. Only a tiny fraction of all asteroids escaping the main belt strike a planet (i.e., roughly 0.3% across all resonances, though ~1% hit from escape routes in the innermost main belt region). If 2008 EV<sub>5</sub> or its precursor had a high enough eccentricity within the main belt, and the right initial orbit, it could have also escaped the main belt by drifting directly onto a Mars-crossing orbit via the Yarkovsky effect. From there, a combination of planetary close encounters and resonances would have moved it to where it is seen now, namely on a very Earth-like orbit. En route, 2008 EV<sub>5</sub>'s precursors may have disrupted one or more times by collisions or by mass-shedding via YORP spin up, enough to take it to its current size. Alternatively, 2008 EV<sub>5</sub> might have always been near its current size, and it potentially avoided all meaningful collisions.

To determine more specifics about 2008 EV<sub>5</sub>'s likely evolution, its existing physical properties need to be considered and put into context using the current understanding of solar system dynamics and physical effects produced by collisional/thermal physical processes. What is known about 2008 EV<sub>5</sub> that can be used to help identify its source region is summarized below.

- **Orbit.** 2008 EV<sub>5</sub> has an osculating ( $a$ ,  $e$ ,  $i$ ) orbit of (0.96 AU, 0.084, 7.4°), respectively. This places it into the Aten sub-class of the NEA population.
- **Shape, Size, Spin Vector.** Radar observations suggest that 2008 EV<sub>5</sub> has a top-like shape with an equatorial bulge reminiscent of many other NEAs [Busch et al., 2011]. These components are consistent with the idea that 2008 EV<sub>5</sub> has been significantly modified by YORP torques over time (e.g., Walsh et al., 2008). Its radar-derived mean diameter is  $400 \pm 50$  m (Busch et al., 2011). The spin period is  $P = 3.725$  h, with an obliquity around  $180^\circ$  (retrograde rotation) [Alí-Lagoa et al., 2013].
- **Spectra.** Reddy et al. [2012] show that the spectroscopic signature of 2008 EV<sub>5</sub> is mostly featureless with an overall blue slope. They classify it as a C-type body. See Appendix A3 for additional details. Note that the spectra of some NEAs have proven variable, so spectral comparisons may only refer a portion of a possibly heterogeneous surface composition [e.g., Binzel et al., 2015].
- **Albedo.** 2008 EV<sub>5</sub> has a geometric albedo of  $9\text{-}10\% \pm 3\%$  or  $9 (+5, -3)\%$  (see main text and Appendices A1 and A2). The average albedo for C-complex NEAs, based on five objects observed by the Spitzer space telescope, is  $13\% (+6\%, -5\%)$  [Thomas et al., 2011]. This suggests the derived value for 2008 EV<sub>5</sub> is consistent with at least some other C-complex NEAs. Most C-complex families across the main belt, however, are dominated by members with albedos are less than 10% (Masiero et al., 2013). 2008 EV<sub>5</sub>'s albedo may be useful for determining its source and precise nature. The implications of 2008 EV<sub>5</sub>'s albedo will be discussed below.

### **Dynamical modeling of the source of 2008 EV<sub>5</sub>:**

Using the debiased NEA model of Bottke et al. [2002], it is possible to determine, in a probabilistic sense, the likely source region through which 2008 EV<sub>5</sub> or its immediate precursor left the main belt. This model assumes that NEAs with  $a < 7.4$  AU and absolute magnitude  $H < 22$  were derived from one of five primary source regions: the  $\nu_6$  secular resonance along the inner edge of the main belt, the intermediate source Mars-crossing region (IMC) that is dominated by objects escaping from the inner main belt, the

mean motion resonance with Jupiter at 2.5 AU (J3:1), the outer main belt region beyond 2.8 AU, and the Jupiter Family Comet region, which is resupplied by the scattered disk in the transneptunian region. Note that high-inclination sources of NEAs were not included in the model; this point will be briefly revisited below.

By comparing the  $(a,e,i)$  orbit of 2008 EV<sub>5</sub> with this model, it was found that it had a 48% and 52% probability of reaching its current orbit through the  $\nu_6$  resonance and IMC regions, respectively. Accordingly, this model predicts the likely departure point of 2008 EV<sub>5</sub> from the main belt was probably near 2.2-2.3 AU along the innermost edge of the main asteroid belt. This also means a likely source of 2008 EV<sub>5</sub> is the inner main belt between 2.1-2.5 AU [e.g., Bottke et al., 2015].

To gain more fidelity for this prediction, the dynamical runs described in Bottke et al. [2015] were used to explore the specific main belt objects likely to produce 2008 EV<sub>5</sub>. Here tens of thousands of test asteroids were tracked, starting in regions adjacent to the source regions. These bodies, with assumed diameters of  $D = 0.1$  and 1 km, were allowed to drift into escape routes via the Yarkovsky effect. It was then determined which asteroids passed very close to 2008 EV<sub>5</sub>'s current  $(a,e,i)$  orbit. A good match was arbitrarily defined as those with  $\Delta a < 0.01$  AU,  $\Delta e < 0.01$ , and  $\Delta i < 1^\circ$ .

Forty test asteroids that matched the criteria were found, with roughly equal numbers coming from the  $\nu_6$  resonance and IMC regions. For both sources, it was found that nearly all of the 2008 EV<sub>5</sub> matches came from main belt test asteroids that had starting  $a < 2.3$  AU,  $0.1 < e < 0.3$ , and  $i < 7^\circ$ . Only two test asteroids from the IMC region successfully matched 2008 EV<sub>5</sub>'s orbit from an initial  $i > 8^\circ$ . Creating probability distributions from the initial orbits of the successful matches, it was found that 2008 EV<sub>5</sub> probably had  $1^\circ < i < 5^\circ$  prior to leaving the main belt, with peaks near 2-3° and 5°. This suggests that 2008 EV<sub>5</sub> may have come from a sizable C-complex asteroid family residing in the inner main belt between 2.1-2.5 AU with  $i < 7^\circ$  (e.g., Bottke et al., 2015).

The proxies for 2008 EV<sub>5</sub> were also tracked to determine how close they approached the Sun during the simulation. After escaping the asteroid belt, en route to its current orbit, the proxies for 2008 EV<sub>5</sub> spent considerable time with perihelion values  $q < 1$  AU. By tracking these test asteroids from the main belt all the way to 2008 EV<sub>5</sub>'s observed orbit, and then estimating the temperatures experienced by these bodies at their subsolar points along the way [Marchi et al., 2009; Delbo and Michel, 2011; Alí-Lagoa et al., 2013], the following was found:

- The median time spent by the 2008 EV<sub>5</sub>-like test asteroids with  $q < 0.5$ , 0.7, and 1.0 AU was ~0.1, 1.4, and 7 Myr, respectively. Less than 50% and 25% of the test asteroids spent any time at  $q < 0.5$  and 0.2 AU, respectively. Thus, while close solar encounters for 2008 EV<sub>5</sub> cannot be ruled out, the most probable scenario is that it probably avoided such orbits.
- Using these model runs, it was found that a 2%, 14%, 24%, 44%, 60%, 80%, and 100% probability that the surface of 2008 EV<sub>5</sub> reached peak temperatures greater than 1,030 K, 730 K, 600 K, 510 K, 460 K, 420 K, and 340 K, respectively. It was assumed that these values correspond to  $q$  greater than 0.1, 0.2, 0.3, 0.4, 0.5, 0.6, and 0.9 AU, respectively. The interiors of the boulders on or near 2008 EV<sub>5</sub>'s surface would have experienced lower temperatures. These results lead to high- and low-probability scenarios.
- Overall, we argue that the greatest likelihood is that 2008 EV<sub>5</sub>'s boulders and subsurface did not experience temperatures greater than 500 K. Here common organic and hydrated compounds that break up at relatively moderate temperatures (e.g., 300-670 K) may still be depleted in both

the surface layers of the boulders and 2008 EV<sub>5</sub> itself (i.e., possibly down to 5 cm depth; [Delbo and Michel 2011]). Similarly, boulder organics may have also been depleted via exposure to ionization radiation (e.g., cosmic rays), whose penetration depth is on the order of a meter.

- In the lower probability case, 2008 EV<sub>5</sub> spent enough time near the Sun that boulders currently located on its surface were thermal modified.
- Additional thermal modeling work is needed to better quantify these probabilities, with the temperatures reached by 2008 EV<sub>5</sub>'s current population of surface boulders a function of 2008 EV<sub>5</sub>'s past proximity to the Sun, its physical parameters, and the residence time of those boulders near the surface [Alí-Lagoa et al., 2013].

### **Potential Links between 2008 EV<sub>5</sub> and Known Asteroid Families:**

Using the dynamical criteria above, and assuming 2008 EV<sub>5</sub> most likely came from a sizeable main belt family rather than simply being a background body from the asteroid belt, the family definitions from Nesvorný et al. [2015] were used to identify candidate low inclination C-complex families in the inner main belt, which include: Eulalia, New Polana, Erigone, Baptistina, Sulamitis, and Clarissa [Campins et al., 2010; Walsh et al., 2013; Bottke et al., 2015]. Central and outer main belt families were rejected as candidate sources because neither model from Bottke et al. [2002; 2015] showed a viable pathway for them to make 2008 EV<sub>5</sub>. In addition, 2008 EV<sub>5</sub>'s spectral shape is not consistent with the typically-spectrally red outer main belt asteroids.

Of the remainder, using the criteria discussed in Bottke et al. [2015], smaller families such as Sulamitis and Clarissa can be eliminated from discussion; their fragments are unlikely to have transited the main belt, escaped, and reached 2008 EV<sub>5</sub> orbits within the likely age of their families. For the remainder, considerable uncertainty exists about which one may be the most likely source, and it is unlikely a definitive match can be determined without extensive modeling work that goes beyond the short timescale of the FAST effort.

In lieu of this, it is useful to consider proxies for 2008 EV<sub>5</sub>. For example, Campins et al. [2010] identified the low-albedo component of the Nysa-Polana complex as the most likely source of NEA (101955) Bennu, the  $D = 0.5$  km, low-albedo target of the OSIRIS-REx mission. This work was refined by Walsh et al. [2013] and Bottke et al. [2015], who identified the low-albedo Eulalia and the New Polana families as the top candidate source families of Bennu. Bennu is a top-shaped, low-albedo C-complex asteroid with an orbit highly similar to 2008 EV<sub>5</sub>. Using a range of numerical models, Bottke et al. argued that the older ages of the Eulalia and New Polana families (~830 and ~1400 Myr old, respectively) would allow many 0.5 km fragments to have reached Bennu-like orbits via the  $\nu_6$  resonance and the IMC region at the present time. Given that 2008 EV<sub>5</sub> is modestly smaller than Bennu, and that it likely traversed faster across the main belt than Bennu via the Yarkovsky effect, one must consider these families as solid candidates to make 2008 EV<sub>5</sub> as well.

These families may also be the source of the low-albedo NEA (162173) 1999 JU<sub>3</sub>. This km-sized asteroid, now known as Ryugu, is the target of JAXA's Hayabusa2 mission. See Campins et al. [2013] and Bottke et al. [2015] for additional details.

Erigone, a sizeable low-albedo family with a likely age of ~130 Myr, was deemed slightly too young to be a strong source of Bennu-like objects by Bottke et al. [2015]. Essentially, insufficient  $D = 0.5$  km bodies escaped the main belt within ~130 Myr to make Erigone members competitive with Eulalia and New

Polana. 2008 EV<sub>5</sub>, on the other hand, is modestly smaller than Bennu, perhaps enough that 2008 EV<sub>5</sub>-sized objects can now escape and reach an 2008 EV<sub>5</sub> orbit within the age of the family. Accordingly, Erigone must also be considered a candidate family to produce 2008 EV<sub>5</sub>. Moreover, the inclination of Erigone family members is close to 5°, a value that is modestly favored among the test asteroids above that reproduce 2008 EV<sub>5</sub>'s orbit. More work on this family is needed.

Recent spectroscopic surveys of primitive asteroids in the inner belt, including the Polana, Eulalia and Erigone families [e.g., Pinilla-Alonso et al., 2014; de Leon et al., 2015], are consistent with the dynamical arguments presented above and may be used to refine the source region. In addition, these authors are now obtaining spectra of the low-albedo inner-belt asteroids adjacent to the  $\nu_6$  resonance at inclinations of 8-12 degrees [Campins et al., 2013, figure 1]. Because of its position at the very edge of the  $\nu_6$  resonance, this group may also be a potential source of 2008 EV<sub>5</sub>.

A key question for all three of these families, however, is whether 2008 EV<sub>5</sub>'s mean albedo should be treated as a discriminant for ruling out candidate families. The distribution of albedos of known family members observed by NASA's Wide-field Infrared Survey Explorer (WISE), mostly those bodies with  $D >$  several kilometers, indicate that Eulalia, New Polana, and Erigone families have very few members with albedos  $> 10\%$  [Masiero et al., 2013]. It should be noted that 2008 EV<sub>5</sub>-sized bodies below WISE's detection limit may plausibly have a different albedo distribution. Moreover, the estimated albedos of 2008 EV<sub>5</sub>,  $9-10\% \pm 3\%$  or  $9\% (+5\%, -3\%)$ , are ambiguous enough that these families cannot be ruled out as candidate sources.

Moving to higher albedo candidate families, the Baptistina family was considered. It is an X-complex family whose members have a mean albedo of 16% [Nesvorný et al., 2015]. It is located near the  $\nu_6$  resonance at relatively low inclinations, such that its members could readily reach 2008 EV<sub>5</sub>'s orbit. The age of the family is debated, with a definitive solution depending on the bulk density of Baptistina family members [Bottke et al., 2007; Maserio et al., 2012; Nesvorný et al., 2015]. If all things were equal, Baptistina would likely be the strongest candidate family based on these criteria alone. Here, however, spectral signatures need to be considered, which place the Baptistina family at a distinct disadvantage to the other candidate families [Reddy et al., 2014]. The spectral signatures of several members of the Baptistina family indicate the presence of pyroxene band, which is probably enough to rule out Baptistina as a candidate source for 2008 EV<sub>5</sub>.

A potential compelling spectral and albedo match exists between high-inclination Pallas family members and 2008 EV<sub>5</sub>. Pallas is the second largest asteroid in the main belt, and it and its family members have a B-type spectra, similar to 2008 EV<sub>5</sub> in many respects. Pallas family members also have a mean albedo of 16%, such that many would probably fit the 2008 EV<sub>5</sub>'s albedo [Nesvorný et al., 2015]. Moreover, many links can be found in the literature between CR chondrites and Pallas; this increases the possibility of a potential match between 2008 EV<sub>5</sub> and CR chondrites. The problem is that there is no known dynamical pathway for Pallas family members, which reside in the main belt with  $i > 30^\circ$ , to reach 2008 EV<sub>5</sub>'s orbit [de Leon et al., 2010]. Numerical simulation suggest the lowest inclination reached by Pallas family members entering onto planet-crossing orbits is  $20^\circ$ , much higher than 2008 EV<sub>5</sub>'s inclination of  $7^\circ$ . Other orbital constraints are missed as well. Thus, while dynamically implausible, it is suggested that this possible match is still interesting enough to warrant further study, depending on 2008 EV<sub>5</sub>'s actual albedo.

To close this section, it should be noted that an intriguing source for a high-albedo 2008 EV<sub>5</sub> would be the diffuse population of higher-albedo C-complex asteroids residing in the innermost main belt region

between  $8 < i < 15^\circ$ . Many of these bodies have WISE-derived albedos  $> 10\%$ . Dynamically, they are a less likely fit than the low-albedo families discussed above, but they appear to be one of the few small body populations in the inner main belt that have the appropriate albedo to match 2008 EV<sub>5</sub>. These bodies have yet to be investigated in detail.

### **Spectral and Meteorite Matches to 2008 EV<sub>5</sub>:**

Given that 2008 EV<sub>5</sub>'s spectrum is essentially featureless throughout the visible near-infrared (VNIR) wavelengths, it is difficult to find unique matches between it and known carbonaceous chondrites; this makes it difficult to glean insights into its composition and volatile abundance. To date in the literature, the best match has been found for CI chondrites [Reddy et al., 2012], though a match to certain kinds of CM chondrites may also be possible [R. Binzel, Massachusetts Institute of Technology, personal communication]. The biggest issue is whether the relatively high albedo of 2008 EV<sub>5</sub> for a C-type asteroid should be applied when considering spectral matches. If 2008 EV<sub>5</sub>'s albedo is substantially lower than the reported mean value of 9%, 2008 EV<sub>5</sub> would likely be able to match primitive CI/CM carbonaceous chondrites as well as candidate families such as Eulalia, New Polana, and Erigone. If the albedo is higher than 9%, it may be possible to reject these families and consider alternative sources for 2008 EV<sub>5</sub>.

To glean additional insights into the high-albedo case, Ed Cloutis (University of Winnipeg) was contacted and asked to search his spectra data base for carbonaceous chondrite spectra that could provide a match 2008 EV<sub>5</sub>. His write-up, provided in Appendix A3, argues that 2008 EV<sub>5</sub> is most consistent with being a CR-type carbonaceous chondrite.

### **Conclusions:**

Given the available modeling work and data, one could argue that the most plausible source family candidates for 2008 EV<sub>5</sub> from a dynamical perspective are Eulalia, New Polana, and Erigone. This assumes that these families have numerous  $D = \sim 0.4$  km members with greater than 10% albedos, or that 2008 EV<sub>5</sub>'s true albedo is considerably lower than 10%. If 2008 EV<sub>5</sub> does have a high albedo, a plausible source would be a population of high-albedo C-complex asteroids in the inner main belt between  $8 < i < 15^\circ$ . Second tier candidate families for the high-albedo case are Baptistina and Pallas. For the Baptistina family to work, it would need to be demonstrated that some family members have 2008 EV<sub>5</sub>-like spectra. For the Pallas family to match, some dynamical pathway would need to be found that would allow its members to reach 2008 EV<sub>5</sub>'s current orbit. Also, the possibility cannot be ruled out that some smaller family or the main belt background is responsible for 2008 EV<sub>5</sub>. Investigations into all of these possibilities are strongly needed to better understand the nature and context of 2008 EV<sub>5</sub>.

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## *Appendix A2: Phase Function Analysis*

*Note: Input from non-FAST members has not been edited and is included as received.*

### **What Does Phase Function Analysis Tells Us About the Albedo of NEA (341843) 2008 EV<sub>5</sub>?**

*Carl Hergenrother  
Lunar and Planetary Laboratory  
University of Arizona  
Last Updated: 2015 October 27*

#### **Abstract:**

Phase function analysis can help constrain the albedo of near-Earth asteroid (341843) 2008 EV<sub>5</sub> in two ways. If the diameter of the object is known, which thanks to radar imaging is true for 2008 EV<sub>5</sub>, the absolute magnitude can be used in conjunction with the diameter to derive the albedo. Indirectly, there is a relationship between the slope of the linear phase function and albedo.

The Muinonen H-G<sub>12</sub> phase function (Muinonen et al. 2012) was used to derive an absolute magnitude of  $H = 20.22 \frac{+0.23}{-0.15}$ , a value ~0.2 magnitudes fainter than previously found (Alí-Lagoa et al. 2014). When taken in conjunction with a radar-derived diameter of  $400 \pm 50$  m, an albedo of  $0.09 \frac{+0.05}{-0.03}$  was found. Indirect measures of taxonomy such as the value of the Muinonen G<sub>12</sub> parameter are consistent with a carbonaceous taxonomy and relatively dark albedo.

## **Observations:**

V and R band photometry of (341843) 2008 EV<sub>5</sub> were obtained from the archives of the Minor Planet Center via their 'MPC Database Search' tool ([http://www.minorplanetcenter.net/db\\_search](http://www.minorplanetcenter.net/db_search)) resulting in 568 observations made between 2008 March 4 and 2010 April 11 UT. Phase angles from 31° to 113° were observed. Observations were averaged to produce a single measurement per observer per night. A color index of V-R = +0.4 was used to transform R band photometry to V band. This color index is consistent with the spectrum of 2008 EV<sub>5</sub> obtained by Reddy et al. (2012).

Imaging radar observations made with Arecibo and Goldstone found an equivalent diameter of 400 ± 50 m (Busch et al. 2012). An independent diameter of 370 ± 6 m was derived from WISE photometry (Alí-Lagoa et al. 2014).

## **Phase Function Analysis:**

Three different phase function methods were used to estimate the absolute magnitude of 2008 EV<sub>5</sub>.

*Linear Fit* – A linear fit yielded absolute magnitude ( $H$ ) = 20.41 ± 0.19 and slope ( $\beta$ ) = 0.031 ± 0.004 magnitudes per degree of phase angle (Figure 9). The fit was restricted to photometry obtained on the linear portion of the asteroid's phase function (phase angles between 15° and 70°). This constraint limits the fit to the linear portion of 2008 EV<sub>5</sub>'s phase function.

*IAU H-G* – The IAU H-G phase function as described in Bowell et al. (1989) yielded  $H = 19.91 \begin{smallmatrix} +0.42 \\ -0.30 \end{smallmatrix}$  and  $G = +0.04 \begin{smallmatrix} +0.10 \\ -0.18 \end{smallmatrix}$  (Figure 10). The 2008 EV<sub>5</sub> asteroid and dataset provide problems for the H-G function due to the object's dark(ish) albedo and lack of photometry at small phase angles (Shevchenko et al. 2008, Muinonen et al. 2012).

*Muinonen H-G<sub>12</sub>* – The Muinonen H-G<sub>12</sub> phase function as described in Muinonen et al. (2010) yielded  $H = 20.22 \begin{smallmatrix} +0.23 \\ -0.15 \end{smallmatrix}$  and  $G_{12} = 0.55 \begin{smallmatrix} +0.31 \\ -0.42 \end{smallmatrix}$  (Figure 11).

## **Conclusions:**

The lack of observations at phase angles less than 31° increases the uncertainty of  $H$ . This is evident from nearly one magnitude spread in possible  $H$  values (19.61 to 20.60) produced by the three different phase functions. The linear fit is overly simplistic and does not model the non-linearity of phase functions at low phase angles. The H-G function is prone to produce an opposition effect that is much larger than those observed for dark objects (Shevchenko and Belskaya, 2010). An analysis of Pan-STARRS photometry found that the Muinonen phase function provides better results than the IAU H-G phase function (Veres et al. 2015).

A range of possible albedos produced for the minimum, mean and maximum  $H$  values produced by each of the three phase functions and the range of radar derived equivalent diameters is shown in Table 13.

Table 13: Albedos for a range of absolute magnitudes and diameters for 2008 EV<sub>5</sub>.

	H	Radar Dimensions			Albedo
		0.35 km	0.40 km	0.45 km	
<b>H-G<sub>12</sub></b>	<b>20.07</b>	0.135	0.103	0.082	<b>0.09</b> $\frac{+0.05}{-0.03}$
	<b>20.22</b>	0.118	0.090	0.071	
	<b>20.46</b>	0.094	0.072	0.057	
<b>H-G</b>	<b>19.61</b>	0.206	0.158	0.125	<b>0.12</b> $\frac{+0.08}{-0.06}$
	<b>19.91</b>	0.157	0.120	0.095	
	<b>20.33</b>	0.106	0.081	0.064	
<b>Linear</b>	<b>20.22</b>	0.118	0.090	0.071	<b>0.08</b> $\frac{+0.04}{-0.03}$
	<b>20.41</b>	0.099	0.076	0.060	
	<b>20.60</b>	0.083	0.064	0.050	

The IAU H-G solution finds an albedo that is consistent with the results of Alí-Lagoa et al. (2014). This is not surprising since the H used by Alí-Lagoa et al. (2014) was based on the same data sets and H-G function as calculated by the Minor Planet Center via the JPL Small-Body Database. The Linear function assumes no non-linearity and ignores any opposition effect at small phase angles so its H values trend towards fainter.

The Muinonen H-G<sub>12</sub> function produces albedos in between the IAU H-G and Linear functions. It found an absolute magnitude of  $H = 20.22 \frac{+0.23}{-0.15}$ . When taken in conjunction with a radar-derived diameter of  $400 \pm 50$  m, an albedo of  $0.09 \frac{+0.05}{-0.03}$  was found. The  $G_{12} = 0.55 \frac{+0.31}{-0.42}$  is consistent with both carbonaceous and non-carbonaceous taxonomic types but asteroids with a similar G<sub>12</sub> are predominately C and X complex types.

The albedo of 2008 EV<sub>5</sub> is still relatively uncertain and spans a range that is safely within the expected values for a carbonaceous object to a little bit higher than expected for the same. This work did find that the absolute magnitude used by previous studies was ~0.2 magnitudes too bright resulting in a mean albedo of  $0.09 \frac{+0.05}{-0.03}$  rather than  $0.13 \pm 0.05$ .



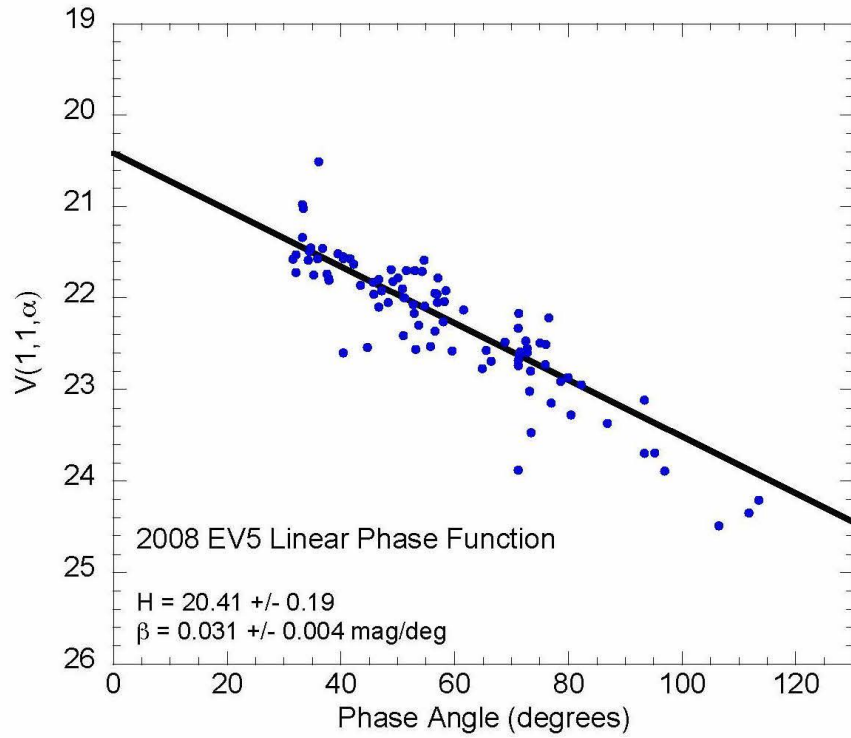


Figure 9: Linear phase function fit to the 2008 EV<sub>5</sub> MPC data.

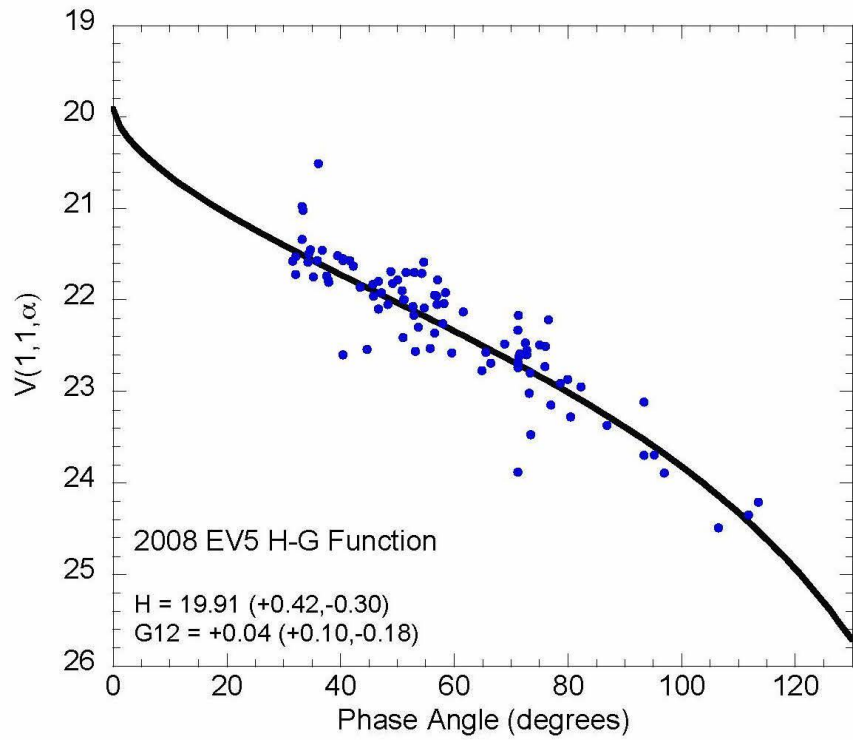


Figure 10: IAU H-G phase function fit to the 2008 EV<sub>5</sub> MPC data (Bowell et al. 1989).

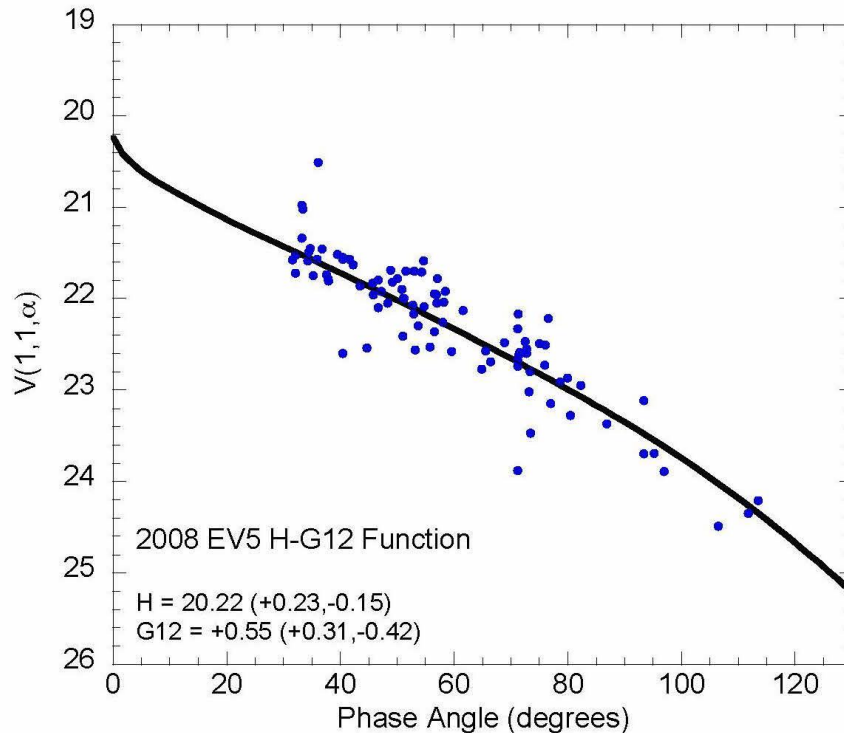


Figure 11: Muinonen H-G12 phase function fit to the 2008 EV<sub>5</sub> MPC data (Muinonen et al. 2010).

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### *Appendix A3: Asteroid 2008 EV<sub>5</sub> – spectral analysis*

*Note: Input from non-FAST members has not been edited and is included as received.*

**Ed Cloutis (University of Winnipeg)**

**October 21, 2015**

### **Characteristics:**

Diameter: 400 +/- 50 meters

Albedo: between ~7 and 15%

### **Reflectance spectrum of EV<sub>5</sub>:**

The 0.3-2.5 micron spectrum of 2008 EV<sub>5</sub> is red sloped from ~0.3 to 0.75 microns, and blue sloped out to 2.5 microns. The visible region spectrum (0.3-0.98 microns) shows no strong evidence of any absorption bands (Figure 12). There may be weak absorption bands near 0.41 and 0.43 microns; they could plausibly be attributed, respectively, to aromatic organics and some ferric iron-bearing phase, such as a sulfate or serpentine. The spectrum beyond 0.7 microns suggests the possible presence of an absorption feature in the 1 micron region. This is suggested by continuum removal which has been applied to carbonaceous chondrites, where a straight line continuum is fit from the 0.7 micron region peak to the neighborhood of 1.35 microns.

The continuum removed spectrum is somewhat noisy, but there appears to be a broad absorption feature over the 0.75-1.35 micron interval (Figure 13). In carbonaceous chondrite spectra, individual absorption bands are often seen depending on the nature of the major silicates:

- Two bands, near 0.9 and 1.1 microns attributable to ferrous iron-bearing phyllosilicates
- A band near 1.05 microns accompanied by a shoulder near 1.25 microns when olivine is present
- A broad band near 1 micron when magnetite is present

Any or all of these features may be present in carbonaceous chondrite spectra depending on relative phase abundances.

The continuum removed absorption feature suggests the presence of both ferrous iron-bearing phyllosilicates (absorption features in the ~0.9 and 1.1 micron regions), and olivine (absorption features near 1.05 microns and 1.25 microns).

### **Comparison to carbonaceous chondrites:**

The combination of relatively high albedo (7-15%), blue-sloped spectrum beyond 0.75 microns, and likely absorption band in the 1 micron region, allows us to place constraints on possible analogues. The focus here is on carbonaceous chondrites, not necessarily only because they are the best candidate, but because the spectral properties of other possible candidates, such as enstatite chondrites, are less well known.

Spectral comparisons are generally more robust in terms of which meteorite classes 2008 EV<sub>5</sub> is inconsistent with rather than which classes it could be.

Of the carbonaceous chondrite classes compared to 2008 EV<sub>5</sub>, the following **DO NOT** provide good matches:

1. **CI chondrites:** their albedos are generally too low, most do not show an absorption feature in the 1 micron region, those that are blue sloped are much darker than the asteroid, the 1 micron region absorption feature, when present, is more similar to phyllosilicates rather than phyllosilicates + olivine.

2. **CM chondrites:** their spectra are generally flat to red sloped, those that are blue sloped are usually quite dark (a few percent albedo) and are depleted in the finest fraction, a 0.7 micron absorption band is nearly ubiquitous (attributable to ferrous+ferric iron-bearing clays).
3. **CO chondrites:** many are blue sloped and with the right albedo (e.g., Ornans, <150  $\mu\text{m}$ ; Felix, <150  $\mu\text{m}$ ; Kainsaz, <150  $\mu\text{m}$ ). The lowest petrologic grade COs are closest to EV<sub>5</sub> in this regard. However, they all have a broad 2 micron region absorption feature attributable to CAIs, and this is not evident in the EV<sub>5</sub> spectrum (although its spectrum are too noisy to make a definitive identification). Most of them also have a 1 micron region absorption band that is more olivine-like than EV<sub>5</sub>.
4. **CV chondrites:** Some powder CV spectra can be blue-sloped and of the right albedo (e.g., ALHA 81003, <125  $\mu\text{m}$ , Grosnaja, <45  $\mu\text{m}$ ). However, the continuum-removed spectra show a well-defined absorption band with a minimum near 1.05  $\mu\text{m}$ , attributable to olivine only, unlike EV<sub>5</sub>. Also, the peak reflectance of these meteorites occurs shortward of 0.75  $\mu\text{m}$ , also unlike EV<sub>5</sub>.
5. **CK chondrites:** Powdered CK spectra are blue-sloped, some with reflectance peaks near 0.75  $\mu\text{m}$  and usually of the right albedo. However, they all show a clear and deep olivine absorption band near 1.05  $\mu\text{m}$ , unlike EV<sub>5</sub>.
6. **“Other” carbonaceous chondrites:** of the various “other” carbonaceous chondrites (Cloutis et al., 2012 – Icarus, v. 221 p984), none match more than one or two of the salient features of EV<sub>5</sub>.
7. **Naturally thermally metamorphosed carbonaceous chondrites:** Of the various naturally thermally metamorphosed carbonaceous chondrite spectra that are available, no one spectrum matches EV<sub>5</sub> simultaneously in terms of peak reflectance position, albedo, and shape of the 1 micron region absorption band. Some are blue sloped, but too dark or have their peak at the wrong position.
8. **Laboratory thermally metamorphosed CI/CM chondrites:** While lab heating of an Ivuna CI chondrite powder (<125  $\mu\text{m}$ ) can produce blue-sloped spectra (for 100, 300 and 700C), and a 1 micron region absorption feature with some similarities to EV<sub>5</sub> (bands at 0.9 and 1.1  $\mu\text{m}$ ), the spectra are darker than EV<sub>5</sub> (<5%).

The following **ARE** possible matches:

1. CR chondrites: some uncertainties because CR spectra seem susceptible to the presence of terrestrial alteration products. However, some CR powder spectra are (almost certainly) blue sloped, in the right albedo range, and with a peak near 0.75 microns (e.g., A881595). Its spectrum also shows a broad 1 micron region absorption band with individual bands near 0.9 and 1.2 microns (like EV<sub>5</sub>), but it also has a band near 1 micron (unlike EV<sub>5</sub>).

#### **Other spectral characteristics:**

There are also suggestions of an absorption band in the 1.6-1.7 micron region. Such a feature is most consistent with aliphatic organics. However, such a feature would be accompanied by a stronger absorption feature beginning at 2.31 microns, and such a feature is not evident (given the noise in the spectrum).

#### **Summary:**

One of the difficulties facing spectral matching is the relative importance of the various spectral parameters used in this comparison. For instance, spectral slope can vary from blue to red for subsamples of a single carbonaceous chondrite (e.g., Ivuna, Orgueil). Similarly, subsamples of a single carbonaceous

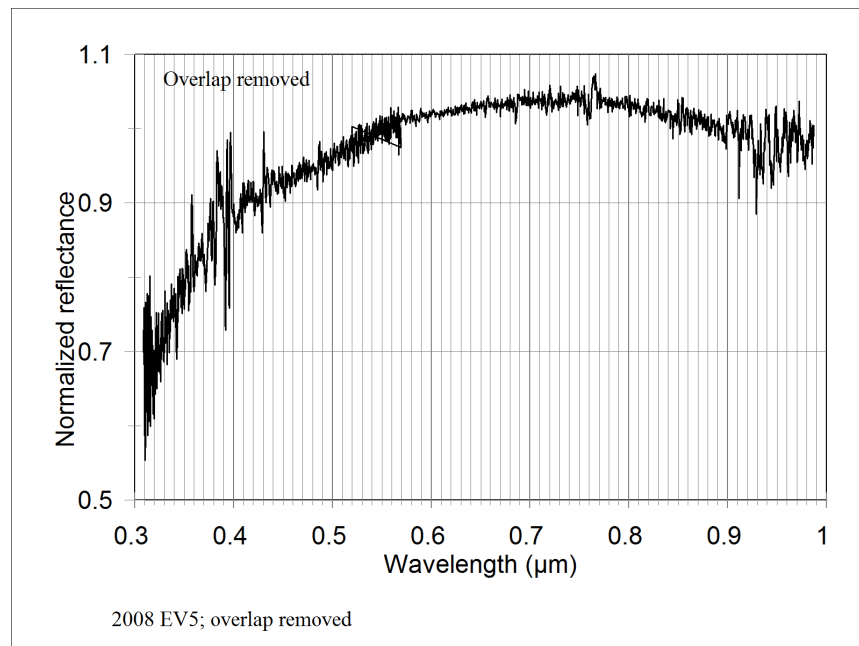
chondrite can also show no or no readily apparent absorption features in the 1 micron region. The shape of the 1 micron region is potentially diagnostic of the presence of specific minerals, and the data for EV<sub>5</sub> suggest ferrous iron-bearing phyllosilicates and olivine, not unlike CR2 chondrites, which should have a mix of hydrous and anhydrous silicates. Many groups are almost certainly non-starters because of albedo and absorption band characteristics.

Blue spectral slopes are generally most characteristic of coarse powders where the finest grain size fraction has been removed, or solid slabs. These spectra are darker than fine-grained powders, so if a fine-grained powder is already dark, then the finest fraction-removed or slab spectra would be even darker. Also, whether an asteroid surface would be essentially devoid of only the finest grains or exist as a clean slab appears unlikely.

At present, EV<sub>5</sub> appears most consistent with an assemblage consisting of both hydrous and anhydrous silicates, specifically a ferric iron-free phyllosilicate and iron-bearing olivine. This places it in the realm of petrologic grade 2-3 carbonaceous chondrites (most similar to CR2) but could include mildly to moderately thermally metamorphosed members (e.g., EET 90043 – heated to about 600C).

**Suggestions:**

A more wide-ranging laboratory spectral study of the “best” candidate meteorites is warranted. Looking more closely at the effects of grain size, packing density, and powders-on-slabs would provide stronger insights into the possible physical and chemical composition of EV<sub>5</sub>.



*Figure 12: Visible region spectrum of 2008 EV<sub>5</sub>.*

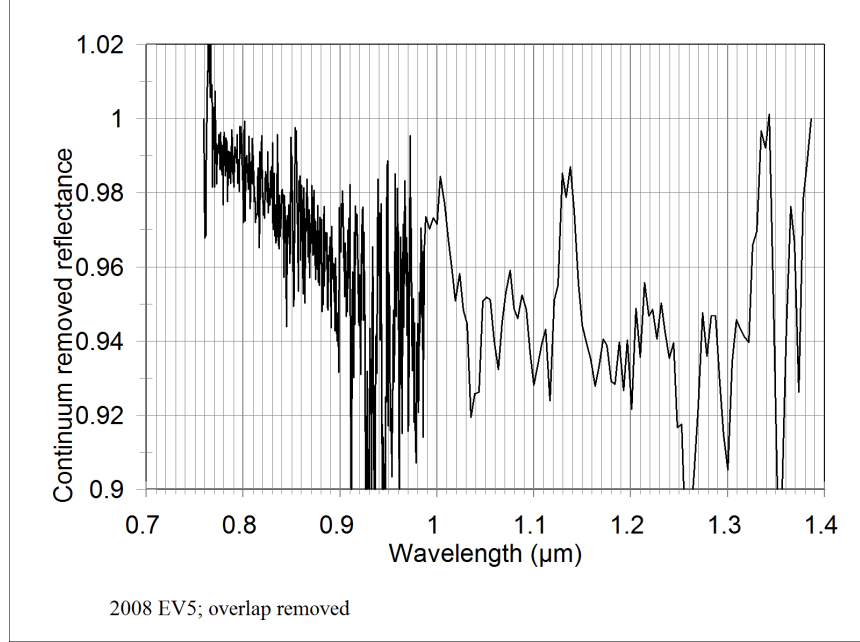


Figure 13: Reflectance spectrum of 2008 EV<sub>5</sub> with straight line continuum removed from ~0.78 to 1.38 microns.

#### Appendix A4: Disk-integrated Photometric Models of the ARM Mission Asteroid Target 2008 EV<sub>5</sub>

The reflectance and albedo quantities, relevant to the ARM mission asteroid target 2008 EV<sub>5</sub>, and how viewing conditions [incidence ( $i$ ), emission ( $e$ ), and phase angles ( $\alpha$ )] vary for each quantity will be reviewed in this appendix. Disk-integrated ground-based photometric data of 2008 EV<sub>5</sub> will be used to constrain the average disk-resolved brightness across 2008 EV<sub>5</sub>'s surface by fitting phase curve data, compiled by C. Hergenrother archived at the Minor Planet Center (MPC).

The Radiance Factor ( $RADF$ ) is the ratio of the bidirectional reflectance of a surface to that of a perfectly diffuse surface illuminated at  $i = 0$  [Hapke, 2012]. The Bidirectional Reflectance Distribution Function ( $BRDF$ ) is the ratio of the radiance scattered by a surface into a given direction to the collimated power incident on a unit area of the surface [Hapke, 2012]. Reflectance,  $r(i, e, \alpha)$ , is directly related to  $BRDF(i, e, \alpha)$   $RADF(i, e, \alpha)$  (or  $[I/\mathcal{F}](i, e, \alpha)$ ) as described in the following Lommel-Seeliger  $RADF$  function:

$$\begin{aligned}
 [I/\mathcal{F}](i, e, \alpha) &= RADF(i, e, \alpha) = BRDF(i, e, \alpha)[\mu_o\pi] = \pi r(i, e, \alpha) \\
 &= \frac{\varpi_o}{4} \frac{\mu_o f(\alpha)}{\mu_o + \mu} \quad (1),
 \end{aligned}$$

where  $\mu_o = \cos(i)$ ,  $\mu = \cos(e)$ ,  $i$  is the incidence angle (degrees),  $e$  is the emission angle (degrees).  $A_{LS} = \frac{\varpi_o}{4\pi}$  is the Lommel-Seeliger albedo,  $f(\alpha) = e^{\beta\alpha + \gamma\alpha^2 + \delta\alpha^3}$  is the phase function, and  $\varpi_o$  is the average particle single scattering albedo.  $I$  is the radiance and has units of  $W/m^2/nm/sr$ .  $J = \pi\mathcal{F}$  is the

collimated (Sun) light (irradiance) and has units of  $W/m^2/nm$ . Strictly speaking  $I/\mathcal{F}$  is a dimensionless quantity ( $\mathcal{F}$  has units of  $W/m^2/nm/steradian$  and  $\pi$  here has units of steradian).

### 1. Model BRDFs for 2008 EV<sub>5</sub>:

The quantities *BRDF* and *RADF* (or  $[I/\mathcal{F}]$ ) of 2008 EV<sub>5</sub> would be of particular interest to the ARRM instrument guidance and navigation control teams when selecting a multi-ton boulder from the surface. In what follows is the empirical Lommel-Seeliger model for use in predicting the  $[I/\mathcal{F}]$  ( $i, e, \alpha$ ) of 2008 EV<sub>5</sub>, using the methodology adopted for OSIRIS-REx target NEA (101955) Bennu [Takir et al., 2015]. The model inputs and their errors are shown in Table 14. Table 15 shows the Lommel-Seeliger model for nominal, maximum, and minimum predicted brightness of 2008 EV<sub>5</sub> at 550 nm. Table 14 shows the model fits to the data. The Lommel-Seeliger model is also useful for predicting flux and brightness quantities for 2008 EV<sub>5</sub> at a wide range of view geometries, which can provide important information to engineers designing ARM instruments (Table 15).

Table 14: Description of inputs used to reproduce nominal, maximum, and minimum models.

	Maximum Brightness	Nominal Brightness	Minimum Brightness
	Reduced Magnitude (Vmag-error)*	Reduced Magnitude (Vmag)*	Reduced Magnitude (Vmag+error)*
Diameter (km)**	0.357	0.385	0.413

\*The Vmag values are from the Minor Planet Center with uncertainties of  $\pm 0.5$ .

\*\*2008 EV<sub>5</sub>'s average diameter computed by Busch et al. [2011] and Alí-Lagoa et al. [2013].

For the nominal model, the Reduced Vmag values also include NEAR spacecraft data of Mathilde (as the best available proxy data) at the lowest and highest phase angles [Clark et al., 1999]. The Minimum and Maximum models capture the scatter in the moderate phase angle ground-based observations of 2008 EV<sub>5</sub>, and the uncertainties in the size and the low and high phase-angle behavior.

Table 15: Lommel-Seeliger functions that predict  $[I/\mathcal{F}](i, e, \alpha)$  of 2008 EV<sub>5</sub> at 550 nm.

	$A_{LS}$	$\beta^{**}$	$\gamma^{**}$	$\delta^{**}$
Nominal	0.085	$-4.37 \times 10^{-2}$	$4.19 \times 10^4$	$-2.02 \times 10^{-6}$
Maximum	0.091	$-1.61 \times 10^{-2}$	$-0.05 \times 10^8$	$-0.13 \times 10^8$
Minimum	0.032	$-2.39 \times 10^{-2}$	$1.16 \times 10^4$	$-5.97 \times 10^7$

\*\*  $f(\alpha) = e^{\beta\alpha + \gamma\alpha^2 + \delta\alpha^3}$ . The values given in this table for  $\beta$ ,  $\gamma$ , and  $\delta$  were derived for phase angle values in units of degrees.

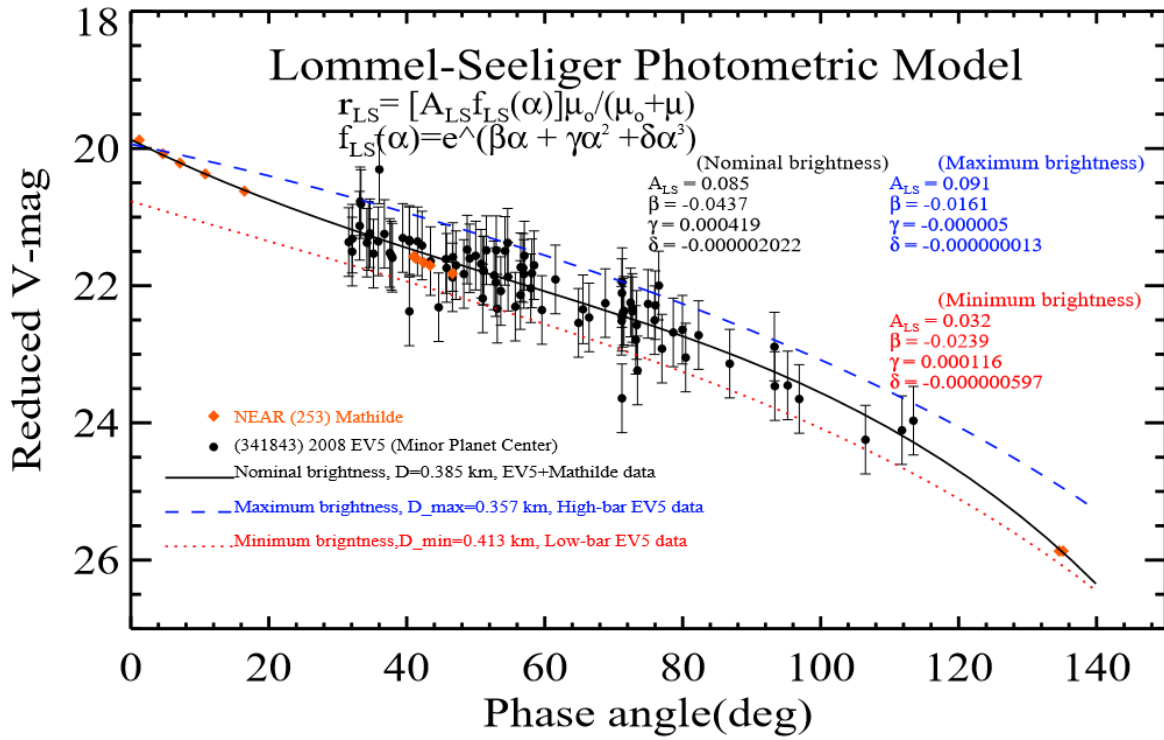


Figure 14: The Reduced V magnitude of 2008 EV<sub>5</sub> as a function of phase angle predicted by the Lommel-Seeliger model is shown compared with the ground-based measurements. Shown are the minimum (red dots), maximum (blue dashes), and nominal (black solid line) models. Our minimum and maximum models do not include the Mathilde data, however our nominal model does). Reflectance  $r_{LS}$  is in units of  $sr^{-1}$ .



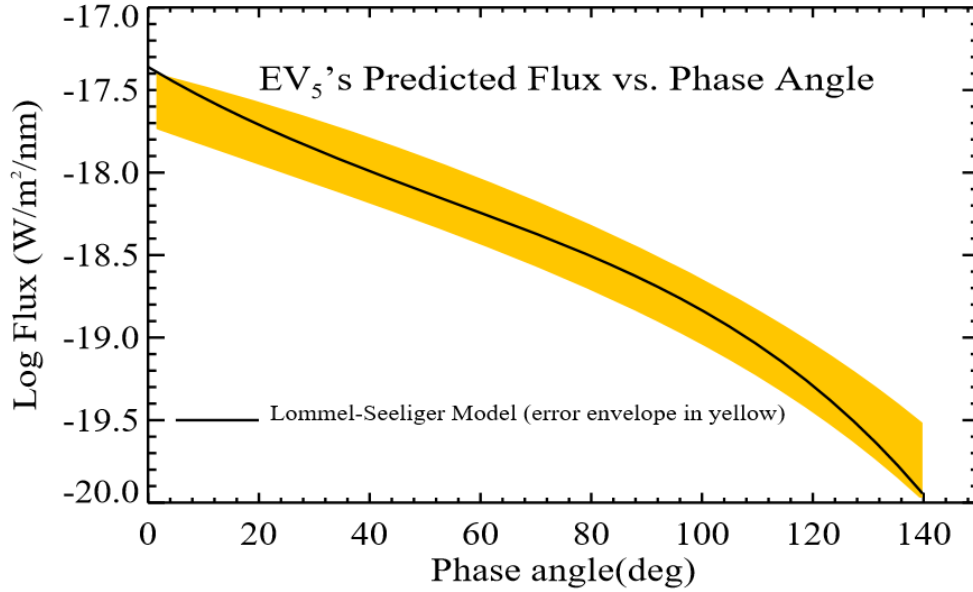


Figure 15: The logarithm of flux in  $W/m^2/nm$  as a function of phase angle predicted by the Lommel-Seeliger model (black solid fit with a yellow error envelope) at 550 nm.

## 2. Geometric Albedo, Phase Integral, and Spherical Albedo for 2008 EV<sub>5</sub>:

The minimum and maximum models capture the uncertainties in the size of 2008 EV<sub>5</sub>, its low and high phase-angle behavior, and the scatter in the moderate phase angle ground-based observations of 2008 EV<sub>5</sub>. Using the Lommel-Seeliger model minimum, maximum, and nominal geometric albedo ( $A_{geo}$ ), phase integral ( $q$ ), and spherical albedo ( $A_{sph}$ ) for 2008 EV<sub>5</sub> are computed, using the methodologies described in Takir et al. [2015] (Table 16). The spherical albedo and phase integral are important quantities to compute the bolometric Bond albedo map, used for making temperature predictions across the surface of 2008 EV<sub>5</sub> during the boulder acquisition events, as well as for thermal inertia calculations.

Table 16: 2008 EV<sub>5</sub>'s geometric albedo, phase integral, and spherical albedo.

	Geometric Albedo ( $A_{geo}$ )	Phase Integral ( $q$ )	Spherical Albedo ( $A_{sph}$ )
Lommel-Seeliger Model	$0.133^{+0.010}_{-0.083}$	$0.39^{+0.16}_{+0.15}$	$0.052^{+0.027}_{-0.021}$

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## *Appendix B1: Full Response on the Boulder Spatial and Size Distributions*

### **What is the expected size-frequency distribution for boulders on 2008 EV<sub>5</sub>?**

- **Based on the current radar data, what can be said about the size-frequency distribution for boulders on 2008 EV<sub>5</sub>?**

*Modified excerpts from write-up provided by Michael Busch (see Appendix B2):*

Boulders of a wide range of sizes, from ~100-m to sub-meter cobbles, are present in large numbers on the surfaces of all three NEAs so far visited by spacecraft (Eros, Itokawa, and Toutatis). This is consistent with NEAs being derived from products of the collisional cascade in the main asteroid belt: NEAs larger than 100-200 m in diameter are predominately rubble pile aggregates.

Boulders are evident in radar images of a large number of NEAs. They appear as single or small clumps of radar-bright pixels that track with a target asteroid's rotation, indicating features on the asteroid's surface, and that are offset from the rest of the radar echo, indicating that they are high-standing relative to the surface around them. The interpretation of such radar-bright features as boulders is verified by comparison between 2012 radar images of Toutatis and optical images of Toutatis from the Chang'E-2 spacecraft (Figure 16 and Figure 17).

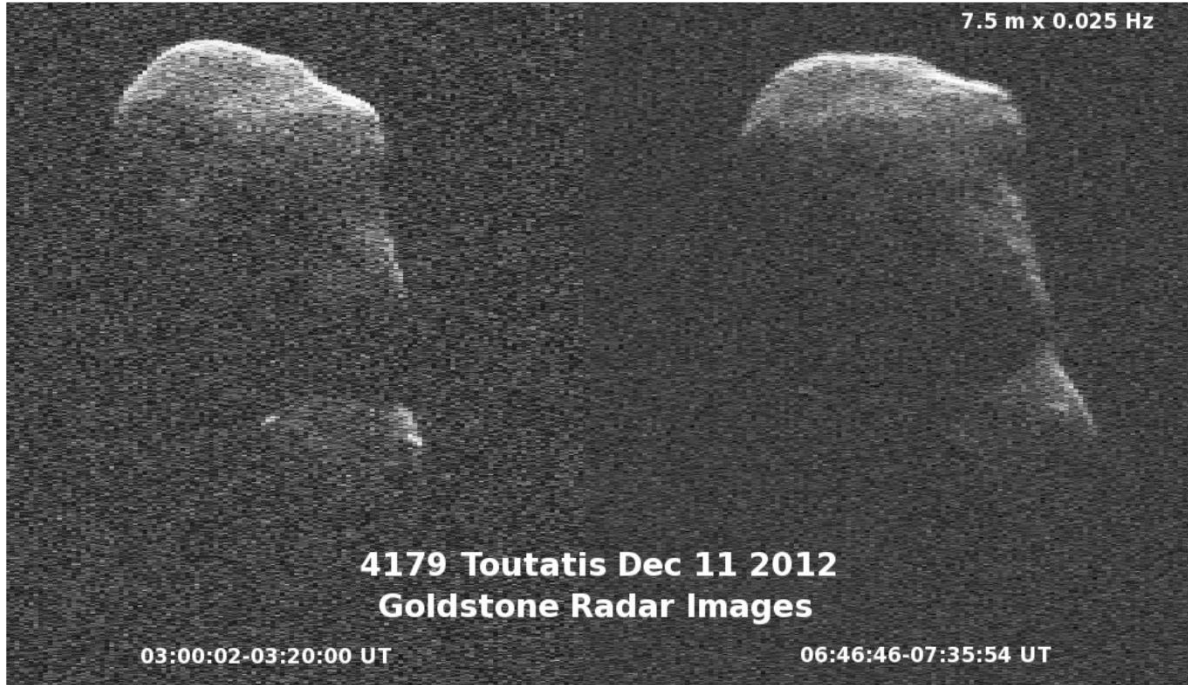


Figure 16: Radar images of Toutatis showing the bright features that are interpreted as boulders [JPL, 2015].



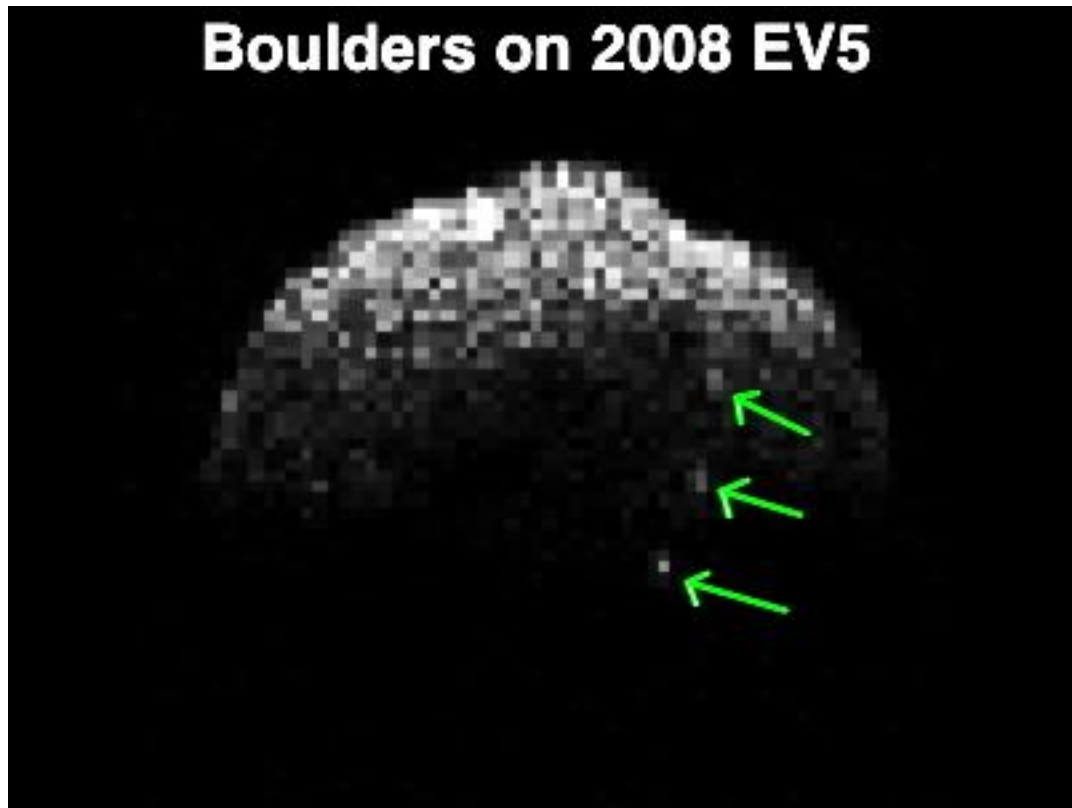
Figure 17: Optical image of Toutatis taken from the Chang'E-2 spacecraft [Huang et al., 2013].

Boulders have been seen on more asteroids as the resolution of radar images has improved. For a review of radar images of boulders on NEAs, see Benner et al. [2015].

Radar observations also provide very approximate information on the presence of cobbles on the scale of the radar wavelength, 0.035 m for the Goldstone Solar System Radar and 0.126 m for the Arecibo Radar, by measuring the radar scattering properties of the surface. See Nolan et al. [2013] for discussion.

2008 EV<sub>5</sub> made an 8.4 lunar distance (0.022 AU, 3.2 million km) flyby of Earth on 2008 December 23, and was observed with ground-based astronomical radars over 2008 December 16-27. The highest-resolution radar images were obtained with Arecibo during 2008 December 23-27 and have resolution of 7.5 m in range from Earth. Details of the radar observing campaign and discussion of 2008 EV<sub>5</sub>'s trajectory, spin state, and shape are given in Busch et al. [2011].

The candidate boulders visible in the radar images from 2008 December 23, 26, and 27 appear as unresolved single bright pixels or as two adjacent bright pixels (Figure 18). Given a range resolution of 7.5 m, an unresolved boulder is less than 15 m in diameter – only the Earthward side of each boulder was illuminated by the radar. Some boulders are visible more than 50 m behind the trailing limb of 2008 EV<sub>5</sub>, implying that they are at least 7 m higher than their surroundings. These boulders are described as “10 m scale.”



*Figure 18: Range-Doppler radar image of 2008 EV<sub>5</sub>, obtained at Arecibo Observatory at 2008 December 23 07:41 UT. Range from Earth increases from top to bottom. Image resolution is 7.5 m/pixel in range. The large concavity at 2008 EV<sub>5</sub>'s equator is visible at upper right. Green arrows denote three candidate 10-m-scale boulders.*

The radar images from 2008 December were all obtained with the subradar point just south of 2008 EV<sub>5</sub>'s equator. This means that candidate boulders cannot be identified near the asteroid's north pole or at equatorial latitudes. Near the equator, larger areas of the 2008 EV<sub>5</sub>'s surface fall within a given range-Doppler radar pixel and small boulders are lost to confusion with the surface around them. At present, 10-m-scale boulders can be identified over about half of 2008 EV<sub>5</sub>'s surface. Finally, the range-Doppler projection has a north-south ambiguity. For most of the candidate boulders

identified, there is ambiguity about the hemisphere where they reside. The exception is a prominent boulder near the asteroid's south pole (lowest arrow in Figure 18).

With these caveats, it is possible to identify six distinct candidate 10-m-scale boulders on 2008 EV<sub>5</sub>'s surface by visual inspection of the radar images. At least ten such boulders likely exist over the asteroid's entire surface.

Based on 2008 EV<sub>5</sub>'s radar scattering properties and the highest-resolution images of asteroid surfaces from spacecraft (Eros and Itokawa), there are millions of 10-cm scale cobbles on 2008 EV<sub>5</sub>.

If there is a power-law distribution between the two size ranges sampled by the available radar data, as seen on Itokawa and Eros, there are probably a few hundred 3-m scale boulders on 2008 EV<sub>5</sub>'s surface. There should be an abundant number of choices for the ARRM.

*End of excerpts*

Figure 19 is a plot of the cumulative number of boulders greater than or equal to a given diameter normalized by the count area versus boulder diameter. Data for global and local counts of Eros and Itokawa are shown, in addition to local counts of Phobos. The equivalent data points for 10-m and 10-cm boulders on 2008 EV<sub>5</sub> based on radar observations are also plotted. The 10-m 2008 EV<sub>5</sub> data point lies on top of the Eros global dataset. If it is assumed that there is a power-law distribution of boulders on 2008 EV<sub>5</sub> that follows that of the Eros global dataset, ~16,000 1-5 m boulders (~1,300 2-3 m boulders) on the surface of 2008 EV<sub>5</sub> would be expected. If it is assumed that there is a power-law distribution of boulders on 2008 EV<sub>5</sub> that connects the radar 10-m data to the radar 10-cm data, ~3,000 1-5 m boulders (~360 2-3 m boulders) on the surface of 2008 EV<sub>5</sub> would be expected. Please note that there are major assumptions made to derive these estimates. The following equations can be used to calculate the cumulative number of boulders per square meter on 2008 EV<sub>5</sub> (to calculate the number for the whole asteroid, multiply by the surface area, 540,000 m<sup>2</sup>; to calculate the number of boulders in a given range, subtract the total from the larger diameter from the total from the smaller diameter):

Lower line (connecting 2008 EV<sub>5</sub> 10-m radar boulders to 10-cm roughness):  
(Cumulative # boulders ≥D)/m<sup>2</sup> = (5.8438e-3)\*D<sup>-2.5</sup>

Upper line (connecting 2008 EV<sub>5</sub> 10-m radar boulders to Eros global count):  
(Cumulative # boulders ≥D)/m<sup>2</sup> = (2.9293e-2)\*D<sup>-3.2</sup>

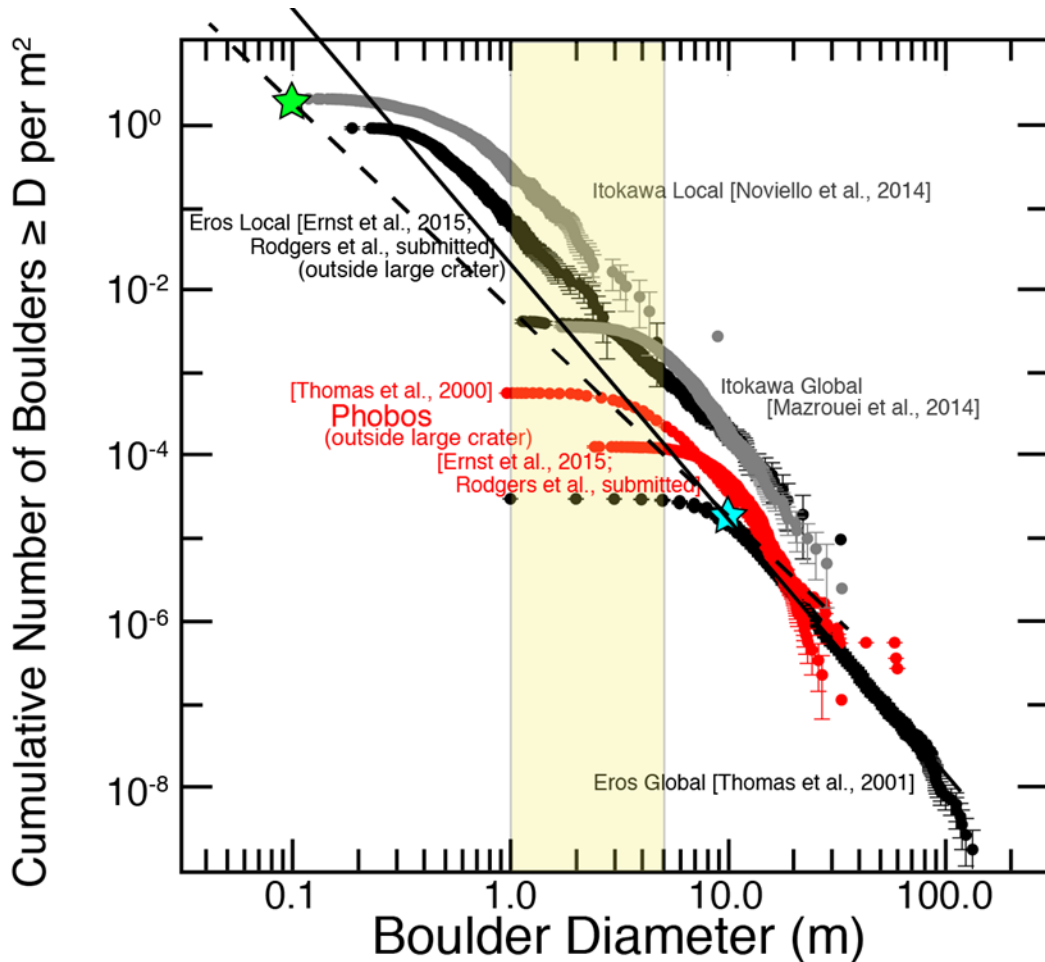


Figure 19: Measured block populations on Eros, Itokawa, and Phobos. The yellow rectangle indicates the 1-5 m boulder size range of interest for the ARRМ. The cyan and green stars represent the 10-m boulder observations and the 10-cm cobble size, respectively, for 2008 EV<sub>5</sub> based on radar (see Busch write-up excerpts and Appendix B2). The surface area of 2008 EV<sub>5</sub>, used to normalize the radar boulder counts, is taken to be 540,000 m<sup>2</sup>. The solid line extrapolates from the 10-m 2008 EV<sub>5</sub> data point using the Eros global power-law distribution (-3.2). The dashed line connects the two 2008 EV<sub>5</sub> data points.

- Can any relevant information be extrapolated from existing data from other C-complex asteroids (i.e., Bennu)?

The available data to answer this question is limited. The most appropriate data that exist today come from radar studies of 2005 YU<sub>55</sub> and 1992 UY<sub>4</sub>, small C-complex asteroids in near-Earth space that are possibly organic-rich. Analysis suggests boulders exist on both of those bodies [Benner et al., 2015].

Available in-situ asteroid data from spacecraft come from main belt asteroids Mathilde, the ~53 km C-type flyby target of the NEAR mission, and Lutetia, the ~100 km X-complex flyby target of ESA's Rosetta mission. Mathilde was only imaged at 160 m/pixel, insufficient to determine whether boulders exist [Thomas et al., 1999]. Boulders are observed on Lutetia, however Lutetia's precise composition is debated – some favor some kind of high-albedo carbonaceous chondrite, while others favor an enstatite chondrite match [Barucci et al., 2015]. Boulders have been observed on bodies that could also be broadly

characterized as C-complex, including Phobos and Deimos, the carbonaceous chondrite-like moons of Mars, as well as comet Churyumov-Gerasimenko, the final destination of the Rosetta mission (Table 17).

Hayabusa2 will arrive at the C-type asteroid Ryugu (formerly 1999 JU<sub>3</sub>) in June of 2018. OSIRIS-REx will arrive at the B-type asteroid Bennu in August of the same year. The observations of Bennu and Ryugu will provide critical inputs to the ARRM, not only because these will be the first carbonaceous asteroids for which high-resolution images are available, but also because they are roughly similar in size and shape to 2008 EV<sub>5</sub>. This may mean that they have undergone similar evolutions, but this is not definitive. Comparisons of Bennu and Ryugu to Eros and Itokawa will be vital for determining whether what is known from the extensive literature on Eros and Itokawa can reasonably be extrapolated to other near-Earth asteroids (e.g., boulder size-frequency distributions, boulder spatial distributions, etc.), or whether they are not representative. Regardless, the data from Hayabusa2 and OSIRIS-REx, along with the with what is already known about Eros and Itokawa, will provide a more complete picture of asteroid properties for two main taxonomic types in the NEA population. Additionally, the observations of Bennu and Ryugu will also provide important “ground-truthing” of Earth-based remote sensing observations and have implications for detecting boulders from these types of observations.

That said, OSIRIS-REx and Hayabusa2 will not arrive at Bennu or Ryugu until mid-2018—too late to provide inputs into the mechanical designs and mission requirements, but before the currently scheduled ARRM launch date.

*Table 17: Small bodies for which boulder counts have been made from spacecraft imaging. The minimum boulder sizes measured are directly related to the best image resolution available for a given object.*

Name	Mean Diameter (km)	Spectral Type	Minimum boulder size of global count (m)	Minimum boulder size of regional count (m)	Power law found	Data source	References
Eros	17	S	15	0.05	-3.2 as low as -2.3 locally	NEAR	Thomas et al., 2001; C. Ernst, personal communication
Itokawa	0.35	S	6	0.1	-3.1 -3.5 as low as -2.2 locally	Hayabusa	Michikami et al., 2010; Mazrouei et al., 2014; Noviello et al., 2014; C. Ernst, personal communication
Toutatis	3	S	n/a	10	n/a	Chang'E-2	Jiang et al., 2015
Lutetia	98	M	n/a	60	-5.0	Rosetta	Küppers et al., 2012
Ida	31	S	n/a	45	n/a	Galileo	Lee et al., 1996
Phobos	22	D	n/a	~4	-3.3	Viking MGS MEX MRO	Thomas et al., 2000; Ernst et al., 2015; C. Ernst, personal communication
Deimos	12	D	n/a	~4	-3.2	Viking	Lee et al., 1986; C. Ernst, personal communication
Churyumov-Gerasimenko	4	comet	7	n/a	-3.6 global local ranges -2.2 to -4.0	Rosetta	Pajola et al., 2015

- **Is it expected that the size-frequency distribution of boulders on 2008 EV<sub>5</sub> follows a power law distribution?**

Power-law fits can be made to boulder fits for bodies where sufficient data are available (see Table 17). A power-law distribution would also be expected for fragments produced by fracturing. The boulders themselves may have been produced by more than one of the following mechanisms (e.g., collisional origin of 2008 EV<sub>5</sub>, impact cratering, thermal fracturing of native rock, etc.). This means the power-law measured is dependent on local geological context, material strength, and possibly the sizes of the boulders that break down to produce smaller boulders. A power-law index is observed for many terrestrial fragmented objects [Turcotte, 1997; see also Table 1 in Pajola et al., 2015]. Those materials listed in Pajola et al. [2015] show power laws ranging from -1.89 to -3.54.

*Excerpts from Rodgers et al., submitted [also see Ernst et al., 2015]*

Analyses of the Surveyor [Cintala and McBride, 1995], Viking 1 and 2, Mars Pathfinder, Phoenix, Spirit, Opportunity, and Curiosity landing sites [Golombek and Rapp, 1997; Golombek et al., 2003; 2008; 2012; Arvidson et al., 2008] have indicated that for a reasonable difference in size (a factor of several to ten), the size-frequency distribution (SFD) of blocks can be modeled, allowing extrapolation from large-block SFDs measured from orbit to population densities of smaller blocks. By characterizing the larger size range of the block distribution from orbital imaging, the distribution of smaller blocks is estimated. From that estimate, the probability of a lander encountering hazardous blocks can be calculated for a given lander design. Such calculations are used routinely to vet candidate sites for Mars landers [Golombek et al., 2003; 2008; 2012; Arvidson et al., 2008].

Global and local block SFDs for Eros, Itokawa, and Phobos are shown in Figure 19. Remarkably, the distributions of blocks from 0.5 to 100 m in diameter are on average well fit by a power-law slope on the order of -3 regardless of block scale. Some deviations in slope are apparent regionally, and for differing block size ranges. There are also some variations in absolute block densities, but broadly the slopes remain consistent from body to body.

The Mars Orbiter Camera (MOC) on Mars Global Surveyor obtained a small number of high-resolution images of Phobos useful for measuring blocks 5 m or larger in size. These images are concentrated in the area just east of Stickney crater, in an area interpreted to contain blocky ejecta from that crater [Thomas et al., 2000]. Block counts performed by Thomas et al. [2000] and in this study both indicate a power-law slope similar to those of Eros [Thomas et al., 2001] and Itokawa global counts [Michikami et al., 2010; Mazrouei et al., 2014], with the absolute density of blocks similar to that of global Eros.

In the cases of Eros, Itokawa, and Phobos, the approach of extending the SFD from large, tens-of-meter-sized blocks down to small, tens-of-centimeter-sized blocks using a power-law fit to the large population yields reasonable estimates of small block populations. It is important to note that geologic context matters for the absolute block density – if lower-resolution counts include multiple geologic settings, they will not extrapolate accurately to local areas containing only one setting.

*End of excerpts*



The power law exponent of -5.0 for the SFD of large boulders on Lutetia is significantly higher than that for Eros, Itokawa, and Phobos [Küppers et al., 2012]. The local counts of Eros and Itokawa using very high-resolution images often yield power-law exponents lower than the global count SFDs. It is unclear whether this indicates a power-law progression from the largest boulder sizes observed (100-300 m) down to the smallest boulder sizes observed (10s of centimeters).

- **What is the expected distribution of boulder shapes for boulders on 2008 EV<sub>5</sub>?**

Mazrouei et al. [2014] measured the aspect ratio for boulders greater than six meters in diameter on Itokawa (see figure 5 of that paper). Most boulders of this size are found to be elongated with b/a ratios of 0.7 (width/length). The third, vertical dimension of boulders (height) cannot be determined in most of the Hayabusa images to provide reliable estimates of c/a ratios (height/length). Michikami et al. [2010] report b/a ratios for Itokawa boulders to be 0.62-0.68. Michikami et al. [2016] measured 21 boulders on Itokawa, finding a mean c/a of 0.46.

Table 18 contains a compilation of several reports of fragment dimensions based on laboratory impact experiments. Note that the fragments are not actually 3-axis ellipsoids, but rather are irregular in shape (see Figure 20).

An open question is whether the aspect ratio would be different for weaker rocks (e.g., those found on a C-type asteroid like 2008 EV<sub>5</sub>) and how much of an influence thermal degradation might have.

*Table 18: Compilation of fragment ratios b/a and c/a from several publications in the literature. Dimensions are defined to be a>b>c.*

Reference	Target	Projectile	Impact Velocity	b/a	c/a
Fujiwara et al., 1978	Basalt	Polycarbonate cylinders	1-4 km/s	0.73	0.50
Capaccioni et al., 1986	Basalt Concrete	Aluminum spheres	9 km/s	0.7 ± 0.15	0.5 ± 0.15
Giblin et al., 1998	Porous ice	Solid ice	6 km/s	0.56-0.71 ± 0.1-0.2	0.40-0.48 ± 0.1-0.2
Durda et al., 2015	Basalt	Aluminum spheres	4-6 km/s	0.72 ± 0.13	0.39 ± 0.13
Michikami et al., 2016	Basalt	Nylon spheres	1.6-7.0 km/s	0.7	0.5

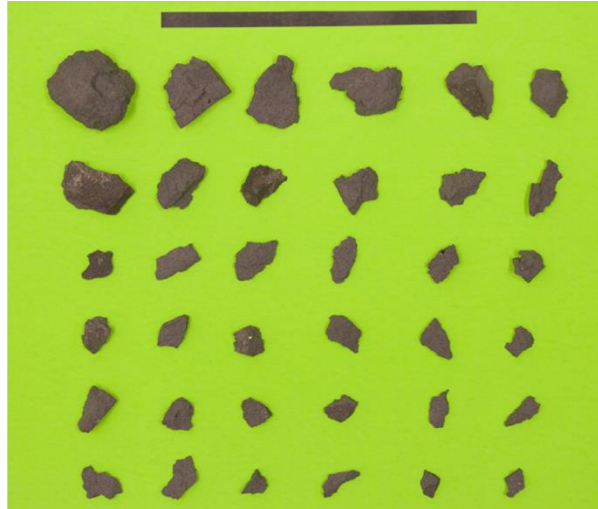


Figure 20: Example of fragment shapes from impact experiments. [Durda et al., 2015, figure 4]

### What is the expected spatial distribution of ~1-5 meter boulders on 2008 EV<sub>5</sub>?

- **Where on 2008 EV<sub>5</sub> have boulders been detected?**

Although a large percentage of 2008 EV<sub>5</sub>'s surface was observed by radar, only approximately half of the area permitted the identification of candidate boulders. Over this area, six distinct candidate 10-m-scale boulders were observed [see Busch write-up excerpts and Appendix B2]. However, due to the nature of the radar data (see also response concerning size-frequency distribution above and in Appendix B2), the location of the boulders cannot be determined, with the exception of one prominent boulder that is located near the asteroid's south pole.

- **Given an assumed number of certain size boulders based on a power law, is there anything that can be said about the spatial distribution of these boulders on an asteroid's surface? Specifically, does spin rate play a role in concentrating certain sized boulders at certain latitudes?**

Based on the number of observed boulders, the number of cobbles inferred from radar roughness, and the assumption that a power-law relationship exists between boulder diameter and cumulative size-frequency distribution, the number of boulders of a given size per area (e.g., Figure 19) can be calculated assuming a roughly uniform distribution across the surface. This information alone does not provide further information about the actual distribution.

On Itokawa, potential lows are "ponds" full of cm-sized cobbles, and most of the boulders are located in other regions of the asteroid. If this is true for 2008 EV<sub>5</sub>, concentrations of ponds at the geopotential lows with boulders at higher regions within the geopotential should be expected. The location of these geopotential lows is a strong function of the asteroid density (see Figure 21). For a low density of 1.5 g/cm<sup>3</sup>, the low will be at the equator and within the prominent concavity seen in the radar data. For a large density of 2.5 g/cm<sup>3</sup>, the geopotential low shifts off of the equator and no longer lies within the likely crater, but instead is at the base of the ridge.

Although multiple mechanisms can be responsible for the presence of boulders on the surface (e.g., reaccumulation, the Brazil nut effect, etc.), if the boulders are sourced from the likely crater that shows up as a large concavity in the radar shape model, the distribution of the boulders would depend upon ejecta patterns around an irregularly shaped body and would require much more analysis to estimate. However, it is expected that the boulders would preferentially settle in the equatorial or near-equatorial regions.

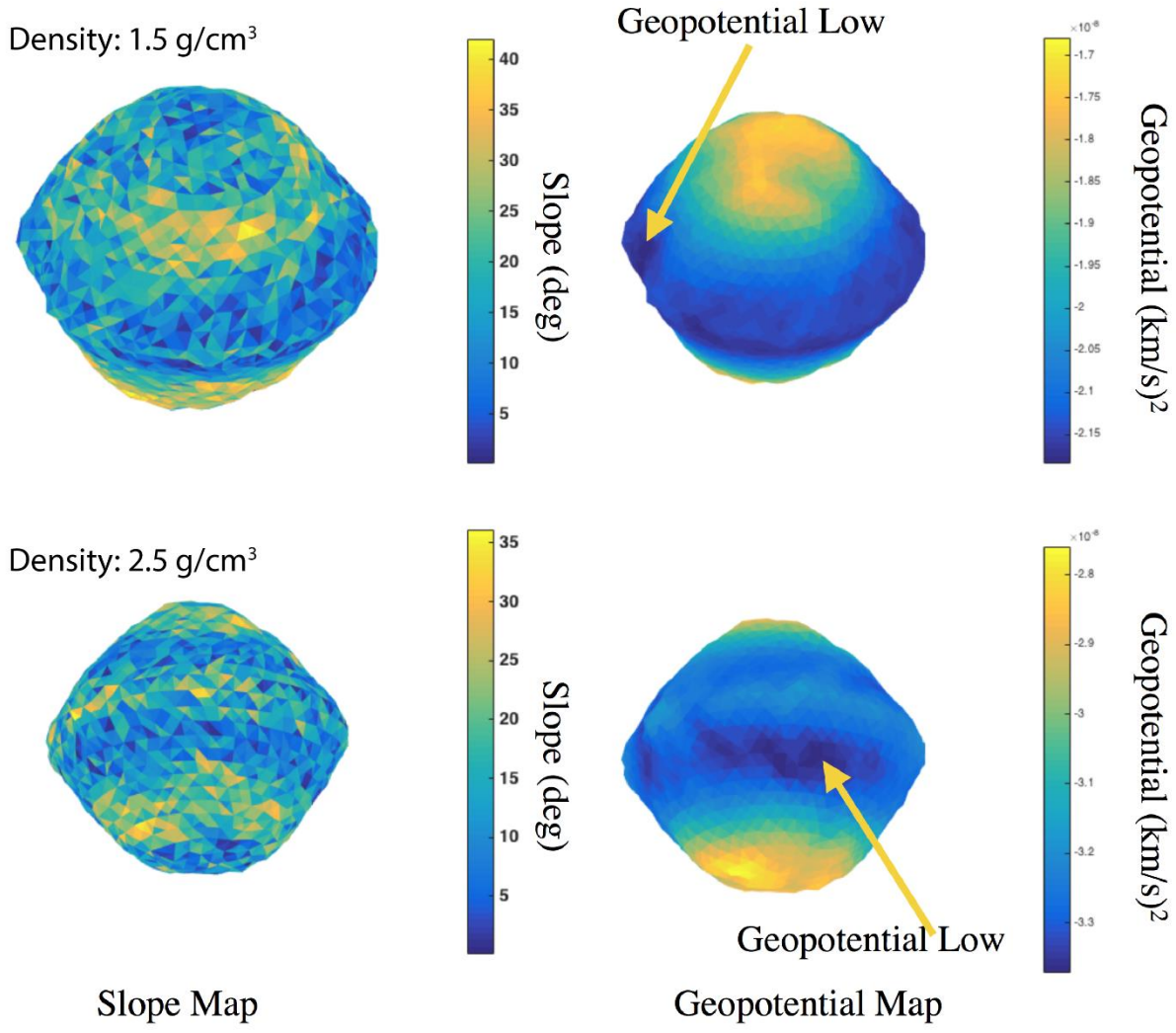


Figure 21: Maps of slope and geopotential for 2008 EV<sub>5</sub> assuming a bulk density of 1.5 g/cm<sup>3</sup> (top row) and 2.5 g/cm<sup>3</sup> (bottom row). The “lowest point” on the body shifts with the density of the body. At low densities, the low is at the equator and in the likely crater. At higher densities, the low is off of the equator and not in the likely crater. [Scheeres, personal communication]

**What is the expected distribution in safe landing areas around ~1-5 m boulders on 2008 EV<sub>5</sub>? For a 10-m diameter circle centered on the target boulder, what is the expected range and likelihood over that range for the following landing site properties on C-type asteroids?**

- **Spatial and size distribution of boulders**

As before, an assumption of the boulder population on 2008 EV<sub>5</sub> using a power law would be needed as a starting point (keep in mind that the “correct” power law to use is not known). Estimates of the number of boulders of a given size in a 10-m diameter circle (area = 78.5 m<sup>2</sup>) assuming a uniform distribution of boulders across the surface can be made. Reading the numbers off of the y-axis of the plot in Figure 19 will give the number of boulders greater than or equal to a given diameter in a 1-m<sup>2</sup> area. Multiplying this value by the 78.5 m<sup>2</sup> area of interest will yield the total number of boulders greater than or equal to a given diameter in a 10-m diameter circle. If the boulders are not roughly uniformly distributed across the surface, more assumptions must be made.

- **Would the distribution of small 10-cm-size and larger 2- to 3-m diameter boulders be expected to be similar?**

This cannot be known with certainty. Likely, the processes acting to move 10-m boulders would be similar to those acting to move 2-3-m boulders. However, the responses might differ in that massive objects tend to be more easily fragmented than smaller ones, with strength decreasing with approximately the square root of size, yet require more energetic events to dislodge and accelerate.

- **Local topography**

The radar images of 2008 EV<sub>5</sub> have a resolution of 7.5 m/pixel in range [Busch et al., 2011]. Therefore, the model can provide local geometric topography to approximately 15 m. Outside of boulders and craters, local slopes generally would not be expected to change significantly from the 15-m scale down to the 1-m scale.

- **Dust environment**

Another environmental concern that needs to be considered is the dust environment that could be a potential hazard for instrumentation (e.g., camera lenses, inlets, etc.) and/or systems (seals, joints, exposed bearings, solar panels, etc.). The main hazards associated with the dust environment are: 1) spacecraft sinking during landing and/or ascent; 2) high cohesion between regolith and spacecraft contact pad; 3) electrostatic motion of small dust grains; and 4) dust and debris created by physical interaction during the boulder capture process (e.g., thruster plume, contact pad interaction, boulder acquisition and separation). The risk of the spacecraft sinking into the regolith during landing or ascent is dependent on the compaction of the regolith (expected packing fraction of 0.59, see discussion in “Surface Geotechnical Properties” section). The compaction of the regolith is expected to be essentially uniform about the body except immediately next to boulders, where there may be a regolith “apron” [Robinson et al., 2002]. The regolith apron (produced either by the migration of dust or dust production from thermal cycling of the boulder) is unlikely to be deep enough to produce a serious sinking hazard. A discussion of the cohesion between regolith and the spacecraft contact pad is given in the “Surface Geotechnical Properties” discussion. A regolith apron is likely to be composed of small, uncompacted regolith grains, which would form relatively strong cohesive bonds with the spacecraft. However, the fact that this apron of dust is overlaying the more densely packed surface indicates that the material is likely to fracture during ascent at this striation. The plasma environment while the spacecraft is on the surface remains unknown. In order to minimize the likelihood of contamination of the spacecraft by electrostatically controlled dust, the landing operation should take place close to the subsolar point (to reduce shadows, which can produce

strong electric fields) and in a region with few micron-sized and smaller grains (which would be more likely to levitate if detached from the surface) [Hartzell and Scheeres, 2013], as investigated by multispectral photometry if available.

- **What other properties should ARM be concerned with?**

Local slopes will influence landing site safety beyond the implications for hazards to the solar arrays. Tipping hazards will be present that could seriously affect the landing operations. The highest resolution images of Eros at pixel scales of 0.014-0.027 m (Figure 22) reveal a complex geomorphology at the sub-meter scale, especially in the flat areas where sample collection would otherwise be the easiest (e.g., the idealized flat, competent area with a 3-m boulder just sitting there). Eros-sized asteroids have abundant fine materials compared to smaller asteroids, which are coarser due to winnowing by solar wind and radiation effects [Hartzell and Scheeres, 2013]. The sweeping of fines ejected by electrostatic forces, impact vibrations, and thermal shocks leaves behind coarser material in the lag deposits of asteroids.

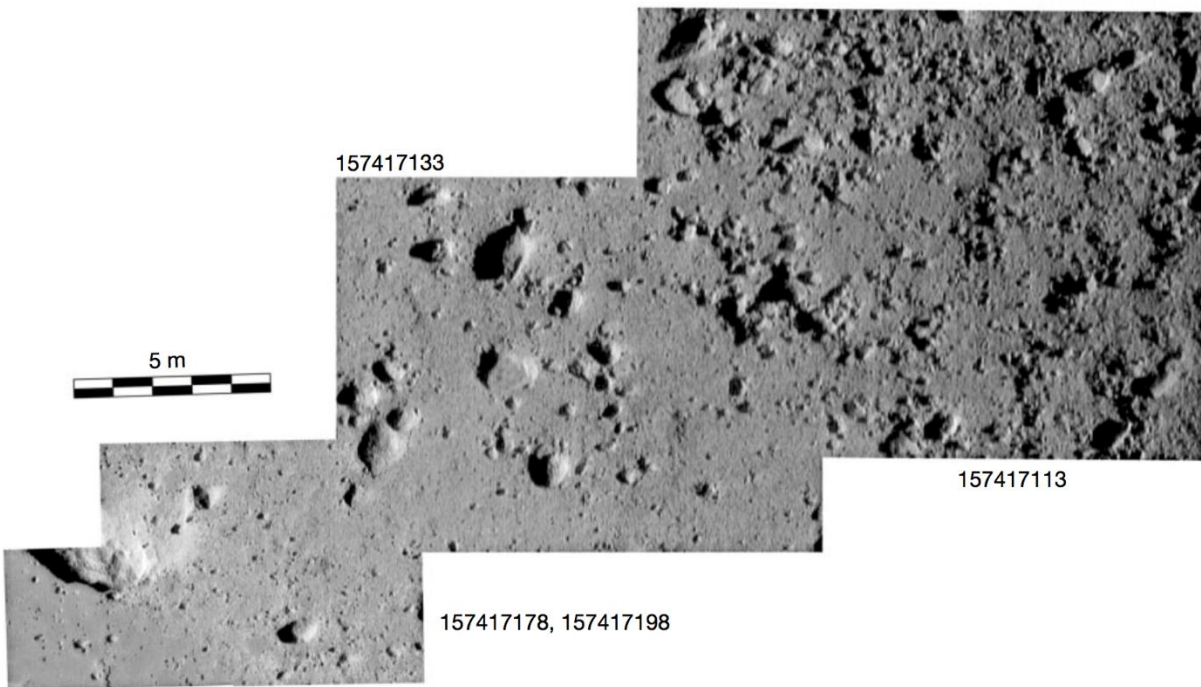


Figure 22: The last four descent-sequence NEAR images of Eros. The pixel scale of these images ranges from 0.014-0.027 m [Veverka et al., 2001, figure 3].

Steep cratered topography is not prevalent on small asteroids; most small bodies seen up close and with radar appear to conform (within some reasonable angle of repose) to equilibria of figure. On Itokawa, the smallest asteroid for which there are good images, there are very few craters [Hirata et al., 2009]. On Eros, seismic shaking has acted to erase many (though not all) craters less than 100 meters in diameter [Chapman et al., 2002; Thomas and Robinson, 2005], and by implication other loose topography at that scale. By implication Eros' regolith is loose to 100 meters, perhaps globally [Robinson et al., 2002]. A thick mobile regolith would also explain the relatively flat topography; less than 5% of the surface of Eros is steeper than 30° [Zuber et al., 2000].

Therefore, relatively flat, boulder-populated areas are, generally speaking, predicted to exist on 2008 EV<sub>5</sub>. However, the nature of these flat areas at the spatial scale of the CRS contact pads (~1 m) requires careful consideration (see the response in the “Surface Geotechnical Properties” section). For a landing velocity exceeding the crushing stress of the particulate regolith surface, the asteroid material may fluidize and slide out of the way of the lander legs, instead of holding in place to support them. Therefore, care must be taken that the landing is done with minimal deceleration and little vibration.

#### **What is the expected distribution in depth of burial for ~1-5 m boulders on 2008 EV<sub>5</sub>?**

- **Based on the theories of how asteroids and boulders form and evolve, is there anything that can be said about the likely range or distribution of burial depths?**

Due to the nature of spacecraft images of Eros and Itokawa, there is minimal information with regard to the burial of boulders on their surfaces. Regolith does migrate on asteroids, either from potential highs to lows (e.g., Itokawa) or via crater ejecta (probably less important on smaller objects, as a lot of ejecta is likely to exceed escape velocity).

A minimum regolith depth of 20-40 m on Eros has been estimated based on the excavated volume of all large craters [Thomas et al., 2001]. Geomorphic observations indicate 50-100 m regolith depth, possibly globally [Robinson et al., 2002]. On Itokawa, regolith depth is estimated at a minimum of ~2.3 m in the lowlands, based on roughness measurements [Barnouin-Jha et al., 2008], transitioning to a global rubble pile [Fujiwara et al., 2006].

- **Is there a way to determine/estimate the depth of burial from the visual images from the characterization phase?**

Boulders formed in fragmentation events have an average aspect ratio a:b:c (length:width:height) of 1:0.7:0.5 (2:√2:1) (Table 18). Assuming these shapes, burial estimates could be made based on three-dimensional images taken by the ARV. If the boulder's maximum dimension parallel to the ground does not coincide with the intersection with the regolith, a symmetric shape to the boulder could be assumed and a depth of burial estimated. Three-dimensional images of the boulder will be essential for this characterization. Observations of the distribution of regolith and surface slopes/potential could help determine whether regolith has moved into/out of the area and may have buried boulders.

- **What other ways are there to determine/estimate the depth of burial from the visual images from the characterization phase? What other ways are there to determine/estimate the depth of burial in-situ?**

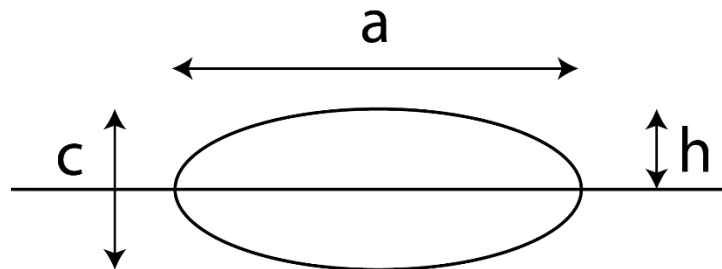
Seismic shaking can dislodge and transport boulders from depth [Asphaug et al., 2001; Miyamoto et al., 2007] as part of a convective size-sorting (Brazil nut effect and related mechanisms). Deflation can leave behind exposed surface structures like remnants and clods. Many such apparent clasts may be too weak for ARRM boulder retrieval. Embedded boulders emerging from the subsurface could be more difficult to extract than boulders that have been tossed downhill onto existing regolith surfaces. Mission emphasis should be to identify boulders that have survived ejection or been scattered by landslide movements, and avoid exclusively focusing on boulders buried in smooth sediments. Boulders found in rougher, higher-energy environments would be stronger on average than random clasts found in regolith, and would be subject to a much lower possibility of small particulate cementation. Among these, boulders

that further show evidence for meteoroid fragmentation and spallation would indicate greatest competency. A sampling approach that is able to operate in a boulder-strewn environment is likely to find very many strong, suitably-sized boulders to choose from.

If a flat operational environment is required, such as a gravel-field with an isolated boulder or a wide margin, then cohesion of the regolith is more of a concern. Cementation of discrete boulders by regolith can possibly be detected by thermal imaging, as generally speaking, a boulder cohesively coupled to the regolith would also be thermally coupled. This might show up as conductive cooling on week-long timescales. In principle this rock/regolith thermal coupling can be investigated by thermal cameras before the sampling is conducted, to help in selecting among candidate boulders.

Laser altimeter data could also be used to measure the exposed height of boulders (' $h$ ' in Figure 23), thus measuring the short-axis (' $c$ ') dimension. This could be compared to the expected ' $a$ ' dimension, other boulders on 2008 EV<sub>5</sub>, other boulders on Itokawa, Ryugu, and Bennu, and expected impact fragment dimensions (see Table 18) to place estimates on burial depth, as depicted in Figure 23.

Ground Penetrating Radar (GPR) is another promising approach [e.g., Hamran et al., 2014] to rock and hazard avoidance. Generally the technique is capable of imaging dielectric contrasts through a few meters of loose rocky material; however, the imaging technique works best for a background material with relatively uniform dielectric properties. Therefore, it would be a good choice for imaging boulders embedded in beds of dust, for instance, but not for imaging the specific configurations of boulders within blocky landslides and ejecta deposits, for which multiple scattering effects diminish the signal. As an added investigation, GPR would provide valuable contrast and mitigate risks in dusty environments where the temptation will be to land (because it is flat), and because it can obtain subsurface context wherever the sample is acquired. The added mass and cost of such an instrument is not insubstantial, but the most critical operational aspect is the possibly low SNR of the measurements. The radar electronics and antenna have to be isolated from the spacecraft electronics, which can become a strong source of noise, especially when motors are involved. The spacecraft itself is a strong radar reflector, and due to the relatively omnidirectional nature of GPR, it is challenging to image boulders in close proximity if they are comparable in size to the major spacecraft elements. If 2008 EV<sub>5</sub> is the target asteroid, and if the CR-designation holds, then the high-metallic content of analogous materials would lead to a radar response that might enhance meter-scale imaging by providing strong contrasts (e.g., a metallic lag beneath silicate dust) or obscure imaging by scattering and attenuation.



*Figure 23: Example of a buried boulder. The dimension  $h$  could be measured with a laser altimeter and the dimension ' $a$ ' could be measured with a camera. By assuming a typical  $a:c$  ratio from other boulders on the body, from boulders on Itokawa, or from impact fragment experiments, the dimension ' $c$ ' could be calculate, and the depth of burial estimated.*



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## *Appendix B2: Input from Michael Busch concerning Boulders on 2008 EV<sub>5</sub>*

*Note: Input from non-FAST members has not been edited and is included as received.*

### **Boulders on the Surface of 2008 EV<sub>5</sub>**

Michael W. Busch  
SETI Institute, Mountain View, California  
Prepared 2015 September 17

The near-Earth asteroid (NEA) 2008 EV<sub>5</sub> was discovered on 2008 March 4 by the Catalina Sky Survey. EV<sub>5</sub> made an 8.4 lunar distance (0.022 AU, 3.2 million km) flyby of Earth on 2008 December 23, and was observed with ground-based astronomical radars over 2008 December 16-27. The highest-resolution radar images were obtained with Arecibo during 2008 December 23-27 and have resolution of 7.5 m in range from Earth.

Details of the radar observing campaign and discussion of EV<sub>5</sub>'s trajectory, spin state, and shape are given in Busch et al. 2011 (*Icarus* 212, 649-660, available at: <http://echo.jpl.nasa.gov/asteroids/2008EV5/busch.etal.2011.2008ev5.pdf> ). EV<sub>5</sub>'s overall shape is a 400-m spheroid with an equator-aligned ridgeline broken by a single ~150 m concavity. Infrared spectroscopy suggests a composition analogous to CM meteorites (Reddy et al. 2012, *Icarus* 221, 678-681, available at <http://arxiv.org/abs/1209.1207> ).

### *Boulders on NEAs*

Boulders or blocks of a wide range of sizes, from ~100 m to sub-meter cobbles, are present in large numbers on the surfaces of all three NEAs so far visited by spacecraft (Eros, Itokawa, and Toutatis). This is consistent with NEAs being derived from products of the collisional cascade in the main asteroid belt: NEAs larger than 100-200 m in diameter are predominately rubble pile aggregates.

Boulders are evident in radar images of a large number of NEAs. They appear as single or small clumps of radar-bright pixels that track with a target asteroid's rotation, indicating features on the asteroid's surface, and that are offset from the rest of the radar echo, indicating that they are high-standing relative to the surface around them. The interpretation of such radar-bright features as boulders is verified by comparison between 2012 radar images of Toutatis and optical images of Toutatis from the Chang'E-2 spacecraft.

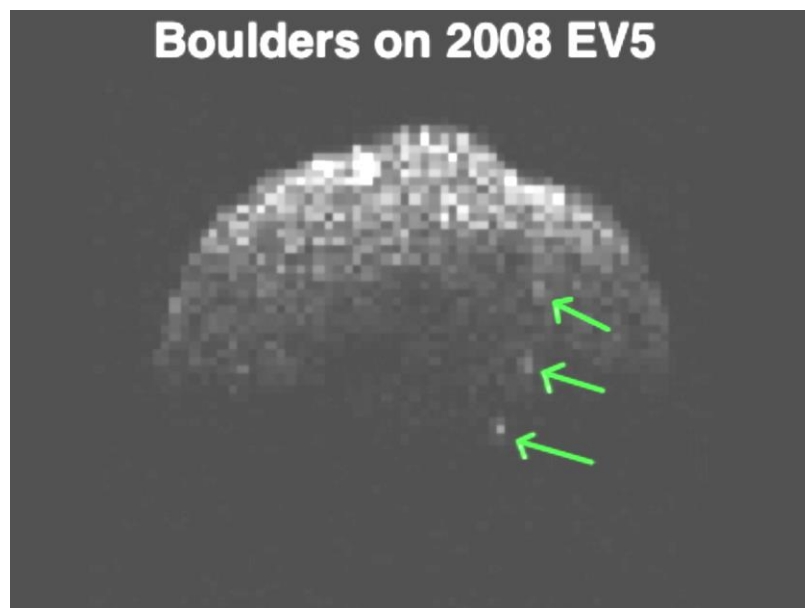
Boulders have been seen on more asteroids as the resolution of radar images has improved. For a review of radar images of boulders on NEAs, see Benner et al. 2015 (*Asteroids IV*, in press, available at <http://echo.jpl.nasa.gov/asteroids/benner.etal.radar.chapter.20150728.pdf> )

Radar observations also provide very approximate information on the presence of cobbles on the scale of the radar wavelength, 0.035 m for the Goldstone Solar System Radar and 0.126 m for the Arecibo Radar, by measuring the radar scattering properties of the surface. See Nolan et al. 2013 for discussion (*Icarus* 226, 629-640, available at <http://echo.jpl.nasa.gov/asteroids/nolan.etal.2013.bennu.pdf> ).

## Boulders on 2008 EV<sub>5</sub>

Candidate boulders can be identified in Arecibo radar images of EV<sub>5</sub> from 2008 December 23, 26, and 27. On 2008 December 24, a problem with the transmitter power supply at Arecibo limited the transmit power to about 1/7 what it was on the other three days. The much lower echo signal-to-noise of the resulting radar images made identifying small features difficult.

The candidate boulders visible in the radar images from 2008 December 23, 26, and 27 appear as unresolved single bright pixels or as two adjacent bright pixels (Figure 24). Given a range resolution of 7.5 m, an unresolved boulder is less than 15 m in diameter – only the Earth-ward side of each boulder was illuminated by the radar. Some boulders are visible more than 50 m behind the trailing limb of EV<sub>5</sub>, implying that they are at least 7 m higher than their surroundings. These boulders are described as “10 m scale.”



*Figure 24: Range-Doppler radar image of 2008 EV<sub>5</sub>, obtained at Arecibo Observatory at 2008 December 23 07:41 UT. Range from Earth increases from top to bottom. Image resolution is 7.5 m/pixel in range. The large concavity at EV<sub>5</sub>'s equator is visible at upper right. Green arrows denote three candidate 10-m-scale boulders.*

The radar images from 2008 December were all obtained with the subradar point just south of EV<sub>5</sub>'s equator. I therefore cannot identify candidate boulders near the asteroid's north pole. Nor can I identify boulders at equatorial latitudes. Near the equator, larger areas of the EV<sub>5</sub>'s surface fall within a given range-Doppler radar pixel and small boulders are lost to confusion with the surface around them. I can only identify 10-m-scale boulders over about ½ of EV<sub>5</sub>'s surface. Finally, the range-Doppler projection has a north-south ambiguity. For most of the candidate boulders I identify, I cannot determine which hemisphere they are located in. The exception is a prominent boulder near the asteroid's south pole (lowest arrow in Figure 24, see also Figure 25).

With these caveats, I identify 6 distinct candidate 10-m-scale boulders on EV<sub>5</sub>'s surface by visual inspection of the radar images. I estimate there to be at least 10 such boulders over the asteroid's entire surface.

Based on EV<sub>5</sub>'s radar scattering properties and the highest-resolution images of asteroid surfaces from spacecraft (Eros and Itokawa), there are millions of 10-cm scale cobbles on EV<sub>5</sub>.

If there is a power-law distribution between the two size ranges sampled by the available radar data, as seen on Itokawa and Eros, there are a few hundred 3-m scale boulders on EV<sub>5</sub>'s surface. There should be an abundant number of choices for the ARV.

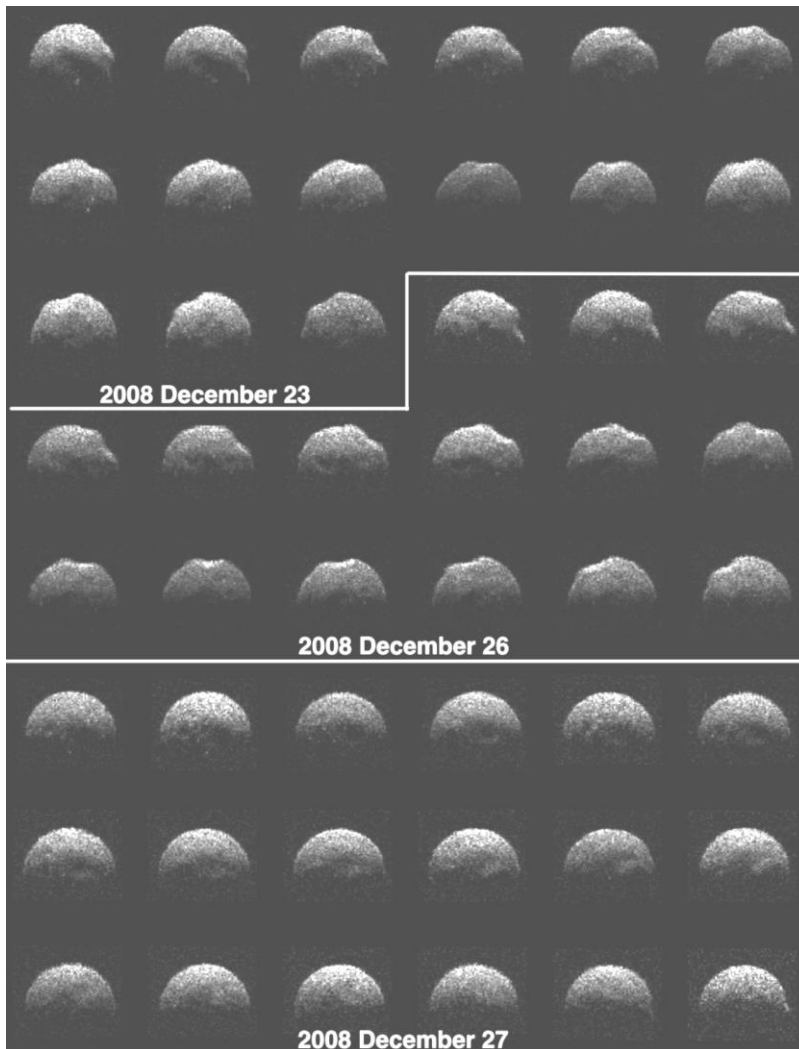


Figure 25: Collage of EV<sub>5</sub> radar images from Arecibo, obtained on 2008 December 23, 26, and 27. Resolution is 7.5 m/pixel in range in all images. Time increases from left to right and top to bottom. EV<sub>5</sub> appears to rotate counter clockwise and the image enlarged in Figure 24 is first on the left in the second row of the collage. Candidate 10-m-scale boulders appear as bright pixels. The boulder near EV<sub>5</sub>'s south pole is visible in images on all three days, appearing well behind the trailing limb of the radar echo and near the center.

## Appendix C: Full Surface Geotechnical Properties Response

**What are the expected surface regolith geotechnical properties of the target asteroid? For example: What is the expected range in the coefficient of friction between the target asteroid surface regolith and the CRS contact pads? How uniform is this expected to be?**

The coefficient of friction is a function of a magnitude of cohesive forces between regolith and contact pads. The main sources of cohesive forces are van der Waals and electrostatic forces.

Smaller particles have higher van der Waals forces per unit volume than larger particles and therefore friction between fine regolith and contact pads will be greater. For example, a 1 micron grain would have a strength of less than 300 Pa, a 10 micron grain would have a 30 Pa strength, and a 100 micron grain would have a strength of 3 Pa [Sánchez and Scheeres, 2014].

Additionally, both the regolith and the spacecraft will be charged, due to their interactions with the solar wind plasma. The electrostatic force on a dust grain is the product of the grain charge and the local electric field. A calculation of the electrostatic force on the dust grain is described by Hartzell and Scheeres [2011]. Using simple approximations for the charge on the dust grain as well as the electric field between the dust grain and the spacecraft gives the following expression for electrostatic force:

$$F_{es} = 4\pi\epsilon_0 r_d U \frac{|U - U_{sc}|}{l}$$

where  $r_d$  is the radius of the dust grain,  $U$  is the potential of the regolith (approximately 5 V in sunlight),  $U_{sc}$  is the potential of the spacecraft (varies with location on spacecraft and lighting conditions, but probably on the order of 10 V),  $l$  is the length scale (separation between the dust grain and spacecraft), and  $\epsilon_0$  is the permittivity constant. For a 1 mm grain at 5 V, assuming a 10 V potential difference and a length scale of 1 mm, this results in a force on the order of  $10^{-9}$  N. Although the electrostatic force will increase under certain lighting conditions and as the length scale decreases, it is unlikely to be more significant than van der Waals cohesion. A comparison of van der Waals cohesion and the electrostatic forces is reported by Scheeres et al. [2010].

During the Apollo program extensive work was conducted to acquire fundamental scientific and engineering knowledge of lunar-mineral resources through testing a simulated lunar environment. Karafiath and Mohr [1994] measured the friction between a rotating steel disc and a bed of fine (38-62  $\mu\text{m}$ ) and coarse (250-500  $\mu\text{m}$ ) crushed basalt (i.e., they investigated material-regolith interface). They found that the resistance between the steel disc and crushed basalt for both the coarse and the fine samples was higher under ultrahigh vacuum (below  $10^{-10}$  kPa) than in air. However, it was found the coefficient of friction is not affected by the ultrahigh vacuum (Table 19). Ultra-high vacuum increases the total frictional resistance by an adhesion which is essentially constant over the range of normal loads in the experiment (455-910 gram).

Table 19: Coefficient of friction between steel disc and crushed basalt in vacuum and at 1 g [Karafiath and Mohr, 1969].

	Between steel disc and crushed coarse basalt (250-500 micron)		Between steel disc and crushed fine basalt (38-62 micron)		Between steel disc coated with coarse basalt and crushed basalt	
	Vacuum	Air	Vacuum	Air	Vacuum	Air
Initial Coefficient of Friction (effect of regolith dilation to allow grain displacement)	0.35	0.35	No Data	No Data	No Data	No Data
Kinetic Coefficient of Friction	0.28	0.27	0.20	0.18	0.28	0.20

**What is the expected range of surface compaction and porosity of the regolith surrounding the boulder? How uniform is this expected to be?**

The asteroid surface is more likely to be a pebble-rich lag depleted of fines and as such the near-surface porosity should be higher and compaction lower than asteroid’s bulk compaction and porosity, unless significant interior void space exists. Whatever the porosity and compaction, it is likely that the same processes apply all around the selected landing area, so it should be fairly uniform. In turn, this should be applicable to all ARRM targets. The exceptions are “low” areas, such as those observed on Eros and Itokawa that were filled with relatively fine material. These areas may be less consolidated than the surrounding terrain. However, the NEAR spacecraft landed on Eros in one of the fine-grained pond areas without making much of a noticeable impression on the pond or the spacecraft (impact velocity was approximately 1.5 to 1.8 m/s). Probably the consolidation (perhaps driven by thermal cycling) is enough to support a spacecraft in microgravity. Even with the mineralogy difference between Eros and 2008 EV<sub>5</sub> similar processes of consolidation should produce similar results. Due to 2008 EV<sub>5</sub>’s top shape and other dynamical properties, some regions (e.g., equator) may have significantly different particle size distributions compared to others (e.g., the poles).

For reference, properties of Itokawa (S-type), Bennu (B-type), and 253 Mathilde (C-type) are:

- Itokawa: bulk density = 2.0 g/cm<sup>3</sup>; bulk porosity of 40.6%, or packing fraction of 0.59. [Abe et al., 2006; Gaskell et al., 2008]
- Bennu: bulk density = 1.26 ± 0.07 g/cm<sup>3</sup> (1-sigma uncertainty) [Chesley, 2014]
- 253 Mathilde: bulk density = 1.34 g/cm<sup>3</sup> [Veverka, 1999]

Figure 26 shows macroporosities and densities for asteroids [Britt et al., 2002] and Figure 27 shows macroporosities of asteroid and comets [Consolmagno et al., 2008]. It is worth noting that without measurements of an asteroid’s internal structural, it is not possible to definitively determine how much of the estimated macroporosity (large-scale voids and fractures probably produced by the asteroid’s impact history) shown in Figure 26 and Figure 27 is due to microporosity (fractures, voids, and pores on the scale of tens of micrometers internal to the various-sized particles that form the asteroid). This microporosity may be particularly relevant for C-type asteroids such as 2008 EV<sub>5</sub>.

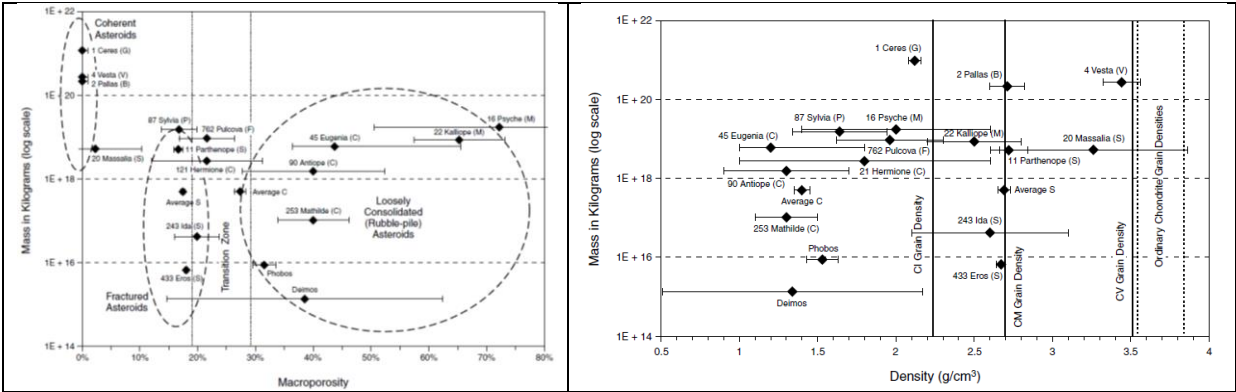


Figure 26. Macroporosities and densities of asteroids. [Britt et al., 2002].

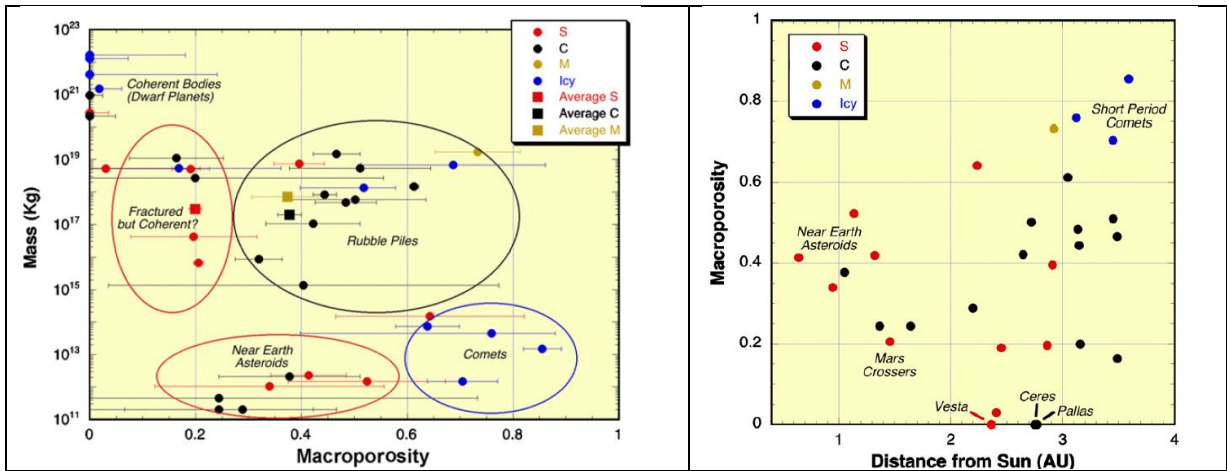


Figure 27. Macroporosities of asteroids and comets [Consolmagno et al., 2008].

**What is the expected particle size-frequency distribution of the regolith, and how does this influence the design of the CRS contact pads and geological context samplers?**

The cumulative size distribution of coarse and fine regolith is expected to have a power-index of approximately  $d^{-2.8}$ . This is based on particles size-frequency distribution of rocks and boulders on Itokawa in the millimeter to tens of meters size range [Michikami, 2008], as well as grains from less than 100 micron down to 1 micron sizes returned by Hayabusa [Tsuchiyama, 2011].

Coarse gravel (1 cm or greater) is expected to exist on the surface overlaying fine grained material with the fraction of fines increasing with depth. The combination of low surface acceleration and solar radiation pressure tends to strip off fine particles that have been generated by comminution processes, and leave lags of larger, harder to move materials.

Since forces during the boulder extraction will be reacted through the CRS contact pads back to the asteroid, the pads need to be designed to prevent excessive sinkage. If regolith is rich in fines, its cohesion and bearing strength will be greater, and contact pads could therefore be made smaller. The same is true



if regolith is more compact. If regolith is coarse, cohesion will be lower and contact pads would need to be larger. The same is true if regolith has low density/high porosity. Contact pads also need to leave the surface when spacecraft departs with the boulder. These two steps (boulder extraction and contact pads extraction from the surface) have competing requirements: for boulder extraction, contact pad area needs to be maximized, while for contact pad extraction, the area needs to be minimized. Therefore, mission risk is likely reduced if the three contact pads are oversized (with appropriate margin) to prevent excessive sinkage. The issue of detaching of contact pads from the surface could be eliminated by implementing “decoupling” subsystems that would leave the pads behind. This approach requires additional study to assess the ability of the capture system to perform multiple collection attempts and to retain the surface regolith samples obtained by the geological context samplers.

It is challenging to design a regolith sampler that will work with any and all particle sizes. The sampler would therefore benefit by being designed for specific particle sizes.

**What is a set of earth analog surfaces (e.g., concrete, sand, etc.) that could be used to bound the expected range of surface variability for use in validating the design of the landing system?**

From a regolith interaction standpoint, analog material should be designed to match the regolith geotechnical properties. As such, parameters that are important include particle size distribution, particle shape, particle strength, magnetic moment, and particle density. All other material bulk properties, such as bulk density, porosity, and shear strength (cohesion and friction angle) are directly influenced by these grain properties. Environmental parameters such as vacuum and gravity could have a much greater effect on geotechnical properties of granular material, and this needs to be taken into account.

The OSIRIS-REx team has developed several asteroid simulants, including Tagish Lake 7c (TL7c) [Hildebrand, 2015]. The University of Central Florida [Dan Britt] is currently developing several asteroid simulants with a range of strengths and particle sizes.

**What is the expected bearing strength of surface regolith? This is needed to determine if ARV requires dampers within the three legs.**

Regolith bearing strength is highly dependent on the degree of regolith consolidation, internal friction angle, and cohesion. The four common bearing capacity failures are shown in Figure 28 (Jerry Johnson University of Alaska Fairbanks, personal communication).



Four possible modes of regolith failure under a landing pad

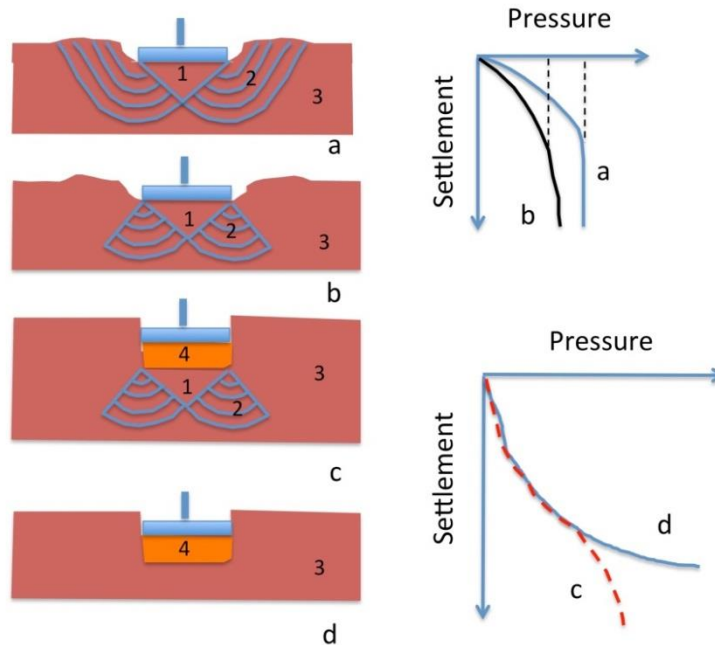


Figure 28: Bearing strength failure modes for soils. General shear failure (a), local shear failure (b), compaction with local shear failure (c), and compaction (d).

General shear failure occurs in well-consolidated regolith that has little pore space for particles to move into when subjected to compression. Failure occurs as a plug of regolith is pushed into the surrounding regolith (Figure 28a, #1), forcing regolith to displace laterally via slip planes to form a mound around the contact pad (Figure 28a, #2). When regolith is poorly consolidated with a loose to medium packing density, shear slip planes may not extend to the surface. While some mounding likely occurs at the surface, much of the regolith deformation is accommodated by filling pore space through grain rearrangement (Figure 28b). For very low density material (especially for cohesive regoliths), initial regolith settlement occurs through compaction that can either transition to local shear failure (Figure 28c) or continue compacting (Figure 28d), depending on the gradient of density and strength with depth [Das, 1998; Apfelbeck et al., 2011]. The pressure-settlement function differs for each of the different failure modes.

As a note, bearing strength failure is not necessarily a catastrophic event as long as the magnitude of settling is small enough such that adjustments to the spacecraft can be made to complete the capture operations. It is important to estimate the amount of expected settling that will occur during an initial bearing strength failure as it is highly likely that after the initial failure a high strength regolith will be encountered at depth.

Since asteroid gravity is negligible, Terzaghi's equation [Terzaghi, 1943] for circular or square footing could be used to obtain a first order bearing capacity of the regolith. The bearing capacity of the regolith is defined as  $\sigma = 1.3 * (c+c') * N_c$ , where  $c$  is the regolith cohesion due to van Der Waals forces,  $c'$  is the apparent cohesion due to particles interlocking, and  $N_c$  is the bearing capacity factor.

The low limit for bearing strength can be calculated assuming the friction angle  $\varphi=0^\circ$  ( $N_c=5.7$ ),  $c=25$  Pa and  $c'=0$  Pa. Hence  $\sigma=1.3 * (25+0) * 5.7 = 185$  Pa.

The upper limit for bearing strength can be calculated assuming  $\varphi=10^\circ$  ( $N_c=9.6$ ),  $c=250$  Pa and  $c'=100$  Pa. Hence  $\sigma=1.3 * (250+100) * 9.6 = 4,368$  Pa.

These are very rough estimates of the lower and upper limits of the bearing strength. Numerical modeling should be used to provide better estimates and sensitivities to different regolith and spacecraft parameters.

It should be noted that additional information with respect to regolith bearing strength will be available once the OSIRIS-REx and Hayabusa2 missions perform their sampling operations.

### **What is the expected distribution in cohesion between ~1-5 meter boulders and the surface of 2008 EV<sub>5</sub>?**

Fine grains will preferentially attach to larger grains, and thus larger grains embedded in a matrix of fine grains would be held in place by the strength of the matrix itself. Hence, the cohesion between large boulders and regolith will be driven by cohesion between fine particles estimated to be in the range of 25-250 Pa [Sánchez and Scheeres, 2014].

Rozitis et al. [2015] reported that NEA (29075) 1950 DA, whose bulk density ranges from 1.0-2.4 g/cm<sup>3</sup>, is a rubble pile and requires a cohesive strength of at least 44-76 Pa to keep from failing due to its fast spin period.

Hirabayashi et al. [2014] determined possible cohesive values of a main belt comet P/2013 R3 which experienced a breakup, probably due to rotational disruption, to be 40-210 Pa.

Lunar surface regolith has cohesion in the range of 440-620 Pa [Heiken et al., 1991]. Since lunar regolith contains a significant fraction (up to 50%) of agglutinates which provide apparent cohesive strength due to their interlocking nature, it is highly probable that cohesive strength without apparent cohesion would be much lower and in the range what has been suggested for asteroids at 25-250 Pa.

- **How does cohesion translate into the required extraction force for a given sized boulder?**

Regolith bearing capacity for shear failure is a function of cohesion ( $c$ ) and friction angle ( $\varphi$ ), while regolith tensile strength is primarily a function of cohesion. Cohesion is gravity independent. Friction angle, on the other hand, is normal force dependent, and it is zero at zero gravity, unless pressure is applied on confined regolith. Cohesion sometimes is due to particles interlocking, and is called apparent cohesion or  $c'$  (e.g., lunar regolith has extremely high apparent cohesion). Cohesion is density dependent – that is, the denser the regolith, the higher the cohesion. Bearing capacity compaction failure is a function of porosity and it is low at high porosity.

$F_{\text{extraction}}$  is a sum of two forces: cohesive force and inertial force. Cohesive force is attributed to boulder-regolith cohesion, which is driven by regolith's matrix and can vary from 25-250 Pa [Sanchez and Scheeres, 2014], and the surface area of the boulder in contact with the regolith,  $A_{\text{boulder}}$ . The inertial force is a function of the acceleration the boulder achieves during the process of lifting it off the surface. Hence,

$F_{\text{extraction}} = \text{cohesion} * A_{\text{boulder}} + \text{Force}_{\text{inertia}}$ . The extraction force could potentially be reduced by “peeling” the boulder off the surface [Johnson et al., 2015]. However, this needs to be traded against operational complexity and time.

To remove the boulder from the asteroid surface, the extraction force,  $F_{\text{extraction}}$ , is reacted through a pad into regolith,  $F_{\text{pad}}$ . In other words,  $F_{\text{pad}} = F_{\text{extraction}}$  as shown in Figure 29.

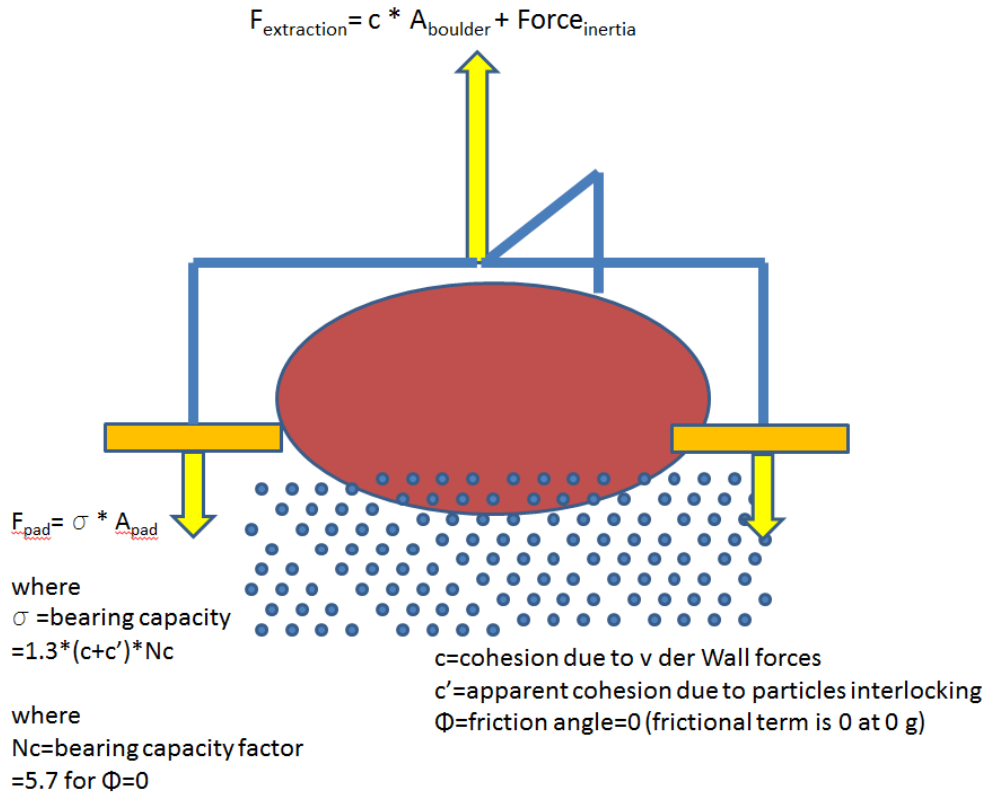


Figure 29: Balance of forces during boulder extraction.

For the pad not to sink, the regolith underneath needs to resist the boulder extraction force. In other words, regolith bearing strength,  $\sigma$ , needs to be high enough to support the contact pad:  $F_{\text{pad}} = \sigma * A_{\text{pad}}$ . To determine regolith bearing strength,  $\sigma$ , a number of equations can be used but the most widely accepted is Terzaghi’s bearing capacity formula. It combines fundamental strength equations and adds empirically derived factors. Since asteroid gravity is nearly zero, the bearing capacity equation for circular or square footing becomes:

$$\sigma = 1.3 * (c + c') * Nc,$$

where  $c$  is regolith’s cohesion ( $c$ ) and/or apparent cohesion ( $c'$ ) and  $Nc = 5.7$  for  $\phi = 0$  and  $9.6$  for  $\phi = 10^\circ$ .

It should be noted that this equation assumes the pad is perpendicular to the regolith surface, no consolidation of the regolith occurs, and regolith fails in shear. Hence caution needs to be exercised when applying the bearing capacity equations to this particular case.

If the asteroid density is assumed to be very low, at say 30% Relative Density ( $D_R$ ), then based on Figure 30,  $c'$  is approximately 100 Pa.

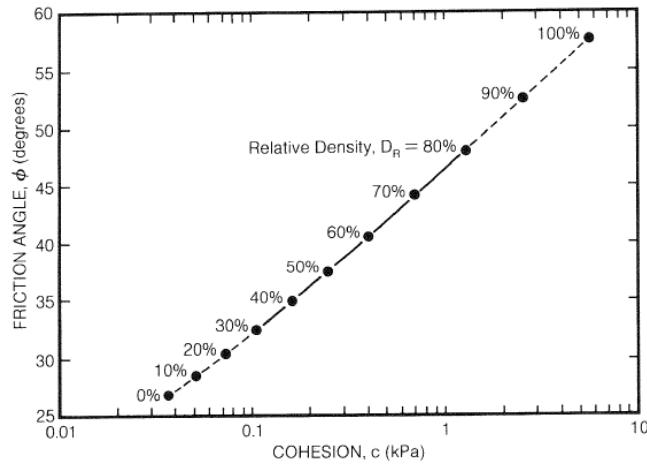


Figure 30: Measured shear strengths of a basaltic simulant of lunar regolith (showing friction and cohesion) as a function of relative density [Heiken et al., 1991].

To calculate the size of a contact pad, the following equation could be used:

$$F_{pad} = A_{pad} * 1.3 * (c + c') * Nc = F_{extraction} = (A_{boulder} * c + m * a) * f$$

$$A_{pad} = \frac{A_{boulder} * c + m * a}{1.3 * (c + c') * Nc} * f$$

For example:

- Boulder size and shape: 1 m diameter sphere
- Boulder area (1/3<sup>rd</sup> buried),  $A_{boulder} = 2 \pi * r * h = 1 \text{ m}^2$
- Mass at  $\sim 2.9 \text{ g/cm}^3$  density,  $m = 1,500 \text{ kg}$
- Boulder acceleration during extraction,  $a = 0.001 \text{ m/s}^2$
- $Nc = 5.7$  for  $\phi = 0$
- Cohesion,  $c = 250 \text{ Pa}$
- Apparent cohesion,  $c' = 100 \text{ Pa}$  ( $D_R = 30\%$ , for loose regolith)
- $f = 1/\text{number of pads} = 1/3$

The above assumptions lead to 21 cm contact pad diameter.

It is important to keep the boulder acceleration to minimum as this will keep inertial forces low and in turn reduce requirements on the regolith's bearing capacity to support the contact pads. Figure 31 shows an example of force required to accelerate a boulder of various size and mass. In this case, it was assumed the boulder is perfectly spherical and has a density of  $2.9 \text{ g/cm}^3$ . In calculating forces, it was assumed the boulder is accelerated at  $0.001 \text{ m/s}^2$ . With these parameters, it will take 14 seconds to move the boulder 10 cm. The final boulder velocity will be 14 mm/s.

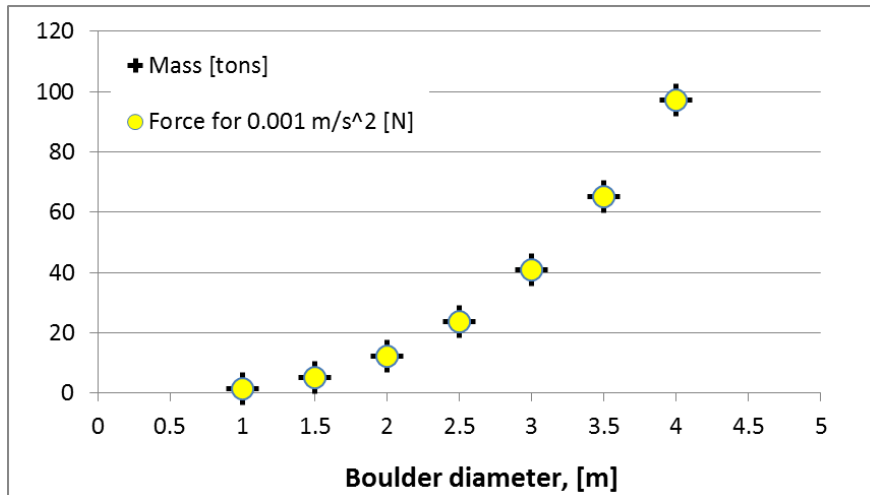


Figure 31: Acceleration Force and Mass of a boulder as a function of boulder diameter. The following assumptions were made: acceleration: 0.001 m/s<sup>2</sup>; distance: 10 cm; boulder density 2.9 g/cm<sup>3</sup>; boulder shape: sphere.

Figure 32 shows the relationship between the contact pad diameter and boulder diameter for  $c'=100$  Pa (loose regolith) and  $\phi=10^\circ$ . Inertia force was taken from Figure 31 for various boulder diameters. The calculations assumed a spherical boulder with density of 2.9 g/cm<sup>3</sup> (e.g., igneous rock) and 33% buried. If a required contact pad diameter is ~0.8 m (1/3<sup>rd</sup> buried 3 m boulder,  $c=250$  Pa and  $c'=100$  Pa), the total surface area of the three contact pads is ~9 m<sup>2</sup>. The required spacecraft thrust is 2,250 N.

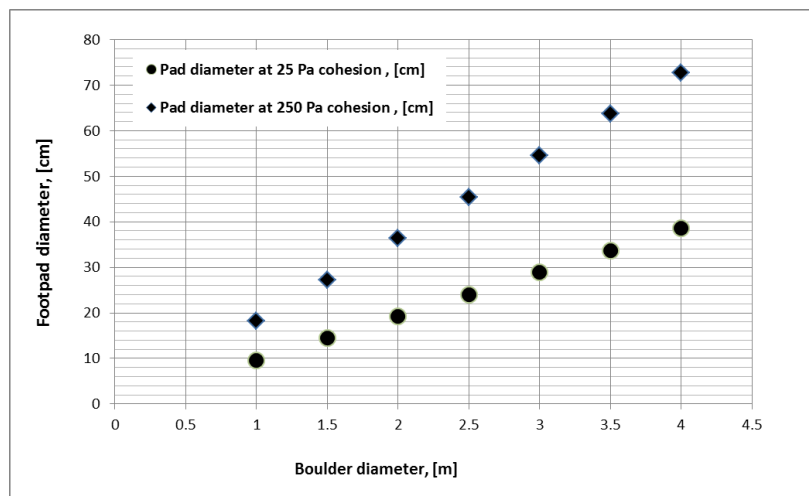


Figure 32: Pad diameter as a function of boulder diameter.

- Is there a way to estimate (or narrow the uncertainty in) the cohesion between the surface and boulder based on the visual images from the in-situ characterization phase?

It is not possible to estimate with great certainty the cohesion between the surface and the boulder from visual imagery. However, the regolith strength (which drives cohesion between the boulder and the surface) can be determined by deploying geotechnical instruments. The geotechnical data could then be

used analytically or with an aid of numerical models such as DEM, to estimate cohesion between the surface and the boulder.

- **How do we expect the cohesive force to “break” during boulder extraction?**

The extraction of a boulder from a regolith with a size distribution ranging down to microns to 100s of microns requires the breaking of cohesive bonds within the regolith. Based on DEM simulations [Sanchez and Scheeres, 2014], this occurs in two phases, a quasi-elastic phase followed by a plastic phase when the bonds between individual grains are broken (Figure 33). Due to the physics of cohesion, fine particles will preferentially adhere to a larger boulder, meaning that extraction occurs by breaking cohesive forces within the regolith. Note that the cohesive regolith preferentially adheres to the boulder, meaning that extraction occurs by breaking the cohesive forces within the regolith.

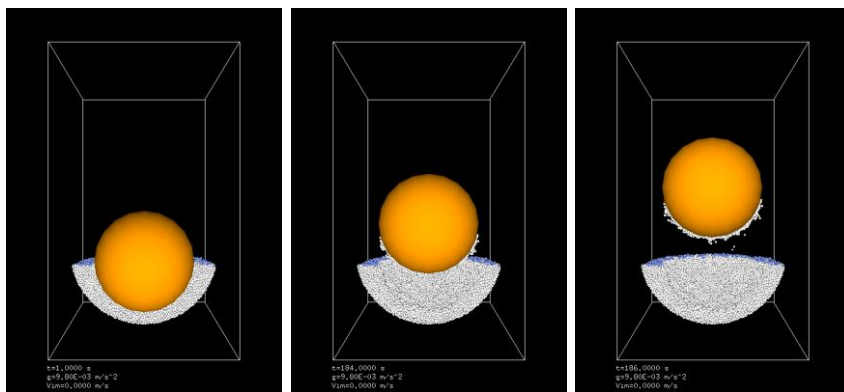


Figure 33: DEM simulation of a boulder extraction from a cohesive regolith [Sanchez and Scheeres 2014].

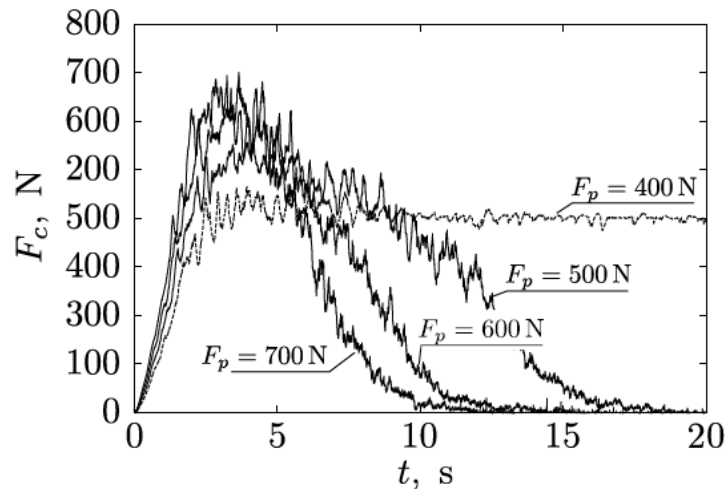


Figure 34. Resistance force profiles for different pull forces  $F_p$  in “peeling” test and regolith cohesive strength  $c = 100$  Pa.  $F_c$  is a DEM computed force that needs to be exceeded to remove the boulder from the surface. In this example 400 N pulling force is not sufficient to separate the boulder from the regolith [Kulchitsky et al., 2015].

Figure 34 gives an example of a general shape of the Pull Force,  $F_p$ , as a function of time [Kulchitsky et al., 2015]. The exact shape will depend on the cohesive values as well as extraction methods (e.g., constant acceleration, peeling etc.).  $F_c$  is a DEM computed cohesive force that needs to be exceeded to remove the boulder from the surface. In this example, a 400 N pulling force is not sufficient to separate the boulder from the regolith.

### **Are there any other likely physical properties or mechanisms that would prevent a boulder from being extracted?**

Unless the boulder can be inspected underneath, there will always be a risk that another rock could be wedging the boulder in place. The boulder could be buried in the regolith along its long axis. There is also some uncertainty related to the effect that phyllosilicate minerals have on the strength of regolith and forces between the regolith and boulder. Further study is required to determine if this is a significant issue.

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## Acronym List

AGC – Asteroid Grand Challenge	ISS – International Space Station
APXS – Alpha particle X-ray Spectrometry	IT – Investigation Team
ARCM – Asteroid Redirect Crewed Mission	LDRO – Lunar Distant Retrograde Orbit
ARM – Asteroid Redirect Mission	LEO – Low Earth Orbit
ARRM – Asteroid Redirect Robotic Mission	LiBS – Laser-induced Breakdown Spectroscopy
ARV – Asteroid Redirect Vehicle	MOC – Mars Orbiter Camera
AU – Astronomical Unit	MEX – Mars Explorer
BRDF – Bidirectional Reflectance Distribution Function	MGS – Mars Global Surveyor
C2 – Type 2 carbonaceous chondrites	MPC – Minor Planet Center
CB – Bencubbin-type carbonaceous chondrites	MRO – Mars Reconnaissance Orbiter
CCG – Cold Cathode Gauge	Myr – Megayear
CI – Ivuna-type carbonaceous chondrite	NASA – National Aeronautics and Space Administration
CK – Karoonda-type carbonaceous chondrite	NEA – Near-Earth Asteroid
CLASS – Center for Lunar and Asteroid Surface Science	NEAR – Near Earth Asteroid Rendezvous
CM – Mighei-type carbonaceous chondrite	NEO – Near-Earth Object
CME – Coronal Mass Ejection	OC – Ordinary Chondrite
CO – Ornans-type carbonaceous chondrite	OSIRIS-REx – Origins, Spectral Interpretation, Resource Identification, Security-Regolith Explorer
CR – Renazzo-type carbonaceous chondrite	PAH – Polycyclic Aromatic Hydrocarbon
CRS – Contact and Restraint Subsystem	QMS – Quadrupole Mass Spectrometer
CV – Vigarano-type carbonaceous chondrite	RADF – Radiance Factor
DEM – Discrete Element Method	SBAG – Small Bodies Assessment Group
DSAC – Deep Space Atomic Clock	SBE – Surface-bounded Exosphere
DSI – Deep Space Industries	SEP – Solar Electric Propulsion
DSN – Deep Space Network	SFD – Size-Frequency Distribution
EGT – Enhanced Gravity Tractor	SPE – Solar Particle Event
EOM – End-of-Mission	TAGSAM – Touch-And-Go Sample Acquisition Mechanism
ESA – European Space Agency	TIM – Technical Interchange Meeting
EVA – Extra-vehicular Activity	TL7c – Taggish Lake 7c simulant
FAST – Formulation Assessment and Support Team	TOF-MS – Time-of-Flight Mass Spectrometer
FTIR – Fourier Transform Infrared Spectroscopy	TRL – Technology Readiness Level
GCR – Galactic Cosmic Radiation	UV – Ultraviolet
GPR – Ground Penetrating Radar	UT – Universal Time
GPS – Global Positioning System	VLBI – Very Long Baseline Interferometry
Gyr – Gigayear	VNIR – Visible Near-Infrared
HEOMD – Human Exploration and Operations Mission Directorate	WISE – Wide-field Infrared Survey Explorer
IAU – International Astronomical Union	XRD – X-ray Diffraction
IMC – Intermediate-source Mars-Crossing region	YORP – Yarkovsky-O’Keefe-Radzievskii-Paddack
IMU – Inertial Measurement Unit	
IR – Infrared	
ISRU – In-situ Resource Utilization	

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<b>14. ABSTRACT</b> The Asteroid Redirect Mission (ARM) Formulation Assessment and Support Team (FAST) was a two-month effort, chartered by NASA, to provide timely inputs for mission requirement formulation in support of the Asteroid Redirect Robotic Mission (ARRM) Requirements Closure Technical Interchange Meeting held December 15-16, 2015, to assist in developing an initial list of potential mission investigations, and to provide input on potential hosted payloads and partnerships. The FAST explored several aspects of potential science benefits and knowledge gain from the ARM. Expertise from the science, engineering, and technology communities was represented in exploring lines of inquiry related to key characteristics of the ARRM reference target asteroid (2008 EV5) for engineering design purposes. Specific areas of interest included target origin, spatial distribution and size of boulders, surface geotechnical properties, boulder physical properties, and considerations for boulder handling, crew safety, and containment. In order to increase knowledge gain potential from the mission, opportunities for partnerships and accompanying payloads were also investigated. Potential investigations could be conducted to reduce mission risks and increase knowledge return in the areas of science, planetary defense, asteroid resources and in-situ resource utilization, and capability and technology demonstrations. This report represents the FAST's final product for the ARM.					
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