Business Applications Solution (BAS) Program - Program Status Update

UNITED STATES DEPARTMENT OF COMMERCE
OFFICE OF FINANCIAL MANAGEMENT

January 26, 2021
Expected Structure.
Unexpected Flexibility.

01 Program Level Status
02 Functional
03 Enterprise Data Warehouse
04 Technical
05 Organizational Change Management
06 Risk
07 Security
08 Q & As and Polling
Program Update
GOALS FOR Q1 2021

- Finalize configuration validation sessions and close out Common Solution Sprint 1 for the Core Applications/Functional work streams
  - Kick off Sprint 2 for Common Solution Core Application Workstreams
- Schedule and begin conducting Requirements Grooming Sessions for the EDW work stream
- Continue engaging with stakeholders across the agency providing timely communications, presentations, Q&A and workshop participation opportunities for bureau stakeholders and bureau subject matter experts

The BAS Program brings together our DOC bureaus across four key mission support work streams: Core Finance, Acquisitions, Asset Management, and Data Reporting and Governance. Overall, the BAS program is committed to modernizing our essential support systems in these four key areas while enhancing the user experience, providing structure and security for our systems support, and providing long term flexible solutions.
Key Program Accomplishments:

- Completed Global Design and Requirements gathering for the Enterprise Data Warehouse workstream
  - Validation of bureau stakeholders for Requirements Grooming sessions
- Completed Sprint 1 for the Common Solution Phase and Core Applications (finance, acquisitions, property management)
  - Reliance on Decision Making Forum to facilitate configuration consensus decisions
- Kicked off BAS integration and engagement with technical stakeholder community, provided initial technical solution architecture, and proposed integration methodology
- Conducted multiple Q&A Office Hours sessions with full agency community to encourage knowledge sharing for the BAS Program work streams
- Closed out Discovery Interview Phase for Day in the Life Stakeholder Assessment
BAS PROGRAM UPDATE

PROGRAM STATUS Q1 2021 - HIGH LEVEL PROGRAM SCHEDULE

<table>
<thead>
<tr>
<th>FY 2020</th>
<th>FY 2021</th>
<th>FY 2022</th>
<th>FY 2023</th>
<th>FY 2024</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q1</td>
<td>Q1</td>
<td>Q1</td>
<td>Q1</td>
<td>Q1</td>
</tr>
<tr>
<td>Q2</td>
<td>Q2</td>
<td>Q2</td>
<td>Q2</td>
<td>Q2</td>
</tr>
<tr>
<td>Q3</td>
<td>Q3</td>
<td>Q3</td>
<td>Q3</td>
<td>Q3</td>
</tr>
<tr>
<td>Q4</td>
<td>Q4</td>
<td>Q4</td>
<td>Q4</td>
<td>Q4</td>
</tr>
</tbody>
</table>

GLOBAL DESIGN

- **PHASE 1**
  - **Q1 2021**: High Level Program Schedule

- **Q1 2022**: Core Systems Implementation
  - NOAA (BIS, EDA) ~5,400 users
  - NIST (BEA, ITA, MBDA, NTIA, OIG, OS) ~2,100 users
  - Census ~1600 users

- **Q2 2022**: Legacy System Decommission
  - NOAA Legacy System Decommission
  - NIST Legacy System Decommission
  - Census Legacy System Decommission

- **Q3 2022**: Project Management
  - Organizational Change Management
  - Security & Monitoring

- **Q4 2022**: LEGACY SYSTEM O&M
  - Real Property
  - Data Foundation Development
  - Data Ingest & Integration

ENTERPRISE DATA WAREHOUSE & BUSINESS INTELLIGENCE

- **Q1 2023**: Data Foundation Development
  - Data Ingest & Integration

- **Q2 2023**: BI Capability Development
  - Iterative Releases

- **Q3 2023**: Early Win Deployments
- **Q4 2023**: Deployments
- **Q1 2024**: Decommissions (TBD)

OPERATIONS & MAINTENANCE

- **Q1 2024**: Finance, Acquisition, Property, EDW BI
- **Q2 2024**: Non-SF Fleet, EDW
- **Q3 2024**: Real Property
- **Q4 2024**: IDM, Network, Security & ATO
BAS Program Goals for Q2 FY 2021:

• Successful deployment of Real Property community into Sunflower for asset management
  – Successful data conversion, user acceptance testing, training, and deployment
  – Deployment of Real Property production support and governance procedures to support Sunflower users

• Successful kickoff for Common Solution Sprint 2 for Core Applications

• Successful completion of Requirements Grooming sessions for EDW Sprint 1
  – Kick off initial data ingestions work for non-BAS data sources

• Continued onboarding of federal BAS PMO staff members, bureau details, and contractors to support the BAS initiative
Functional Update
GOALS FOR Q1 2021

• Conduct Common Solution Sprint 1 Sessions
  – General Ledger Overview, Cross Validation Rules, Invoicing, Advanced Acquisition Planning, Requisitions

• Focus on Real Property for April 26th Go-Live
## BAS Program Update – Core Apps

### Workstream Status Through Q1 2021

### Sprint 1

- **October through December 2020**
- **1st of 4 Total Sprints**

### Month 1: Deep Dive Sessions

- 50+ Sessions
- Guided walkthrough of specific Core Application screens based on topic
- Review of DOC requirements
- Confirmed common solution configurations and business processes ahead of Month 3 CVS sessions

### Month 2: Data Calls

- Numerous Data Calls to collect specific business scenarios, business process documentation and/or seek clarifications
- Prepared for Month 3 CVS sessions

### Month 3: Configuration Validation Sessions (CVS)

- 17 Sessions with Decision Making Forum
- Functional review to confirm configurations and business process flows
- Sprint 1 closure
  - Updated RTM*
  - Updated Business Process Diagrams
- Prepared for Sprint 2

* RTM – Requirements Traceability Matrix
Impact/Value of Accomplishments

- Beginning to see Core Applications
- Mapping of requirements to core system functionality
- Start of configurations across the application suite
- Continued update of the Requirements Traceability Matrix (RTM)

Challenges

- Enterprise-Wide Single Configuration
- Real Property Implementation
  - Fast tracked schedule to meet April 2021 deployment
Plans and priorities for Q2 FY 2021

Common Solution
- Sprint 1 Closure
- Sprint 2 – January through March
  - ~50 Workshops Scheduled
  - Deep Dives (month 1)
  - Data Calls (month 2)
  - Configuration Validation (month 3)

Real Property
- Finalize System Configurations
  - Multiple short sprints
- Conduct User Acceptance Testing
- Conduct User Training
Enterprise Data Warehouse (EDW) Update
Develop a DOC Enterprise Data Warehouse (EDW) that includes BAS Core Applications, Grants, Travel, HR/payroll, and corresponding USPTO data

Develop Business Intelligence (BI) reporting and analytics capabilities
## BAS PROGRAM UPDATE - EDW
### GOALS, STATUS, AND IMPACT Q1 2021

<table>
<thead>
<tr>
<th>GOALS FOR Q1 FY 2021</th>
<th>STATUS AND IMPACT / VALUE OF ACCOMPLISHMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Finalize and socialize the BAS EDW Implementation Approach</td>
<td>✓ Socialized BAS EDW Implementation Approach via Global Design Outcomes sessions. Provided stakeholders an overview of how EDW data feed development and Community BI Marts will work, timeline, and stakeholder engagement touchpoints.</td>
</tr>
<tr>
<td>Stand up BAS EDW Development and Test environments</td>
<td>✓ Supported stand up of BAS EDW Development and Test environments to enable development and establish connectivity with data sources.</td>
</tr>
<tr>
<td>Support Interconnection Security Agreements (ISAs) development and Test environment connectivity to application(s) identified as initial EDW data sources</td>
<td>✓ Supported development of ISAs – this activity will continue into Q2.</td>
</tr>
</tbody>
</table>
## GOALS FOR Q1 FY 2021

<table>
<thead>
<tr>
<th>GOALS FOR Q1 FY 2021</th>
<th>STATUS AND IMPACT / VALUE OF ACCOMPLISHMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Begin to establish security control framework</td>
<td>✓ Supported EDW integration with Xtended Detection &amp; Response (XDR) application for continuous security monitoring</td>
</tr>
<tr>
<td>Initiate development for the first EDW data source</td>
<td>✓ Data/Report Access User groups and Permissions will be defined as we progress through Requirements Grooming for Community BI Marts.</td>
</tr>
<tr>
<td></td>
<td>✓ Established development standards</td>
</tr>
<tr>
<td></td>
<td>✓ Started high-level design of data flow and identification of tables to be ingested from data sources</td>
</tr>
</tbody>
</table>
BAS PROGRAM UPDATE - EDW

CHALLENGES

• Coordinating with external stakeholders to support EDW activities

• Identifying EDW Community BI Mart requirements in parallel with Core Application report and data requirements

• Balancing the effort required to ingest and integrate data from multiple source systems with providing visibility into the to-be data model to stakeholders

• Transitioning from multiple reporting environments with different capabilities to a single reporting environment with a standard DOC-wide set of capabilities

• Serving large volume of end-user communities with diverse data and reporting needs
BAS PROGRAM UPDATE - EDW

PLANS AND PRIORITIES FOR Q2 2021

Continue development for initial EDW data sources*

- **Travel**: E2 and moveLINQ
- **HR/Payroll**: NFC and WebTA
- **Grants**: Grants Online and Operations Planning and Control System (OPCS)

Complete Requirements Grooming for Travel, Grants, HR Community BI Marts

- Conduct Requirements Grooming Kickoff
- Gather and analyze bureau data needs and security/access requirements
- Document user stories

*EDW data sources are applications that are anticipated to provide data directly to the BAS EDW.

Requirements Grooming activities for Acquisitions, Finance, Budget Community BI Marts are targeted for Q3 FY21; Real Property, Personal Property and Program Manager Community BI Marts are targeted for Q4 FY21
Technical Update
GOALS FOR Q1 2021

- Fine-tune integration approach/scope across DOC
- Develop Detail Design for BAS Technical Architecture
- Continue connectivity discussions for BAS users, DOC, and external systems and EDW
- Gather requirements and design approach for Identity & Access Management solution
Integration/Conversion
- Designed initial integration between PRISM and EBS for commitments and obligations
- Developed SAM interface and vendor conversion program
- Initiated discussions with CWT and NFC on integration plans for future sprint

Connectivity
- Continued internal discussions for Network Connectivity, Security Controls, and Identity, Credential and Access Management (ICAM) solution
- Established VPN connection between PRISM (SaaS) and Core Financials
- Initiated ISA development/approvals

Architecture
- Delivered Core Financial, EDW, PRISM, SNOW
- Completed configuration of Core Financials
- Conducted vulnerability scanning and remediation of lower environment
- Delivered Archival Strategy and Requirement document

SAM – System for Award Management
CWT - Carlson Wagonlit Travel
NFC - National Finance Center
ISA - Interconnection Security Agreement
SNOW – ServiceNow
BAS PROGRAM UPDATE - TECHNICAL

CHALLENGES

Integration/Conversion
• Standardizing approaches across the Department for consolidated integration points

Connectivity
• Supporting the breadth and volume of users/connections across DOC
• Management/development/approval of ISAs

Architecture
• Coordinating with concurrent ongoing projects across DOC:
  - ICAM project
  - N-Wave project
  - Grants Enterprise Management Solution (GEMS) project
BAS PROGRAM UPDATE - TECHNICAL
PLANS AND PRIORITIES

Plans and priorities for Q2 FY 2021:

**Integration Conversion**
- Integration design for Travel (CWT) and Payroll (NFC)
- Project/Task Conversion Structure
- G-Invoicing Preparation

**Architecture**
- BAS Tech Arch Design Review
- BAS Portal framework design completion
- Identity and Access Management architecture review

**Connectivity**
- Establish overall connectivity timeline and implementation details
- Develop plans for end user access to BAS across DOC
Organizational Change Management (OCM) Update
GOALS FOR Q3-Q4 FY 2020

• Communications – Continue to host information events for the BAS community (Town Hall and Table Talks) and develop information products on the website (Newsletter and Videos)

• Stakeholder Analysis and Management – Develop the Discovery Interview Report and kickoff the Change Network for Real Property

• Training – Develop timeline for Real Property Sunflower training
PROGRAM STATUS UPDATE - OCM
STATUS AGAINST Q1 PLANS

- Town Hall
- Table Talk
- Q&A Office Hours *
- Submit a Question Form *
- Recordings – CS Kickoff, Town Hall, Table Talk *
- CS Event calendar *
- Core Apps and EDW KDDs *
- Website “Tools and Resources” redesign *
- Requirements Traceability Matrix *
- Real Property Change Network materials *
- Acronyms *

- 2 Agile Videos *
- Agile Infographic *
- Newsletter

- Real Property Change Network Kickoff
- Stakeholder Impact Analysis
- Discovery Interview Report

* Newly Identified Needs
Increased Stakeholder engagement

- BAS Website average monthly page hits increased from 1119 to 2120.
- Town Hall and Table Talk average participation increased from 169 to 202.
- Additional venues to answer questions and access answers were introduced.

Challenges

- Define and deliver additional OCM initiatives that are responsive to Program and customer needs
PROGRAM STATUS UPDATE - OCM

PLANS AND PRIORITIES

Plans and priorities for Q2 FY 2021:

Communications
- Identify, develop and deploy needed Communication products
- Host engagement events to include requested topics of interest
- Continue to build out the BAS Website to be the go-to location for program information

Stakeholder Analysis & Management
- Lead Change Network activities – Real Property
- Prepare Real Property User Audience List
- Develop requirements for new BAS Portal

Training
- Coordinate/support Real Property training
- Set up CLC for BAS Training needs
- Develop CS Configuration Validation materials on the CSC Portal
Risk Management Update
RESPONSIBILITIES

• Lead the Risk Management efforts for BAS
• Assist stakeholders with identifying and monitoring BAS risks to ensure critical milestones are met
• Institutionalize the Risk Management to ensure successful BAS deployment

GOALS FOR Q1 2021

• Enhance Risk Management presence on the BAS website
• Provide additional focus on Real Property risks
• Identify and contact owners for the updates to current risks
Status/Achievement against Plan:

- The Risk process is on the BAS website.
- Tracked and updated existing Real Property risks to include mitigation steps and due dates
- Received and added two new Real Property risks to the Risk Register
- Converted two Real Property risks to issues (FRPM vendor relationship, data conversion)
- Closed four issues pertaining to COVID-19
- Developed dashboards in MS-Excel to track Issues
Impact/Value of Accomplishments

- Simplified the Risk/Issue submission process (online and excel form)
- Continued emphasis on Real Property risks – engaged in conversations with stakeholders
- All relevant documents available on the BAS website for quick reference

Challenges/Issues/Points of Interest

- Identifying risks, developing actionable mitigation plans and determining accurate trigger dates
- Institutionalizing the Risk Program – received only three new risks
- Risk versus Issue classification
## BAS PROGRAM UPDATE - RISK

### RISK/ISSUE STATS

**Project Risk 5x5 Matrix**

<table>
<thead>
<tr>
<th>Likelihood</th>
<th>Negligible (1)</th>
<th>Minor (2)</th>
<th>Moderate (3)</th>
<th>Serious (4)</th>
<th>Critical (5)</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extremely Likely (5)</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>Likely (4)</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>1</td>
<td></td>
<td>3</td>
</tr>
<tr>
<td>Moderately Likely (3)</td>
<td>0</td>
<td>0</td>
<td>5</td>
<td>5</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Not Likely (2)</td>
<td>0</td>
<td>0</td>
<td>12</td>
<td>15</td>
<td>4</td>
<td>31</td>
</tr>
<tr>
<td>Extremely Unlikely (1)</td>
<td>1</td>
<td>10</td>
<td>16</td>
<td>7</td>
<td>6</td>
<td>40</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>1</strong></td>
<td><strong>10</strong></td>
<td><strong>33</strong></td>
<td><strong>32</strong></td>
<td><strong>11</strong></td>
<td><strong>87</strong></td>
</tr>
</tbody>
</table>

### Initial Risks

<table>
<thead>
<tr>
<th></th>
<th>Initial Risks</th>
<th>Risks Added (Q1 2021)</th>
<th>Risks Closed (Q1 2021)</th>
<th>Current Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total</strong></td>
<td>85</td>
<td>3</td>
<td>1</td>
<td>87</td>
</tr>
</tbody>
</table>

### Initial Issues

<table>
<thead>
<tr>
<th></th>
<th>Initial Issues</th>
<th>Issues Opened/Realized (Q1 2021)</th>
<th>Issues Closed (Q1 2021)</th>
<th>Current Issues</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total</strong></td>
<td>5</td>
<td>2</td>
<td>4</td>
<td>3</td>
</tr>
</tbody>
</table>
BAS PROGRAM UPDATE - RISK
PLANS AND PRIORITIES

Plans and priorities for Q2 FY 2021:

Emphasize Risk Management for Real Property implementation in FY 2021

Assist stakeholders with developing risk statements, mitigation plans, trigger dates, etc.

Provide a copy of the Risk Register for distribution to CNN on a regular basis

Develop dashboards/metrics to share key information on risks

Escalate critical risks to Leadership if they impact major milestones
Security Update
BAS PROGRAM UPDATE – SECURITY
RESPONSIBILITIES AND GOALS Q1 2021

RESPONSIBILITIES

- Lead the Security effort for BAS
- Integrate Xtended Detection and Response (XDR) tool with BAS Solution
- Coordinate Assessment and Authorization (A&A) process for BAS Solution

GOALS FOR Q1 2021

- Collect evidence and create process documentation for Initial ATO
- Complete BAS SLA requirements and begin to compile metrics
- Provide initial Log Ingest to DOC ESOC from BAS Solution
- Evaluate BAS for High Value Asset (HVA) designation
- Finalize Agile ATO process

ESOC – Enterprise Security Operations Center
BAS PROGRAM UPDATE – FUNCTIONAL
STATUS/ACHIEVEMENT THROUGH Q1 2021

• FIPS 199 System Categorization
• System Security Plan
• Agile ATO process
• BAS added to CSAM

Developed Several Key BAS Security Documents

Organized Integration between XDR and BAS

• Met with XDR, AIP, and SNOW representatives to organize integration
• Collected technical requirements to facilitate connections

• Provided evidence and documentation examples
• Held Kickoff Meeting and scheduled monthly touchpoints
• Developed Tracker to display review progress and status

Began Monthly Initial Control Evidence Review

Served as Security SMEs for Workstream Tasks

• Developed Security processes for multiple workstream documents
• Reviewed process and contractual documents for compliance with DOC and FedRAMP requirements

AIP – Accenture Insights Platform
CSAM - Cyber Security Assessment and Management
Established a framework for teams to submit artifacts

Completed XDR on-boarding of Enterprise Data Warehouse (EDW) and ServiceNow (SNOW)

Served as Security SME for multiple workstream processes

Update SLA language as needed to account for the use of Software as a Service (SaaS) providers

Possibility of new requirements based on the updated DOC Information Technology Security Baseline Policy (ITSBP)
Continue to address questions regarding Federal and DOC policy requirements

Coordinate with workstreams and CSP to collect evidence and verify control implementations

Continue to develop documentation for Security Assessment

Finalize HVA designation for BAS

Complete Agile ATO process documentation

Implement Xtended Detection & Response (XDR) capability
Q&A
We’d like your input using Menti.com (authorized by DOC for use at these events)

- Sign in using your computer, phone, or other electronic device
  [www.menti.com](http://www.menti.com)

- Enter the passcode provided by the moderator when prompted
  [XX XX XX X](#)

- Answer the question that appears – all responses are anonymous