



# NASA Procedural Requirements

**COMPLIANCE IS MANDATORY FOR NASA EMPLOYEES**

**NPR 1040.1**

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## Subject: NASA Continuity of Operations (COOP) Planning Procedural Requirements (Revalidated with Change 3, 9/13/2012)

Responsible Office: Office of Protective Services

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## CHAPTER 1. Overview of Continuity of Operations Planning

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### 1.1 General

1.1.1 The United States Government policy is that Federal activities have a comprehensive program to ensure the continuity of essential operations under all emergency circumstances.

1.1.2 The changing threat environment and lessons learned from accidents, natural disasters, and terrorist incidents, have served to increase awareness of the need for a well thought-out plan of action to ensure the continuity of essential operations across a broad spectrum of emergencies.

1.1.3 As a baseline for preparedness, NASA Headquarters and NASA Centers are required to have in place a viable COOP capability that ensures the performance of their mission-essential operations during any type of emergency, or other situation that may disrupt normal operations.

1.1.4 A viable COOP capability shall:

a. be maintained at a high level of readiness; b. be capable of being implemented with and without warning; c. be operational within 12 hours of activation; d. maintain sustained essential operations for a minimum of 30 days; and e. take maximum advantage of available field infrastructure, existing Agency emergency preparedness program procedures, and established Information Technology (IT) Security plans.

### 1.2 Continuity of Operation Planning

1.2.1 EO 12656, Assignment of Emergency Preparedness Responsibilities, dated November 18, 1988, as amended, requires that all Federal agencies develop COOP plans to address continuity of mission-essential operations associated with the Agency mission.

1.2.2 HSPD-7 requires that all Federal agencies identify, prioritize, and coordinate the protection of critical infrastructure and key resources in order to prevent, deter, and mitigate the effects of deliberate efforts to destroy, incapacitate, or exploit them.

1.2.3 NSPD 51 / HSPD-20, National Continuity Policy, requires that Federal agencies develop, maintain, and implement, the appropriate plans to allow for the continuation of essential functions under all conditions.

1.2.4 The Computer Security Act of 1987 and OMB Circular A-130 require security plans for Federal Automated Information Systems. These security plans include emergency response procedures for information systems to rapidly and effectively deal with the potential disruption of any IT-based mission-essential function.

1.2.5 To avert long-term or disaster scenarios, to minimize their damage, and to ensure continued operational

capability, NASA Centers will take proactive steps to develop a COOP for their mission-essential operations.

### 1.3 Goal of Continuity of Operations (COOP) Planning

1.3.1 The goal of COOP is to:

a. ensure continuous performance of NASA's mission-essential operations and functions during an emergency situation; b. protect mission-essential NASA facilities, equipment, vital records, and other assets; c. reduce or mitigate disruptions to mission-essential operations; d. reduce loss of life; e. minimize damage and losses; and f. resume full, normal essential operations to our customers through a timely and orderly recovery from an emergency.

### 1.4 Elements of a Viable COOP Capability

1.4.1 All Agency COOP will be developed and documented so when implemented, it will provide for continued performance of mission-essential operations and services under all emergency circumstances.

1.4.2 At a minimum, the plan will:

- a. Delineate mission-essential operations and functions.
- b. Establish an order of succession for key leadership positions.
- c. Identify minimal communications capabilities required to support COOP.
- d. Identify essential and vital records and databases required to support essential operations and functions, and include steps for protecting them as well as procedures for backup, storage, recycling, and retrieval.
- e. Outline a decision process for determining appropriate actions in implementing COOP procedures.
- f. Establish a roster of fully equipped and trained continuity team personnel, with the authority to perform mission-essential operations and functions, and establish procedures for training these personnel in the roles to be performed under COOP implementation ([Requirement 30029](#)). Training shall occur on an annual basis.
- g. Include plans and procedures for employee advisories, alerts, and COOP activation, with instructions for relocation to predesignated facilities, with or without warning, during duty and nonduty hours.
- h. Provide for personnel accountability and safety throughout the duration of the emergency.
- i. Provide for attaining functional capability, within 12 hours.
- j. Establish reliable processes and procedures to acquire the resources necessary to continue mission-critical essential operations and sustain mission-essential operations for a minimum of 30 days.
- k. Establish reliable processes and procedures to identify and transition to alternate operational locations if the need arises.
- l. Integrate existing emergency preparedness and IT security plans to ensure consistency in overall emergency preparedness program approaches.
- m. Provide for annual exercises or tests to ensure viability.

### 1.5 Sensitivity Level of COOP Documents

1.5.1 A COOP Plan, as are all emergency preparedness documents, is a "sensitive" document.

1.5.2 A COOP Plan is deemed "Administratively Controlled Information (ACI)," and will be handled in accordance with NPR 1620.1, Security Procedural Requirements, as amended.

1.5.3 Electronically stored and distributed copies of the COOP Plan will be protected from unauthorized access.

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