Business System Ownership

Brief

Title: Business System Ownership
Publication date: 3/28/2018
Effective date: 3/28/2018

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 systems. It applies to all major OCFO purchased (commercial, off-the-shelf) and internally developed systems 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 systems.

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 systems.

B. Persons Affected

Any Lawrence Berkeley National Laboratory (Berkeley Lab) employee responsible for the ownership and management of OCFO business and financial systems.

C. Exceptions

None

D. Policy Statement

1. The OCFO is responsible for managing the process controls of its business and financial systems. The responsibilities include overall procurement, development, integrations, modification, operation, maintenance, and retirement of the business and financial systems. The
Lab's Information Technology (IT) Division has primary responsibility for cybersecurity aspects of the systems.

2. The OCFO will designate a functional manager (see OCFO Governance Framework Including System Ownership and Support) with overall accountability for each of its business and financial processes and related computer system(s). The assigned System Owner must:
   a. Ensure that the system's capabilities meet Berkeley Lab's business needs.
   b. Provide leadership and direction for the responsibilities listed in 1, above, including ensuring that appropriate controls are in place.

The execution of these responsibilities requires resources and support from the OCFO Business Systems Analysis (BSA) group, Financial Policy and Assurance, Training, and the IT Division.

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

4. Specific roles and responsibilities are detailed in section E, below.

E. Roles and Responsibilities

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business System Owner — general</td>
<td>• Approves the scope and strategic objectives of the business system. Approves objectives and plans for the ongoing support, maintenance, and enhancement of the system. Directs the day-to-day business usage of the system. When production issues arise— with the support of the BSA group and IT division—ensures appropriate root-cause problem resolution has occurred and that system issues are addressed in a timely manner and communicated accordingly.</td>
</tr>
</tbody>
</table>
| Business System Owner — system changes and enhancements | • Defines, prioritizes, and provides the BSA group with written business requirements. A sample template for providing business requirements is attached in section H, “Implementing Documents,” below.  
• Considers business process re-engineering opportunities prior to requesting a system change.  
• Serves as the primary functional point of contact with whom BSA can consult in defining more detailed functional specifications.  
• Coordinates with the BSA group to ensure functional specs are complete, documented, and consistent with business requirements, and an adequate test plan is prepared and executed.  
• Conducts user acceptance testing and provides final approval for implementing changes to the production system (i.e., formally accepts the system as complete and ready for production).  
• Participates in planning for system upgrades that will result in changes to the Owner's system(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 group validates that user access and assigned roles and permissions are consistent with business needs.  
• Approves access controls to personally identifiable information (PII), coordinating with BSA. |
| 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 and reliability of the business data stored in the system.  
• Ensures data-input controls are documented, effective, and tested periodically.  
• Documents processes using PII. |
| OCFO BSA group — general                  | • Defines the scope and strategic objectives of the business system.  
• Establishes objectives and plans for the ongoing support, maintenance, and enhancement of the system.  
• Monitors system operations and provides end-user support.  
• When production issues arise, partnering with IT, conducts root-cause analysis of problems, evaluates options, resolves system issues in a timely manner, and informs stakeholders on system problems and resolutions.  
• Coordinates with the Business System Owner and IT to ensure that system documentation is developed, accurate, and available to those who need it. |
OCFO BSA group — system changes and enhancements

- Manages OCFO systems projects and enhancements prioritization process coordinating with Business System Owners, subject matter experts, IT, and Systems Council; recommends options, feasibility, and considerations for system change requests.
- Provides project-management leadership and services, including development of project proposals and project and resource plans for system enhancements.
- Develops and coordinates system upgrade and enhancement plans; identifies opportunities for process/system improvements; assists owners in defining business requirements for system enhancements; develops functional specifications that are complete, documented, and consistent with business requirements; and validates technical specifications developed by IT.
- When a complex process change (e.g., a Department of Energy [DOE] mandated change) or a systems upgrade or implementation project requires modifications to multiple OCFO business systems, coordinates the communication with, and involvement of, the functional organizations needed for the timely implementation of the change.
- Develops and executes test plans to ensure requested system changes fulfill business requirements. Partners with OCFO and IT to plan, develop, and execute system upgrades and enhancements; ensures changes are adequately documented and tested; and coordinates with the System Owner and functional staff in execution of user acceptance testing. Owner approval is obtained before moving the changes to production.
- Communicates the implementation of system enhancements to stakeholders.

OCFO BSA group — 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.
- Implements user access controls to 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 and resource plans for technical system upgrades or new system implementations.
- Ensures the business and financial systems are cyber secure.
- Implements controls in the system to PII.
- Provides input to customers on options, feasibility, and considerations for system change requests.
- Develops 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, partnering with BSA, contributes to root-cause problem analysis, 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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</thead>
<tbody>
<tr>
<td>Business system</td>
<td>A computerized information system or business and financial system 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>
<tr>
<td>Business System Owner</td>
<td>A unit or individual with overall accountability for each of its business and financial systems or portions of the system. The System Owner must ensure that system'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.</td>
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<tr>
<td>Business Systems Analysis (BSA) group</td>
<td>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 group partners with OCFO functional units and IT Division professionals in the planning, design, testing, implementation, and maintenance of automated information systems.</td>
</tr>
<tr>
<td>IT-Business Systems</td>
<td>The group that manages the day-to-day technical operation of the business system: database management, software distribution and 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 group.</td>
</tr>
</tbody>
</table>
User

An individual (e.g., employee of an OCFO functional unit) who interacts with the system. Programmers, system administrators/managers, other technical personnel, and the BSA group are not considered users when working in a professional capacity on the computer system. System users must use the system 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>
</tr>
</thead>
<tbody>
<tr>
<td>11.04.003.000</td>
<td>Financial Management System (FMS) User Access control</td>
<td>Policy</td>
</tr>
<tr>
<td>11.04.002.002</td>
<td>OCFO Systems Projects - Enhancement Requests Template</td>
<td>Template (Excel spreadsheet)</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>
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<tr>
<td>1/2/2012</td>
<td>1</td>
<td>Axthelm</td>
<td>Reformat for wiki</td>
<td>All</td>
<td>Minor</td>
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<tr>
<td>1/9/2013</td>
<td>1.1</td>
<td>Axthelm</td>
<td>Updates to &quot;Roles and Responsibilities&quot; section</td>
<td>E. Roles and Responsibilities</td>
<td>Minor</td>
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<tr>
<td>2/1/2013</td>
<td>1.2</td>
<td>Axthelm</td>
<td>Updated &quot;Roles and Responsibilities&quot; section and added accountability as appropriate</td>
<td>E. Roles and Responsibilities</td>
<td>Minor</td>
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<tr>
<td>3/28/2018</td>
<td>1.3</td>
<td>U.K.</td>
<td>Updates to the Policy</td>
<td>E,F,H</td>
<td>Minor</td>
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Document Information

**DOCUMENT INFORMATION**

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<tbody>
<tr>
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<td>Next review date:</td>
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<td>Policy Area:</td>
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<td>RPM Section (home):</td>
<td>Financial Management</td>
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<td>Section 11.36</td>
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<td>OCFO</td>
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Source Requirements Documents

- This is an internal process only.
## Implementing Documents

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