



# Business System Ownership and Management

Lawrence Berkeley  
National Laboratory

Financial Policies and Procedures

Part II

---

Originally issued:	May 1, 2007
Effective Date:	December 7, 2008
Revision Number:	1
Scheduled review date:	December 7, 2009 (yearly)
Primary contact:	Manager, Business Systems Analysis

---

## Summary

The purpose of this policy is to establish the Office of Chief Financial Officer (OCFO) business system ownership and management responsibilities. Every OCFO business system must have a designated Business Owner. The business system owner is responsible for ensuring that the functionality of the system module meets the Laboratory's business needs to include:

- Available to users
- Secure and controlled
- Contains accurate data
- Maintainable
- Appropriately documented
- Adequately tested

## Policy

The owner of a business system module has ultimate responsibility for managing the assigned system. The Business Owner of an OCFO information system is usually the owner of the primary business functions served by the system module and is, therefore, that system's largest stakeholder.

As detailed under Roles and Responsibilities below, the Business System Owner is responsible for providing leadership, direction and recommendations regarding the development, enhancement and maintenance required for the system to meet the Business System Owner's operational objectives. This policy acknowledges that the execution of these responsibilities requires resources and support from OCFO Business Systems Analysis, OCFO Financial Policy and Training (FPTO), and the Information Technology (IT) Division.

## **Financial Policies and Procedures Manual**

This policy applies to all OCFO computerized systems involved with the creation, updating, processing, outputting, distribution, and other uses of business information. This policy applies to OCFO business systems developed at the Laboratory, acquired from external vendors, built from open-source components, as well as those extended from existing or purchased systems.

### **Procedures**

### **Roles Responsibilities**

#### ***Business System Owner***

##### **General**

- Defines the scope and strategic objectives of the business system. Establishes objectives and plans for the ongoing support, maintenance and enhancement of the application.
- Learns and understands the overall purpose and sufficient details of the system to manage or direct the day-to-day business operations of the system.
- Conducts periodic reviews of the system operations to ensure system is working as intended.
- When systems issues arise, ensures appropriate root cause problem resolution has occurred and that system issues are addressed and communicated accordingly.
- Makes final decisions in situations where stored system data is inaccurate after appraising the impact to system customers versus resources and time available to fix the problem.
- Collaborates with the IT and Facilities Divisions to develop and maintain a system business continuation plan including business-operating procedures.

##### **System Changes and Enhancements**

- Defines system requirements for new systems and system enhancements.
- Reviews and prioritizes requests for new systems and system enhancements and considers options including process reengineering prior to recommending a system change.
- For system changes, coordinates with Business Systems Analysis to ensure an adequate test plan is prepared and executed, and monitors the testing and review of the system during development.
- Provides final approval for implementing changes to the production system. Formally accepts the system as complete and ready for production.

## **Financial Policies and Procedures Manual**

- Ensures the implementation of effective system roll-out plans to include:
  - Adequate user communications
  - Quality of user training and the related training documents
  - Preparedness of help desk support
- Communicates planned and completed changes, improvements, and other important information about the system to users and support personnel as needed.
- Participates in planning for enterprise system-wide upgrades.

### **User Access Control**

- Establishes criteria for controlling user access to the various features of the system including the prerequisites for users who need read/write access.
- Controls access to personal identity information (PII).

### **User Training and Support**

- Establishes and maintains a training program for all staff updating data in the system and provide other training as needed for users who will be accessing and reviewing information in the system.
- Ensures the availability and quality of user training and related materials, reliability and the preparedness of help desk and other technical support processes and personnel.

### **Data Integrity**

- Ensures the availability, reliability and security of the business data stored in the system.
- Recommends improvements to the system to maintain an efficient and accurate process for providing customer-oriented information.
- Documents processes using personal identity information (PII) and control the security of PII.
- Oversees the maintenance and reviews data security, reliability, and integrity.
- Conducts periodic reviews of the data to ensure data is accurate and secure.
- Ensures data input controls are documented, effective, and tested periodically.
- Establishes and maintains useful data hierarchies for use in summarizing transaction details.

## **Financial Policies and Procedures Manual**

- Reviews and, if acceptable, approves requests to use data in standard management reports, or as inputs to other systems. Participates in the development and maintenance of standard management reports based on system data.

### ***OCFO Business Systems Analysis (BSA)***

#### **General**

- Monitors system operations.
- Communicates system problems/resolutions.
- Conducts root cause analysis of problems; provide options/recommendations about solutions.

#### **System Changes and Enhancements**

- Defines and monitors process and procedures for requesting, approving and tracking system changes.
- Develops and coordinates system upgrade and enhancements plans: integrates functionality mandated by business requirements and vendor upgrades into the production system.
- Identifies opportunities for process/system improvements.
- Assist owners in defining and model requirements for new systems or system enhancements.
- Partners with OCFO and IT to plan, develop and execute system upgrades and enhancements.
- Ensures changes are adequately tested and obtains owner approvals before moving them to production. Coordinates with the System Owner and functional staff in the preparation and execution of system change test plans.
- Supports system change roll-outs.

#### **User Access Control**

- Establishes and maintains a policy and procedures for controlling user access to systems including a process for conduction periodic reviews of user access.
- Conducts validation reviews of user access at least annually.
- Identifies personal identity information (PII) issues and make recommendations for corrective actions including access controls.

## Financial Policies and Procedures Manual

### **User Training Support**

- Provides end user support.

### **IT Institutional Systems (ITIS)**

#### **General**

- Provides technical project management leadership and services including development of project proposals and project plans.
- Conducts major system development based on customer specifications.
- Provides input to customers on options and considerations for system change requests.
- Performs system maintenance to accommodate vendor upgrades, software fixes and security patches.
- Provides system enhancements to accommodate DOE mandates, regulatory/policy changes, interface changes, and business process changes.
- Prepares documentation and exerts software change control as required by department standards.

#### **Authority**

- Not applicable

#### **Contacts**

- Manager, OCFO Business Systems Analysis

#### **Glossary**

- **Business System:** A computerized information system or business application that provides the end to end delivery of information. Data is an integral part of running the business including all computerized processes and the software needed to satisfy business requirements. A business system is comprised of computerized processes, input controls, the stored business data, and reports and other output formats.

## **Financial Policies and Procedures Manual**

- **User:** An individual (e.g., employees 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.

## Financial Policies and Procedures Manual

- **System Administrator/Manager:** IT 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. User profile management is performed by BSA.
- **Business Systems Analysis (BSA) Unit:** Responsible for ensuring that OCFO business systems are responsive to the needs of the Laboratory, the return on systems investment is maximized, and that systems strategies and plans are effectively communicated. The BSA Unit is comprised of a team of professional business analysts who partner with OCFO functional units and IT Division professionals in the planning, design, testing, implementation and maintenance of automated information systems.

### Related Documents

- [OCFO Business System Owner Assignments](#)
- [OCFO Business System Ownership Acknowledgement Memo](#)