Business Applications Solution (BAS) Program - Program Status Update

UNITED STATES DEPARTMENT OF COMMERCE
OFFICE OF FINANCIAL MANAGEMENT

July 2021
Expected Structure.
Unexpected Flexibility.

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

Reminder: This session is being recorded
Program Update
Key Program Accomplishments:

- **BAS Real Property Deployment**
  - Continued to provide HyperCare support for Real Property community post deployment to BAS and initiated transition away from HyperCare (HyperCare expires at the end of July 2021)

- **Completed Sprint 3 for Core Applications (Oracle, Prism)**
  - Began work on Sprint 3 close out materials and Sprint 4 deep dive sessions/scenario testing
  - Configuration baseline decisions for Oracle (initial for Gold Configuration)

- **Conducted Q&A Office Hours sessions and initiated Role Based Access Control (RBAC) assessment for Phase 1 deployment**

- **Continued EDW/Core Applications reporting data analysis for mission critical reports**

- **Conducted kick off for Personal Property and Fleet Property workstreams in Sunflower**
  - Scheduled two deep dive sessions to work through remaining requirements for Property
BAS Program Goals for Q4 FY 2021:

• Property
  – Finalize and transition off HyperCare support for Real Property; transition to steady state production support
  – Conduct deep dive and CVS sessions for Personal and Fleet workstreams; finalize configuration for Phase 1 deployment

• Successful closeout of Sprint 3 for Core Applications (Oracle, Prism); successful kick off and conducting of Sprint 4 deep dive sessions and configuration reports

• Continue development of common integration points for BAS applications/DOC bureaus (i.e. SP3, E2 Solutions, webTA, NFC)

• Conduct Implementation Phase 1 Kick off meeting for NOAA, EDA, and BIS
  – Continue planning and scheduling of Phase 1 meetings and sessions (Q1, FY22)
BAS PROGRAM UPDATE

PROGRAM STATUS – Q3 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>
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</thead>
<tbody>
<tr>
<td>Q3</td>
<td>Q4</td>
<td>Q1</td>
<td>Q2</td>
<td>Q3</td>
</tr>
<tr>
<td>Q4</td>
<td>Q1</td>
<td>Q2</td>
<td>Q3</td>
<td>Q4</td>
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**GLOBAL DESIGN**

**PHASE 1**
- **COMMON SOLUTION**
- **CORE SYSTEMS IMPLEMENTATION**
- **NOAA (BIS, EDA)** ~5,400 users
- **NIST (BEA, ITA, MBDA, NTIA, NTIS, OIG, OS)** ~2100 users
- **Census** ~1600 users

**PHASE 2**
- **NOAA Legacy System Decommission**
- **NIST Legacy System Decommission**
- **Census Legacy System Decommission**

**PHASE 3**

**LEGACY SYSTEM O&M**

**Project Management**

**Organizational Change Management**

**Legend**
- 🔹 Early Win Deployments
- 🔹 Deployments
- 🔹 Decommissions (Confirmed)
- 🔹 Decommissions (TBD)

**GLOBAL DESIGN**

**Core Systems Financial Acquisition & Property**

**ENTERPRISE DATA WAREHOUSE & BUSINESS INTELLIGENCE**

**Operations & Maintenance**

**Data Foundation Development Data Ingest & Integration**

**Data Foundation Development Data Ingest & Integration**

**BI Capability Development Iterative Releases**

**Security & Monitoring**

**Hosting**

**Real Property**

**Non-SF Fleet, EDW**

**Finance, Acquisition, Property, EDW BI**

**IDM, Network, Security & ATO**

**IDM, Network, Security & Early ATO**

**IDM, Network, Security & ATO**

**Legend**
- 🔹 Early Win Deployments
- 🔹 Deployments
- 🔹 Decommissions (Confirmed)
- 🔹 Decommissions (TBD)
Functional Update
GOALS FOR Q3 2021

• Conduct Common Solution Sprint 3 Sessions

• Achieve Real Property Go-Live on April 26th
  – Conduct Final Sprints and Configuration Validation Sessions
  – Conduct UAT and Training
BAS PROGRAM UPDATE – FUNCTIONAL
WORKSTREAM STATUS – Q3 2021

Sprint 1 and 2
October - March

• Advanced Acquisition Planning
• Requisitions
• General Ledger Overview
• Cross Validation Rules
• Invoicing
• Reimbursables
  • Solicitations
  • Awards
  • Payments
  • ACS
  • Projects
  • Receipts
  • Journal Approvals
  • Budget
  • Cost Allocation

Sprint 3
April - June

• Modifications
• Closeout
• ACS
• Reporting and Analysis
• G-Invoicing
• IPAC Processing
• SLA
• Month/Year End Close
• SLT
• Unbilled Collections
• Cost Allocation
• Projects
• Integration Data Flows

Sprint 4
July - September

• G-Invoicing
• Vendor e-Invoicing (IPP)
• Reporting and Analysis
• Finalize Baseline Configuration

Sprint 5
NOAA Implementation Year

• Data Cleanup
• Data Conversion
• Conference Room Pilot
• User Acceptance Testing
• Mock Migrations
• User Training
Impact/Value of Accomplishments

• Sprint 3 continued to build on Sprint 1 and 2 concepts.

• Core applications and mapping of requirements to core system functionality continues.

• Configurations are being reviewed and confirmed across the application suite.

• Requirements Traceability Matrix (RTM) is being iteratively updated based on Sprint sessions.

Challenges

• Enterprise-Wide Single Configuration

• Real Property Implementation
  – Fast tracked schedule to meet April 2021 deployment
Plans and Priorities – Q4 FY 2021

**Common Solution**

<table>
<thead>
<tr>
<th>Sprint 3 - Closure</th>
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<tbody>
<tr>
<td>- Update RTM</td>
<td></td>
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<tr>
<td>- Develop videos</td>
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<tr>
<td>- Complete CVS Checklists</td>
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</tbody>
</table>

Sprint 4 – Finalize Baseline Configurations
- July – heads down internal work
- Aug/Sept – smaller group/targeted discussions
- Monthly Reporting to DMF

Sprint 5 – Kick off NOAA Implementation Year

**Property**

Real Property
- Provide O&M Support
- Continue HyperCare and Status Calls
- Initiate Change Control Board (CCB)

Personal and Fleet
- Conduct Requirement Deep Dives
- Finalize Baseline Configuration
Enterprise Data Warehouse (EDW) Update
BAS PROGRAM UPDATE – EDW

RESPONSIBILITIES

- Develop a **DOC Enterprise Data Warehouse (EDW)** that includes BAS Core Applications, Grants, Travel, HR/payroll, and corresponding USPTO data

- Provide **Business Intelligence (BI) reporting and analytics capabilities**

- Develop **advanced analytics features* and/or Department-wide prebuilt EDW reports**

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Notes:

- *Advanced analytics feature - report/dashboard that helps identify patterns and trends in data; reports/dashboards with higher development complexity
- Identification of advanced analytics features and/or Department-wide prebuilt EDW reports to be developed by the BAS EDW Team will occur after the completion of the Core Application Common Solution Phase
## GOALS FOR Q3 FY 2021

<table>
<thead>
<tr>
<th>Goal Description</th>
<th>Status and Impact / Value of Accomplishments</th>
</tr>
</thead>
</table>
| Perform testing of the initial ingest of WebTA, E2 Solutions MIS, and moveLINQ data into the EDW. | ✓ Completed testing of data ingest modules for WebTA, E2 Solutions MIS, and moveLINQ.  
✓ Validated copy of legacy Federal Real Property Management (FRPM) application data into the EDW environment. |
| Complete security control documentation and support the security assessment for the Early Authority to Operate (ATO) deployment* | ✓ Completed security control documentation and artifacts. |
| Continue discussions with National Finance Center (NFC) on the data transmission approach for HR/workforce data | ✓ Met with NFC on data transmission approach for HR/workforce data.  
✓ Initiated design of initial data ingest of HR/workforce data. |

*Early ATO Deployment is a technical release to enable EDW, ServiceNow, and XDR platforms, establish connectivity, and security assessment for initial ATO – does not include end user functionality.*
### BAS PROGRAM UPDATE – EDW
### GOALS, STATUS, AND IMPACT – Q3 FY 2021

<table>
<thead>
<tr>
<th>GOALS FOR Q3 FY 2021</th>
<th>STATUS AND IMPACT / VALUE OF ACCOMPLISHMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initiate discussions with Grants Enterprise Management Solution (GEMS) on BAS integration and reporting strategy</td>
<td>✓ Participated in initial GEMS-BAS discussion and provided GEMS team the information gathered during requirements grooming to help inform grants data and reporting needs in the new DOC grants solution.</td>
</tr>
<tr>
<td>Continue design and start development of EBS data ingestion into the EDW</td>
<td>✓ Initial development for data ingest of 6 EBS modules is 75% complete. Development of remaining data ingest and integration across EBS modules and other data sources to continue into Q2 FY2022.</td>
</tr>
<tr>
<td>Complete Requirements Grooming for Acquisitions, Budget, and Finance BI Marts.</td>
<td>✓ Initiated requirements grooming and analysis of data calls responses from the Department and Bureaus; working in conjunction with Core Applications team to continue the review. Provided interim status update to stakeholders</td>
</tr>
</tbody>
</table>
• Identifying EDW BI Mart requirements in parallel with the definition of Core Application processes, configurations, data attributes, and reports

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

• Transitioning from multiple reporting environments to a single reporting environment with a standard DOC-wide set of capabilities
Support security assessment and deployment activities for the Early ATO deployment.

Continue design and start development of NFC HR/workforce data ingestion into the EDW.

Continue development of EBS data ingestion into the EDW.

Initiate design and start development of PRISM data ingestion into the EDW.

Continue analysis of Acquisitions, Budget, and Finance data call submissions and prepare for Q1 FY2022 update on reporting use cases that will be supported in the EDW.

Conduct Requirements Grooming for Real Property and Personal Property BI Marts. (Program Manager requirements grooming will occur in Q1 FY2022)
Technical Update
GOALS FOR Q3 2021

• Continue to engage external integration stakeholders for discussions
• Prepare and begin establishing interface components and utilities in lower environments
• Continue Interconnection Security Agreement’s (ISA) development and approvals to start integration testing
• Define Identity & Access Management Solution design for Identity, Credential, and Access Management (ICAM) and BAS
Continued discussions for Network Connectivity, Security Controls, and ICAM solution and reviewed initial designs

First ISA was developed and approved spanning 8 systems

Conducted detailed PAM as-is discussions with Treasury

Integration/Conversion

First ISA was developed and approved spanning 8 systems

Conducted As-Is Discovery Sessions with NOAA, NIST and Census

Conducted detailed PAM as-is discussions with Treasury

Connectivity

Continued discussions for Network Connectivity, Security Controls, and ICAM solution and reviewed initial designs

Architecture

Completed BAS Portal design

Finalized IDM vendor selection and continued discussion with ICAM

Architected environment for BAS Phase 1 ATO

Provided GOLD configuration for Core Financials

Baselined OS and application security/functional patching and implemented best practices

BAS PROGRAM UPDATE – TECHNICAL
STATUS AND IMPACT – Q3 2021

PAM – Payment Automation Manager
IDM – Identity Management
ATO – Authority to Operate
OS – Operating System
ICAM – Identity Credential and Access Management
BAS PROGRAM UPDATE – TECHNICAL

CHALLENGES

Integration/Conversion

• Standardizing approaches across the Department for consolidated integration points
• Dependencies on the core application decisions such as Account Code Structure (ACS), Project/Tasks, and associated module readiness

Architecture

• Coordinating with concurrent ongoing projects across DOC:
  - ICAM project
  - Grants Enterprise Management Solution (GEMS) project

Connectivity

• Supporting the breadth and volume of users/connections across DOC
• Management/development/approval of ISAs
BAS PROGRAM UPDATE – TECHNICAL
PLANS AND PRIORITIES Q4 FY 2021

Integration Conversion
- Continue design iterations for Common Solution Integrations
- Develop BAS-CBS ACS Crosswalk for Conversion

Architecture
- Review and implement BAS Tech Arch Design
- Refine BAS IT CONOPS
- Implement and integrate Identity and Access Management Architecture

Connectivity
- Implement connectivity external to BAS and across Cloud Service Providers (CSPs)
Organizational Change Management (OCM) Update
GOALS FOR Q3 FY 2021

• Communications - Continue to host information events for the BAS community (Town Hall, Table Talk, Office Hours); Identify, develop and deploy needed communication products; Continue to build out the BAS Website

• Stakeholder Analysis and Management – Design end user roles for Oracle EBS; Establish NOAA Change Network plan

• Training – Support Real Property (RP) training and post Go-Live Hypercare; Develop and disseminate Sprint 2 Business Process Videos
PROGRAM STATUS UPDATE - OCM

STATUS AGAINST Q3 PLANS

- Redesigned CSC Portal
  - 26 documents supporting Sprint 1 and 2 Outcomes
  - 7 Sprint 2 Business Process Videos
  - 14 RP User Guides, Consolidated Job Aids, Videos, and Production Support Procedures
  - EDW Fact Sheet
  - BAS Website
  - Sunflower Go-Live Announcement and BAS High-Level Implementation Timeline

- June Newsletter (Edition #5) *
- Numerous Q&A updates *
- RP Go-Live Banner *
- Implementation Lessons Learned
- Standardized event ground rules

- May RP Change Network meeting

- April 2 one-week RP end user training classes **

- April Town Hall *
- May Q&A Office Hours

- June Newsletter (Edition #5) *
- Numerous Q&A updates *
- RP Go-Live Banner *
- Implementation Lessons Learned
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PROGRAM STATUS UPDATE - OCM

PROGRAM IMPACT AND CHALLENGES

Increased Stakeholder Access to Information

- Significant growth in CSC Portal products from **11 to 59 (+436%)**
- Business Process Videos views increased from **367 to 978 (+166%)**
- Q&A posted to the BAS Website increased from **785 to 1200 (+53%)**

Primary Challenge

- Plan the Train-the-Trainer program including socializing it, identifying interested candidates, and then onboarding and training them for NOAA implementation year
Plans and priorities for Q4 FY 2021:

**Communications**
- Identify, develop and deploy needed communication products
- Host engagement events on topics of interest
- Continue BAS Website and CSC Portal additions

**Stakeholder Analysis & Management**
- Establish NOAA Change Network
- Complete Oracle EBS RBAC design and coordinate efforts with PRISM, Sunflower, and EDW.
- Plan RBAC business processes for provisioning

**Training**
- Finalize NOAA Training Strategy
- Socialize Train-the-Trainer approach; begin to identify instructors
- Initiate development of BAS Training curriculum
- Deliver Sprint 3 Business Process videos
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 Q3 FY 2021

- Close Risks and Issues for Real Property
- Establish metrics/dashboards to share risk information
- Continue engagement with stakeholders for documenting risks and improve reporting to Executives
- Escalate critical risks to management if they impact major milestones
BAS PROGRAM UPDATE – RISK
STATUS/Achievement – Q3 FY 2021

Status/Achievement against Plan:

• Added 7 risks
• Closed 10 risks and 3 issues
  – Closed all Real Property risks and issues
• Engaged in multiple discussions with risk owners/submitters and provided additional clarification to improve the clarity and conciseness of the risks
• Continued to provide detailed information for the Executive Council meeting
• Updated the Risk Management Plan with the Risk Register enhancements and updates
Impact/Value of Accomplishments

• Real Property went live in April and then all risks and issues were able to be closed.
• Met with stakeholders and assisted with the development of new risks
• Improved executive risk reporting and collaboration with the risk owners

Challenges/Issues/Points of Interest

• Determining what is a risk/issue vs. a parking lot item
• Identifying risks, developing actionable mitigation plans, and determining accurate trigger dates
• Institutionalizing the Risk Program
## BAS PROGRAM UPDATE – RISK

### RISK/ISSUE STATS

<table>
<thead>
<tr>
<th>Project Risk 5x5 Matrix</th>
<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>
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<td>0</td>
<td>0</td>
<td>3</td>
<td>0</td>
<td>0</td>
<td>3</td>
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<tr>
<td>Likely (4)</td>
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<td>0</td>
<td>0</td>
<td>5</td>
<td>4</td>
<td>9</td>
<td>9</td>
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<tr>
<td>Moderately Likely (3)</td>
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<td>9</td>
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<td>17</td>
<td>17</td>
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<tr>
<td>Not Likely (2)</td>
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<td>9</td>
<td>15</td>
<td>1</td>
<td>25</td>
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<td>Extremely Unlikely (1)</td>
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<td>15</td>
<td>6</td>
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<td>38</td>
<td>38</td>
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<tr>
<td>Total</td>
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<td>32</td>
<td>38</td>
<td>11</td>
<td>92</td>
<td>92</td>
</tr>
</tbody>
</table>

### Initial Risks

- **Risks Added (Q3 2021):** 7
- **Risks Closed (Q3 2021):** 10
- **Current Risks:** 92

### Initial Issues

- **Issues Opened/Realized (Q3 2021):** 4
- **Issues Closed (Q3 2021):** 3
- **Current Issues:** 1
Plans and Priorities for Q4 FY 2021:

- Continue to monitor and update risks with imminent trigger dates
- Assist stakeholders with developing risk statements, mitigation plans, trigger dates, etc.
- Provide feedback to the stakeholders to determine if it is really a risk
- Update/enhance 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 Q3 2021

RESPONSIBILITIES

- Lead the Security effort for BAS
- Document Control Implementation
- Coordinate Assessment and Authorization (A&A)
- Security Monitoring

GOALS FOR Q3 2021

- Collect evidence and create process documentation for Initial ATO
- Submit PTA/PIA for approval
- Begin Security Assessment
- Review Interconnection Security Agreements (ISAs)
- Monitor system logs

ATO – Authority to Operate
PTA – Privacy Threshold Analysis
PIA – Privacy Impact Assessment
BAS PROGRAM UPDATE – FUNCTIONAL
STATUS/ACHIEVEMENT THROUGH Q3 2021

- PTA/PIA
- BAS ISA
- BAS/ESOC ISA
- Evaluated control artifacts

Developed Several Key BAS Security Documents

- Monitored the progress of the DOC ESOC
- Collected technical requirements to facilitate connections
- Reviewed XDR Dashboard

Coordinated Integration between DOC ESOC and BAS

- Held monthly touchpoints with Workstream Leads to collect evidence and document controls
- Updated tracker to display review progress and status

Continued 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

XDR – Xtended Detection and Response
BAS PROGRAM UPDATE – SECURITY

PROGRAM IMPACT AND CHALLENGES

**IMPACT:**
- Began working with 3rd Party Assessor for Security Assessment
- Completed ISAs
- Developed Dashboard using Xtended Detection and Response (XDR) tool

**CHALLENGES:**
- Delays in implementation and testing with DOC ESOC
- Aggressive timeline for document turn around from Coalfire
- Delayed responses on data calls from OCIO
BAS PROGRAM UPDATE - SECURITY

PLANS AND PRIORITIES FOR Q4 2021

Q4 2021 PRIORITIES

Complete assessment with 3rd Party Assessor
  • Review SAR
  • Create POAMs (as needed)

ATO Briefing
  • Prepare for ATO Briefing

Finalize configuration of DOC ESOC and XDR
  • Initial logs to DOC ESOC

Update Security Documentation based on:
  • NIST 800-53 Rev 5
  • New DOC Policy / HVA
  • New Systems and functionality

Continue to address questions regarding Federal and DOC policy requirements

SAR – Security Assessment Report
HVA – High Value Asset
If you can’t access the Teams chat line, you can use the following link to type in your question:

https://www.menti.com/sygx8bc3iw
BAS PROGRAM UPDATE

NEXT EVENT

BAS Q&A Office Hours

• August 16, 2021
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 with passcode 1508 4354

- You can also reach the survey directly using
  
  https://www.menti.com/qrkwt8o1gb

- Answer the questions that appears – all responses are anonymous