



**NASA**  
**POLICY**  
**DIRECTIVE**

**Directive:** NPD 1040.4  
**Effective Date:** February 10, 2003  
**Expiration Date:** February 10, 2008

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**Responsible Office: X / Office of Security Management and Safeguards**

**Subject: NASA Continuity of Operations**

## **1. POLICY**

In accordance with Executive Order 12656 and Presidential Decision Directive 63 cited in Section 3, Authority, it is NASA policy to ensure that the Agency is prepared to maintain the operation of its critical mission essential functions, or implement transfer of critical mission essential functions to alternate locations in the event of emergencies and disastrous events resulting in long-term disruptions of normal operations. This is accomplished by--

- a. Evaluating all NASA Mission Essential Infrastructure (MEI), to include Information Technology (IT), communications, and other facilities on which those assets depend (e.g., data, power, water, oil, gas, environmental controls, transportation, safety, security), for their mission criticality using a risk management approach. The guidelines are established in NPG 1040.x, NASA Continuity Of Operations (COOP) Planning, and referenced national level guidance documents.
- b. Ensuring that essential management functions of Agency and Center critical operations are included under COOP Planning.
- c. Evaluating Agency IT Systems identified under the "Special Management Attention (SMA)" designator for inclusion under COOP.

- d. Developing COOP Plans that provide for attaining operational capability within 12 hours of an event. Further, they shall establish reliable process and procedures to acquire the resources necessary to continue essential functions and sustain operations for up to 30 days.
- e. Focusing on reciprocal alternate COOP site operations at other NASA Centers.
- f. Reviewing and testing established COOP plans not less than annually, to ensure a viable plan.
- g. Including an "Order of Succession" for key positions, and "Delegation of Authority" in established COOP plans to ensure rapid response to any emergency situation, as well as identification of electronic communications media needed to effect notification during a COOP event.
- h. Ensuring that adequate resources are made available to maintain a viable and executable COOP capability.

## **2. APPLICABILITY**

This directive applies to NASA Headquarters and NASA Centers, including Component Facilities, and the Jet Propulsion Laboratory to the extent specified in its contract.

## **3. AUTHORITY**

- a. 42 U.S.C. 2473(c), Section 203(c)(1) of the National Aeronautics and Space Act of 1958, as amended.
- b. Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities, dated November 18, 1988, as amended.
- c. EO 12148, Federal Emergency Management, dated July 20, 1979, as amended.
- d. Presidential Decision Directive (PDD) 63, Critical Infrastructure Protection, dated May 22, 1998.
- e. PDD 67, Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998.

## 4. REFERENCES

- a. PDD 62, Protection Against Unconventional Threats to the Homeland and Americans Overseas, dated May 22, 1998.
- b. PDD 63, Critical Infrastructure Protection, dated May 22, 1998.
- c. Federal Preparedness Circular (FPC) 60, Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies, dated November 20, 1990.
- d. FPC 65, Federal Executive Branch Continuity of Operations, dated July 26, 1999.
- e. FPC 66, Test, Training and Exercise (TT&E) Program for Continuity of Operations, dated April 30, 2001.
- f. FPC 67, Acquisition of Alternate Facilities for Continuity of Operations, dated April 30, 2001.
- g. NASA Procedures and Guidelines (NPG) 1040.x, NASA Continuity of Operations Planning.
- h. NASA Policy Directive (NPD) 8710.1A, Emergency Preparedness Program, dated January 16, 2002.
- i. NPG 8715.2, NASA Emergency Preparedness Plan Procedures and Guidelines, dated December 22, 1999.
- j. NPD 7120.4B, Program/Project Management, dated December 6, 1999.
- k. NPG 7120.5B, NASA Program and Project Management Processes and Requirements, dated April 3, 1998.
- l. NPG 8000.4, Risk Management Procedures and Guidelines, dated April 15, 2002.

## 5. RESPONSIBILITY

- a. Under EO 12656 and PDD 63, the NASA Administrator is the executive agent responsible for ensuring that continuity of operations planning is implemented, maintained, and tested throughout the Agency.
- b. Enterprise Associate Administrators are responsible for ensuring that

the NASA Centers (including Component Facilities under their cognizance) implement this policy directive and NPG 1040.x, NASA Continuity Of Operations Planning, as appropriate, and that through the contracting officers, appropriate provisions are included in applicable contracting instruments.

c. Center Directors and the Director of Headquarters Operations are responsible for the appropriate implementation of this policy directive and NPG 1040.x, NASA Continuity Of Operations Planning, within their respective Centers, including Component Facilities.

d. The Assistant Administrator for Security Management and Safeguards is responsible for functional management and leadership of the Continuity of Operations process, and for implementing, managing, and monitoring participation in and compliance with this directive and NPG 1040.x.

e. The Chief Information Officer is responsible for ensuring that NASA IT systems, designated as MEI or SMA, are properly evaluated for implementation of COOP plans.

f. Program Managers are responsible for evaluating their program functions, primary or supporting IT communications systems, and other interdependencies for possible COOP implementation.

## 6. DELEGATION OF AUTHORITY

None.

## 7. MEASUREMENTS

Metrics will be focused on Center efforts to document progress in developing required COOP Plans and testing COOP capability as required.

Reports outlining the Agency's progress in developing COOP plans are due to the Agency COOP Coordinator from Center COOP Coordinators on January 15th of each year and will cover the period January 1 to December 31 of the preceding year. Reports will contain the following information:

a. Number of COOP Plans established or deleted, by Plan Title and Organization.

b. Completed checklist that ensures that all required components for COOP

Plans are addressed.

c. Number of COOP Plans exercised or tested, by Plan Title, Organization, and type of exercise or test.

## 8. CANCELLATION

None.

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**/s/ Sean O'Keefe**  
**Administrator**

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## ATTACHMENT A: (TEXT)

None.

## (URL for Graphic)

None.

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