

**NCI-Frederick Active Directory Guidelines**  
**Version 1**

**National Cancer Institute - Frederick**

**November, 05, 2009**

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**For Official Use Only**

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## Record of Changes

<b>Version Number</b>	<b>Release Date</b>	<b>Summary of Changes</b>	<b>Section Number/ Paragraph Number</b>	<b>Changes Approved by and Date</b>
1	11/05/09	Original		ITACC/ADWG

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## 1. Purpose

This document establishes the approved guidelines for management and usage of the NCI-Frederick Active Directory (AD) Organizational Unit (OU).

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## 2. Background

In June 2008, the NCI-Frederick IT Advisory and Coordination Committee (ITACC) was tasked by NCI-Frederick management to facilitate the consolidation of IT security accounts under a single Active Directory Organizational Unit within the NIH AD forest. The goals of this effort were to:

- Comply with NIH Guidance and Policy;
- Create a definitive directory and registration repository for IT authentication and resources;
- Support compliance activities;
- Improve cross-organization resources sharing and centralized reporting.

The ITACC subsequently created the NCI-Frederick AD Working Group (ADWG) to develop and implement the plans to facilitate this consolidation as well as the guidelines and procedures for managing the NCI-Frederick AD OU. The ADWG is an authorized, continuing subcommittee of the NCI-F ITACC and its membership set by vote of the ITACC.

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## 3. Responsibility

The ADWG is responsible for:

- Creating and implementing the plans necessary to consolidate current NCI-Frederick IT accounts and resources into the NCI-F OU;
- Create and recommend guidelines, policies, and procedures for consideration by the ITACC and NCI-Frederick management;
- Review requests to deviate from established guidelines, make recommendations to the ITACC.

The NCI-Frederick Computer & Statistical Services (C&SS) contractor is responsible for:

- The operational management of the NCI-Frederick OU;
- Provide Helpdesk services during NCI-Frederick Core Business Hours;
- Coordinate operational AD activities with local laboratory/program area IT personnel.
- Ensuring laboratory, manufacturing equipment, and other computer systems that are approved exceptions to in-force policies are identified and appropriate controls are applied including compensating controls.

The NCI-Frederick Information Systems Security Officer (ISSO) is responsible for:

- Reviewing guidelines, policies, and procedures to ensure adherence to all applicable law, regulation, and policy;

- Reviewing requests for exceptions to deviate from established guidelines, make recommendations to the ITACC and ADWG;
- Approving requests for elevated user privilege;
- Perform monitoring and auditing as necessary.

The NCI-Frederick ITACC is responsible for:

- Establishing and authorizing the ADWG;
- Reviewing and approving applications that deviate from established guidelines;
- Reviewing and approving changes to guidelines.

The NCI-Frederick Program IT Staff is responsible for:

- Coordinate operational AD activities with C&SS personnel.
- Adhering to applicable law, regulations, policies and procedures.
- Following NCI-Frederick AD Guidelines

NCI-Frederick AD users shall:

- Adhere to applicable law, regulations, policies, and procedures;
- Follow NCI-Frederick AD Guidelines.

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## 4. Community Practices

The NCI-Frederick must comply with applicable federal law, HHS, NIH, and NCI law, regulation, and policy. In addition, the NCI-Frederick has established the following “Community Practices” to aid in managing the NCI-Frederick OU:

- NCI-Frederick AD Account Lifecycle Management Practices
- NCI-Frederick AD Naming Conventions

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## 5. Exceptions

Requests for exceptions to AD Community Practices will be evaluated on a case-by-case basis. All applications for exceptions must be made in writing following the generally-accepted memorandum format at the NCI-Frederick. The application must include a business case (i.e., how would the enforcement of this policy restrict the mission of NCI-Frederick) and the specific compensating controls that will be implemented to manage any security threats. Applications for exceptions will be processed as follows:

1. Applications will be reviewed by the ADWG (note: an ISSO representative sits on the ADWG) . The ADWG will forward the application and their recommendations to the ITACC for disposition.
2. The ITACC and ISSO will designated applications as:
  - *Approved*

- *Conditionally Approved* – the ITACC and/or ISSO may impose additional compensating controls as conditions of approval.
  - *Disapproved*
  - *Returned for Further Information* – the ITACC and/or ISSO does not have sufficient information to act upon the application.
3. The ITACC and NCI-Frederick ISSO will formally act upon all applications for exceptions; both the ITACC and ISSO must approve an application for it to be considered “approved”.
  4. The ITACC will notify applicants in writing of the decision of the ITACC and ISSO.

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## 5.1 Emergency Exceptions

Most applications for exceptions will be reviewed during the normal course of business for the ADWG and ITACC; however, there may be cases in which an applicant feels an exception is time sensitive. In such cases applicants will annotate the application with “ATTN: EMERGENCY EXCEPTION” in the heading of the application. The ADWG will convene an emergency session to review emergency applications at the earliest possibility.

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## 6. Semi-Autonomous Active Directory Organizational Units (SAOU)

The NCI-Frederick AD Guidelines serve as a minimal baseline; however, the mission of some organizations may require substantially stricter security controls. In those cases organizations may apply via the exception process for consideration of the creation of a subordinate, semi-autonomous OU (SAOU).

As subordinate OU’s reduce transparency, impact performance, and complicate reporting and resource sharing, creation of SAOU’s are generally discouraged. Applications for exceptions should include a thorough discussion how increased restrictions are needed to support the mission of the NCI-Frederick. Organizations receiving approval for a SAOU sign a Memorandum of Understanding outlining their responsibilities as well as submit to reviews and audits as deemed necessary by C&SS and the NCI-Frederick ISSO.

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## 7. Information and Assistance

Comments, questions, suggestions or requests for further information should be directed to the ITCC and/or ADWG.

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## 8. Glossary