Ames Procedural Requirements

COMPLIANCE IS MANDATORY

Subject: Ames Information Technology (IT) Policy and Requirements

Responsible Office: Code I / Office of the Chief Information Officer

CHANGE LOG

Status [Baseline /Revision /Cancelled]	Document Revision	Date of Change	Description
Baseline	-	7/14/2008	Baseline release.
Revision	1	7/26/2010	Alignment of ARC IT Governance structure with NPR 2800 "Managing Information Technology".
Revision	2	6/21/2017	Expired. Significant updates required. Changed to APR because the authorizing document is NPR 2800.1B
Revalidation	3	6/21/2022	Revalidated with format updates per NPR 1400.1; edits for clarity; removed obsolete IT Strategy and Investment Board (SIB)/Executive Council and the IT Enterprise Architecture Board (EAB).

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PREFACE

P.1 PURPOSE

a.   NPD 2800.1, defines policy for IT management and requires Center CIOs to implement a Center IT governance process consistent with Agency IT governance. This directive defines how NPD 2800.1 will be implemented at Ames Research Center through its governance boards.

P.2 APPLICABILITY

a.   This directive is applicable to ARC and associated facilities, e.g., contractor's facilities, etc.

b.   This directive applies to contractors, grant recipients, or parties to agreements only to the extent specified or referenced in the appropriate contracts, grants, or agreements.

c.   In this directive, all mandatory actions (i.e., requirements) are denoted by statements containing the term "shall." The terms "may" or "can" denote discretionary privilege or permission, "should" denotes a good practice and is recommended, but not required, "will" denotes an expected outcome, and "are/is" denotes descriptive material.

d.   In this directive, all document citations are assumed to be the latest version unless otherwise noted.

P.3 AUTHORITY

a.   NPD 2800.1, Managing Information Technology

P.4 APPLICABLE DOCUMENTS AND FORMS

a.   APR 2815.2, Information Technology (IT) Security Policy

P.5 MEASUREMENT/VERIFICATION

a.   Verification of conformance to requirements in this directive are measured through Center and Responsible Organizational management reviews, self-assessments, and subsequent analysis and reports of conformance to requirements, as well as periodic internal audits.

P.6 CANCELLATION

a.   APD 2815.1 dated July 26, 2015

Eugene Tu
Director

DISTRIBUTION STATEMENT:

Internal and external distribution.

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CHAPTER 1   INTRODUCTION – GOVERNANCE BOARDS

1.1   Center Level Boards

1.1.1   Ames Research Center has two IT Governance Boards with representatives from each Organizational Directorate. The boards str organizationally aligned to the highest degree possible with the IT Governance structure detailed in NPD 2800.1. The two IT Governance Boards are:

a.   IT Management Board (ITMB) -- The purpose of the ITMB is to provide a forum for the CIO, ARC Directorates, and the user communities to consider proposed changes within the IT technical environment at the Center. Decisions include but are not limited to implementation of IT strategy and policy, investment initiatives, configuration management, systems integration, and performance of IT systems. It advises on related policies, procedures, standards, and guidelines. It ensures that all IT policies are consistent, current, and enforceable. The ITMB will review and control proposed changes to the Center's hardware, software, and firmware configurations and other significant changes that have been vetted through the supporting Change Advisory Board (CAB).

(1) The CAB facilitates management of the "Full Lifecycle IT Governance Process." It is the first level of review above the operational staff in the life cycle of a change. It oversees the development, review, deployment and implementation of IT changes, including maintenance of existing IT infrastructure.

(2) The main objective of the Change Advisory Board monthly meeting is for the coordination of system/network/service/application maintenance "Requests for Change" (RFC) scheduled for the next month's maintenance windows. The CAB formulates communication around the change and looks for any improvements to the change management process that would have a positive impact with minimum effort.

(3) The CAB members consist of technical representatives from all of the IT service areas

b.   IT Project Management Board (ITPMB) -- The purpose of the ITPMB is to provide a forum for high level technical participation in the oversight and evaluation of ARC IT Programs and Projects. It assures that projects are in alignment with NPR 7120. 7 and provides a forum for review/approval cycles. Examples of projects the ITPMB will vet include but are not limited to new application and infrastructure builds, major changes to IT infrastructure that will require long term management to complete, and facility changes that have an IT component. The ITPMB insures that projects stay on track during formulation, design, and implementation.

1.2   Organization Level Boards.

1.2.1   Organizational boards shall operate subordinate to the Center Level Boards. The chair or designee of the organization level board may be a member of the corresponding Center Level Board within which they are functionally aligned, if they choose to have a voice in the decision making of the Center level board. Organization boards might include "Customer Boards," that provide cross-organizational, cross-functional, customer input to assist the OCIO in making effective IT decisions via a defined IT governance process. An organizational level board must have a charter, approved by the CIO or designee, before it will be recognized by the Center level boards. The charter must state its mission and purpose.

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CHAPTER 2   ROLES AND RESPONSIBILITIES

2.1   **The Center Director** shall ensure that an IT governance structure is established that corresponds or can be mapped to the Agency-level structure according to NPD 2800.1.

2.2   **The ARC CIO** shall establish, approve, update, or cancel IT policies, procedures, standards, guidelines, and CIO directives. Ames Policy Directives (APD) and Ames Policy Requirements (APRs) will be reviewed by the ITMB before they are submitted through the Ames Center Document Management System (CDMS) for final approval and publication after the ITMB circulation. The ARC Office of the CIO designee will manage and implement IT services and initiatives within the parameters of agency IT policies, procedures, standards, guidelines, and directives.

2.3   **ARC Organizational Directors** shall ensure compliance with the IT policies, procedures, standards, guidelines, and IT directives in their directorates.

2.4   **The Board Leaders** will perform their duties within the parameters of NASA policies, procedures, standards, guidelines and board charters.

> *Note: A full membership listing of each board and their detailed responsibilities can be found in the respective board charters located on the Code I SharePoint site for IT Governance.*

2.5   **The IT Governance and Policy Officer** shall oversee Code I governance processes.

2.6   **The Change Owner** is the initiator of a change and is responsible for seeing a change through to its completion and verifying that the change achieved its intended purpose.

2.7   **All members of the IT community at Ames** are responsible for facilitating management of an IT "Full Lifecycle Process" that aligns with the agency enterprise governance model. Full life cycle includes development, review, implementation, and maintenance of IT and its related policies, procedures, standards, and guidelines. The IT community includes all IT managers such as Code I employees, computers security officials, system administrators, IT system owners, IT process subject matter experts. All IT managers shall enforce IT policies, procedures, standards, guidelines, and CIO directives.

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CHAPTER 3   REQUIREMENTS

3.1   Significant Changes.

3.1.1   If change to the Center institutional infrastructure will affect other organizations, it is considered significant (See Paragraph 3.2 for hierarchy). All significant changes will be routed through the IT Change Advisory Board (CAB), a subset of the ITMB. For any significant IT infrastructure change, the change owner will submit a request for change (RFC) through the CAB. The CAB will review all submitted changes to ensure that:

a.   A communication plan will be put in place if needed prior to implementation of a change.

b.   There will be no major impact on NASA missions, programs or projects.

c.   The change is reported to the correct board. For example, a change to an incomplete project (i.e. it has not had an approved operational readiness review (ORR)), is not considered a change to IT infrastructure and is out-of-scope for the CAB to review.

3.1.2   The CAB Chair or designee will ensure that significant changes that may affect organizations outside of Code I will be elevated to the ITMB for concurrence.

3.2   Hierarchy of Requests for Change (RFC) that will be brought to the CAB for discussion

3.2.1   Affecting more than Ames proper, i.e. Ames Research Park, the general public, customers outside of Ames such as universities and business associates under a Space Act Agreement (Level 1 – highest level).

3.2.2   Affecting a number of the Center organizations outside of Code I or having Center-wide impact (Level 2).

3.2.3   Changes with impact of any kind or requiring an outage (Level 3).

3.2.4   Changes requiring coordination with other IT Service Areas (Level 4).

3.3   Additional Information

3.3.1   Out-of-Cycle RFCs will be considered by the CAB only if urgent. The CAB meets monthly so that opportunity to notify the board of an upcoming change is generally at least three weeks.

3.3.2   Add/Move/Change. Customers who want a routine change such as adding or moving an endpoint device on the hard-wired network will submit an add/move/change request through their Lead System Administrator by following the instructions in APR 2815.2, Paragraph 9.7.

3.3.3   A customer IT refresh is not considered a change under this APR. Customers who wish to have a system refresh should refer to APR 2815.5.

3.3.4   For all IT issues that a customer cannot work out for herself/himself, he or she should contact the Enterprise Services Help Desk before calling Code I staff. Call 650-604-5000 for current help desk numbers. The help desks have knowledge articles for most IT issues and will elevate to the next level of subject matter expert if needed.

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APPENDIX A. ACRONYMS

APD	Ames Policy Directive
APR	Ames Procedural Requirement
ARC	Ames Research Center
CAB	Change Advisory Board
CIO	Chief Information Officer
EAB	Enterprise Architecture Board
IT	Information Technology
ITMB	IT Project Management Board
NPD	NASA Policy Directive
NPR	NASA Procedural Requirement
OCIO	Office of the Chief Information Officer
RFC	Request For Change
SIB	Strategic Investment Board

APPENDIX B. REFERENCES

B.1 NPR 7120.7, NASA Information Technology Program and Project Management Requirements

B.2 APR 2815.5, End User Policy for IT Resources