Business Analysis
Planning and Monitoring

Chapter Study Group
Learning Materials

PDU: CH71563-04-2017 (3 hours)
2017, International Institute of Business Analysis™ (IIBA®).

Permission is granted to IIBA Chapters to use and modify this content to support chapter activities.

All other rights reserved.
AGENDA

• Review

• Introduction

• 3.1 Plan Business Analysis Approach
• 3.2 Plan Stakeholder Engagement
• 3.3 Plan Business Analysis Governance
• 3.4 Plan Business Analysis Information Management
• 3.5 Identify Business Analysis Performance Improvements
REVIEW

• Chapter 1 – Introduction
  • 1.1 Purpose of BABOK
  • 1.2 What is Business Analysis?
  • 1.3 Who is Business Analyst?
  • 1.4 Structure of BABOK Guide

• Chapter 2 – Business Analysis Key Concepts
  • 2.1 The Business Analysis Core Concept Model
  • 2.2 Key Terms
  • 2.3 Requirements Classification Schema
  • 2.4 Stakeholders
  • 2.5 Requirements and Designs
INTRODUCTION

- Chapter 3 of BABOK v3

- Consists of tasks performed to:
  - Plan the business analysis approach
  - Select appropriate business analysis techniques
  - Identify and plan stakeholder engagement
  - Define how information will be captured, stored and used
  - Determine how appropriate information will be made available for sound decision-making
  - Identify how business analysis work will be monitored and improved over time
INTRODUCTION
INTRODUCTION

ASGIP: Thinking of Planning
AS Getting Improved
Performance

A BA Approach
S Stakeholder Management
G BA Governance
I BA Information Management
P BA Performance Assessment
# INTRODUCTION - APPLYING THE BUSINESS ANALYSIS CORE CONCEPT MODEL

<table>
<thead>
<tr>
<th>Core Concept</th>
<th>Usage in Business Analysis Planning and Monitoring</th>
</tr>
</thead>
<tbody>
<tr>
<td>Change</td>
<td>Determine how change to business analysis results will be requested and authorized</td>
</tr>
<tr>
<td>Need</td>
<td>Select a business analysis approach that provides a suitable amount of analysis for the desired change</td>
</tr>
<tr>
<td>Solution</td>
<td>Evaluate if business analysis performance contributed to successful implementation of a solution</td>
</tr>
<tr>
<td>Stakeholder</td>
<td>Perform stakeholder analysis to account for stakeholder characteristics and reflect their needs</td>
</tr>
<tr>
<td>Value</td>
<td>Use performance analysis to ensure business activities produce sufficient value for the stakeholders</td>
</tr>
<tr>
<td>Context</td>
<td>Ensure a thorough understanding of context in order to develop an efficient business analysis approach</td>
</tr>
</tbody>
</table>
3.1 Plan Business Analysis Approach
3.1 PLAN BUSINESS ANALYSIS APPROACH

• **Purpose**
  • Defines appropriate overall method to conduct business analysis activities on a given initiative.

• **Description**
  • Describes how and when tasks will be performed & deliverables produced.
  • Identifies initial set of techniques to use.
  • May be defined by a methodology or by organizational standards.
  • May be standardized and formalized and/or tailored to the needs of the initiative.
  • May be developed in collaboration with stakeholders to determine how work will be completed.
3.1 PLAN BUSINESS ANALYSIS APPROACH

• **Description**
  
  • Approach should:
    
    • Align to overall goals of the change
    
    • Coordinate business analysis tasks with activities and deliverables of overall change
    
    • Include tasks that manage those risks that could reduce business analysis deliverables quality or impede task efficiency
    
    • Leverage approaches and select techniques and tools that have historically worked well
3.1 PLAN BUSINESS ANALYSIS APPROACH

Guidelines and Tools
- Business Analysis Performance Assessment
- Business Policies
- Expert Judgment
- Methodologies and Frameworks
- Stakeholder Engagement Approach

Input
- Needs

Output
- 3.1 Plan Business Analysis Approach

Tasks Using This Output
- 3.2 Plan Stakeholder Engagement
- 3.3 Plan Business Analysis Governance
- 3.4 Plan Business Analysis Information Management
- 3.5 Identify Business Analysis Performance Improvements
- 4.1 Prepare for Elicitation
- 4.2 Conduct Elicitation
- 4.4 Communicate Business Analysis Information
- 4.5 Manage Stakeholder Collaboration
- 6.1 Analyze Current State
- 6.3 Assess Risks
- 6.4 Define Change Strategy
3.1 PLAN BUSINESS ANALYSIS APPROACH

• Needs
  • Approach shaped by the problem or opportunity facing the organization.
  • Consider what is known about the need at the time of planning.
  • Acknowledge understanding evolves throughout business analysis activities.

1. Inputs
### 3.1 PLAN BUSINESS ANALYSIS APPROACH

#### Planning Approach

- An essential task to ensure value is delivered to an enterprise.
- Includes description of how plans will be altered if changes are required.
- Typically along continuum between predictive and adaptive approaches.
- Different approaches may be used within same initiative.
- Consider organization’s standards, tolerance for uncertainty, and previous experience with different approaches.
- Changing business conditions and newly raised issues may trigger re-planning & updates.
3.1 PLAN BUSINESS ANALYSIS APPROACH

- Formality and Level of Detail of Business Analysis Deliverables
  - Predictive or Adaptive approaches call for markedly different approaches.
  - Other considerations:
    - Complexity & risk level of change
    - Regulations, contracts and/or agreements
    - Geographically distributed stakeholders
    - Outsourced resources
    - Staff turnover and/or inexperience
    - Necessity for formal signoff
    - Deliverable retention & reuse requirements

2. Elements
3.1 PLAN BUSINESS ANALYSIS APPROACH

• Business Analysis Activities
  • Activities selected frequently influenced by organization’s adopted methodologies.
  • Integrating business analysis activities in the business analysis approach includes:
    • Identifying activities required to complete each deliverable & breaking each activity into tasks
    • Dividing tasks into iterations, identifying deliverables for each iteration and identifying associated activities and tasks
    • Using a previous similar initiative as an outline and applying detailed tasks and activities unique to current initiative
3.1 PLAN BUSINESS ANALYSIS APPROACH

2. Elements

• Timing of Business Analysis Work
  • Determine when tasks must be performed and if level of effort needs to vary over time.
  • Determine whether other knowledge area tasks will be performed primarily in specific phases or iteratively over course of initiative.
  • Timing also affected by resource availability, priority and/or initiative urgency, other concurrent initiatives, or contract terms or regulatory deadlines constraints.
3.1 PLAN BUSINESS ANALYSIS APPROACH

2. Elements

• Complexity and Risk
  • Factors influencing approach: Complexity, size of change and overall organizational risk.
  • May alter nature and scope of work based on increase or decrease in complexity and risk, number of stakeholders or business analysis resources.
  • May need to add process steps to better manage the work.
3.1 PLAN BUSINESS ANALYSIS APPROACH

2. Elements

- Complexity and Risk
  - Other factors impacting complexity:
    - Size of change
    - Number of business areas or systems affected
    - Geographic and cultural considerations
    - Technological complexities
    - Any risks that could impede business analysis effort
3.1 PLAN BUSINESS ANALYSIS APPROACH

2. Elements

- **Complexity and Risk**
  - Factors impacting risk level:
    - Experience level and extent of domain knowledge of business analyst
    - Stakeholder experience level in communicating needs
    - Stakeholder attitudes about the change and business analysis in general
3.1 PLAN BUSINESS ANALYSIS APPROACH

2. Elements

- Complexity and Risk
  - Additional factors impacting risk level:
    - Amount of time allocated by stakeholders to the business analysis activities
    - Any pre-selected framework, methodology, tools, and/or techniques imposed by organizational policies and practices
    - Cultural norms of the organization
3.1 PLAN BUSINESS ANALYSIS APPROACH

2. Elements

• **Acceptance**
  • Approach reviewed and agreed upon by key stakeholders.
  • Some organization’s processes may be more structured, requiring key stakeholders to sign off and ensure all business analysis activities have been identified, estimates are realistic, and proposed roles and responsibilities are correct.
  • Business analyst documents and seeks resolution of any issues raised by stakeholders when reviewing approach.
  • Stakeholders also review and accept changes prompted by changing conditions in the initiative.
3.1 PLAN BUSINESS ANALYSIS APPROACH

• **Business Analysis Performance Assessment**
  • Provides results of previous assessments that should be reviewed and incorporated into all planning approaches.

• **Business Policies**
  • Define the limits within which decisions must be made; may be described by regulations, contracts, agreements, deals, warranties, certifications, or other legal obligations, and can influence the business analysis approach.
3.1 PLAN BUSINESS ANALYSIS APPROACH

- **Expert Judgment**
  - Used to determine the optimal business analysis approach; may be provided from a wide range of sources including stakeholders on the initiative, organizational Centres of Excellence, consultants, or associations and industry groups; prior experiences of the business analyst and other stakeholders should be considered when selecting or modifying approach.

- **Methodologies and Frameworks**
  - Shape approach used by providing methods, techniques, procedures, working concepts, and rules; may need to be tailored to better meet needs of specific business challenge.
3.1 PLAN BUSINESS ANALYSIS APPROACH

- **Stakeholder Engagement Approach**
  - Understanding the stakeholders and their concerns and interests may influence decisions made when determining approach.
3.1 PLAN BUSINESS ANALYSIS APPROACH

- **Brainstorming**
  - Identify activities, techniques, risks, etc.

- **Business Cases**
  - Identify particular aspects of the need or solution

- **Document Analysis**
  - Review existing documents to see what can be used

- **Estimation**
  - Identify how long activities will take

- **Financial Analysis**
  - Determine costs of different approaches

4. Techniques
3.1 PLAN BUSINESS ANALYSIS APPROACH

4. Techniques

- **Functional Decomposition**
  - Breakdown complex approaches

- **Interviews**
  - Use to help build the plan

- **Item Tracking**
  - Track risks or issues

- **Lessons Learned**
  - Use past experience with planning approaches

- **Process Modeling**
  - Document the business analysis approach
3.1 PLAN BUSINESS ANALYSIS APPROACH

4. Techniques

- **Reviews**
  - Validate the selected approach

- **Risk Analysis and Management**
  - Used to assess risks

- **Scope Modeling**
  - Used to determine boundaries

- **Survey or Questionnaire**
  - Identify activities, risks, techniques, etc

- **Workshops**
  - Used to help build the plan
3.1 PLAN BUSINESS ANALYSIS APPROACH

- **Domain Subject Matter Expert**
  - Approach may depend on availability and level of involvement.

- **Project Manager**
  - Determines that approach is realistic for overall schedule and timelines; approach must be compatible with other activities.

- **Regulator**
  - May provide approval for aspects of approach, especially where process is audited.

- **Sponsor**
  - Can provide objectives for approach and ensure organizational policies are followed; may depend on availability and involvement with initiative.
3.1 PLAN BUSINESS ANALYSIS APPROACH

• Output – Business Analysis Approach
  • Approach and activities performed across an initiative; includes:
    • Who performs activities
    • Work timing and sequencing
    • Deliverables
    • Techniques that may be used
  • Other outputs may be integrated into overall approach or be independent based upon methodology, organization, and perspective.
3.2 Plan Stakeholder Engagement
3.2 PLAN STAKEHOLDER ENGAGEMENT

• **Purpose**
  - Plan approach for establishing and maintaining effective working relationships with the stakeholders.

• **Description**
  - Conduct thorough stakeholder analysis to identify all involved stakeholders and analyze their characteristics.
  - Use to define best collaboration and communication approaches for initiative and appropriately plan for stakeholder risks.
  - Degree of complexity can increase as the number of stakeholders involved increases.
  - Important since new or different techniques for stakeholder management may be required when engagement moves from collaborating with a few stakeholders to many.
3.2 PLAN STAKEHOLDER ENGAGEMENT

Input:
- Needs
- 3.1 Business Analysis Approach

Output:
- 3.2 Plan Stakeholder Engagement
- 3.2 Stakeholder Engagement Approach

Guidelines and Tools:
- Business Analysis Performance Assessment
- Change Strategy
- Current State Description

Tasks Using This Output:
- 3.1 Plan Business Analysis Approach
- 3.3 Plan Business Analysis Governance
- 3.4 Plan Business Analysis Information Management
- 4.1 Prepare for Elicitation
- 4.2 Conduct Elicitation
- 4.4 Communicate Business Analysis Information
- 4.5 Manage Stakeholder Collaboration
- 6.3 Assess Risks
- 6.4 Define Change Strategy
3.2 PLAN STAKEHOLDER ENGAGEMENT

• Needs
  • Understanding business need and enterprise components that it affects helps in identification of stakeholders; need may evolve as stakeholder analysis is performed.

• Business Analysis Approach
  • Incorporating approach into the stakeholder analysis, collaboration, and communication approaches ensures consistency across the approaches.
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

• Perform Stakeholder Analysis
  • Discussion topics in this section:
    • Identifying stakeholders
    • Roles
    • Attitudes
    • Decision Making Authority
    • Level of Power or Influence
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

• Identifying Stakeholders
  • Analyze information collected on stakeholders and their characteristics.
  • Repeat as necessary to ensure stakeholders are not overlooked and critical needs, wants and expectations are not uncovered.
    • Needs uncovered late can require revision to tasks in progress or those already completed
    • Not understanding who stakeholders are, the impact of changes on them, and their influence on change can result in increased costs and decreased stakeholder satisfaction
  • Stakeholder analysis methods can vary between projects, methodologies, and organizations.
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

• **Identifying Stakeholders**
  • Identifying internal stakeholders:
    • Initial sources can be organizational charts, business processes and sponsors
  • Identify external stakeholders by analyzing:
    • Existing contracts
    • Anticipated vendors that may have existing relationships
    • Regulatory and governing bodies that may influence the work
    • Shareholders
    • Customers
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

• Stakeholder Analysis – Roles
  • Identify stakeholder roles to understand where and how stakeholders will contribute to initiative.
  • Be aware of various roles a stakeholder is responsible for within organization.
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

- **Stakeholder Analysis – Attitudes**
  - Identify stakeholder attitudes to fully understand what may impact stakeholder’s actions and behaviors.
  - Stakeholder attitudes can positively or negatively impact a change.
    - Stakeholders with positive attitudes may be strong champions and great contributors
    - Others may not see value in the work, may misunderstand the value being provided, or may be concerned about the effect the change will have on them
    - Consider collaboration approaches that increase cooperation for those expected to serve in key roles and participate heavily in analysis activities, but who view a change negatively
3.2 PLAN STAKEHOLDER ENGAGEMENT

• **Stakeholder Analysis – Attitudes**
  
  • Analyze stakeholder attitudes about:
    
    • Business goals, objectives of initiative, and any proposed solutions
    • Business analysis in general
    • Level of interest in the change
    • Sponsor
    • Team members and other stakeholders
    • Collaboration and team-based approach
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

• **Stakeholder Analysis – Decision Making Authority**
  • Identify authority level stakeholder has over business analysis activities, deliverables, and changes to business analysis work.
  • Understanding authority levels upfront eliminates confusion during the effort.
  • Also ensures business analyst collaborates with proper stakeholders when looking for a decision to be made or seeking approvals.
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

• **Stakeholder Analysis – Level of Power or Influence**
  • Understanding nature of influence, influence structures and channels within organization can prove invaluable when seeking to build relationships and trust.
  • Understanding the influence and attitude each stakeholder may have can help develop strategies for obtaining buy-in and collaboration.
  • Evaluate how much influence is needed to implement change compared to the amount of influence key stakeholder brings.
  • If there is mismatch between influence required and amount of influence stakeholder has or is perceived to have, develop risk plans, responses and other strategies needed to obtain required level of support.
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

- Define Stakeholder Collaboration
  - Essential for maintaining engagement in business analysis activities.
  - Can be spontaneous event while much is deliberate and planned with specific activities and outcomes determined ahead of time during planning activities.
  - May plan different collaboration approaches for internal and external stakeholders; approaches may differ.
  - Objective: Select approaches that work best to meet the needs of each stakeholder group and ensure their interest and involvement is maintained across the initiative.
3.2 PLAN STAKEHOLDER ENGAGEMENT

- Define Stakeholder Collaboration
  - Some considerations when planning collaboration include:
    - Timing and frequency
    - Location
    - Available tools such as wikis and online communities
    - Delivery method such as in-person or virtual
    - References of the stakeholders
    - Planning considerations can be documented in stakeholder collaboration plan
    - As factors change, revisit, adjust and adapt to ensure ongoing stakeholder engagement
3.2 PLAN STAKEHOLDER ENGAGEMENT

2. Elements

• Stakeholder Communication Needs
  • Evaluate:
    • What needs to be communicated
    • The appropriate delivery method (written or verbal)
    • Appropriate audience
    • Timing & frequency
    • Stakeholder geographic location
    • Appropriate level of detail and formality
  • Documented in communication plan:
    • Build and review with stakeholders to ensure communication requirements and expectations are met
3.2 PLAN STAKEHOLDER ENGAGEMENT

• **Business Analysis Performance Assessment**
  • Provides results of previous assessments that should be reviewed and incorporated.

• **Change Strategy**
  • Used for improved assessment of stakeholder impact and development of more effective stakeholder engagement strategies.

• **Current State Description**
  • Provides context within which the work needs to be completed; leads to more effective stakeholder analysis and better understanding of impact of desired change.
3.2 PLAN STAKEHOLDER ENGAGEMENT

• **Brainstorming**
  • Used to produce stakeholder list

• **Business Rules Analysis**
  • Identify stakeholders who are sources of business rules

• **Document Analysis**
  • Existing documents used to plan engagement

• **Interviews**
  • Used to gain more information about stakeholders

• **Lessons Learned**
  • Use previous experience with stakeholders
3.2 PLAN STAKEHOLDER ENGAGEMENT

- **Mind Mapping**
  - Identify stakeholders and relationships

- **Organizational Modelling**
  - Used to identify stakeholders

- **Process Modelling**
  - Use to categorize stakeholders

- **Risk Analysis and Management**
  - Identify stakeholder-related risks

- **Scope Modelling**
  - Used to define boundaries
3.2 PLAN STAKEHOLDER ENGAGEMENT

- **Stakeholder List, Map, or Personas**
  - Depict stakeholder relationships
- **Survey or Questionnaire**
  - Identify shared characteristics
- **Workshops**
  - Used to gain more information
3.2 PLAN STAKEHOLDER ENGAGEMENT

5. Stakeholders

- **Customers & Suppliers:** Source of external stakeholders
- **Domain Subject Matter Expert:** Helps identify stakeholders; may fulfill one or more roles on initiative
- **End User:** Source of internal stakeholders
- **Project Manager:** May identify and recommend stakeholders; may share responsibility for stakeholder identification and management with business analyst
- **Regulator:** May require specific stakeholders or groups be involved in activities
- **Sponsor:** May request specific stakeholders be involved in activities
3.2 PLAN STAKEHOLDER ENGAGEMENT

- Stakeholder Engagement Approach
  - Contains:
    - Stakeholder list
    - Characteristics
    - Roles and responsibilities
    - Collaboration and communication approaches to be used
3.3 Plan Business Analysis Governance
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

• **Purpose**
  • Define how decisions are made about requirements and designs, including reviews, change control, approvals, and prioritization.

• **Description**
  • Ensure that governance process is in place and clarify any ambiguities within it.
  • Identifies decision makers, process, and information required for decisions to be made.
  • Describes how approvals and prioritization decisions are made for requirements and designs.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

• **Description**
  
  • When planning the governance approach, identify:
    • How business analysis work will be approached and prioritized
    • Process for proposing a change to business analysis information
    • Who has authority and responsibility to propose changes and who should be involved in the change discussions
    • Who has responsibility for analyzing change requests
    • Who has authority to approve changes
    • How changes will be documented and communicated
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

Guidelines and Tools
- Business Analysis Performance Assessment
- Business Policies
- Current State Description
- Legal/Regulatory Information

Input
- 3.1 Business Analysis Approach
- 3.2 Stakeholder Engagement Approach

Output
- 3.3 Plan Business Analysis Governance

3.3 Governance Approach

Tasks Using This Output
- 3.4 Plan Business Analysis Information Management
- 5.3 Prioritize Requirements
- 5.4 Assess Requirements Changes
- 5.5 Approve Requirements
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

1. Inputs

• Business Analysis Approach
  • Incorporate overall business analysis approach into governance approach to ensure consistency across approaches.

• Stakeholder Engagement Approach
  • Understanding stakeholder communication and collaboration needs is useful in determining their participation in governance approach; engagement approach may be updated based on the completion of the governance approach.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

• **Decision Making**
  • Decisions made throughout initiative.
  • Stakeholder may serve in various roles in the decision-making process such as:
    • Participant in decision-making discussions
    • Subject matter expert (SME) lending experience and knowledge to decision making process
    • Reviewer of information
    • Approver of decisions
  • Decision-making process defines what happens when teams cannot reach consensus, by identifying escalation paths and key stakeholders who hold final decision-making authority.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

- **Change Control Process**
  - When business analysts develop a change control process, they determine process for requesting changes:
    - Specify which requirements and designs change control process covers and determine whether it applies to all changes or only to changes of a specific size, cost, or level of effort
    - Details steps for proposing change, when changes can be proposed, who can propose changes and how change requests are communicated
  - Determine the elements of the change request:
    - Identify information to be included in a proposal to support decision making and implementation if it is approved
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

• Possible change request components
  • **Cost and time estimates**: for each area affected by proposed change, expected cost of change estimated.
  • **Benefits**: Explanation of how change aligns with initiative and business objectives to show how change adds value; include both financial benefits and tactical benefits such as implications to scope, time, cost, quality, and resources.
  • **Risks**: Analysis of risks to initiative, solution, or business objectives.
  • **Priority**: Level of importance of change relative to other factors such as organizational objectives, regulatory compliance requirements, and stakeholder needs.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

• Possible change request components

• Course(s) of action: Includes assessment of change control components (cost, time, benefits, risks and priority); common to identify several alternative courses, including those recommended by requester and by other stakeholders so decision makers can make choice that will best serve needs of initiative.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

• Change Control Process
  • Determine how changes will be prioritized: Established relative to other competing interests within current initiative.
  • Determine how changes will be documented: Configuration management and traceability standards establish product baselines and version control practices that identify which baseline is affected by change.
  • Determine how changes will be communicated: How proposed changes, changes under review, and approved, declined, or deferred changes will be communicated to stakeholders.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

- **Change Control Process**
  - **Determine who will perform impact analysis**: Specify who is responsible for performing an analysis of the impacts proposed change will have across initiative.
  - **Determine who will authorize changes**: Include designation of who can approve changes and what business analysis information their authority covers.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

- **Plan Prioritization Approach**
  - Timelines, expected value, dependencies, resource constraints, adopted methodologies, and other factors influence how requirements and designs are prioritized.
  - When planning the prioritization process, determine:
    - Formality and rigour of prioritization process
    - Participants who will be involved in prioritization,
    - Process for deciding how prioritization will occur, including which prioritization techniques will be utilized
    - Criteria to be used for prioritization, as in cost, risk, and value
  - Approach should also determine which stakeholders will have a role in prioritization. For more information, see 5.3 Prioritize Requirements.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

2. Elements

• Plan for Approvals
  • An approval formalizes the agreement between all stakeholders that content and presentation of the requirements and designs are accurate, adequate, and contain sufficient detail to allow for continued progress to be made.
  • The timing and frequency of approvals are dependent on the size and complexity of the change and associated risks of foregoing or delaying an approval.
  • The business analyst must determine the type of requirements and designs to be approved, the timing for the approvals, the process to follow to gain approval, and who will approve the requirements and designs.
Plan for Approvals

When planning the appropriate approval process, business analysts consider the organizational culture and the type of information being approved.

For example, new systems or processes for highly regulated industries such as financial, pharmaceutical, or healthcare are likely to require frequent and rigorous review and approval of very detailed specifications.

For other types of initiatives, a less intensive approval process may be more appropriate and result in a faster implementation.

Planning for approvals also includes the schedule of events where approvals will occur and how they will be tracked. Stakeholder availability, attitude, and willingness to engage determine the efficiency of the approval process and may significantly affect delivery timelines.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

- **Business Analysis Performance Assessment**
  - Provides results of previous assessments that should be reviewed and incorporated into all planning approaches

- **Business Policies**
  - Define the limits within which decisions must be made. May be described by regulations, contracts, agreements, warranties, certifications or other legal obligations.

- **Current State Description**
  - Provides context within which the work needs to be completed. This information can help drive how to make better decisions.

- **Legal/Regulatory Information**
  - Describes legislative rules or regulations that must be followed, and can be used to help develop a framework that ensures sound business decision making.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

4. Techniques

- **Brainstorming**
  - Identify approvers in the governance process

- **Document Analysis**
  - Evaluate existing governance process

- **Interviews**
  - Help identify approaches

- **Item Tracking**
  - Track issues related to governance planning

- **Lessons Learned**
  - Use previous experience with governance
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

4. Techniques

- Organizational Modelling
  - Use to understand roles and responsibilities

- Process Modelling
  - Use to document the process

- Reviews
  - Review governance process with key stakeholders

- Survey or Questionnaire
  - Use to identify process and approvers

- Workshops
  - Use to identify process and approvers
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

5. Stakeholders

- **Domain Subject Matter Expert**
  - May be a possible source of requested change or may be identified as needing to be involved in change discussions.

- **Project Manager**
  - Works with business analyst to ensure that overall project governance aligns with governance approach.

- **Regulator**
  - May impose rules or regulations that need to be considered when determining the governance plan; may also be possible source of requested change.

- **Sponsor**
  - Can impose their own requirements for how information should be managed; participates in change discussions and approves proposed changes.
3.3 PLAN BUSINESS ANALYSIS GOVERNANCE

• Governance Approach
  • Identifies stakeholders who will have responsibility and authority to make decisions about business analysis work, including who will be responsible for setting priorities and who will approve changes to business analysis information.
  • Also defines the process that will be used to manage requirement and design changes across the initiative.
3.4 Plan Business Analysis Information Management
3.4 PLAN BUSINESS ANALYSIS INFORMATION MANAGEMENT

• **Purpose**
  • Develop an approach for how business analysis information will be stored and accessed.

• **Description**
  • Comprised of all the information that business analysts elicit, create, compile, and disseminate in the course of performing business analysis; examples: models, scope statements, stakeholder concerns, elicitation results, requirements, designs, solution options, requirements, designs, user stories, formal requirement documents, functioning prototypes, etc.
3.4 PLAN BUSINESS ANALYSIS
INFORMATION MANAGEMENT

• Description
  • Information management entails identifying:
    • How information should be organized,
    • The level of detail at which information should be captured,
    • Any relationships between the information,
    • How information may be used across multiple initiatives and throughout the enterprise,
    • How information should be accessed and stored,
    • Characteristics about the information that must be maintained
  • Information management helps ensure that business analysis information is organized in a functional and useful manner, is easily accessible to appropriate personnel, and is stored for the necessary length of time.
3.4 PLAN BUSINESS ANALYSIS INFORMATION MANAGEMENT

Guidelines and Tools
- Business Analysis Performance Assessment
- Business Policies
- Information Management Tools
- Legal/Regulatory Information

Input
- 3.1 Business Analysis Approach
- 3.2 Stakeholder Engagement Approach
- 3.3 Governance Approach

Output
- 3.4 Plan Business Analysis Information Management

Tasks Using This Output
- 4.4 Communicate Business Analysis Information
- 5.1 Trace Requirements
- 5.2 Maintain Requirements
- 7.4 Define Requirements Architecture
3.4 PLAN BUSINESS ANALYSIS
INFORMATION MANAGEMENT

1. Inputs

• Business Analysis Approach
  • Incorporating the business analysis approach into the information management approach is necessary to ensure consistency across the approaches.

• Governance Approach
  • Defines how business analysts manage changes to requirements and designs, how decisions and approvals for business analysis deliverables will be made, and how priorities will be set.

• Stakeholder Engagement Approach
  • Identifying stakeholders and understanding their communication and collaboration needs is useful in determining their specific information management needs.
Organization of Business Analysis Information

- Business analysts are responsible for organizing this information in a manner that allows for efficient access and use; information must be well structured to ensure it is not difficult to locate, conflicts with other information, or is needlessly duplicated.

- The business analyst determines how best to structure and organize this information at the start of an initiative; this involves considering the type and amount of information to be collected, the stakeholder's access and usage needs, and the size and complexity of the change; relationships among the types of information must be defined to assist in managing the effect of new or changed information in the future.
3.4 PLAN BUSINESS ANALYSIS INFORMATION MANAGEMENT

2. Elements

• Level of Abstraction
  • Describes breadth and depth of the provided information. Representations of information may range from highly conceptual or summarized to very detailed. Consider the needs of stakeholders, the complexity of what is being explained, and the importance of the change. In determining how much detail each stakeholder may require. Rather than present the same information to all stakeholders, present information with appropriate breadth and level of detail based on each stakeholder’s role. Represent information regarding a topic of significant importance or high level of risk in greater detail.
• Plan Traceability Approach
  • Based on:
    • The complexity of the domain
    • The number of views of requirements that will be produced
    • Any requirement-related risks, organizational standards, applicable regulatory requirements
    • An understanding of the costs and benefits involved with tracing
    • Plan to ensure the approach is at a level of detail to add value without excessive overhead
  • For more information, see 5.1 Trace Requirements
Plan for Requirements Reuse

Reusing requirements can save an organization time, effort, and cost—provided the requirements are accessible and structured in a manner that supports their reuse. Requirements that are potential candidates for long-term use are those an organization must meet on an ongoing basis such as:

- Regulatory requirements
- Contractual obligations
- Quality standards
- Service level agreements
- Business rules
- Business processes
- Requirements describing products the enterprise produces
2. Elements

3.4 PLAN BUSINESS ANALYSIS INFORMATION MANAGEMENT

• Plan for Requirements Reuse
  • Requirements may also be reused when describing common features or services that are used across multiple systems, processes, or programs.
  • To make requirements useful beyond the current change, business analysts plan ahead for requirements reuse by identifying how best to structure, store, and access requirements so they are usable and accessible for future business analysis efforts.
  • In order for requirements to be reused they must be clearly named, defined, and stored in a repository that is available to other business analysts.
• **Storage and Access**
  
  • Can be stored in many ways. Storage decisions depend on many factors such as who must access the information, how often they need to access it, and what conditions must be present for access. Organizational standards and tool availability also influence storage and access decisions. Define how various tools will be used on the initiative and how information will be captured and stored within those tools. Tools may shape the selection of business analysis techniques, notations to be used, and the way that information is organized.

  • The repository may need to store information other than requirements and designs. It should be able to indicate the status of any stored information, and allow for modification of that information over time.
3.4 PLAN BUSINESS ANALYSIS
INFORMATION MANAGEMENT

2. Requirements Attributes

• Provide information about requirements, and aid in the ongoing management of the requirements throughout the change. Planned for and determined with the requirements themselves.

• Allow business analysts to associate information with individual or related groups of requirements. The information documented by the attributes helps the team efficiently and effectively make trade-offs between requirements, identify stakeholders affected by potential changes, and understand the effect of a proposed change.
3.4 PLAN BUSINESS ANALYSIS
INFORMATION MANAGEMENT

2. Elements

• Requirements Attributes
  • Some commonly used requirements attributes include:
    • Absolute reference
    • Author
    • Complexity
    • Ownership
    • Priority
    • Risks
    • Source
    • Stability
    • Status
    • Urgency

CARA'S SOUPS
Complexity, Absolute Reference, Risks, Author, Source, Status, Ownership, Urgency, Priority, Stability.

"Cara's soups has many good attributes"
3.4 PLAN BUSINESS ANALYSIS
INFORMATION MANAGEMENT

• Business Analysis Performance Assessment
  • Provides results of previous assessments that should be reviewed and incorporated into all planning approaches.

• Business Policies
  • Define the limits within which decisions must be made. They may be described by regulations, contracts, agreements, warranties, certifications, or other legal obligations.
3.4 PLAN BUSINESS ANALYSIS INFORMATION MANAGEMENT

- **Information Management Tools**
  - Each organization uses some tools to store, retrieve, and share business analysis information. These may be as simple as a whiteboard, or as complex as a global wiki or robust requirements management tool.

- **Legal/Regulatory Information**
  - Describes legislative rules or regulations that must be followed, and helps determine how business analysis information will be managed.
3.4 PLAN BUSINESS ANALYSIS
INFORMATION MANAGEMENT

4. Techniques

- **Brainstorming**
  - Used to uncover needs

- **Interviews**
  - Used to uncover needs

- **Item Tracking**
  - Track issues related to current management processes

- **Lessons Learned**
  - Source of past experiences

- **Mind Mapping**
  - Categorize information to be managed
3.4 PLAN BUSINESS ANALYSIS
INFORMATION MANAGEMENT

4. Techniques

- **Process Modelling**
  - Use to document the management process

- **Survey or Questionnaire**
  - Input into defining information management

- **Workshops**
  - Use to uncover needs
5. Stakeholders

3.4 PLAN BUSINESS ANALYSIS INFORMATION MANAGEMENT

- **Domain Subject Matter Expert**
  - May need to access and work with business analysis information, and will be interested in a more specific view of business analysis information which relates to their area of expertise.

- **Regulator**
  - May define rules and processes related to information management.

- **Sponsor**
  - Reviews, comments on, and approves business analysis information.
3.4 PLAN BUSINESS ANALYSIS INFORMATION MANAGEMENT

6. Outputs

- Information Management Approach
  - Includes the defined approach for how business analysis information will be stored, accessed, and utilized during the change and after the change is complete.
3.5 Identify Business Analysis Performance Improvements
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

• **Purpose**
  
  • Assess business analysis work and plan to improve processes where required.

• **Description**
  
  • To monitor and improve performance, it’s necessary to:
    
    • Establish performance measures
    • Conduct the performance analysis
    • Report on the results of the analysis
    • Identify necessary preventive, corrective, or developmental actions

  • Performance analysis should occur throughout an initiative. Once potential performance improvements are identified, they become guidelines for the next time a task is executed.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

Input

- Performance Objectives (external)
- 3.1 Business Analysis Approach

Guidelines and Tools

- Organizational Performance Standards

Output

3.5 Identify Business Analysis Performance Improvements

3.5 Business Analysis Performance Assessment

Tasks Using This Output

- 3.1 Plan Business Analysis Approach
- 3.2 Plan Stakeholder Engagement
- 3.3 Plan Business Analysis Governance
- 3.4 Plan Business Analysis Information Management
- 4.5 Manage Stakeholder Collaboration
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

1. Inputs

• Business Analysis Approach
  • Identifies deliverables, activities (including when they will be performed and who will be performing them), and techniques.

• Performance Objectives (external)
  • Describe the desired performance outcomes that an enterprise or organization is hoping to achieve.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

Input
- Performance Objectives (external)
- 3.1 Business Analysis Approach

Output
- 3.5 Identify Business Analysis Performance Improvements

Guidelines and Tools
- Organizational Performance Standards

Tasks Using This Output
- 3.1 Plan Business Analysis Approach
- 3.2 Plan Stakeholder Engagement
- 3.3 Plan Business Analysis Governance
- 3.4 Plan Business Analysis Information Management
- 4.5 Manage Stakeholder Collaboration
• Performance Analysis
  • What constitutes effective business analysis work depends on the context of a particular organization or initiative.
  • Reports on business analysis performance can be informal and verbal, or they may include formal documentation; they are designed and tailored to meet the needs of the various types of reviewers.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

2. Elements

• **Assessment Measures**
  • If current measures exist, the business analyst may leverage them or determine new measures; the BA may also elicit assessment measures from stakeholders.
  • Performance measures may be based on:
    • Deliverable due dates as specified in the business analysis plan,
    • Metrics such as the frequency of the changes to business analysis work products,
    • The number of review cycles required,
    • Task efficiency, or
    • Qualitative feedback from stakeholders and peers regarding the business analyst’s deliverables
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

2. Elements

• Assessment Measures
  • Appropriate performance measures enable the business analyst to determine when problems are occurring that may affect the performance of business analysis or identify opportunities for improvement.
  • Measures may be both quantitative and qualitative. Qualitative measures are subjective and can be heavily influenced by the stakeholder’s attitudes, perceptions, and other subjective criteria.
  • Note: All performance metrics will encourage certain behaviours and discourage others. Poorly chosen metrics may drive behaviour that is detrimental to the enterprise as a whole.
• **Assessment Measures**

• Some possible measures are:
  • Accuracy and Completeness – correctness
  • Knowledge – skilled or not
  • Effectiveness – easy to use
  • Organizational Support – adequate resources
  • Significance – justification
  • Strategic – objectives met
  • Timeliness – on time or not
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

2. Elements

- Analyze Results
  - The business analysis process and deliverables are compared against the set of defined measures. The analysis may be performed on the business analysis process, the resources involved, and the deliverables.
  - Performance may be determined from the point of view of the stakeholders who are the recipients of the business analysis work. Other times a personnel manager or a Centre of Excellence may make this determination and provide assessments.
  - All stakeholders may have input in assessing the value of the business analysis work but organizations may differ in terms of who has the authority to set the targets against which performance is measured.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

2. Elements

• **Recommend Actions for Improvement**
  • Once the analysis of performance results is complete, the business analyst engages the appropriate stakeholders to identify the following actions:
    • **Preventive**: reduces the probability of an event with a negative impact
    • **Corrective**: establishes ways to reduce the negative impact of an event
    • **Improvement**: establishes ways to increase the probability or impact of events with a positive impact
  • These actions are likely to result in changes to the business analysis approach, repeatable processes, and tools.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

4. Techniques

- Organizational Performance Standards
  - May include performance metrics or expectations for business analysis work mandated by the organization.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

4. Techniques

- **Brainstorming**
  - Generate ideas for improvement

- **Interviews**
  - Gather assessments of performance

- **Item Tracking**
  - Issues related to business analysis performance

- **Lessons Learned**
  - Recommended changes based on past performance

- **Metrics and Key Performance Indicators (KPIs)**
  - Determine appropriate metrics for measuring performance
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

4. Techniques

- **Observation**
  - Witness business analysis performance

- **Process Analysis**
  - Analyze existing business analysis processes

- **Process Modelling**
  - Used to modify existing processes

- **Reviews**
  - Use to identify improvements

- **Risk Analysis and Management**
  - Use to manage conditions that may impact performance
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

4. Techniques

- **Root Cause Analysis**
  - Identify causes of failure

- **Survey or Questionnaire**
  - Use to gather feedback

- **Workshops**
  - Gather assessments and determine improvements
5. Stakeholders

3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

• Domain Subject Matter Experts
  • Informed about BA activities to set expectations regarding their involvement in the work and to elicit their feedback regarding possible improvements to the approach.

• Project Manager
  • Is accountable for the success of a project and must be kept informed of the current status of business analysis work. If potential problems or opportunities for improvement are identified, the project manager must be consulted before changes are implemented to assess whether those changes will have an impact on the project. They may also deliver reports on business analysis performance to the sponsor and other stakeholders.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

5. Stakeholders

• Sponsor
  • May require reports on business analysis performance to address problems as they are identified.
  • Note: A manager of business analysts may also sponsor initiatives to improve the performance of business analysis activities.
3.5 PLAN IDENTIFY BUSINESS ANALYSIS PERFORMANCE IMPROVEMENTS

• Business Analysis Performance Assessment
  • Includes a comparison of planned versus actual performance, identifying the root cause of variances from the expected performance, proposed approaches to address issues, and other findings to help understand the performance of business analysis processes.

6. Outputs
HOMEWORK

• How does the company you work for plan the business analysis approach?

• What is the difference between metric and measure?

• In the context of the company you work for, please list and describe your favorite KPIs.

• How would you complete stakeholder analysis in the company you work for?