Business System Ownership

Brief

<table>
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<tr>
<td>Publication date</td>
<td>2/1/2013</td>
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<tr>
<td>Effective date</td>
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BRIEF

Policy Summary

This policy establishes responsibilities for the accountable ownership and management of the Office of the Chief Financial Officer (OCFO) business and financial computer applications. It applies to all major OCFO purchased (commercial, off-the-shelf) and internally developed computer applications involved with the creation, updating, processing, outputting, distribution, and other uses of business and financial information.

Who Should Read This Policy

Any Berkeley Lab employee responsible for the ownership and management of OCFO business and financial computer applications

To Read the Full Policy, Go To:

The POLICY tab on this wiki page

Contact Information

- Deputy, Chief Financial Officer
- OCFO Business Systems Analysis (BSA) Manager

Policy

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POLICY

A. Purpose

This policy establishes responsibilities for the ownership and management of the Office of the Chief Financial Officer (OCFO) business and financial computer applications.

B. Persons Affected
Any Lawrence Berkeley National Laboratory (Berkeley Lab) employee responsible for the ownership and management of OCFO business and financial computer applications

C. Exceptions

None

D. Policy Statement

OCFO will designate a functional manager (see OCFO Business Systems — Owner Assignments) with overall accountability for each of its business and financial computer applications. This System Owner must ensure that the application's capabilities meet Berkeley Lab's business needs. The System Owner must provide leadership and direction for system development, enhancement, and ongoing operations, including ensuring that appropriate controls are in place. The execution of these responsibilities requires resources and support from the OCFO Business Systems Analysis (BSA) Unit, Financial Policy and Assurance, Training, and the IT Division.

This policy applies to all major OCFO purchased (commercial, off-the-shelf) and Berkeley Lab internally developed computer applications involved with the creation, updating, processing, outputting, distribution, and other uses of business and financial information.

E. Roles and Responsibilities

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
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<tbody>
<tr>
<td>Business System Owner — General</td>
<td>Defines the scope and strategic objectives of the business system. Establishes objectives and plans for the ongoing support, maintenance, and enhancement of the application. Directs the day-to-day business usage of the system. When production issues arise — with the support of the BSA Unit and IT — ensures appropriate root-cause problem resolution has occurred and that system issues are addressed in a timely manner and communicated accordingly.</td>
</tr>
<tr>
<td>Business System Owner — System Changes and Enhancements</td>
<td></td>
</tr>
</tbody>
</table>
|                                            | • Defines, prioritizes, and provides the BSA Unit with written documentation of business requirements for system enhancements and mandated Department of Energy (DOE) accounting changes (see OCFO Business Requirements Template). Considers user input and process re-engineering prior to recommending a system change.  
|                                            | • At a minimum, written business requirements will include the following:  
|                                            |   • A description of the business problem or issue being addressed and the primary business driver(s)  
|                                            |   • Specific business objectives and desired outcomes noting which objectives are mandatory  
|                                            |   • Desired or required implementation date  
|                                            | • The primary functional point of contact with whom BSA can consult in defining more detailed functional specifications  
|                                            | • Coordinates with the BSA Unit to ensure functional specs are complete, documented, and consistent with business requirements, and an adequate test plan is prepared and executed  
|                                            | • Provides final approval for implementing changes to the production system. Formally accepts the system as complete and ready for production.  
|                                            | • Participates in planning for application upgrades that will result in changes to the Owner's application(s)  |
| Business System Owner --- User Access Control | • Establishes criteria for controlling user access to various features of the system, including prerequisites to be met prior to granting user access to specific system roles  
|                                            | • With the support of the BSA Unit, validates that user access and assigned roles and permissions are consistent with business needs  
|                                            | • Controls access to Personal Identity Information (PII)  |
| Business System Owner — User Training and Support | Ensures that those who need to use the system for entering and/or retrieving information have access to user training and system documentation |
### Business System Owner — Data Integrity
- Ensures the availability, reliability, and security of the business data stored in the system. Ensures data-input controls are documented, effective, and tested periodically.
- Documents processes using PII and controls the security of PII

### OCFO Business Systems Analysis (BSA) Unit — General
- Monitors system operations, provides end-user support, communicates system problems/resolutions, conducts root-cause analysis of problems, evaluates options, and provides recommended solutions
- When production issues arise, contributes to the root-cause problem resolution; resolves system issues in a timely manner; and helps draft clear, accurate, and timely communication
- Coordinates with Business System Owner and IT to ensure that system documentation is developed, accurate, and available to those who need it

### OCFO BSA Unit — System Changes and Enhancements
- Develops and coordinates system upgrade and enhancement plans; identifies opportunities for process/system improvements; assists owners in defining business requirements for system enhancements; and develops functional specifications that are complete, documented, and consistent with business requirements
- Develops and executes test plans to ensure requested system changes fulfill business requirements
- When a complex process change (e.g., a DOE-mandated change) requires modifications to multiple OCFO business applications, the BSA Unit coordinates the communication with, and involvement of, the functional organizations needed for the timely implementation of the change.
- Partners with OCFO and IT to plan, develop, and execute system upgrades and enhancements; ensures changes are adequately documented and tested, and owner approval is obtained before moving them to production; and coordinates with the System Owner and functional staff in the preparation and execution of system change test plans

### OCFO BSA Unit — User Access Control
- Establishes and maintains policy-related procedures for controlling user access to OCFO systems, including a process for coordinating and conducting regularly scheduled reviews of user access
- Identifies and makes recommendations for controlling access to sensitive data, including PII
- Identifies possible segregation-of-duty access conflicts and works with the functional manager to develop an appropriate resolution

### IT Business Systems — General
- Provides technical project-management leadership and services, including development of project proposals and project plans
- Provides input to customers on options, feasibility, and considerations for system change requests
- Provides system enhancements to accommodate DOE mandates, regulatory/policy changes, interface changes, and business process changes
- Prepares written documentation of system changes, and exerts software change control as required by department standards
- When production issues arise, contributes to root-cause problem resolution; resolves system issues in a timely manner; and provides input on clear, accurate, and timely communication
- Conducts major system development based on customer specifications
- Performs system maintenance to accommodate vendor upgrades, software fixes, and security patches

### F. Definitions/Acronyms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tbody>
<tr>
<td>Business System</td>
<td>A computerized information system or business and financial application that provides the end-to-end delivery of information. Data is an integral part of running the business, including all computerized processes and software needed to satisfy business requirements. A business system comprises computerized processes, input controls, the stored business data, and reports and other output formats.</td>
</tr>
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</table>
Business Systems Analysis (BSA) Unit

A unit that is responsible for ensuring that OCFO business systems are responsive to the needs of Berkeley Lab, and that systems strategies and plans are effectively communicated. The BSA Unit partners with OCFO functional units and IT Division professionals in the planning, design, testing, implementation, and maintenance of automated information systems.

System Administrator/Manager

The group that manages the day-to-day technical operation of the business system: database management, software distribution and upgrading, version control, backup and recovery, virus protection, and performance and capacity planning. IT performs this service for Berkeley Lab. User access management is performed by the BSA Unit.

User

An individual (e.g., employee of an OCFO functional unit) who interacts with the computer at an application level. Programmers, system administrators/managers, and other technical personnel are not considered users when working in a professional capacity on the computer system. System users must use the application in the manner and for the business purpose it was designed, and comply with all specified control and security requirements.

G. Recordkeeping Requirements

None

H. Implementing Documents

<table>
<thead>
<tr>
<th>Document number</th>
<th>Title</th>
<th>Type</th>
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<tbody>
<tr>
<td>11.04.002.001</td>
<td>OCFO Business Systems — Owner Assignments</td>
<td>Process</td>
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<tr>
<td>11.04.003.000</td>
<td>Financial Management System (FMS) User Access control</td>
<td>Policy</td>
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<td>OCFO Business Requirements Template</td>
<td>Form</td>
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I. Contact Information

- Deputy, Chief Financial Officer
- OCFO Business Systems Analysis (BSA) Manager

J. Revision History

<table>
<thead>
<tr>
<th>Date</th>
<th>Revision</th>
<th>By whom</th>
<th>Revision Description</th>
<th>Section(s) affected</th>
<th>Change Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1/2/2012</td>
<td>1</td>
<td>Axthelm</td>
<td>Reformat for wiki</td>
<td>All</td>
<td>Minor</td>
</tr>
<tr>
<td>1/9/2013</td>
<td>1.1</td>
<td>Axthelm</td>
<td>Updates to Roles and Responsibilities section</td>
<td>E. Roles and Responsibilities</td>
<td>Minor</td>
</tr>
<tr>
<td>2/1/2013</td>
<td>1.2</td>
<td>Axthelm</td>
<td>Updated Roles and Responsibilities section and added accountability as appropriate</td>
<td>E. Roles and Responsibilities</td>
<td>Minor</td>
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Document Information

DOCUMENT INFORMATION
Title: Business System Ownership

Document number: 11.04.002.000
Revision number: 1.2
Publication date: 2/1/2013
Effective date: 12/17/2010
Next review date: 12/17/2014
Policy Area: Financial Business Systems
RPM Section (home): Financial Management
RPM Section (cross-reference): Section 11.36
Functional Division: OCFO

Source Requirements Documents

• This is an internal process only.

Implementing Documents

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