01 Program Level Status

02 Functional

03 Enterprise Data Warehouse (EDW)

04 Technical

05 Organizational Change Management (OCM)

06 Risk

07 Security

08 Q & As and Polling

Expected **Structure.** Unexpected *Flexibility.*

Reminder: This session is being recorded

Program Update

BAS PROGRAM UPDATE

Key Program Accomplishments

- BAS Common Solution Phase
  - Completed Sprint 4 of the BAS Common Solution phase including configuration build out in advance of BAS Conference Room Pilots (CRPs)

- Conference Room Pilots (November 2021 – February 2022)
  - Planned and organized CRP activity and documentation
  - Scheduled CRP Kick Off for 11/16/2021

- Conducted Phase 1 Kickoff for NOAA / EDA / BIS / ES-A including follow-up Q&A session

- Finalized EDW reporting analysis and preparation for communication and dissemination on future state EDW and Core Application Reporting

- Continued to meet with DOC bureaus on common and bureau specific integration to the BAS future state environment

BAS PROGRAM UPDATE
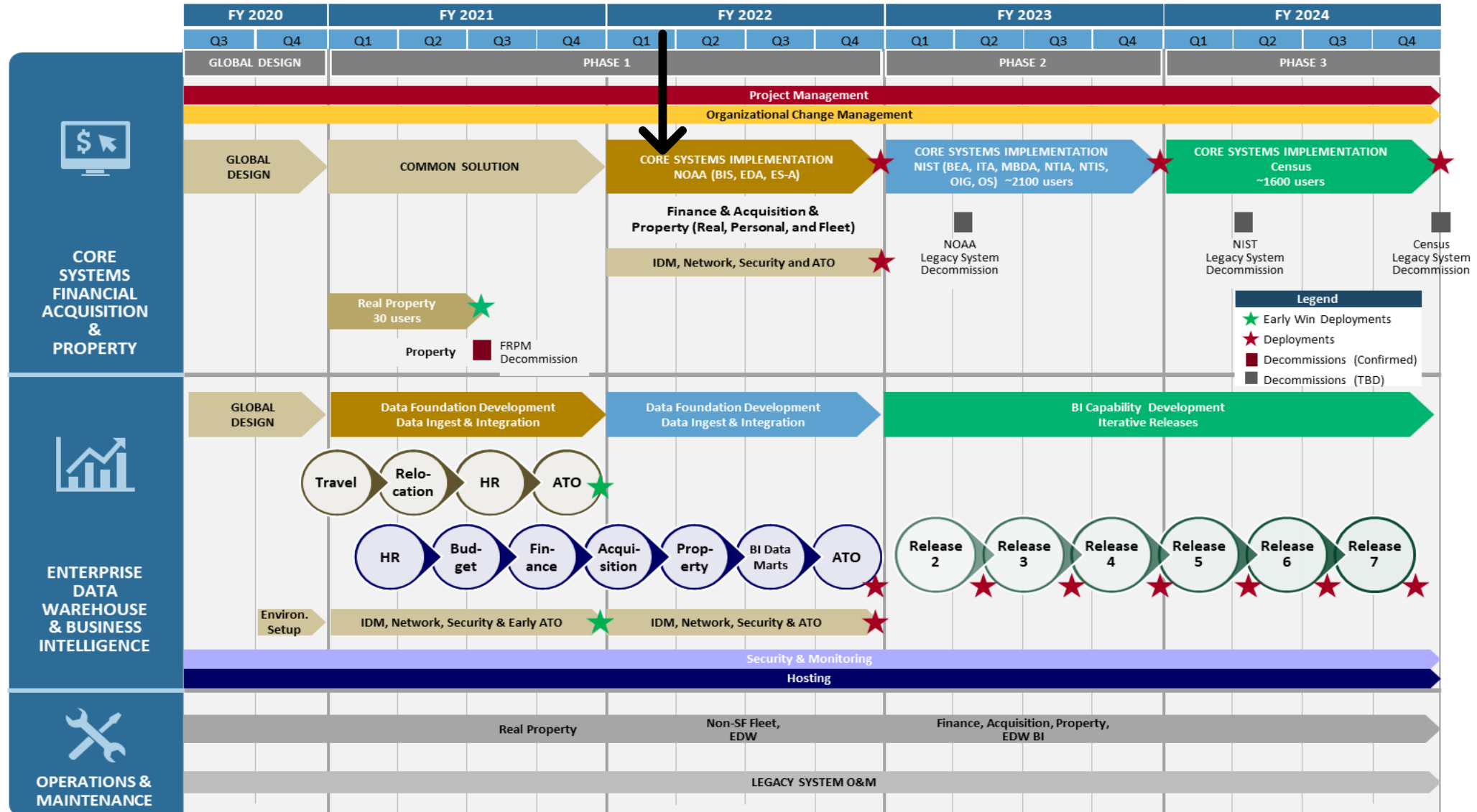## PROGRAM PLANS AND PRIORITIES

BAS Program Goals for Q1 FY 2022

- Conference Room Pilots
  - Kick off and execution of initial phase of conference room pilots (acquisitions and initial finance and property sessions)
  - Documentation to support configuration updates for User Acceptance Test (UAT) and Baseline 3.0
- Continue development of common integration points for BAS applications/DOC bureaus (i.e., SP3, E2 Solutions, webTA, NFC)
- Continued development of bureau specific integration for Phase 1 bureaus
- Communication to stakeholder community on EDW reporting analysis outcomes including future state reporting from EDW and BAS Core Applications
- Continued bureau specific meetings on conversion strategy and milestones for Phase 1 bureaus

SP3 – Smart Pay 3
webTA - Web-based Time and Attendance Program

E2 - Travel Service 2
NFC - National Finance Center

BAS PROGRAM UPDATE
PROGRAM STATUS – Q4 2021– HIGH LEVEL PROGRAM SCHEDULE

Functional Update

RESPONSIBILITIES

GOALS FOR Q4 2021

- **Sprint 3 – Closure**

- **Sprint 4 – Finalize Baseline Configurations**

- **Phase 1 – Kick off NOAA/BIS/EDA/ES-A Implementation Year**

- **Property -**

  – Real: Complete Hypercare and transition to O&M support; Initiate Change Control Board (CCB)

  – Personal and Fleet: Conduct Requirement Deep Dives; Finalize Baseline Configuration

O&M – Operations and Maintenance

BAS PROGRAM UPDATE – FUNCTIONAL

WORKSTREAM STATUS – Q4 2021

Sprint 1, 2 and 3
October - June

Sprint 4
July - September

Phase 1
NOAA/BIS/EDA/ES-A
Implementation Year

Sprint 1 and 2
- 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
- Modifications
- Closeout
- ACS
- Reporting and Analysis
- G-Invoicing
- IPAC Processing
- SLA
- Month/Year End Close
- SLT
- Unbilled Collections
- Cost Allocation
- Projects
- Integration Data Flows
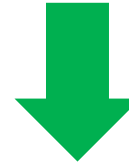
Sprint 4
- G-Invoicing
- Vendor e-Invoicing (IPP)
- Reporting and Analysis
- Finalize Baseline Configuration (Projects, AP Invoice Workflow, Unbilled Collections, etc.)

Phase 1
- G-Invoicing
- Vendor e-Invoicing (IPP)
- Reporting and Analysis
- Data Cleanup
- Mock Migrations / Data Conversion
- Conference Room Pilot
- System Integration Testing
- User Acceptance Testing
- User Training

ACS - Account Code Structure
SLA – Subledger Accounting
SLT – Summary Level Transfer

Impact/Value of Accomplishments

- Completion of Common Solution Sessions (Sprints 1 through 4)

- Critical for enterprise-wide single configuration of BAS applications

- Preparation for Phase 1 activities (BAS PMO-led conference room pilot, system integration testing, and user acceptance testing)

Challenges

- Enterprise-Wide Single Configuration

- Business process changes from bureau to bureau to align to the single configuration

BAS PROGRAM UPDATE – FUNCTIONAL
PLANS AND PRIORITIES

Plans and Priorities – Q1 FY 2022

Common Solution

Phase 1
• Conference Room Pilot
    – PRISM (Nov/Dec)
    – EBS (Jan/Feb)
    – Sunflower (Feb)
• Preparation for User Acceptance Testing and System Integration Testing
• Data Conversion/Cleanup
• Vendor E-Invoicing (Invoice Processing Platform (IPP))

Property
Real Property • Provide O&M Support • Continue Change Control Board (CCB) Personal and Fleet • Conduct Interface discussions for BAS deployment • Configure Internal Use Software (IUS) functionality for NOAA

Enterprise Data Warehouse (EDW) Update

BAS PROGRAM UPDATE – EDW
RESPONSIBILITIES

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

Provide **Business Intelligence (BI) reporting and analytics capabilities** in Tableau, to enable enterprise and ad hoc reporting

Develop **EDW Enterprise reports** that support enterprise-wide business processes

BAS PROGRAM UPDATE – EDW
GOALS, STATUS, AND IMPACT – Q4 FY 2021

GOALS FOR Q4 FY 21	STATUS AND IMPACT / VALUE OF ACCOMPLISHMENTS
Support the security assessment for the Early ATO deployment*	✓ Completed support of security assessment activities and received initial Authority To Operate (ATO) for EDW infrastructure and application.
Continue design and start development of National Finance Center (NFC) HR/workforce data ingestion into the EDW.	✓ Completed initial development of data ingest of the NFC BEAR18 file for HR/workforce data.
EDW initial data ingestion: • Continue development of E-Business Suite (EBS) data ingestion into the EDW • Initiate design and start development of PRISM data ingestion into the EDW.	✓ Continued development of EBS data ingestion into the EDW. ✓ Design and development of PRISM data ingestion moved to Q1 FY22 to allow time for completion of analysis of reporting and data calls.

*Early ATO Deployment is a technical release to enable EDW, ServiceNow, and XDR platforms, establish connectivity, and conduct the security assessment for initial ATO – it does not include end user functionality.

BAS PROGRAM UPDATE – EDW
GOALS, STATUS, AND IMPACT – Q4 FY 2021

GOALS FOR Q4 FY 21	STATUS AND IMPACT / VALUE OF ACCOMPLISHMENTS
Continue analysis of Acquisitions, Budget, and Finance data call submissions and prepare for Q1 FY 22 reporting outcomes update	✓ Completed analysis of Acquisitions, Budget, and Finance data call submissions and prepared for Q1 FY 22 reporting outcomes update
Complete Requirements Grooming for Real Property, Personal Property/Fleet BI Marts	✓ Completed requirements grooming and analysis of data calls responses. Results of the analysis will be provided during the Q1 FY 22 reporting outcomes update.

BAS PROGRAM UPDATE – EDW
CHALLENGES

- Identifying EDW requirements in parallel with the definition of Core Application processes, configurations, integrations, data attributes, and reports

- Balancing the effort required to ingest and integrate data from multiple data sources with providing visibility into the to-be integrated reporting 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

BAS PROGRAM UPDATE – EDW
PLANS & PRIORITIES – Q1 FY 2022

Integrated data model

- Continue development of data ingest of BAS Core Applications data (EBS, PRISM, and Sunflower) into the EDW

- Initiate design of the integrated reporting data model*

* Integrated reporting data model joins data from the BAS Core Applications with HR and Travel enterprise administrative systems and is the underlying data foundation from which EDW Enterprise reports and ad hoc reports created in Tableau will pull.

EDW Enterprise Reports

- Provide reporting outcomes and operating model / governance update

- Communicate approach for Program Manager requirements grooming

- Write user stories for EDW Enterprise Reports planned for initial release

- Develop UAT approach for EDW Enterprise Report for the initial release

Legacy Historical Copy

- Initiate technical planning discussions with the bureaus to copy historical NOAA Commerce Business Systems (CBS) and C.Suite data** into the EDW

** Historical data from legacy BAS systems will be copied into the EDW in the legacy system database structure and data format. Federal Real Property Management (FRPM) data was copied into the EDW as part of the Early ATO Release.
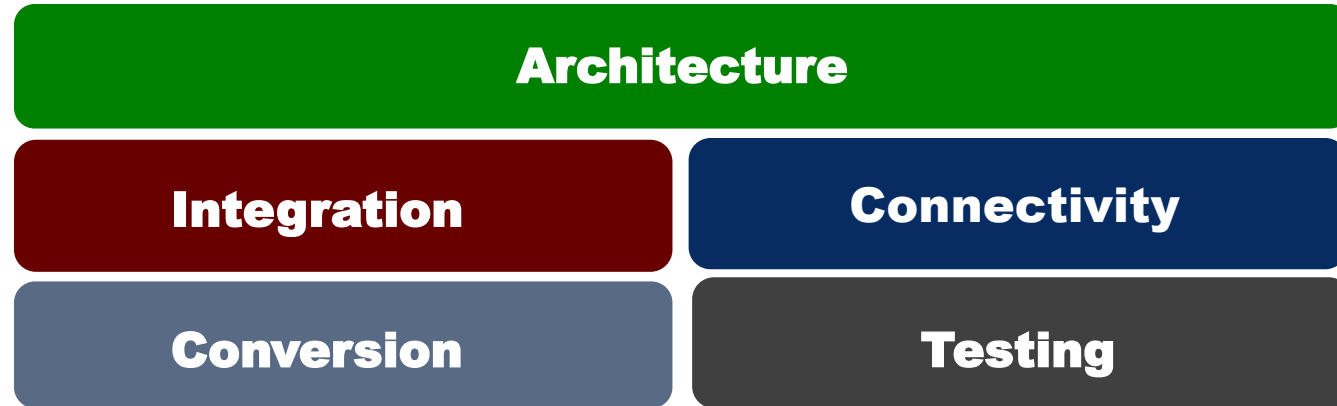
Technical Update

BAS PROGRAM UPDATE – TECHNICAL

RESPONSIBILITIES AND GOAL – Q4 2021

RESPONSIBILITIES

Architecture	
Integration	Connectivity
Conversion	Testing

GOALS FOR Q4 2021

- **Integration** - Continue design iterations for Common Solution and NOAA Integrations; develop BAS-CBS Account Code Structure (ACS) Crosswalk and Business Rules for Conversion

- **Architecture** - Review and implement BAS Technical Architecture (Tech Arch) Design; Refine BAS Information Technology Concept of Operations (IT CONOPS); Implement and integrate Identity and Access Management Architecture

- **Connectivity** - Implement connectivity external to BAS and across Cloud Service Providers (CSPs)
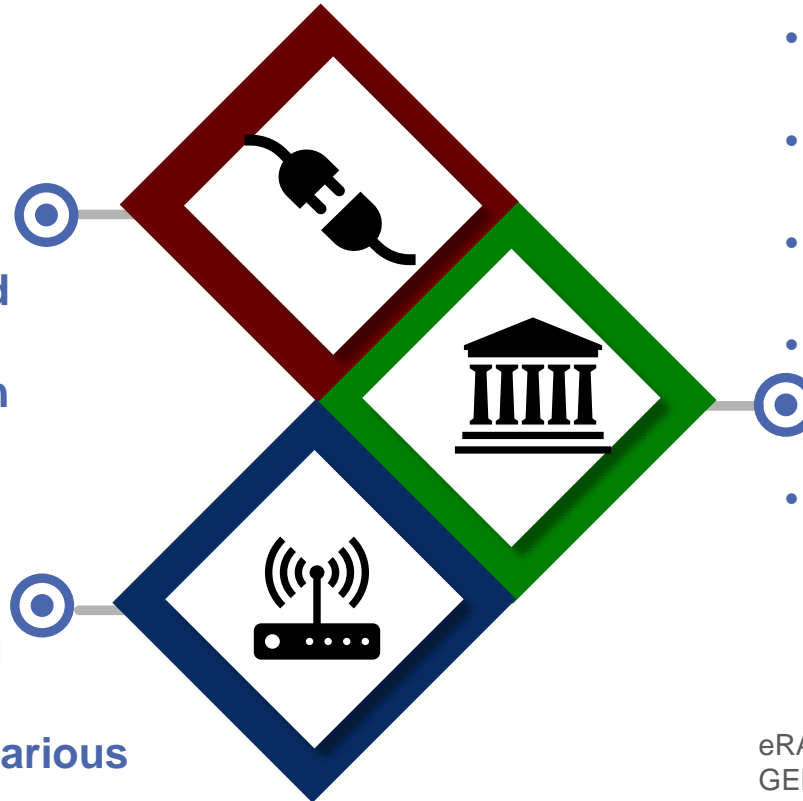
Integration/Conversion

- Continued review of BAS impacts with external partners including NFC, Treasury Systems, SP3, CWT, WebTA, eRA/GEMS
- Conducted kick-off integration sessions with NOAA, NIST, and Census on standard inbound imports
- Conducted conversion kick-off discussion with Bureaus

Connectivity

- Continued discussions for Network Connectivity, Security Controls, and ICAM solution and reviewed initial designs
- Continued development and approval of various external ISAs
- Completed initial connectivity tests to external and DOC systems

Architecture

- Achieved BAS Portal milestones; design in progress
- Finalized IDM vendor selection; continued discussion with ICAM
- Architected environment for BAS Phase 1 ATO
- Completed Core Financials architecture and design for OCI; currently migrating AWS to OCI
- Baselined OS and application security/functional patching and implemented best practices

NFC – National Finance Center
SP3 – Smart Pay 3
CWT – Carlson Wagonlit Travel
WebTA – Web-based Time and Attendance Program

eRA – Electronic Research Administration
GEMS – Grants Enterprise Management Solution
IDM – Identity Management
ICAM – Identity Credential and Access Management
ATO – Authority to Operate
ISA – Interconnection Security Agreement
AWS – Amazon Web Services
OCI – Oracle Cloud Infrastructure

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**

Connectivity

- **Supporting the breadth and volume of users/connections across DOC**
- **Management/development/ approval of ISAs**
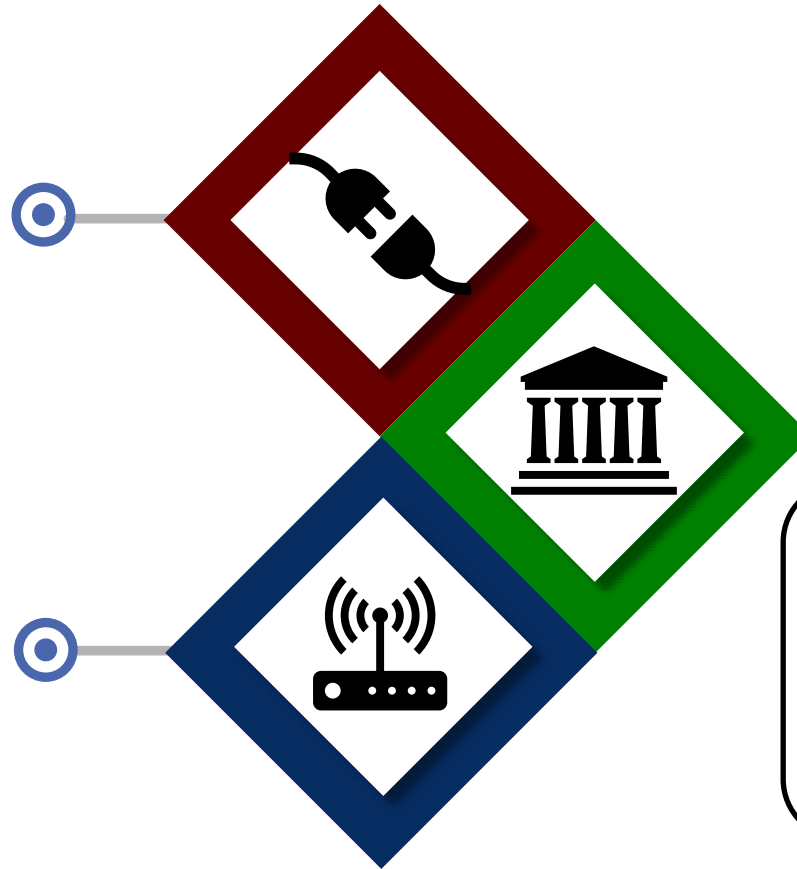
Architecture

- **Coordinating with concurrent ongoing projects across DOC:**
  - ICAM project
  - GEMS project
  - WebTA

BAS PROGRAM UPDATE – TECHNICAL
PLANS AND PRIORITIES Q1 FY 2022

Integration / Conversion

- Continue design iterations for Common Solution integrations
- Review/refine Bureau specific integrations
- Review/refine conversion rules with bureaus

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

PROGRAM STATUS UPDATE - OCM
RESPONSIBILITIES AND GOALS Q4 FY 2021

RESPONSIBILITIES

Communications

Stakeholder Analysis & Management

Training

GOALS FOR Q4 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 and CSC Portal

- Stakeholder Analysis and Management – Establish NOAA Change Network; Communicate BAS Role-Based Access Control (RBAC) design and prep for NOAA role selection and provisioning

- Training – Finalize NOAA Training Strategy; Socialize Train-the-Trainer approach; Initiate development of BAS Training Curriculum; Deliver Sprint 3 Business Process Videos

PROGRAM STATUS UPDATE - OCM
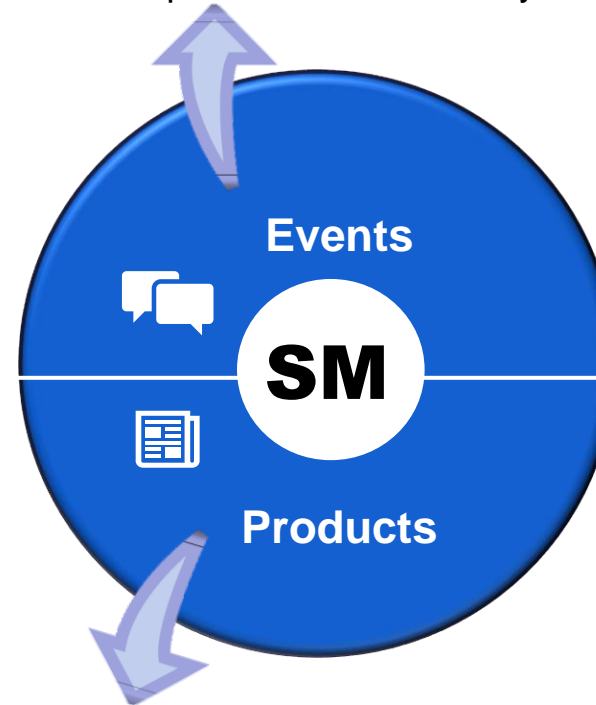
STATUS AGAINST Q4 PLANS

- September Newsletter (Edition #6) *
- Numerous Q&A updates *

- August NOAA Change Network (CN) recruitment session with bureau leadership
- August RBAC Oracle EBS Design & September Data Security briefings to CNN

- July Train-the-Trainer session with CNN

- July Town Hall *
- August Q&A Office Hours
- Sept. NOAA Implementation Kickoff (Rescheduled)

C — Events / Products / Website Additions

SM — Events / Products

T — Events / Products
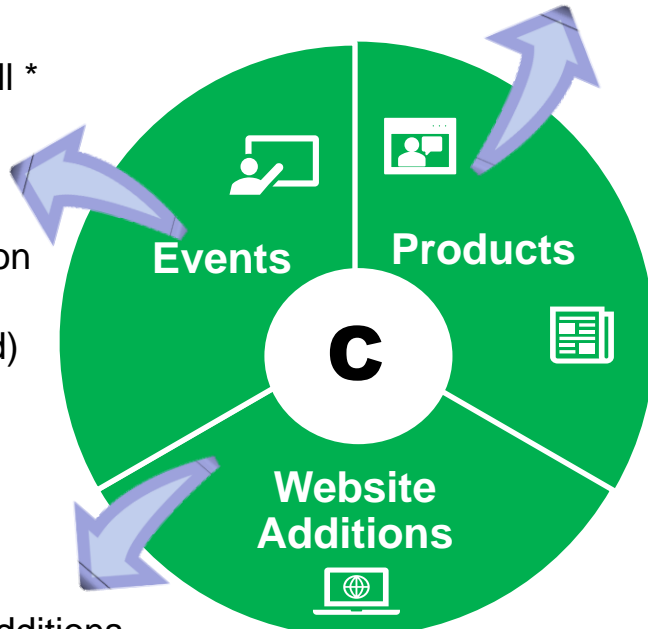
- CSC Portal Additions
  - 20 Sprint 3 Common Solution Outcomes Documents
  - 1 Personal Property and 1 Fleet Common Solution Deep Dive session recordings
  - 6 new RP Job Aids
  - CBS ACCS to BAS ACS Crosswalk
  - NOAA Implementation Year Kickoff Deck

- NOAA CN structure and representation
- Oracle EBS Role Design function matrix, Data Dictionary.

- 6 additional Real Property Job Aids
- NOAA Training Resource Plans
- Training curriculum and Finance Training outline drafts
- CRP video recording and posting

* Posted on BAS Website   ** Posted on CSC Portal

PROGRAM STATUS UPDATE - OCM
PROGRAM IMPACT AND CHALLENGES

Increased Stakeholder Access to Information

- Significant growth in CSC Portal products from **59 to 88 (+49%)**

- Business Process Videos views increased from **978 to 1616 (+65%)**

- Q&A posted to the BAS Website increased from **1200 to 1421 (+18%)**

Challenges

- Identifying and testing a suitable, stable platform that meets the needs for large BAS online events and can accommodate the breadth of our users for future meetings.

Plans and priorities for Q1 FY 2022:

Communications

➢ Identify, develop and deploy needed communication products

➢ Host engagement events (Town Hall, Table Talks, etc.)

➢ Continue BAS Website and CSC Portal additions and updates

Stakeholder Analysis & Management

➢ Kick off CN and conduct monthly engagements/activities

➢ Coordinate with NOAA, EDA, BIS and ES-A communities to begin selection of BAS system roles

➢ Coordinate with BAS Technical team to determine Role Provisioning process

Training

➢ Finalize Training Curriculum

➢ Develop draft Training Materials

➢ Begin drafting Training Delivery Schedule

Risk Management Update

BAS PROGRAM UPDATE – RISK
RESPONSIBILITIES AND GOALS – Q4 FY 2021

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 Q4 FY 2021

- Add, Monitor, and update risks with imminent trigger dates with an emphasis on NOAA risks
- Assist stakeholders with developing risk statements, mitigation plans, trigger dates, etc.
- Develop Standard Operating Procedures (SOPs) for Risk/Issue Management and update the Risk Management Plan
- Update/enhance dashboards/metrics to share key information on risks
- Escalate critical risks to Leadership if they impact major milestones

BAS PROGRAM UPDATE – RISK
STATUS/ACHIEVEMENT – Q4 FY 2021

Status/Achievement against Plan:

- Added 11 risks

- Closed 20 risks

- 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

- Developed detailed SOPs for the Risk/Issue management

- Simplified and streamlined the Issue Register

- Updated the Risk Management Plan with changes to the Risk/Issues process

BAS PROGRAM UPDATE – RISK
PROGRAM IMPACT AND CHALLENGES

Impact/Value of Accomplishments

- Sound Risk Management will ensure fewer hurdles down the road

- SOPs allow for continuity and ease of Risk/Issue Management

- Streamlined Issue Register

- Improved executive risk reporting and better 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

Project Risk 5x5 Matrix		Impact					Total
		Negligible (1)	Minor (2)	Moderate (3)	Serious (4)	Critical (5)	
Likelihood	Extremely Likely (5)	0	0	0	0	0	0
	Likely (4)	0	1	1	4	2	8
	Moderately Likely (3)	0	0	5	10	2	17
	Not Likely (2)	0	1	6	15	1	23
	Extremely Unlikely (1)	0	9	14	6	6	35
Total		0	11	26	35	11	83

Initial Risks	Risks Added (Q4 2021)	Risks Closed (Q4 2021)	Current Risks
92	11	20	83

Initial Issues	Issues Opened/Realized (Q42021)	Issues Closed (Q4 2021)	Current Issues
0	0	0	1

BAS PROGRAM UPDATE – RISK
PLANS AND PRIORITIES

Plans and Priorities for Q1 FY 2022:

Continue to monitor and update NOAA risks and risks with imminent trigger dates

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

Continue to improve the Risk/Issue Management Processes

Update/enhance dashboards/metrics to share key information on risks

Escalate critical risks to Leadership if they impact major milestones
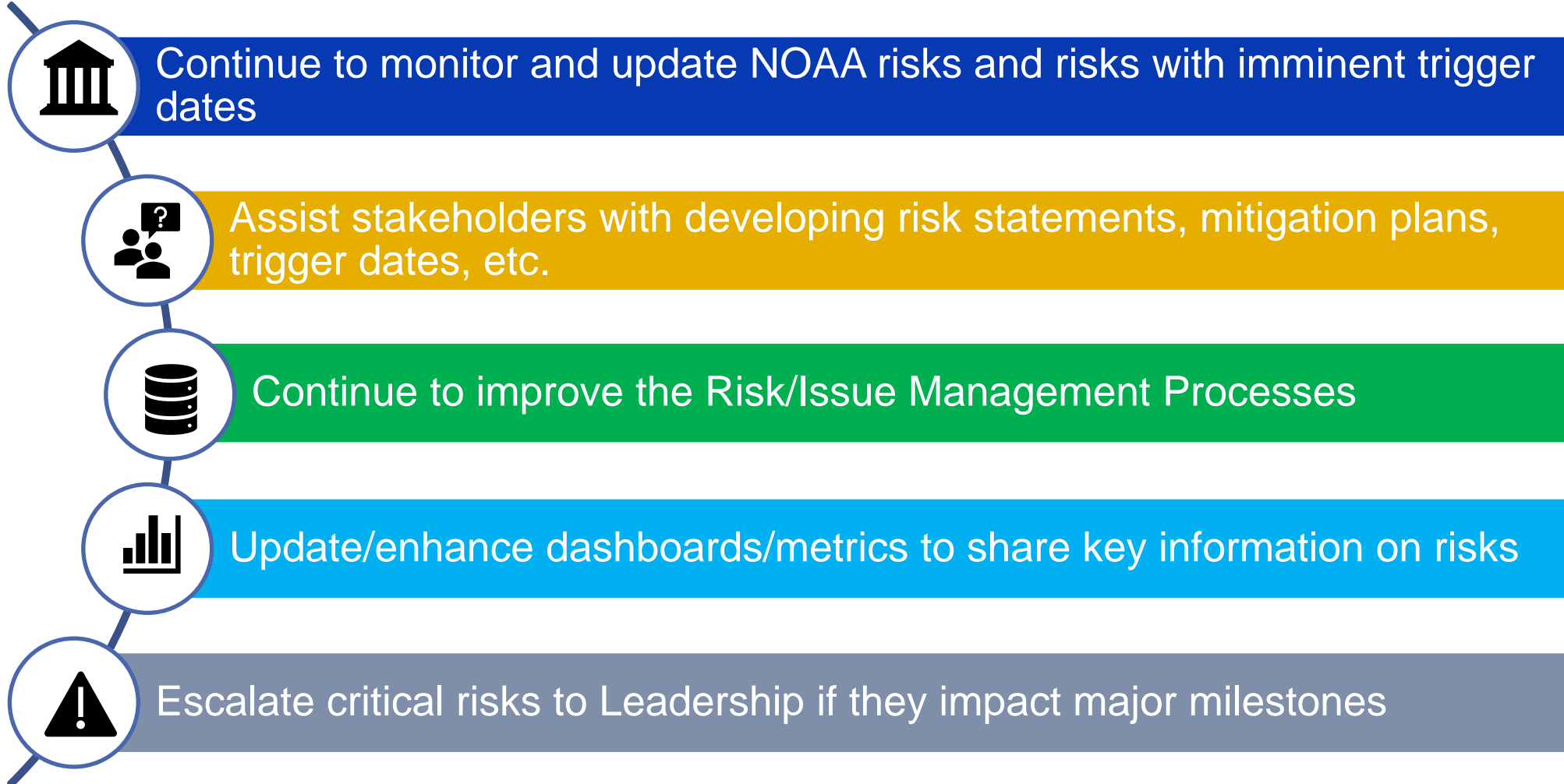
Security Update

BAS PROGRAM UPDATE – SECURITY
RESPONSIBILITIES AND GOALS Q4 FY 2021

RESPONSIBILITIES

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

ATO – Authority to Operate
SLA – Privacy Threshold Analysis
KPI – Key Performance Indicators
O&M – Operations and Maintenance

GOALS

- Begin Control Assessment for FY22 ATO
- Complete High Value Asset (HVA) Designation for BAS
- Complete SLA Requirements, KPIs, and Metrics
- Monitor System Logs and Vulnerability Scans
- Complete Interconnection Security Agreements (ISAs)
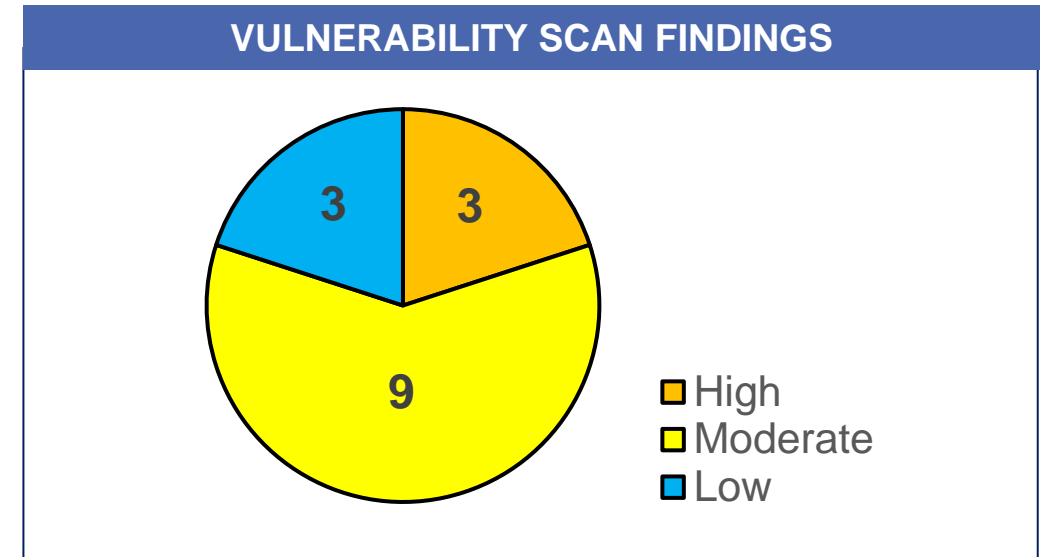- Provide Monthly O&M Security Reports

BAS PROGRAM UPDATE – FUNCTIONAL

STATUS/ACHIEVEMENT FOR Q4 2021

- Business Applications Solutions (BAS) OS-077 was independently assessed by Coalfire from May 2021 to July 2021
- For this initial assessment, the following solutions were included in the initial ATO:
  - Enterprise Data Warehouse (EDW) on Accenture Insights Platform (AIP) FedRAMP Moderate PaaS
  - ServiceNOW FedRAMP Moderate SaaS
  - Accenture Xtended Detection and Response (XDR) FedRAMP Moderate SaaS
- An ATO was granted for BAS OS-077 on August 19th, 2021
- 15 POAMs were open as a result of this assessment
  - All POAM are currently under review with the DOC ITSO
  - Once approved, POAMs will be submitted for closure as all associated vulnerabilities have been remediated
- 1 Risk Acceptance was open due to vulnerabilities on a Cloud Service Provider (CSP) Application
  - Application is managed by CSP and a new version and license needed to be purchased for all customer instances
  - Application is in the process of being upgraded in all applicable BAS environments
  - Rescan will be scheduled for Early November to confirm remediation

MANUAL CONTROLS ASSESSMENT

Total Number of Controls Assessed	363
Controls Externally Inherited or Not Applicable	171
Controls that were Satisfied	182
Controls that were Other than Satisfied	10
Finding Criticality	0 C 0 H 0 M 10 L

VULNERABILITY SCAN FINDINGS

Pie chart: High 3, Moderate 9, Low 3

POAM – Plan of Action and Milestones   SaaS – Software as a Service
FedRAMP – Federal Risk and Authorization Management Plan   ITSO - Information Technology Security Officer   PaaS – Platform as a Service

BAS PROGRAM UPDATE – SECURITY

PROGRAM IMPACT AND CHALLENGES

IMPACT:

- Received ATO and Approved Privacy Documentation

- Completed ISAs for Enterprise Application System (EAS) and Treasury

- Developed Dashboard using Xtended Detection and Response (XDR) tool

CHALLENGES:

- Delays in implementation and testing with DOC Enterprise Security Operations Center (ESOC)

- Delays in development of additional ISAs

- New policies and control requirements from OPOG, DOC OCIO, and FedRAMP

BAS SECURITY PROGRAM

BAS PROGRAM UPDATE - SECURITY
PLANS AND PRIORITIES FOR Q1 FY 2022

Q1 FY 2022 PRIORITIES

Begin required reporting for HVA Requirements

- DOC
- DHS Cybersecurity and Infrastructure Security Agency (CISA)

Configure new applications to provide logs to DOC ESOC and XDR

- PRISM
- EBS
- Sunflower
- IDM

Continue Monthly Control Review

- Update Control Implementation
- Collect Supporting Evidence
- Update Security Documentation

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

If you can't access the Teams chat line, you can use the following link to type in your question:
https://www.menti.com/io9kq3fshw

BAS PROGRAM UPDATE

NEXT EVENT

December 7, 2021

- **BAS Table Talk – EDW**

February 16, 2022

- **Q1 FY 2022 BAS Program Status Update**

BAS PROGRAM UPDATE
WE NEED YOUR INPUT

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 **3761 6660**

You can also reach the survey directly using
    https://www.menti.com/nnfvzte8y3

- Answer the questions as they appear – all responses are anonymous