

# Learner Guide

## Faculty of Information Technology

BUSINESS ANALYSIS 621

Year 2

Semester 1



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# FACULTY OF INFORMATION TECHNOLOGY

## LEARNER GUIDE

**MODULE: 6 I G-B9 GG'5 B5 @MG-G-\* &%(%GH SEMESTER)**

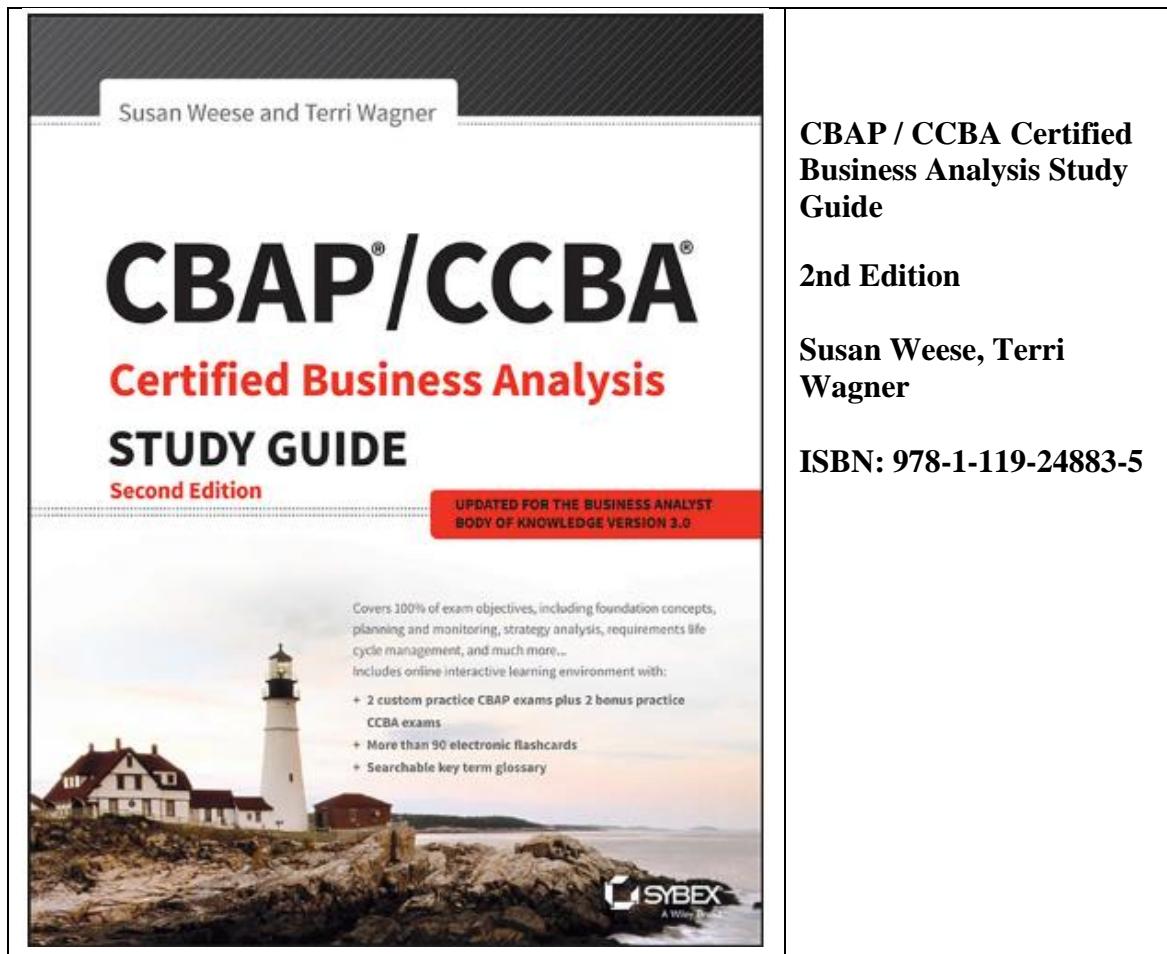
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## PREScribed OR RECOMMENDED BOOKS



### Chapter 1: Foundation Concepts

Chapter 2: Controlled Start: Business Analysis Planning and Monitoring

Chapter 3: Controlled Start: Strategy Analysis

Chapter 4: Overarching Tasks: Requirements Life Cycle Management

Chapter 5: Controlled Middle: Elicitation and Collaboration

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### LEARNING OUTCOMES

After reading this Section of the guide, the learner should be able to:

#### Learning Objectives

- Describe business analysis and the role of the business analyst.
- Explain the Business Analysis Core Concept Model (BACCM™).
- Explore the six business analysis knowledge areas.
- Recognize the basic contents, structure, and intent of the BABOK® Guide.
- Define the BABOK® Guide requirements classification scheme.
- Map business analysis activities to a generic project life cycle.
- Understand the content and intent of the BABOK® Guide.

## Introduction

This chapter lays the foundation for navigating and understanding the content and intent of A Guide to the Business Analysis Body of Knowledge® (BABOK® Guide). It is our high-level look at what it means to be a business analyst and how to successfully perform business analysis work. Business analysts can be found in all facets of an organization—projects, programs, strategic planning, operations, or other initiatives. Although the examples in this chapter use projects and the project life cycle to step through the discipline, remember that business analysts do not have to be members of a project team to do their jobs. They can work almost anywhere. The set of generally accepted best practices defined by the BABOK® Guide provides a business analysis framework defining areas of knowledge, associated activities and tasks, and the skills required to perform them. The scope of this standard covers pre-project activities, the full project life cycle, and the final product's operational life.

### 1.1 What Is Business Analysis?

Let's start with an example of how difficult it can be to do business analysis work when you are not certain where to begin. New business analysts start their careers in a number of ways. In the past, it was not uncommon for young software engineers to transition into the business

side of an organization when their manager called them into their office, saying, “We are short-staffed, and I need you to figure out what the users need this new software application to do.” The fledgling business analyst needed to discover who to talk to, what to ask, how to ask, and how to document the information that they discovered in a way that made sense to the development team and to the business.

This was not an easy task the first time around! In this situation, performing basic business analysis work took a lot longer than it seemed like it should. These unprepared rookie business analysts had great difficulty deciding exactly how to get started. There was no process in place to guide them and no one available to point them in the right direction. They found themselves longing to go back to their cubicles and just write some more code. Luckily, there is no need for business analysts to feel this way today. There are standards, books (like this one), websites, blogs, and tons of experienced folks out there to mentor and guide business analysts in getting the job done right.

Business analysis is the glue that holds successful organizations together. It is a distinct discipline focusing on identifying business needs, problems, and opportunities, and on determining the appropriate solutions to address them. The resulting projects and initiatives may focus on systems development, process improvement, organizational change, or some combination of the three. Business analysis touches all levels of an organization: strategic, tactical, and operational. Business analysts participate across the project and the product life cycles as they look at all aspects of an organization’s enterprise architecture, stakeholder needs, business processes, software, and hardware.

## The Business Analyst’s Role

The linchpin of successful business analysis is the business analyst performing the actual work. Their involvement in defining and validating solutions that address key business needs and goals is essential to both project and business success. According to the BABOK® Guide, “a business analyst is any person who performs business analysis tasks described in the BABOK® Guide, no matter their job title or organizational role.” Business analysts work as liaisons among **stakeholders** in order to understand the structure, policies, and operations of an organization, and to recommend solutions that enable the organization to achieve its goals. So, what exactly is the job description for the business analyst? There have been many job postings lately that came straight from the BABOK® Guide role definition. That is a good sign. The adoption and integration of these principles as best practices in the corporate environment will lead to stronger business analysis process, better business analysts, and more credibility and consistency in the role of business analysts today. Here is a short list of the business analyst’s job responsibilities from the BABOK® Guide

- Discovers, synthesizes, and analyzes enterprise information
- Understands enterprise problems, opportunities, and goals in the context of the requirements
- Analyzes needs and solutions
- Devises strategies and drives change
- Facilitates stakeholder collaboration

## Essential Skills of Effective Business Analysts

Business analysts must possess a wide spectrum of skills and knowledge. Being a technical expert in a particular area does not guarantee success as a business analyst on a project. In

addition to the necessary business, technical, and **domain knowledge**, the business analyst should have management, interpersonal, business, and structured problem-solving skills.

## The Business Analyst and the Project Manager

There is much buzz about the potential for overlap and conflict between the project manager and the business analyst. Interestingly enough, many project managers perform business analysis work early in their projects—developing feasibility studies, business cases, scope statements, and business-level requirements as part of project selection, initiation, and scope definition. Many project managers were part of the business analysis team earlier in their careers. As a result, many project managers have business analysis skills to complement and overlap their project management skill set.

The project manager's responsibilities differ from the responsibilities of the business analyst in several ways. The project manager focuses on meeting the project objectives. They initiate, plan, and manage the project. The project manager makes sure the project team delivers a solution that meets requirements, the acceptance criteria, and the customer's quality expectations. The project manager juggles the many constraints present on a project, such as scope, budget, schedule, resources, quality, and risk. On a large project, the business analysis team is only one part of the project resources the project manager is managing.

The business analyst and the project manager typically work closely together on projects and must maintain good communications. However, there is potential for the project manager and the business analyst to be in conflict with one another. The business analyst works with key stakeholders to understand the structure, policies, and operations of an organization and to recommend solutions. The project manager focuses on planning and managing the project to achieve the project objectives and deliver those solutions to the stakeholders. Where are they going to step on each other's toes? There are two key areas for conflict: stakeholder communication and planning.

## Dealing with Key Stakeholders

There is no project without stakeholders. Stakeholders have a vested interest in the project and its outcome, and they are the major source of requirements, constraints, and assumptions for the business analyst. Remember that stakeholder roles are like hats—one person may wear multiple hats and fill more than one role on a project.

There are a number of generic stakeholders who will interact with the business analyst across the project life cycle. While the list in Table 1.1 doesn't cover every possible role, it is a good starting point for who should be involved with your business analysis activities. Many organizations have different names for the same role, so don't get excited if these are not the generic stakeholder roles with which you are familiar. In addition to the business analyst, there are a number of key stakeholder roles involved with business analysis activities. They are summarized in Table 1.1.

**TABLE 1.1** Key business analysis stakeholders

Stakeholder	Description
Customer	Uses the products, services, or solutions
Domain subject matter expert (SME)	Possesses detailed, in-depth knowledge of a particular topic or problem area of the solution scope or the business need
End user	Directly interacts with the resulting solution when it has been completed and deployed
Implementation SME	Is responsible for designing and implementing potential solutions and providing specialist expertise Subsets of the implementation SME role include developers, software engineers, organizational change management professionals, system architects, trainers, and usability professionals.
Operational support	Helps to keep the solution functioning by providing end-user support or day-to-day operational support
Project manager	Manages the work performed to deliver the solution
Tester	Verifies that the designed and constructed solution meets the requirements and quality criteria for that solution
Regulator	Defines and enforces standards for developing the solution or for the resulting solution itself
Sponsor	Authorizes the solution development work to be performed and controls the budget
Supplier	Provides products or services to the organization

Read



**CBAP/ Certified Business Analysis Study Guide 2<sup>nd</sup> Edition, Susan Weese, Terri Wagner Chapter 1 Page Number 10**

## 1.2 Reviewing the Business Analysis Core Concept Model (BACCM™)

### Reviewing the Business Analysis Core Concept Model (BACCM™)

The Business Analysis Core Concept Model (BACCM™) provides you with a conceptual framework that shows what it really means to be a business analyst. This framework creates a common, generic language describing the business analysis profession. You can use this common language to discuss what you do with a business analyst working in a different industry.

There are six concepts in the BACCM™: change, need, solution, stakeholder, value, and context. You need to understand all of these concepts in relation to one another to be an effective business analyst. They are the framework for a successful business analysis effort.

**Change** Change is the driving force for most projects and initiatives. Change takes place when one responds to satisfy a need. You need to be aware of the enterprise-level changes that will result from your project efforts and outcome.

**Need** Businesses and their stakeholders have needs that often result in projects. Needs are value-driven ways to address business problems or opportunities. Solution Solutions are the

end result of projects and initiatives. They resolve the problems or take advantage of the opportunities.

**Solutions** satisfy needs within the context of the enterprise and its environment.

**Stakeholder** Stakeholders are the people who have a relationship to the change, need, or solution. Stakeholder analysis often groups stakeholders relative to these relationships.

**Value** Value is the worth of something to a stakeholder within the context of the enterprise. Business analysts assess value as a tangible or intangible thing. Business analysts should assess value from the key stakeholder's point of view.

**Context** Context is the environment where the change is taking place.

The BACCM™ and its six concepts help you assess the quality and completeness of the work you are doing. As you will see, the concepts intertwine as you work through a project. A change that affects the tasks, tools, inputs, or deliverables covered by one of the concepts presents an opportunity for reevaluation of the impact on the other five concepts. The magnitude of the change, as well as where you are in the project life cycle, determines how significant the changes may be. The effects can be felt both in your current projects and in what may need to change moving forward.

### 1.3 Exploring the Business Analysis Knowledge Areas

The BABOK® Guide is based on a set of knowledge areas guiding the business analyst when they perform business analysis activities at any point in the project or product life cycle. Knowledge areas define what business analysts need to understand and the tasks they should perform. They do not represent project phases, and their activities are not intended to be performed in a linear fashion. Tasks from one or more knowledge areas may be performed in any order (such as in succession, simultaneously, or iteratively), provided that the necessary inputs to each task are available.

Six knowledge areas are defined by the BABOK® Guide. If you are planning to take the Certified Business Analyst Professional (CBAP®) or Certification of Competency in Business Analysis (CCBA™) exam, you will need to memorize the high-level definition of each knowledge area, as well as the more detailed tasks, elements, inputs, and outputs. If you are interested in applying these knowledge areas to your work world, you will need to master the tasks and the skills in order to become an effective business analyst.

Figure 1.1 shows the relationships between the six knowledge areas listed here:

- Business Analysis Planning and Monitoring
- Elicitation and Collaboration
- Requirements Life Cycle Management
- Strategy Analysis Requirements Analysis and Design Definition
- Solution Evaluation

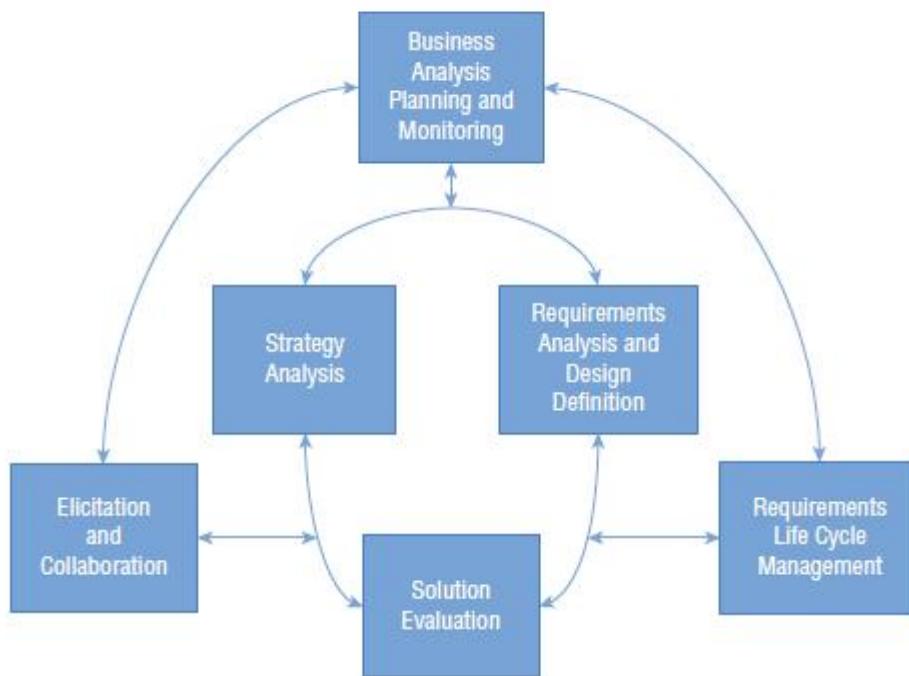


Figure 1.1 Relationships between knowledge areas

### **Knowledge Area: Business Analysis Planning and Monitoring**

In the Business Analysis Planning and Monitoring knowledge area, a business analyst plans how to approach the business analysis effort. The approach is a set of processes, templates, and activities used to perform business analysis in a specific context. The tasks organize and coordinate the performance of all other business analysis tasks. These planning and monitoring activities take place throughout the project life cycle. The results of this knowledge area guide the tasks found in the remaining five knowledge areas and set the performance metrics to be used to evaluate all business analysis work. So, what is a business analyst to do? Well, the business analyst's task list for this particular knowledge area consists of the following:

- Planning the business analysis approach for the project
- Determining how to engage stakeholders, including stakeholder identification, analysis, and categorization
- Defining the business analysis governance activities for decision making
- Addressing business analysis information management needs
- Planning the requirements development and management process
- Managing and reporting on the business analysis effort

### **Knowledge Area: Strategy Analysis**

Strategy Analysis focuses on how the business analyst identifies the business needs driving a project by performing problem definition and analysis. In addition to defining and refining these strategic or tactical needs, the business analyst is responsible for defining a feasible

solution scope that can be implemented by the business. This work may also include developing a business case or feasibility study for a proposed project. Typically, the tasks in this knowledge area occur prior to or early in the project life cycle. The business analyst's task list for this knowledge area includes translating business strategy into proposed new business or enterprise solutions by doing the following:

- Defining and understanding the business problem or opportunity
- Assessing capability gaps in the organization by analyzing the current and future states
- Assessing risks relative to the proposed solution
- Defining the change strategy for the initiative
- Determining the most feasible business solution approach

### **Knowledge Area: Requirements Life Cycle Management**

Requirements Life Cycle Management defines how the business analyst approaches managing and maintaining requirements. Tasks and techniques for managing changes, conflicts, and issues related to requirements are also described. Business analysts perform requirement management tasks as part of requirements development work by doing the following:

- Managing requirements traceability
- Maintaining requirements for accuracy and reuse
- Addressing requirements prioritization
- Determining how requirements should change
- Facilitating requirements approval

### **Knowledge Area: Elicitation and Collaboration**

Elicitation and Collaboration defines how business analysts work with stakeholders to elicit requirements and understand stakeholder needs and concerns. This knowledge area also addresses ongoing collaboration and communication during all business analysis activities. The business analyst's task list for this knowledge area consists of the following:

- Preparing for elicitation activities
- Meeting with stakeholders to conduct the elicitation activity
- Confirming, documenting, and recording the elicitation results
- Communicating and confirming elicitation results with key stakeholders

### **Knowledge Area: Requirements Analysis and Design Definition**

Requirements Analysis and Design Definition describes how the business analyst progressively elaborates to define, refine, prioritize, and organize requirements. In essence, the business analyst takes the elicited information and makes sense of it to derive the real requirements for the project. This knowledge area also focuses on graphically modeling the requirements and resulting designs as well as documenting them. When performing these tasks, the business analyst should ensure the feasibility of the requirements while defining, describing, and refining the characteristics of an acceptable solution. The business analyst's task list for this knowledge area consists of the following:

- Specifying and modeling requirements and designs
- Verifying requirements and designs

- Validating requirements and designs
- Defining the architecture and structure of requirements
- Defining solution options Analyzing value and recommending a solution

## **Knowledge Area: Solution Evaluation**

Solution Evaluation focuses on assessing and validating proposed, in progress, and implemented solutions before, during, and after the project life cycle. A business analyst's attention is on the value that the solution will deliver to the enterprise, including the constraints that may impact value. While many tasks in this knowledge area take place later in the project life cycle, some solution-focused activities may occur quite early. The business analyst's task list for this knowledge area consists of the following:

- Defining solution performance measures
- Collecting and analyzing solution performance data
- Assessing solution limitations
- Assessing enterprise limitations
- Recommending actions to increase solution value

## **Exploring Requirements**

Projects are successful when stakeholders, including business analysts, clearly state and agree upon desired accomplishments. For most projects, this statement consists of defining the high-level scope of the project along with its more detailed project requirements. The general definition of a requirement is something wanted or needed. Business analysts in many organizations spend a lot of time developing requirements. This is a good thing. Defining and documenting requirements allow a business analyst to quantify and document the needs, wants, and expectations of project stakeholders.

The BABOK® Guide uses the term requirement to cover many aspects of the business and its needs. Their broad view of requirements addresses both the current state of the business and its desired future state. Requirements may focus on the business, the users, or the systems and subsystems that already exist or are being considered. Requirements range from high-level enterprise capabilities to organizational structure and roles to processes and policies. Information systems fall into the requirements realm, as do business rules. Requirements analysis activities are also quite broad in nature. There is no prescription for the correct level of detail in your project requirements other than what is sufficient for understanding and subsequent action.

### Distinguishing Between Requirements and Design

Requirements and design are closely linked. Many times, the distinction between requirements and design is unclear. Business analysts will use the same techniques to elicit, model, and analyze requirements and designs on their projects. Figure 1.2 shows the relationship between requirements and design in the BABOK® Guide.

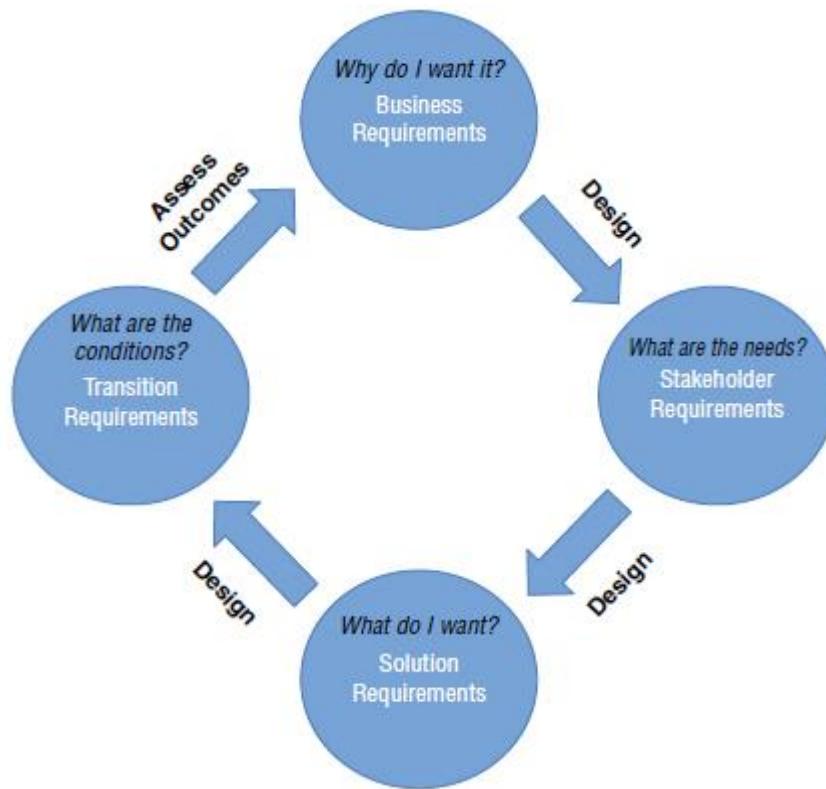


Figure 1.2 Requirements and design cycle



**CBAP/ Certified Business Analysis Study Guide 2<sup>nd</sup> Edition, Susan Weese,  
Terri Wagner Chapter 1 Page Number 15**

## Defining the Requirements Management Process

The requirements management process is a detailed subset of the business analysis approach, targeting how the team performs requirements development activities for a project. The process should be documented in the requirements management plan. This deliverable defines many things, including the following:

- How the team will deal with requirements traceability
- The explicit process for developing requirements
- How requirements will be prioritized
- What requirements attributes will be collected

- How changing requirements will be handled both during requirements development and after the requirements are agreed upon and base lined
- Who will review and approve requirements and any requested changes

## Classifying Requirements

The BABOK® Guide defines a requirement as a condition or capability needed by a stakeholder to solve a problem or to achieve an objective. This aligns nicely with the International Institute of Electrical and Electronics Engineers (IEEE) definition of requirements for software-intensive systems. Regardless of project type, a business analyst must use project requirements to design, develop, and deliver a solution that adds value to the business as a whole.

Different organizations use different names for requirements classes. To implement the BABOK® Guide requirements classification scheme, a business analyst needs to assess and map the levels of requirements in their organization's existing requirements process documents. While the exam requires that you know the requirements classification scheme, you don't have to use BABOK® Guide requirements classes. However, it is good practice that your requirements development approach addresses all of the BABOK® Guide requirements classes in some way. Figure 1.3 shows the relationships between the BABOK® Guide requirements classes.

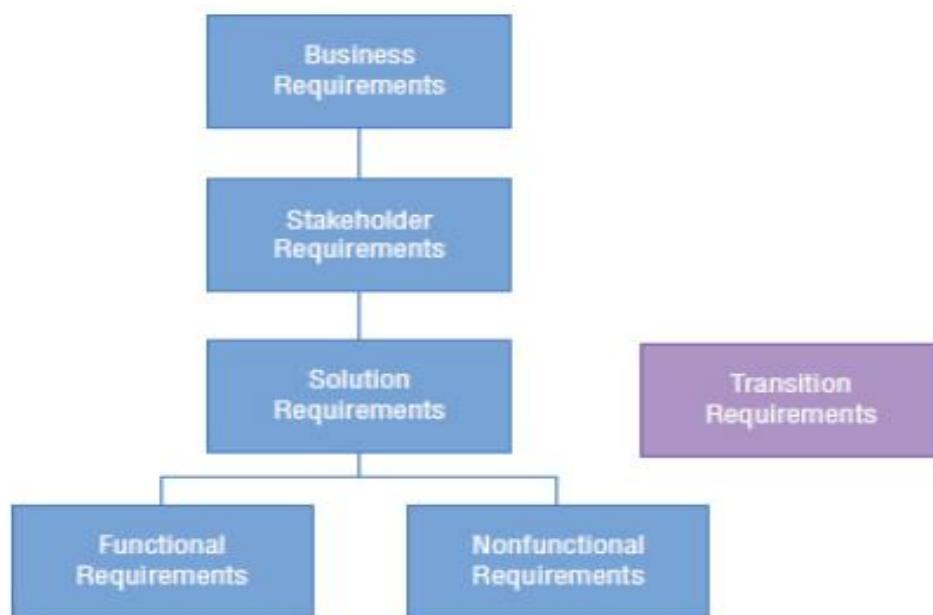


Figure 1.3 Classes of requirements

**Business Requirements** Business requirements are the highest level of requirements and are developed during Strategy Analysis activities. They define the high-level goals, objectives, and needs of the organization. They also describe and justify the high-level business functionality that is needed in the resulting solution. To define a solution, business analysts will progressively elaborate and decompose business requirements to the next level of detail, the stakeholder requirements.

**Stakeholder Requirements** These requirements define the needs of stakeholders and how they will interact with a solution. Stakeholder requirements bridge between the business

requirements and the more detailed solution requirements. Many folks refer to stakeholder requirements as high-level user requirements. They identify what is needed from the user's perspective and define "big picture" capabilities that the resulting solution must possess.

**Solution Requirements** Solution requirements are the most detailed type of requirements found in the BABOK® Guide. They describe the solution characteristics that meet the higher-level business and stakeholder requirements. Typically, a business analyst divides solution requirements into two specific types: functional requirements and nonfunctional requirements. A business analyst develops and defines solution requirements as part of the tasks found in the Requirements Analysis knowledge area.

**Functional Requirements** Functional requirements define the capabilities that a product or solution must provide to its users. They are a subset of the solution requirements that the business analyst develops for the project.

**Nonfunctional Requirements** Nonfunctional requirements describe quality attributes, design and implementation constraints, and external interfaces that the product must have. They are a subset of the solution requirements that the business analyst develops for the project, and they are typically paired up with the functional requirements that they constrain in some way. They would add characteristics to the functional requirements.

**Transition Requirements** Transition requirements define the solution capabilities required to transition from the current state to the future state and are no longer needed once the transition is complete. Typically, the business analyst creates transition requirements later in the project life cycle after defining both the current and new solutions. Business analysts develop and define transition requirements as part of the tasks found in the Solution Evaluation knowledge area.

## The Requirements State Machine

When you look at requirements across the project life cycle, you will notice that they change as the project progresses. They start as a bunch of information and are analyzed into meaningful requirements. The analyzed requirements are reviewed and approved by their key stakeholders. Following review and approval, the requirements are used as the basis for designing a solution. See the pattern? Requirements development fits nicely into a state machine approach as the requirements change over time—they transition from state-to-state based on actions that have been taken. Many requirements deliverables are modified based on the state that they are in at a particular point in time. This is particularly true for the requirements found in the BABOK® Guide.

The requirements state machine is worth watching; it provides the business analyst with guidance and recommendations about what has already taken place and what might be the logical next step in the requirements development process. Table 1.2 summarizes the possible states and may be of assistance when you are navigating the BABOK® Guide.

**TABLE 1.2** The BABOK® Guide requirements state machine summary

Requirements State	Description
Approved	Agreed to by stakeholders and ready for use in subsequent business analysis or implementation efforts
Maintained	Formatted and suitable for long-term or future use by the organization; may be saved as organizational process assets
Modelled	Well-structured and represented using correct modeling notations
Prioritized	Having an attribute describing its relative importance or assigned priority to stakeholders and the organization
Specified	Well-formed requirements documented using text, matrices, and models
Traced	Having clearly defined and identified relationships to other requirements or designs within the solution scope
Validated	Demonstrated to deliver value to stakeholders; are within the solution scope and are aligned with business goals/objectives
Verified	Requirements have been checked and are of sufficient quality to allow further work to be performed.

#### 1.4 Understanding How This Applies to Your Projects

As you can tell from this first chapter, successful business analysts bring a serious mixture of skills, dedication, and knowledge to their projects in order to solve business problems and meet business needs. It isn't just the ability to execute the business analysis techniques that gets the job done, either. Effective business analysts must also possess excellent interpersonal skills as well as a strong set of business and technical knowledge.

Different business analysis skills, techniques, and knowledge are used at different places in the project life cycle. To implement the contents of the BABOK® Guide on your projects, you will need to map what needs to be done to when you would like to do it. If you have an existing project life cycle in your organization, this is the time to dust it off and use it. If not, it's time to build one. Our generic project life cycle consists of three parts: controlled start, controlled middle, and controlled end. When you think about your projects, one way to keep track of what needs to be done is to know "when and where" you are in this simple model (see Figure 1.4).

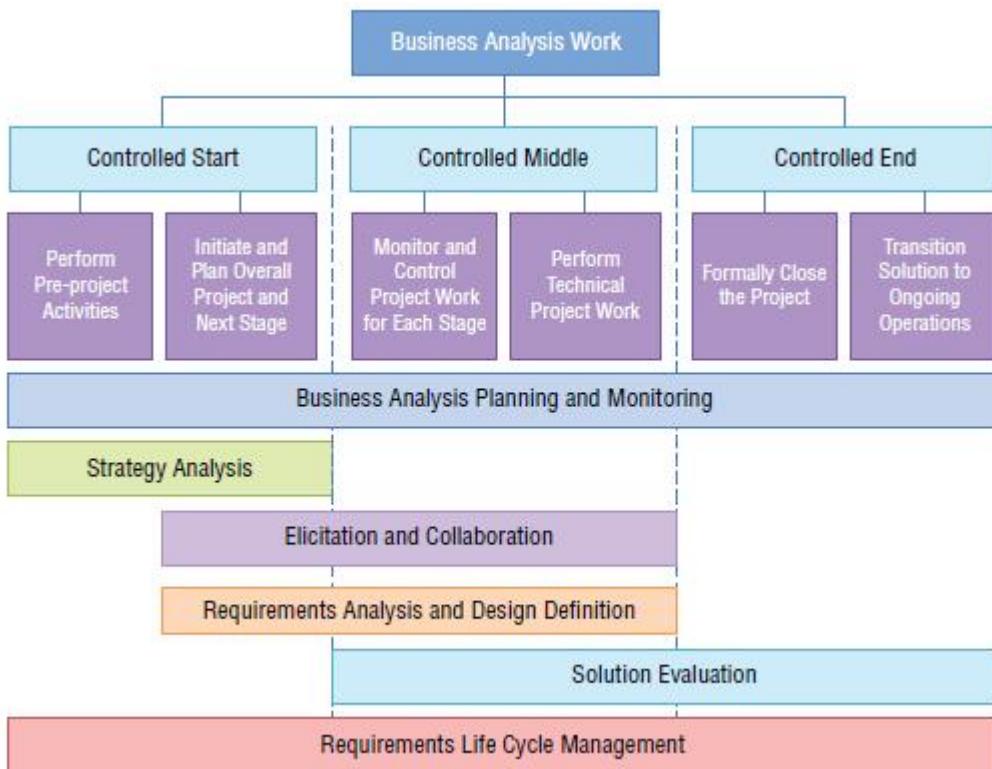


Figure 1.4 Mapping the BABOK® Guide to a generic life cycle



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**Controlled Start** The controlled start to a project includes the pre-project activities where you determine whether this is a viable and worthwhile project for the business. It also covers the project initiation, where business analysts do more detailed planning for the overall project and for the next detailed project stage. At the end of the controlled start activities, the business analyst should have project scope finalized, business justification in place, and the high-level project plan built.

**Controlled Middle** The controlled middle of a project is where the technical work gets done, one stage or phase at a time. The project manager uses the plan to measure and monitor project performance and to control what takes place. This is management by walking around (MBWA), where business analysts are into everything—regular status, informal conversations, checking

the health of the project, dealing with stakeholders, forecasting future performance, and dealing with issues and risks.

**Controlled End** A controlled end to a project is when the business analyst wraps up a job well done. This can also take place if the project was prematurely terminated for one reason or another (ideally a rare event). The business analyst takes stock of achievements, reports on the effort, ensures objectives and acceptance criteria are met, and transitions the final product of the project into its operational life.

### 1.5 Perspectives on Business Analysis

Business analysts find themselves working on many types of projects. You may find yourself developing requirements for a back-office IT system or defining standard operating procedures within a research laboratory. The BABOK® Guide defines five common points of view for business analysis work.

- Agile
- Business intelligence
- Information technology
- Business architecture
- Business process management



## Chapter Summary/Review

1. You covered a lot of content in this chapter! You learned that business analysis is an essential part of every organization. Successful business analysts bring a serious set of skills and knowledge to every project or initiative in order to liaise among the stakeholders to address business needs and solve business problems. Business analysis is more than just asking questions!
2. You looked at how the BABOK® Guide provides a business analysis framework, defining areas of knowledge, associated activities and tasks, and the skills required to perform them. The scope of the BABOK® Guide covers pre-project activities, the full project life cycle, and the final solution's operational life. It is also the basis for the CBAP® and CCBA™ certification exams, and it provides the backbone of this book.
3. The BABOK® Guide contains its own requirements classification scheme. This is the scheme you will see on the certification exams. A requirement is a condition or capability needed by a stakeholder to solve a problem or to achieve an objective. Classifying requirements allows the business analysis team to make sure that their project requirements are reviewed and understood by the correct stakeholders. Requirements classes help you determine the appropriate level of detail and the specificity needed in the project requirements and decide how many documents you will use to define what is needed.
4. You visited the six business analysis knowledge areas as a part of the chapter. These knowledge areas guide business analysts when they perform business analysis activities at any point in the project or product life cycle. The areas define what business analysts need to understand and the tasks they should perform. They do not represent project phases, and their activities are not intended to be performed in a linear fashion.
5. To use the BABOK® Guide at work, you will need to map its business analysis tasks to your own project life cycle (PLC) or systems development life cycle (SDLC). This will allow you to create a business analysis methodology that supports your project and product-focused life cycles and will help you to keep the lights on. This book uses a simple project life cycle as the basis for a map. It has only three phases: controlled start, controlled middle, and controlled end. Most life cycles are far more complex!



### Review Questions (Short)

1. What project role focuses on understanding business problems and opportunities?
2. A capability needed by a stakeholder to achieve an objective is also called a?
3. Who is primarily responsible for achieving the project objectives?
4. Inputs to a specific business analysis task may be externally produced by?
5. To determine solutions to business problems, the business analyst applies a set of?



### Review Questions (Long)

1. A business analyst is currently defining a set of changes to the current state of an organization that allows the organization to take advantage of a business opportunity. What is most likely being defined?
2. Your project implementation plan defines 12 capabilities of the planned systems solution that will not be needed once the new solution is operational. What type of requirements are these?
3. What knowledge area contains the next *most* logical steps after the business analyst has built a business case and gained management approval for a project?
4. The stakeholders have indicated to the business analysis team that the documented requirements are ready for use in subsequent business analysis or implementation efforts. What type of requirements has been developed at this point in time?
5. You are a business analyst measuring alternatives against objectives and identifying trade-offs to determine which possible solution is best. You are most likely engaged in what activity?

### Review Questions (MCQ)

1. What represents the information and preconditions necessary for a business analysis task to begin?
  - A. Activity
  - B. Input
  - C. Output
  - D. Technique
2. You are a business analyst measuring alternatives against objectives and identifying trade-offs to determine which possible solution is best. You are most likely engaged in what activity?
  - A. Problem solving
  - B. Systems thinking
  - C. Creative thinking
  - D. Decision making
3. What defines the business analysis team roles, deliverables to be produced, and tasks to be performed?
  - A. Requirements process
  - B. Project management plan
  - C. Solution approach
  - D. Business analysis approach
4. When does the business analyst ensure the feasibility of the proposed requirements to support the business and user needs?
  - A. As part of building a business case
  - B. During Requirements Analysis and Design Definition
  - C. When organizing business requirements
  - D. While planning and monitoring tasks
5. The system users have stated their needs for revised online order entry system capabilities. The users need the ability to perform online, remote order entry when they are traveling worldwide. What type of requirements best describe this need?
  - A. Stakeholder requirements
  - B. Business requirements
  - C. Transition requirements
  - D. Solution requirements



## Case Studies / Projects

### Reviewing Requirements over a Cup of Coffee

Years ago, Phil was the technical team lead for a team working on an executive compensation system for top-level management. The team needed input from a small, closed community of senior and executive management customers in order to define the current and future processes. Unfortunately, his key contact from this group felt that the job of customer interface had been given to a young, up-and-coming star who didn't have a clue.

This made developing a rapport with the key customer contact almost impossible. However, the project deadlines remained inflexible, as they usually do. Taking what little input was offered and doing significant research from other sources, the team compiled their draft of the business requirements document. The document was huge. It was single-spaced and double-sided, and it filled a 3-inch binder.

There was a meeting to step through it. The customer contact was there and took her place at the head of the table. Phil sat at the opposite end of the table. During the meeting, the customer's demeanor grew increasingly agitated. She hurled the requirements document down the table along with the exclamation, "I don't do this kind of menial work." Unfortunately, Phil reacted by returning the document in the same manner. His aim wasn't quite as true, and the document slammed into her coffee cup sending a spray of hot, sugary liquid into her lap. Her color changed from the red of aggravation to the scarlet of rage. She stalked out of the room. So much for creating rapport with the customer! In the end, it all worked out. Both parties apologized, and the project (meeting the business requirements that had been approved) was delivered. But how much better things could have been if this situation had been avoided in the first place. Technical skills and expertise are necessary on the project team, but they are not the skills and knowledge that separate effective business analysts from the pack. Superior business analysis skills are not necessarily derived from a superior set of technical skills.

#### REQUIRED:

- 1.A business analyst is currently defining a set of changes to the current state of an organization that allows the organization to take advantage of a business opportunity. What is most likely being defined?
- 2.In what knowledge area is the business analyst most likely to be scoping and defining new business opportunities?
- 3.What factors unique to virtual teams contribute to their success?





### LEARNING OUTCOMES

After reading this Section of the guide, the learner should be able to:

#### Learning Objectives

- Plan business analysis approach.
- Plan stakeholder engagement.
- Plan business analysis governance.
- Plan business analysis information management process.
- Identify business analysis performance improvements.

## Introduction

Now that you are more familiar with the discipline of business analysis, you are ready to address planning the business analysis activities for a project or initiative. You have learned the basic pieces of the discipline: the underlying competencies of the business analyst, the key business analysis stakeholders, the framework of the BACCM™, and the BABOK® Guide requirements classification scheme. Using this foundation, you will begin to apply business analysis tasks and techniques as we walk through the first knowledge area, Business Analysis Planning and Monitoring. The first skills you will put to use are analytical thinking and problem solving. After all, before you can begin a project or project phase, it's a good idea to know what work you need to do. To achieve a controlled start to a project or project phase, you must be methodical and consistent in your planning, definition, and decisions. This is the first step in planning the business analysis work effort for a project. Figure out what needs to be done, how you will go about doing it, exactly who needs to be involved with the work, and how involved they should be.

### 2.1 Business Analysis Planning and Monitoring

The Business Analysis Planning and Monitoring knowledge area focuses on laying the groundwork for successfully defining, planning, and completing the business analysis work for a project. The business analyst builds the business analysis work plan by executing the knowledge area tasks. The business analysis tasks that the business analyst puts in the work

plan depend on what needs to be done for the time period of the planning effort. Typically, the business analysis work activities become part of the project management plan.

To focus on what is important to the business analyst early in the business analysis efforts, let's consider the tasks of this knowledge area with the framework of the BACCM™. The business analyst needs to keep an eye on their work at this point in time relative to the six concepts contained in the framework: changes, needs, solutions, stakeholders, values, and contexts. Table 2.1 lists these responsibilities.

**TABLE 2.1** The BACCM™: Business Analysis Planning and Monitoring

Core Concept	The Business Analyst's Responsibilities
Change	Determine how changes to business analysis results are requested and authorized.
Needs	Choose a business analysis approach providing adequate analysis for the change.
Solution	Evaluate if business analysis performance contributed to successful solution implementation.
Stakeholders	Perform stakeholder analysis to ensure Business Analysis Planning and Monitoring activities reflect stakeholder needs and characteristics.
Value	Conduct performance analysis to ensure business analysis activities produce sufficient value to stakeholders.
Context	Ensure complete understanding of the context being analyzed in order to develop an efficient business analysis approach.

The tasks in this planning-focused knowledge area generate several key business analysis deliverables:

- Business analysis approach
- Stakeholder engagement approach
- Governance approach
- Information management approach
- Business analysis performance assessment

## 2.2 The Business Analyst's Task List

The business analyst has five tasks to perform in the Business Analysis Planning and Monitoring knowledge area. We will look at each of these tasks in greater detail later in this chapter. The task list from the BABOK® Guide includes the following:

- Defining the business analysis approach
- Planning for stakeholder engagement
- Setting up business analysis governance
- Outlining the business analysis information management process
- Identifying business analysis performance improvements

These tasks focus on planning how the business analysis team will approach a specific effort. The business analyst is responsible for developing, defining, and managing the roles and tasks associated with this work. We will step through each of these tasks in greater detail later in this chapter. The goal of the project is to define, develop, and deliver a solution that addresses a

business problem, need, or opportunity. To achieve that goal, the business analyst must have detailed knowledge of each task, be able to apply the recommended techniques, and produce high-quality deliverables as a result.

### **When Does Business Analysis Planning and Monitoring Take Place?**

The tasks in the Business Analysis Planning and Monitoring knowledge area occur throughout the project life cycle. Many of these tasks are done as a part of pre-project activities as the basis of a project's controlled start. The business analysis deliverables created at the beginning of a project are used to define, govern, and monitor the performance of all other business analysis tasks across the project life cycle. The plans and approaches developed for the overall project may require updates and additional details as each subsequent phase of the project life cycle is planned.

The controlled start to a project includes the pre-project activities where teams determine whether this is a viable and worthwhile project for the business. Controlled start also covers project initiation activities, where you do more detailed planning for the business analysis effort on a project and any associated project stages or phases. At the end of a controlled start:

- The solution scope is finalized.
- The business case and justification are in place.
- The high-level business analysis approach has been built.
- Business analysis governance is defined and in place.
- Business analysis information management is ready to go.
- Business analysis stakeholders are identified and engaged.
- Business analysis performance measures are agreed on.
- The business analysis team should be ready to get to work.

## **2.3 Plan the Business Analysis Approach**

### **Plan the Business Analysis Approach**

The first task in the Business Analysis Planning and Monitoring knowledge area is to define and plan the business analysis approach. There are many ways to approach business analysis work on a project. To get the business analysis work started on a project, you must first decide how to go about doing it. The overall business analysis process for performing work consists of the following:

- Deciding how and when business analysis tasks will be performed
- Agreeing on the techniques to be used
- Defining the deliverables to be produced

Figure 2.1 summarizes the inputs, outputs, techniques, and associated tasks for planning the business analysis approach for a project. The best business analysis approaches are based on the organizational environment where they will be used. The business analysis approach is a subset of the overall project approach. It defines the set of processes, templates, guidelines, tools, techniques, and activities used to perform business analysis on a project or initiative. When documented, the business analysis approach creates a formalized and repeatable

methodology. In comparison, the project approach describes the way all of the project work will be approached.

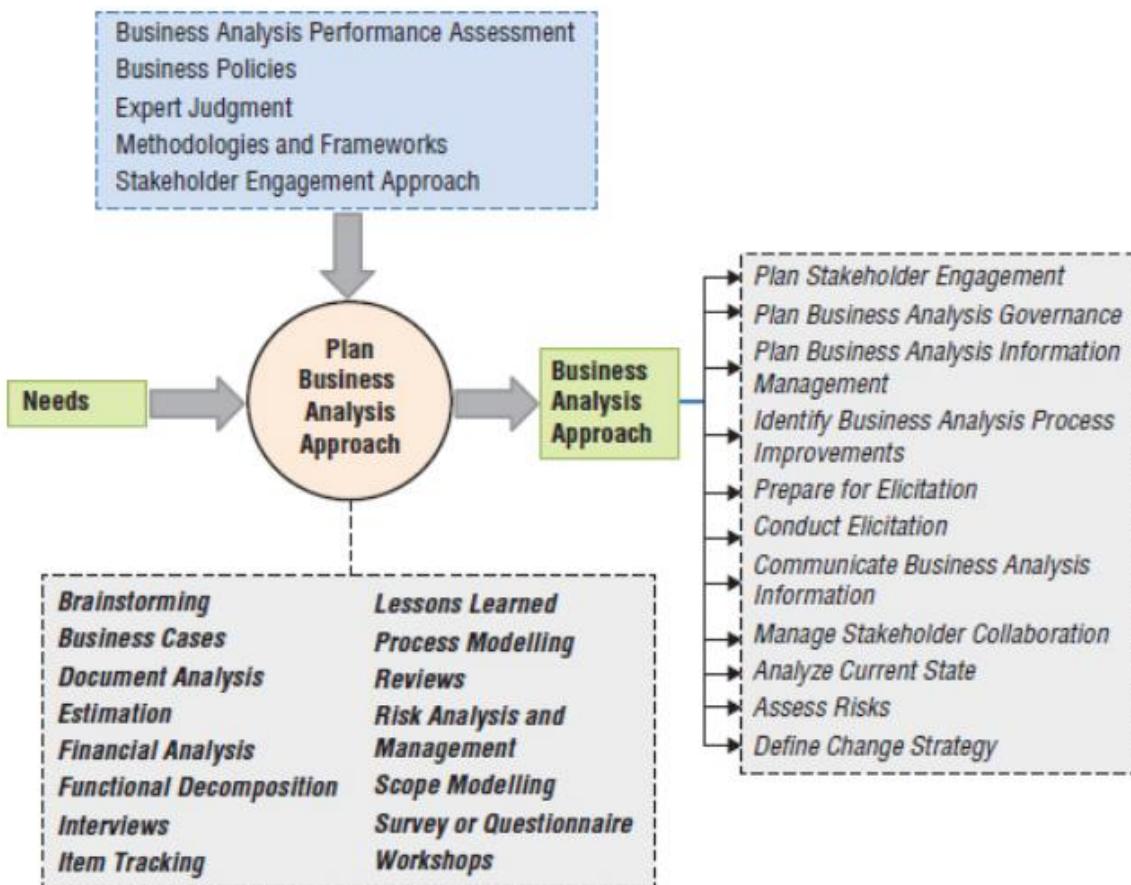


Figure 2.1 Task summary: Plan business analysis approach.

### Predictive vs. Adaptive Approaches

When you define and plan your business analysis approach, you must decide where it falls across the spectrum of predictive approaches and adaptive approaches. **Predictive** planning approaches focus on ensuring that the solution is fully defined before its implementation begins. **Adaptive** planning approaches are used on projects where many small iterations are defined and developed en route to the final result. Hybrid approaches combine aspects of both types and may require additional tailoring and scaling of the business analysis approach to combine them well. Most organizational environments and their management teams are likely to be more comfortable with one approach over the other.

### Create a Business Analysis Approach

Now let's get to the task at hand, which is planning the business analysis approach. Every task has inputs, outputs, elements, guidelines, tools, and techniques. This task is no exception. Let's start with the inputs. Inputs are either informational in nature or outputs produced by other business analysis tasks. Inputs are acted on by the task elements and techniques, producing one or more task outputs. Let's take a look at the task input used when planning a business analysis approach:

**Needs** The business analysis approach is impacted by the business need or need for change that is driving the project. This makes sense. Both the project approach and the business analysis approach will be impacted by the problem or opportunity it is addressing. The needs for the project are defined during Strategy Analysis.

**Business Analysis Performance Assessment** The business analysis performance assessment contains results from business analysis activities on previous projects for you to review and incorporate into your current approach to getting things done.

**Business Policies** Business policies define the limits within which business decisions must be made and how work will be completed. These policies also frame and constrain the business analysis approach that you select.

**Expert Judgment** Expert judgment is used to evaluate and build the optimal business analysis approach for your project. Your team will rely on individuals or groups with specialized knowledge or skills in business analysis and other aspects of the domain to assist in defining the approach.

**Methodologies and Frameworks** Methodologies and frameworks define and govern business analysis work on a project. The business analysis approach may be defined by a particular methodology, an organizational framework, or a combination of the two. Don't forget to look at historical information from previous projects, such as risks, performance measures, schedules, and other data. When you discover a business analysis asset treasure trove at one of your clients, it means you don't have to reinvent the wheel.

**Stakeholder Engagement Approach** Effective business analysts make sure that they understand their stakeholders. Stakeholder concerns and interests can impact the pieces and parts of your business analysis approach.

Table 2.2 summarizes the inputs, guidelines, and tools needed to plan the business analysis approach for a project and also lists the task and knowledge area that was the source of the input (if applicable).

**TABLE 2.2** Inputs, Guidelines, and Tools: Plan business analysis approach.

Task Input	Input Type	Input Source	Source Knowledge Area
Needs	Input	Define business needs.	Strategy Analysis
Business analysis performance assessment	Guidelines and tools	Identify business analysis performance improvements.	Business Analysis Planning and Monitoring
Business policies	Guidelines and tools		
Expert judgment	Guidelines and tools		
Methodologies and frameworks	Guidelines and tools		
Stakeholder engagement approach	Guidelines and tools	Plan stakeholder engagement.	Business Analysis Planning and Monitoring

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Terri Wagner Chapter 2 Page Number 42**

The experienced business analyst spreads their attention across six elements when they consider the contents of the business analysis approach. The results of each element are formally documented as part of the business analysis approach for the project. The detailed elements necessary to plan the business analysis approach include the following:

- Planning the overall business analysis approach
- Deciding degree of formality and level of detail for business analysis deliverables
- Integrating the execution of business analysis activities with the overall project plan
- Determining timing of business analysis work
- Considering complexity and risk
- Gaining acceptance of the business analysis approach from key stakeholders

Let's step through each of the elements involved in deciding on and building a project's business analysis approach:

- Select Planning Approach
- Decide Formality and Level of Detail
- Plan and Integrate Business Analysis Activities
- Determine Timing of Business Analysis Work
- Consider Project Complexity and Risk
- Gain Stakeholder Acceptance of the Approach
- Recommended Technique: Estimation

**Recommended Technique: Estimation**

There are many ways for the business analysis team to estimate the range of cost and effort associated with the business analysis work on a project. These estimates are typically developed in conjunction with the project manager and other team members using the project-level estimating tools and techniques. Effective business analysts use estimates to promote better stakeholder decision making and understanding of the project.

Table 2.3 summarizes of the types of estimates commonly used for estimating business analysis efforts.

**TABLE 2.3** Common estimating techniques

<b>Technique</b>	<b>Description</b>
Analogous estimation	Uses similar projects as the basis for top-down estimates
Parametric estimation	Uses parameters and historical data
Bottom-up estimation	Estimates smaller items first and aggregates upward
Rolling wave	Refines detailed estimates for increments of work over time
Three-point estimation (PERT)	Estimates optimistic, pessimistic, and most likely cases
Historic analysis	Uses history as the basis for bottom-up and top-down estimates
Expert judgment	Relies on those who performed similar work in the past
Delphi estimation	Combines expert judgment and history
Rough order of magnitude (ROM)	Makes a high-level estimate based on limited information with a wide confidence interval

### Additional Techniques to Consider

- Brainstorming
- Business Cases
- Document Analysis
- Financial Analysis
- Functional Decomposition
- Interviews
- Item Tracking
- Lessons Learned

### Create the Business Analysis Approach

The business analysis approach specifies how the business analysis team plans to perform the business analysis work on their project. Essentially, this approach is the business analysis methodology for the project. If the approach is documented and saved as a business analysis process asset, it can be revised and reused on subsequent projects in the organization. Once the business analysis approach is complete, it is used as an input by other business analysis tasks that are summarized in Table 2.4. They include planning for business analysis information management and preparing to engage your stakeholders. Both tasks are also part of the Business Analysis Planning and Monitoring knowledge area.

**TABLE 2.4** Output: Plan business analysis approach.

<b>Task Output</b>	<b>Output Destinations</b>	<b>Source Knowledge Area</b>
Business analysis approach	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
	Plan business analysis governance.	Business Analysis Planning and Monitoring
	Plan business analysis information management.	Business Analysis Planning and Monitoring
	Identify business analysis process improvements.	Business Analysis Planning and Monitoring
	Prepare for elicitation.	Elicitation and Collaboration
	Conduct elicitation.	Elicitation and Collaboration
	Communicate business analysis information.	Elicitation and Collaboration
	Manage stakeholder collaboration.	Elicitation and Collaboration
	Analyze current state.	Strategy Analysis
	Define change strategy.	Strategy Analysis
	Assess risks.	Strategy Analysis

The recommended contents of the business analysis approach include the following:

- Business analysis roles and responsibilities
- Business analysis activities
- Business analysis deliverables
- Business analysis techniques
- Timing and sequencing of business analysis work

Stakeholder availability and involvement across the project life cycle may impact the contents of the business analysis approach.

Key stakeholders involved with this deliverable include the following:

- Domain subject-matter expert (SME)
- Project manager
- Regulator
- Sponsor

## 2.4 Plan Stakeholder Engagement

Think of the business analysis stakeholders on a project as members of a professional sports team. Each stakeholder has a particular position to play as a member of the team. Some of your stakeholders are starters and play for the whole game; others substitute in and out during the game and play intermittently. There are stakeholders on the team who don't play the game but might coach the team, bring water out onto the field, or cheer for the team from the stands. Just like players on a sports team, some of your stakeholders will play better than others. The business analysis team needs to know these stakeholders and the role or roles they play in the project. Figure 2.2 summarizes the inputs, outputs, techniques, and associated tasks for conducting stakeholder analysis in accordance with the BABOK® Guide.

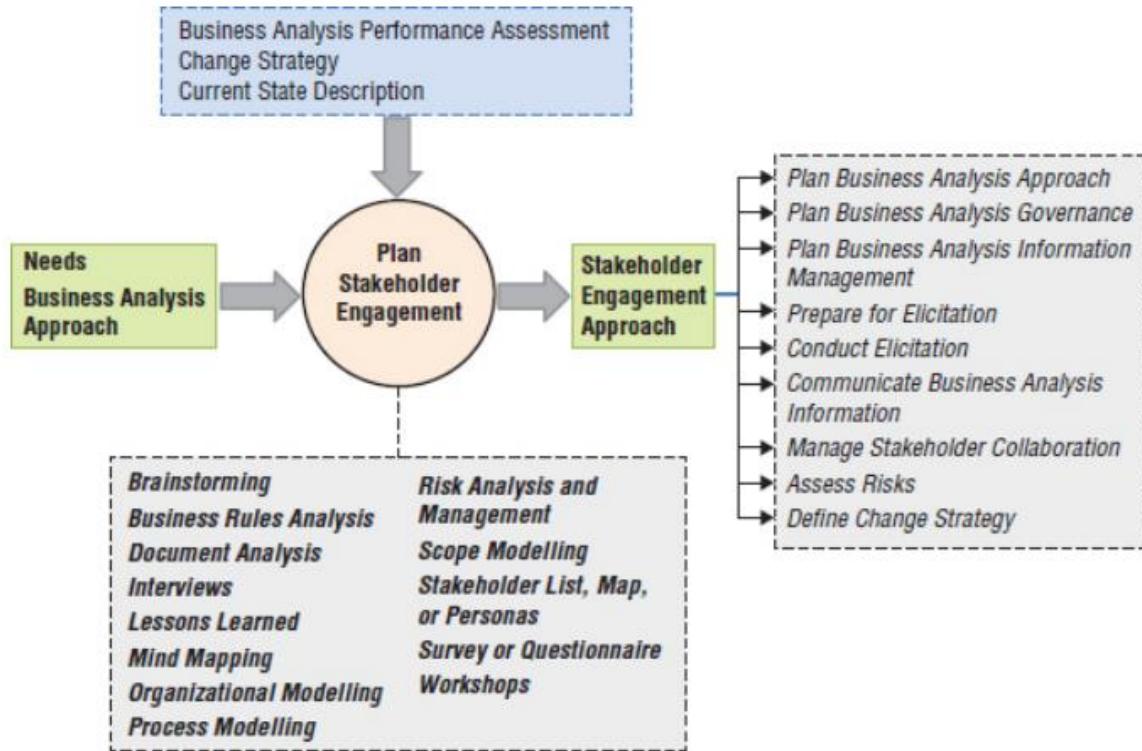


Figure 2.2 Task summary: Plan stakeholder engagement.



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Terri Wagner Chapter 2 Page Number 49**

As discussed earlier in the chapter, inputs can be guidelines, tools, or outputs produced by other business analysis tasks. Inputs are acted on by the task elements and techniques, producing one or more task outputs. Let's take a look at the task inputs used when analyzing project stakeholders and planning how to engage those stakeholders:

**Needs:** The focus of the Plan Stakeholder Engagement task is on the stakeholders who will be affected by the business need that is driving the project. Over time, you may discover and analyze new stakeholders that the business analysis team was unaware of at the beginning of the project. You also need to beware of the stakeholders who change their position as the project progresses. The business need for the project is defined during Strategy Analysis.

**Business Analysis:** Approach Successful business analysts make sure that the business analysis approach and the stakeholder collaboration approach are in sync with one another.

Consistency across these two approaches ensures that the business analysis activities, stakeholder collaboration activities, and communication activities are all working together.

Let's take a look at the guidelines and tools that are also used to build the stakeholder engagement approach:

**Business Analysis Performance Assessment** The business analysis performance assessment contains results from business analysis activities on previous projects for you to review and incorporate into your current approach to working with your stakeholders.

**Change Strategy** Checking the organization's or the project's change strategy allows for improved assessment of stakeholder impact and development of more effective stakeholder engagement strategies.

**Current State Description** How things are working right now provides context for the work being done. Being familiar with the current state can lead to more effective stakeholder analysis and understanding relative to the impacts the planned change will have on your stakeholders.

Table 2.5 summarizes the inputs to the Plan Stakeholder Engagement task and also lists the task that was the source of the input (if applicable).

**TABLE 2.5** Inputs: Plan stakeholder engagement.

Task Input	Input Type	Input Source	Source Knowledge Area
Needs	Input	Define business needs.	Strategy Analysis
Business analysis approach	Input	Define business analysis approach.	Business Analysis Planning and Monitoring
Business analysis performance assessment	Guidelines and tools	Identify business analysis performance improvements.	Business Analysis Planning and Monitoring
Change strategy	Guidelines and tools	Define change strategy.	Strategy Analysis
Current state description	Guidelines and tools		

Business analysts building the stakeholder collaboration plan at any point in their projects should apply three detailed elements as they build their stakeholder list, roles, and responsibilities. The detailed elements necessary to analyze stakeholders and document meaningful information about them include the following:

- Perform stakeholder analysis.
- Define stakeholder collaboration.
- Assess stakeholder communication needs.

Let's take a look at each element in greater detail.

### Perform Stakeholder Analysis

How do you figure out who needs to be involved with the business analysis activities for your project? It can be fairly straightforward to find the key business analysis stakeholders for a project. Because business analysts tend to spend a lot of time developing project requirements,

identifying and analyzing stakeholders is an absolute must. It can be quite painful to miss a significant stakeholder early on and then discover them later in the project. There can also be indirect or hidden stakeholders out there who are waiting to be found.

There are four key areas for you to consider as part of your stakeholder analysis activities: roles, attitudes, decision making, and power. Let's look at each area in greater detail.

- Roles
- Attitudes
- Decision-Making Authority
- Level of Power or Influence

### Define Stakeholder Collaboration

How do you figure out who needs to be involved with the business analysis activities for your project? It can be fairly straightforward to find the key business analysis stakeholders for a project. Because business analysts tend to spend a lot of time developing project requirements, identifying and analyzing stakeholders is an absolute must. It can be quite painful to miss a significant stakeholder early on and then discover them later in the project. There can also be indirect or hidden stakeholders out there who are waiting to be found

### Stakeholder Communication Needs

You may also find yourself building a stakeholder communication plan to document your initiative's stakeholder communication approaches. Typically, these plans answer questions that address several aspects of stakeholder communication, such as the following:

- What needs to be communicated?
- Who is the audience?
- What is the delivery method?
- When should a communication occur?
- How often should a communication occur?
- Where are the stakeholders located?
- How much detail should the communication contain?
- How formal should the communication be?

### Plan Stakeholder Engagement Approach

The more business analysis stakeholders there are, the more complicated dealing with them can become. Complexity factors that the business analyst should consider include the number and variety of end users for the solution, as well as the number of interfacing business processes and systems. This data is initially discovered as a part of stakeholder analysis and factors into the subsequent planning activities for both business analysis work and business analysis communications. There are a number of techniques that you can use when you are analyzing your project stakeholders. There are two techniques that we highly recommend you use when analyzing business analysis stakeholders:

- Organizational modelling
- Stakeholder list, map, or personas

### Recommended Technique: Organizational Modelling

Most of us have seen an organization chart showing the hierarchy. This is an example of an organizational model. The model defines the purpose and structure of an organization or an organizational unit. When you use this technique for business analysis, you basically build an organization chart that shows the organizational units, lines of reporting, the roles, and the people in those roles. When you are working with a new client, one of the first things you should ask for is a current organization chart. This will allow you to evaluate who sits where in the food chain and to decide who you might initially involve in your business analysis efforts. This is an excellent way to identify business analysis stakeholders.

### **Recommended Technique: Stakeholder List, Map, or Personas**

Stakeholder lists, maps, and personas are essential to any business analysis effort. The amount of information you put in your list is up to you. What you draw in your graphical representation of your stakeholders depends on the initiative itself. Personas are sometimes built to represent groups of users and how they interact with a product, kind of like building a fictional character and thinking about how they do things at work. Let's take a closer look at stakeholder maps and how they might be used when analyzing stakeholders.

There are two basic types of stakeholder maps: a stakeholder matrix and an onion diagram. A stakeholder matrix provides a two-dimensional look at stakeholder influence versus their level of interest in your efforts. By comparison, an onion diagram depicts stakeholder involvement with the resulting solution. Figure 2.3 shows an onion diagram.

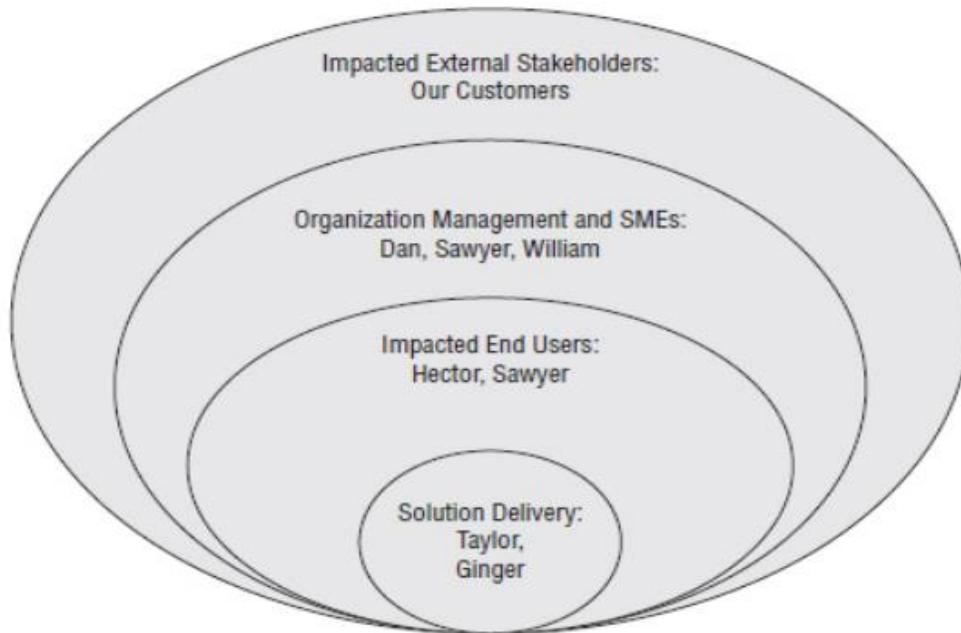


Figure 2.3 Onion diagram

Another popular and useful stakeholder analysis technique is a RACI matrix. This matrix defines business analysis stakeholder roles across four designations: Responsible, Accountable, Consulted, and Informed. You may create the matrix for the entire business

analysis effort, a particular business analysis task, or a specific business analysis deliverable, such as the business analysis approach you learned about earlier in this chapter.

**Responsible (R)** Business analysis stakeholders are responsible for the work that they are tasked to perform.

**Accountable (A)** Accountability lies with the sole decision maker who makes the required decisions for the business analysis effort task or deliverable. For any task or deliverable, there is only one accountable stakeholder.

**Consulted (C)** Relevant stakeholders should be consulted prior to the work being done if their inputs or advice is needed.

**Informed (I)** This is usually an “after the fact” role as these stakeholders are notified of the outcome after work is complete.

**TABLE 2.6** Example RACI matrix

Palmer Divide Vineyards Requirements Development								
Tasks	William	Ginger	Hector	Sawyer	Dan	Hattie	Taylor	
Elicitation	I	I	R, A	R	R	I	R	
Analysis	I	I	R, A	R	R	I	R	
Specification	A	I	R	C	C	I	C	
Validation	I	I	R, A	R	R	I	R	

### Additional Techniques to Consider

- Brainstorming
- Business Rules Analysis
- Document Analysis
- Interviews
- Lessons Learned
- Mind Mapping

### Build the Stakeholder Engagement Approach

Names

Titles

Characteristics

Location

Special needs

Authority levels

Number of individuals in each role

Description of stakeholder influence and interest

Collaboration approach

Communication plan

Once the initial stakeholder list, map, or persona information is complete, you use it as an input for a number of other business analysis tasks summarized in Table 2.7. They include tasks from a number of knowledge areas such as Business Analysis Planning and Monitoring, Elicitation and Collaboration, and Requirements Analysis and Design Definition.

**TABLE 2.7** Output: Plan stakeholder engagement approach.

<b>Output</b>	<b>Output Destinations</b>	<b>Destination Knowledge Area</b>
Stakeholder engagement approach	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
	Plan business analysis governance.	Business Analysis Planning and Monitoring
	Plan business analysis information management.	Business Analysis Planning and Monitoring
	Prepare for elicitation.	Elicitation and Collaboration
	Conduct elicitation.	Elicitation and Collaboration
	Communicate business analysis information.	Elicitation and Collaboration
	Manage stakeholder collaboration.	Elicitation and Collaboration
	Define change strategy.	Strategy Analysis
	Assess risks.	Strategy Analysis

A number of stakeholders are involved with conducting stakeholder analysis for the business analysis activities of a project. Remember that the business analyst shares responsibility for analyzing business analysis stakeholders with the project manager. This means that any stakeholder analysis results should align with the project stakeholder analysis results in both structure and content.

**TABLE 2.8** Template: Stakeholder list containing roles and responsibilities

<b>Name</b>	<b>Position</b>	<b>Role</b>	<b>Responsibilities</b>	<b>Location</b>	<b>Influence</b>	<b>Interest</b>
William	Vineyard co-owner	Project sponsor	Governance and funding	CO	High	High
Ginger	Product manager	Project manager	Project scope, schedule, budget	CO	Moderate	High
Hector	Marketing director	Lead business analyst	Requirements development	CO	Moderate	High
Sawyer	Vineyard manager	Cultivation lead	Domain SME-biodynamic farming	CO	High	High
Dan	Winemaker	Domain SME	Domain SME - enology	CO	High	High
Hattie	Admin. assistant	Coordinator	Project administration	CO	Low	Moderate
Taylor	IT director	IT lead	Implementation SME	CO	Moderate	Moderate

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## 2.5 Plan Business Analysis Governance

Business analysis governance is the road map for what decisions need to be made, when the decisions need to be made, and who is responsible for actually making those decisions. The business analysis team typically plans for business analysis governance. The governance process also directs the change control process, defining how changes will be analyzed, approved, documented, and communicated.

Planning for business analysis governance is not much different from what the project manager does to create a decision-making architecture for the project; it is simply focused on business analysis work and deliverables. The business analyst identifies how business analysis work will be approached and prioritized, decides who has the authority to make certain types of decisions, and figures out how to deal with the inevitable changes that will come their way. If all goes well, the governance plan enables the business analysis team to work well with the project manager and make the right business analysis decisions at the right time.

Figure 2.4 summarizes the inputs, outputs, techniques, and associated tasks for planning business analysis governance in accordance with the BABOK® Guide.

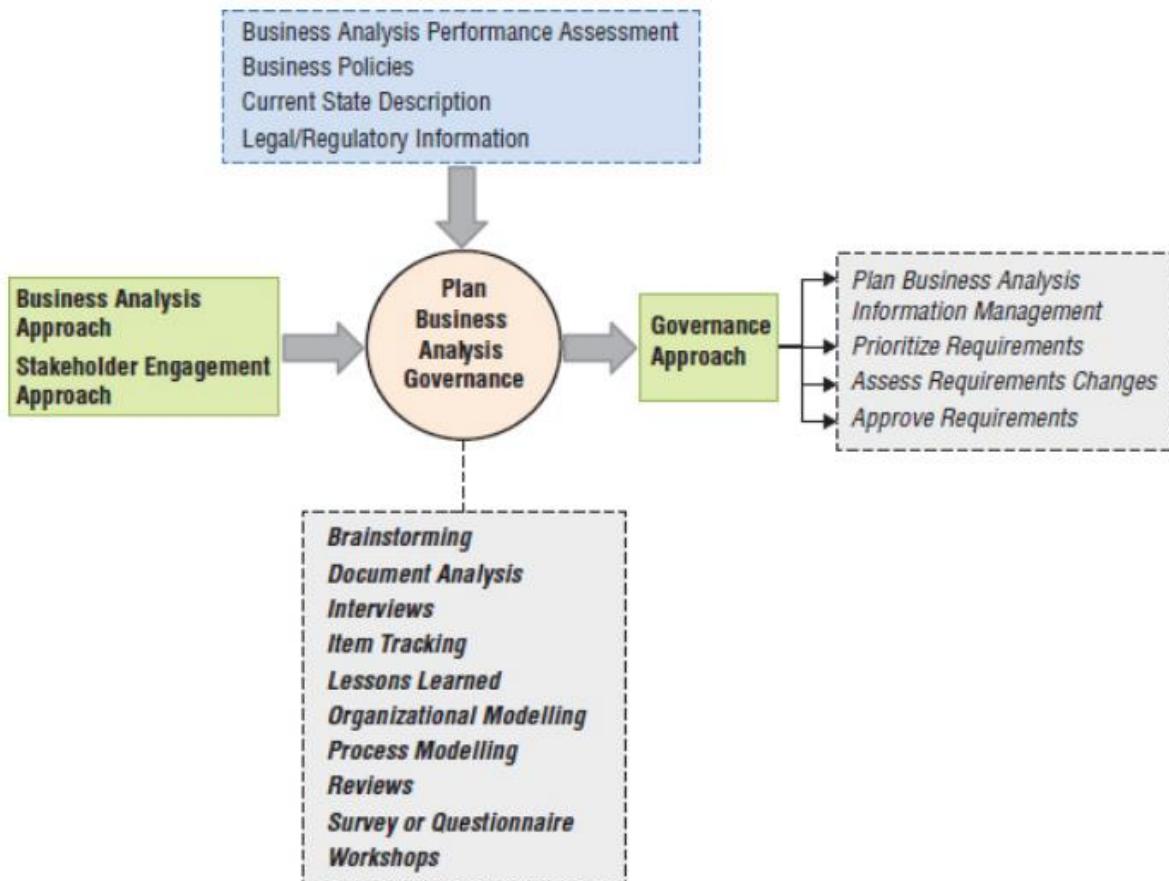


Figure 2.4 Task summary: Plan business analysis governance.

Several key inputs for planning business analysis governance are guidelines, tools, or outputs produced by other business analysis tasks, such as the business analysis approach and the stakeholder engagement approach. These two deliverables govern how the governance planning is done and who is involved with the work to be performed. Let's take a closer look at the two task inputs used for planning business analysis governance:

**Business Analysis Approach** The business analysis approach governs planning activities, as it defines the planning process and the development life cycle. It is essential that you keep your business analysis governance process consistent with the overall business analysis approach for your efforts.

**Stakeholder Engagement Approach** Understanding the preferences of key business analysis stakeholders will shape the resulting business analysis governance process to some degree. Stakeholder roles and levels of involvement need to be understood and incorporated into your business analysis governance process.

Let's also take a look at the guidelines and tools that the business analyst may use when planning business analysis governance:

**Business Analysis Performance Assessment** There is nothing like looking at the past to help effective business analysts do better at planning for the future. You can use previous business

analysis work performance data on an earlier phase in this project or on previous efforts as part of the current business analysis planning activities.

**Business Policies** Every organization has limits on what decisions can be made. Business analysts must be aware of these limits and plan for business analysis governance accordingly. Decision making is often bounded by contractual, legal, or regulatory constraints.

**Business Policies** Every organization has limits on what decisions can be made. Business analysts must be aware of these limits and plan for business analysis governance accordingly. Decision making is often bounded by contractual, legal, or regulatory constraints.

**Current State Description** The current state of the business area you are planning to change provides the business analysis team with context for the decisions that will need to be made moving forward.

**Legal/Regulatory Information** The business analyst should remember to seek out and use any existing policies, procedures, methods, and templates as part of planning business analysis activities.

Table 2.9 summarizes the guidelines, tools, and inputs to this task, and it lists the source of the input (if applicable).

**TABLE 2.9** Inputs: Plan business analysis governance.

Task Input	Input Type	Input Source	Source Knowledge Area
Business analysis approach	Input	Plan business analysis approach.	Business Analysis Planning and Monitoring
Stakeholder engagement approach	Input	Plan stakeholder engagement approach.	Business Analysis Planning and Monitoring
Business analysis performance assessment	Tools and guidelines	Identify business analysis performance improvements.	Business Analysis Planning and Monitoring
Business policy	Tools and guidelines		
Current state description	Tools and guidelines		
Legal/regulatory information	Tools and guidelines		

When planning business analysis governance, a business analyst needs to put on their project manager hat for a little while. Planning business analysis activities includes four detailed elements that define how the business analyst will approach it:

- Decision making
- Change control process
- Plan the prioritization approach

- Plan for approvals
- Let's take a look at each element in greater detail.

## Decision Making

Business analysts must define which stakeholders are responsible for making key decisions as part of the business analysis efforts. The decision-making process in the business analysis governance approach defines who is involved in making what decisions and to what degree. This is similar to defining the roles and responsibilities in a RACI matrix, as we discussed earlier relative to stakeholder engagement. Stakeholders may have many roles in decision making, such as the following:

- Participating in decision-making discussions
- Providing subject-matter expertise as part of decision-making
- Reviewing information
- Approving decisions that are made

## Change Control Process

The business analysis team must decide how to handle changing requirements and designs across the project life cycle. The change control process should address not just baselined requirements but also changes to requirements that the business analyst develops. If the organization has a robust change management process, the business analyst can apply it to the requirements work on the project. If not, the business analysis governance approach needs to address how changing requirements are to be handled. This includes determining the process for requesting requirements or design changes, authorizing requirements or design changes, performing impact analysis for significant change requests, and determining how change requests are worded.

## Techniques to Consider

**Brainstorming** As part of business analysis planning, decomposing and understanding the business analysis tasks and deliverables sufficiently enables effective planning.

**Document Analysis** Be sure to review existing governance processes or templates used for business analysis activities or for the overall project. The existing processes may have an impact on how to define and perform governance as part of your project.

**Interviews** The business analysis team may use interviews as a method to identify and select individuals who are responsible for business analysis decision-making, change control, prioritization, or approval activities.

**Item Tracking** For many business analysts, item tracking is synonymous with issue management. Be sure to keep track of your issues while planning your governance approach

**Lessons Learned** There is no need to reinvent the wheel or to make the same mistakes when defining business analysis governance. Effective business analysts use lessons learned on previous projects to keep them on track with their own planning efforts.

**Organizational Modelling** Organizational models show the relationships between stakeholders and the roles and responsibilities the stakeholders have within the organization.

## Create the Business Analysis Governance Approach

The business analysis governance approach should resemble the project governance approach of which it is a part. The level of detail in these plans depends on several factors, including the business analysis approach for the effort and the overall methodology being used for planning. According to the BABOK® Guide, the recommended content of a business analysis governance approach answers questions such as these:

- Who has responsibility and authority to make decisions about business analysis work?
- Who sets priorities for business analysis information?
- Who approves changes to business analysis information?
- Who defines the change management process for requirements and designs?

Once the business analysis governance approach is complete, it is used as input by a number of other business analysis tasks summarized in Table 2.10. They are picked up and applied by several Business Analysis Planning and Monitoring and Requirements Life Cycle Management knowledge area tasks.

**TABLE 2.10** Output: Plan business analysis governance.

Task Output	Output Destination Task	Output Destination Knowledge Area
Governance approach	Plan business analysis information management.	Business Analysis Planning and Monitoring
	Prioritize requirements.	Requirements Life Cycle Management
	Assess requirements changes.	Requirements Life Cycle Management
	Approve requirements.	Requirements Life Cycle Management

Table 2.10 Output: Plan business analysis governance.

Any business analysis stakeholder can be involved with planning the business analysis governance for a project. Of particular interest is the verification and validation of key business analysis deliverables across the project life cycle. It is essential that the project manager participates in this effort because the business analysis plans are part of the higher-level project plan. Key business analysis stakeholders may provide information or use the business analysis plans for their own planning efforts. Stakeholders involved with planning activities may include the following:

- Project manager
- Regulator
- The sponsor

The business analysis governance approach augments the stakeholder engagement approach by identifying specific stakeholder responsibilities for decisions about business analysis work and change control. The governance approach also defines the process to manage requirements and design changes across the initiative.

## 2.6 Plan Business Analysis Information Management

When you ask people what business analysts do, the first answer you usually hear is that business analysts write requirements. That's true. However, developing and managing requirements and design information on a project entails significantly more than just writing skills. The business analysis team must define their process for developing requirements and designs. They must consider how they will approach requirements and design traceability, reuse, requirements storage and access, and the requirements attributes to be applied. This information is formally documented in the business analysis information management approach. Once the business analysis team establishes the information management approach for a project, the approach is not expected to change significantly across the project life cycle. However, it should be revisited at each phase of the project to ensure that it is being followed and that no changes are required for the work that will be started or based on business analysis performance to date. To plan for information management, the business analyst must understand the organizational process needs and objectives that apply to the project. These needs and objectives may include compatibility with other organizational processes, constraints on time-to-market, regulatory and governance framework compliance, a desire to evaluate new approaches to solution development, or other business objectives.

Figure 2.5 summarizes the tasks required for Plan Business Analysis Information Management.

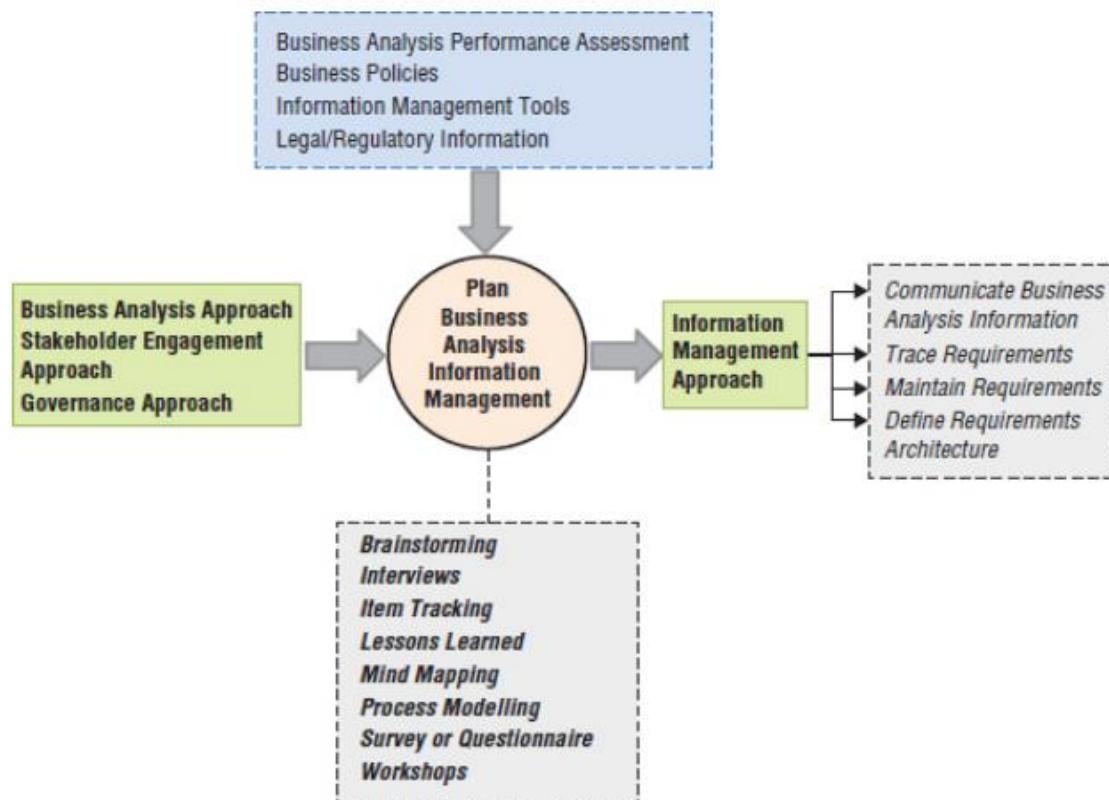


Figure 2.5 Task summary: Plan business analysis information management

Now let's get to the task at hand, which is planning how to address business analysis information management. Every task has inputs, outputs, elements, guidelines, tools, and

techniques. This task is no exception. Remember that task inputs are either informational in nature or outputs produced by other business analysis tasks. Inputs are acted on by the task elements and techniques, producing one or more task outputs. Let's take a look at the three task inputs used when planning a business analysis information management approach:

**Business Analysis Approach** The information management approach should align with the business analysis approach for your initiative, as well as aligning with the other approaches defined in this knowledge area.

**Governance Approach** The governance approach identifies how to deal with changes, decisions, approvals, and priorities for requirements and designs.

**Stakeholder Engagement Approach** The defined stakeholder collaboration and communication needs guide specific business analysis information needs. Basically, you must define what you need to know and who you need to get information from. Then, go out and get that information.

There are other guidelines and tools that can be used. Guidelines are instructions or descriptions about why or how the business analyst might undertake a particular task. Tools are methods of conducting business analysis tasks or shaping a task output. Let's take a look at the guidelines and tools that business analysts apply when planning the business analysis information management approach:

**Business Analysis Performance Assessment** Be sure to review and incorporate results of previous business analysis efforts into your business analysis information management approach.

**Business Policies** Business policies define the limits within which business decisions must be made and how work will be completed. These policies also frame and constrain the information management approach that you select.

**Information Management Tools** Take a look at the tools your organization currently uses to store, retrieve, and share business analysis information. These may be the tools your organization requires you to use on your initiative.

**Legal/Regulatory Information** Sometimes legislative rules or regulations have an impact on your business analysis information. If that is the case, you need to address these additional constraints, such as information security or privacy, in your information management approach.

Table 2.11 summarizes the inputs, guidelines, and tools for this task and lists the source of the input (if applicable).

**TABLE 2.11** Inputs: Plan business analysis information management.

<b>Task Input</b>	<b>Input Type</b>	<b>Input Source</b>	<b>Source Knowledge Area</b>
Business analysis approach	Input	Plan business analysis approach.	Business Analysis Planning and Monitoring
Stakeholder engagement approach	Input	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
Governance approach	Input	Plan business analysis governance.	Business Analysis Planning and Monitoring
Business analysis performance assessment	Guidelines and tools	Identify business analysis performance improvements.	Business Analysis Planning and Monitoring
Business policies	Guidelines and tools		
Information management tools	Guidelines and tools		
Legal/regulatory information	Guidelines and tools		

Planning the information management approach for business analysis activities requires the business analyst to understand both the business and technical drivers for the project. The business analyst addresses six detailed elements when planning for requirements management activities across the project life cycle.

- Organize business analysis information.
- Define the levels of abstraction.
- Decide the traceability approach.
- Plan for requirements reuse.
- Look at information storage and access.
- Select requirements attributes.

Let's take a look at each of these information management elements in greater detail.

### Organize Business Analysis Information

Organizing business analysis information is a challenging task on a complex project. Information must be structured for efficient access and ease of use. Duplication of requirements and conflicting requirements should be avoided. Business analysts decide how to do this early in their projects. Planning how you will organize your business analysis information requires consideration of the following factors:

- The type and amount of information to be collected
- Stakeholder access and usage needs
- Size and complexity of the change
- Relationships between the types of information

When defining your organization scheme, you must also take into account how much detail you plan to have and collect for your project. That takes us into our next element, defining the levels of abstraction for business analysis information.

### Define the Levels of Abstraction

Deciding the breadth and depth of business analysis information can be challenging. Business analysis information typically ranges from very high-level, conceptual data to very detailed data about a particular capability. Three perspectives are essential as part of this definition: the stakeholder information needs, the complexity of what is being explained, and the importance of the change. Business analysts must also consider the relationships between the pieces of information they collect and with which they work. That means defining the traceability between the pieces and parts of the project data, particularly when it comes to requirements and design information.

### Decide the Traceability Approach

Traceability is a tricky thing. The business analyst wants to show the relationships between key pieces of business analysis information while not spending time tracing things that are not important. The information management approach is where the business analysis team figures out how to trace project requirements and designs. These decisions are based on project type and complexity.

- Complexity of the domain
- Number of views of requirements that will be produced
- Requirements related risks, standards, and regulations
- Costs and benefits of traceability

Creating and maintaining traceability adds to the business analyst's workload on a project, so it should be reflected in the information management approach as well as in all subsequent planning activities.

### Plan for Requirements Reuse

Some requirements developed for a particular project might also be candidates for long-term use or reuse by the organization. The requirements that you choose to maintain might relate to infrastructure, hardware, software, or operational capabilities that the organization must meet on an ongoing basis versus just for your particular project. Common features or services used across multiple systems or process are also good candidates for reuse. Reusable requirements are structured, stored, and accessed by other business analysts in the organization. This "ease of reuse" requires advance planning and a common requirements storage repository.

- Regulatory requirements
- Contractual obligations
- Quality standards
- Service level agreements (SLAs)
- Business rules or processes

We will take a closer look at reusing requirements and designs in Chapter 4, when we look at the maintain requirements task within this knowledge area. Reuse requires the ability for people to access the saved information. Let's look at that element next.

## Look at Information Storage and Access

It is essential that the business analysis team create an information repository for storing requirements and designs. Use of the repository should be linked to the process defined in the information management approach and in the higher-level business analysis approach. Documents created during the project life cycle should be saved in a secured area.

The storage location for requirements and design work-in-progress documentation is at the discretion of the project manager or lead business analyst. Documents and copies (electronic or paper) that exist outside the project or business analysis information repositories should be made the responsibility of the document originator.

## Select Requirements Attributes

Selecting requirements attributes for a project is an important step. Attributes are intended to be of assistance in the ongoing management of requirements across the project life cycle. Experienced business analysts know how to select the requirements attributes that add value to the requirements information for their project. Attributes allow the team to associate information and add context to individual requirements or groups of requirements.

**TABLE 2.12** Common requirements attributes

Attribute	Description
Absolute reference	Unique numeric or text identifier for each requirement
Author	Name of the person who wrote the requirement if you have any questions later
Complexity	Difficulty in implementing the requirement
Ownership	Individual or group that needs the requirement
Priority	Indicates the relative importance of requirements so you can decide which requirements should be implemented first
Risks	Associated with meeting or not meeting the requirements
Source	Origin of the requirement if you need more information later
Stability	Indicates requirements maturity and if you can start work on it
Status	Proposed, accepted, verified, postponed, cancelled, or implemented
Urgency	How soon the requirement is needed

The BABOK® Guide lists several techniques that you can use when planning for business analysis information management for your project. They are summarized for you here.

### Techniques to Consider

**Brainstorming** Brainstorming with stakeholders helps them uncover and share ideas about what their business analysis information management needs might be.

**Interviews** The business analysis team uses interviews with stakeholders as a way to identify and define their business analysis information management needs.

**Item Tracking** This technique allows for managing and tracking of issues discovered relative to information management needs on your project or initiative.

**Lessons Learned** Be sure to review existing information management tools, processes, and techniques used in your organization. The existing methods may have an impact on how to define and perform information management as part of your project.

**Mind Mapping** Mind mapping allows the business analysis team to identify and categorize business analysis information that needs to be managed.

**Process Modelling** Process models graphically depict the process used to manage business analysis information. These models can help your stakeholders understand how to manage requirements, designs, and other data on your projects.

**Survey or Questionnaire** Many business analysts use this technique to remotely request stakeholder input about their business analysis information management needs.

**Workshops** Workshops allow you to discover business analysis information needs from groups of stakeholders versus asking people one by one.

### Define the Business Analysis Information Management Approach

- Organizing the business analysis information
- Capturing information at the correct level of detail
- Using or reusing the information across the enterprise
- Accessing and storing information
- Maintaining characteristics about the information

Once the information management approach is complete, the business analysis team uses it as an input for a number of other business analysis tasks summarized in Table 2.13. The approach provides information to tasks from several knowledge areas that focus on eliciting, analyzing, and communicating project requirements.

**TABLE 2.13** Output: Plan business analysis information management approach.

Output	Output Destinations	Destination Knowledge Area
Information management approach	Communicate business analysis information.	Elicitation and Collaboration
	Trace requirements.	Requirements Life Cycle Management
	Maintain requirements.	Requirements Life Cycle Management
	Define requirements architecture.	Requirements Analysis and Design Definition

The business analyst has the primary responsibility for creating or tailoring the information management approach for their project. The project manager also participates in this effort as they have responsibility for managing changes to the project scope and are accountable for

delivering the resulting solution. Ideally, the change management approach for the project should also govern any requirements or design changes.

Several business analysis stakeholders are impacted by the contents of the information management approach.

- Domain SMEs
- Regulators
- The sponsor

In addition to defining the information management approach, the business analysis team needs to take a closer look at how they plan to measure and control business analysis work performance across the project life cycle. That is defined in the business analysis performance assessment. Let's move on to step through how business analysis performance improvements should be planned for on a project.

## 2.7 Identify Business Analysis Performance Improvements

There is no reason to do business analysis planning if the team isn't going to use those plans and approaches to measure and control business analysis performance. The primary reason for building the previous four business approaches in the Business Analysis Planning and Monitoring knowledge area is to be able to perform, monitor, and report on the business analysis work that is being done. This occurs at two levels: for the overall project and for each project phase. Monitoring and measuring business analysis performance against the business analysis approaches and the project plan ensures that the project's business analysis effort produces the desired outcomes and that the business analysis work is performed efficiently.

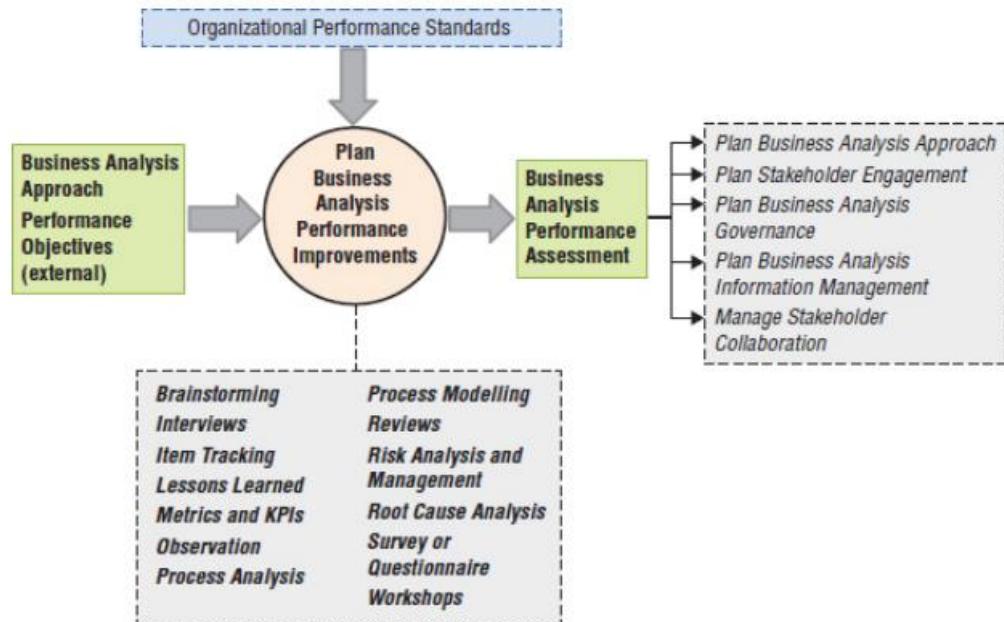
The business analysis team is responsible for determining the metrics used to measure business analysis work on the project. Indicators are specific numerical measurements that represent a measure for a specific set of business analysis activities or deliverables. Figure 2.6 summarizes the task.

Two key inputs are used in managing business analysis performance for a project. The following are the specific task inputs used when managing business analysis performance on a project:

**Business Analysis Approach** Business analysis performance is traditionally measured in the same way you look at project performance. The business analysis approach is used to measure actual progress against the planned deliverables, activities, tasks, and estimates.

**Performance Objectives (external)** Many organizations define the high-level performance outcomes that they want to achieve as a result of the projects or initiatives. These external performance outcomes need to be factored in to the business analysis performance improvements.

Figure 2.6 Task summary: Identify business analysis performance improvements.



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In addition to inputs, there is an additional guideline used as an input to this task. Interestingly enough, many of these inputs, guidelines, and tools are metrics, standards, or expectations for performing business analysis work on a project. Here is the guideline:

**Organizational Performance Standards** Many organizations have mandated performance standards or expectations for business analysis work and for their overall organization or enterprise as well. If this is the case, the business analysis team must factor these into the business analysis performance metrics for their project.

Table 2.14 summarizes the inputs to this task and lists the source of the input (if applicable).

**TABLE 2.14** Inputs: Identify business analysis performance improvements.

<b>Task Input</b>	<b>Input Type</b>	<b>Input Source</b>	<b>Source Knowledge Area</b>
Performance metrics (external)	Input		
Business analysis approach	Input	Plan business analysis activities.	Business Analysis Planning and Monitoring
Organizational performance standards	Guidelines and tools		

Table 2.14 Inputs: Identify business analysis performance improvements.

Metrics can be tricky. A metric is a standard of measurement defined for some aspect of business analysis performance. Metrics define a quantifiable level for an indicator that the business analysis team wants to accomplish, such as meeting a schedule date for an activity or staying on budget for a particular phase of project work. Indicators identify specific numeric measurements indicating progress toward achieving something, such as scheduled work estimated to complete an activity or a particular budget number.

If the business analysis team does not select and define relevant metrics, it will be difficult to measure and assess how well business analysis work is done during the project. Identifying business analysis performance improvements requires the business analysis team to address four detailed elements:

- Performance analysis
- Assessment measures
- Analyze results
- Recommend actions for improvement

Let's take a closer look at each of these elements.

- Performance Analysis
- Assessment Measures

Performance measures may be quantitative or qualitative in nature. Quantitative data tends to be numeric and can be measured. Qualitative data is subjective and can be observed but not actually measured. Table 2.15 describes potential business analysis performance measures.

**TABLE 2.15** Business analysis performance measures

Measure	Description
Accuracy and Completeness	Determine whether business analysis work products are correct and relevant when delivered or if revisions are required to gain stakeholder acceptance.
Knowledge	Assess whether the business analyst has skills and/or experience to perform the task.
Effectiveness	Assess if business analysis work products are easy to use as standalone deliverables or if they require extensive explanation in order to be understood.
Organizational Support	Assess if adequate resources are available to complete business analysis activities.
Significance	Consider the benefit obtained from work products and assess if cost, time, and resource investments expended to produce the work products were justified for the value delivered.
Strategic	Look to see whether business objectives were met, problems were solved, and improvements were achieved.
Timeliness	Evaluate whether the business analyst delivered work on time per stakeholder expectations and schedule.

## 2.8 Recommended Technique: Metrics and Key Performance Indicators

Metrics and key performance indicators (KPIs) are the basis for the monitoring, evaluation, and reporting system that addresses business analysis work, the overall project, and the resulting solution. KPIs are indicators that allow the business analyst or business analysis team to measure performance or progress of solutions and solution components toward strategic goals or objectives. Metrics facilitate the more basic monitoring and evaluation of business analysis work activities and deliverables in your quest to meet the overall solution goals.

**Other Techniques to Consider** These techniques assist the business analyst in building a thorough and consistent approach to identifying business analysis improvements on their projects.

**Brainstorming** is a good way for a group of stakeholders to generate ideas for business analysis improvement opportunities.

**Interviews** Another source of business analysis performance data is to interview key business analysis stakeholders and ask them for their assessment of the business analysis work on the project.

**Item Tracking** Issue management activities take into account tracking business analysis work performance issues that occur so those issues can be addressed and resolved later.

**Lessons Learned** A lesson learned process allows the business analyst to compile and document successes, failures, and recommendations for improving performance of business analysis activities on future projects.

**Observation** This technique allows you to witness business analysis performance in person and see for yourself how things are being done.

**Process Analysis** Process analysis is a technique to analyze existing business analysis processes and suggest ways to improve them, either as a group or as an individual

### Produce the Business Analysis Performance Assessment

The business analysis performance assessment helps the business analysis team compare planned versus actual performance of business analysis work activities. If there are significant variances from the plan or approach, this assessment addresses the root cause of these variances and suggests approaches for resolving issues.

The business analysis performance assessment provides ongoing performance information to assist the team in planning future business analysis work based on what has happened to date. As a result of assessing business analysis performance, the business analysis team may need to revise the business analysis processes, results, and templates that are being used. The revisions could be adding in new approaches that increase efficiency, or they could be correcting things that are not working well. In either case, these results should be treated as lessons learned and incorporated into the process assets and business analysis information of the organization.

Once the business analysis performance assessment is complete, it is used as an input by a number of other business analysis tasks summarized in Table 2.16.

**TABLE 2.16** Output: Identify business analysis performance improvements.

Output	Output Destinations	Destination Knowledge Area
Business analysis performance assessment	Plan business analysis approach.	Business Analysis Planning and Monitoring
	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
	Plan business analysis governance.	Business Analysis Planning and Monitoring
	Plan business analysis information management.	Business Analysis Planning and Monitoring
	Manage stakeholder collaboration.	Elicitation and Collaboration

The business analyst has the primary responsibility for creating the business analysis performance assessment for their project and updating any business analysis information. The project manager also participates in these efforts as they have responsibility for monitoring performance and updating process assets for the project. Ideally, the monitoring, evaluation, and reporting approach for business analysis work should align with the project approach to handling this data.

Several business analysis stakeholders are interested in the contents of the business analysis performance. They include domain SMEs, the project manager, and the sponsor.

### 2.9 How This Applies to Your Projects

In this chapter, you stepped through planning a serious set of business analysis approaches for a project. Performing business analysis work is much more straightforward if the team takes the time to think about and plan what they are going to do and how they are going about doing it before they start doing the work. Working on projects where the value of business analysis work is discounted can result in little to no planning for the business analysis activities and

deliverables for the project. You will have to scramble and rely on your business analysis experience to get the work done if you are not prepared for everything that is needed. This is not the way to do good work. Planning business analysis activities is an important piece of the overall project planning, and it should be done for every business analysis effort.

The Shewhart “plan–do–check–act” cycle (Figure 2.7) is a four-step model that forms the basis for all of the tasks and elements found in the BABOK® Guide. The concept that “we plan prior to doing the work and measure what has been done” applies throughout the activities in the Business Analysis Planning and Monitoring knowledge area. The business analysis team plans project or project phase activities, deliverables, and approaches prior to actually doing the work. After the work is done, the business analysis team looks at the results to see what was learned and how well the work was performed. Anything that requires improvement is addressed prior to the next round. Things that worked well are repeated and used in subsequent efforts.

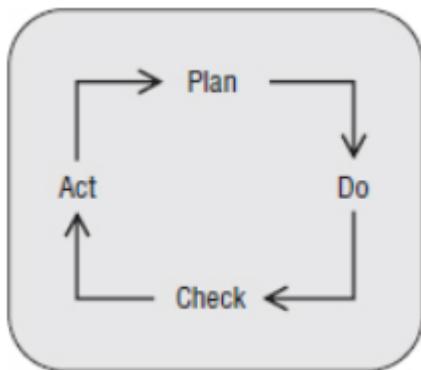


Figure 2.7 The Shewhart cycle

A core set of business analysis planning and documentation should be required for all projects regardless of project size or type. For complex projects, business analysts may choose to use the full set of BABOK® Guide deliverables across the six knowledge areas plus any project or technical documents that are required. In some cases, the business analysis deliverables may be combined and simplified for change-driven or straightforward project efforts. Business analysis documents should always be consolidated where feasible.



## Chapter 2 Summary/Review

1. The five tasks of the Business Analysis Planning and Monitoring knowledge area do a nice job of producing a core set of planning and process-focused deliverables that can be referenced and applied across the project life cycle. The focus of these plans is twofold: the overall project and its more detailed project phases. Many planning techniques focused on defining and scheduling activities, and deliverables come straight from the project management playbook.
2. The *BABOK® Guide* recommends business analysts begin their planning efforts by building their business analysis approach. This basically defines the business analysis methodology to be used across the project life cycle. Concurrently, the business analysis team also identifies, analyzes, and categorizes the business analysis stakeholders with which they will be working. The business analysis approach and the stakeholder engagement approach are communicated, aligned, and shared with the project manager who is responsible for overall project success.
3. One of the primary roles of the business analyst is developing and managing requirements across the project life cycle. Decision making and change control are also defined as part of the business analysis governance approach. The business analysis team has to decide on how to collect and store information while performing business analysis work. This content is found in the business analysis information management plan.
4. Once these key business analysis deliverables are in place, they are revisited and revised as necessary. The business analyst should look at them whenever they are planning a new project phase, re-planning a phase that needs attention, or dealing with significant changes or issues that impact solution scope or project requirements and design. The approaches are used as the basis for the ongoing and iterative monitoring, evaluating, and reporting on the performance of business analysis work in the business analysis performance assessment. This allows the business analysis team to see how things are going and take corrective or preventive actions as needed along the way.



### Review Questions (Short)

1. What technique might be used when determining the business analysis approach on a project?
2. What key input is used to plan the business analysis approach for a project?
3. Who is responsible for ensuring that the business analysis plan is compatible with the project plan?
4. Which business analysis stakeholder role is involved with all business analysis activities on a project?
5. What performance measures will the business analyst define for business analysis activities and deliverables on a project?



### Review Questions (Long)

1. You are a business analyst addressing who will receive weekly business analysis status reports containing performance against actuals for your current project. You are performing tasks from which knowledge area?
2. When identifying business analysis performance improvements, what technique allows you to determine the metrics used for measuring performance and determining how those metrics may be tracked?
3. The business analyst has defined how, when, and why the business analysis team will work directly with project stakeholders to develop requirements. What deliverable contains this information?
4. You are currently planning the business analysis information management approach for your project. What activities will you be performing as part of this task?

You have an implementation deadline for meeting a specific requirement on your current project. What requirements attribute indicates how soon a requirement is needed?



### Review Questions (MCQ)

1. When planning business analysis activities, the business analyst may break down the project tasks and then estimate the amount of work each task will require. What technique are they using?
  - A. Decision analysis
  - B. Functional decomposition
  - C. Process modelling
  - D. Risk analysis
  
2. At the beginning of Business Analysis Planning and Monitoring activities, the *BABOK® Guide* recommends that the business analyst create which two planning deliverables?
  - A. Stakeholder Engagement Approach and Governance Approach
  - B. Business Analysis Approach and Stakeholder Engagement Approach
  - C. Governance Approach and Information Management Approach
  - D. Information Management Approach and Business Analysis Approach
  
3. What knowledge area allows the business analyst to define their approach for tracing project requirements?
  - A. Requirements Analysis and Design Definition
  - B. Business Analysis Planning and Monitoring
  - C. Solution Evaluation
  - D. Requirements Life Cycle Management
  
4. All of the following types of requirements may be candidates for reuse on your project, *except*:
  - A. Quality standards
  - B. Business processes
  - C. Transition requirements
  - D. Service level agreements
  
5. When planning how to address requests for change, the business analyst should consider the cost and time estimates of the requested change, its associated benefits and risks, and the:
  - A. Wording of the change request
  - B. Assumptions and constraints

- C. Recommended course of action
- D. Prioritization of the change



## Case Studies / Projects

### What Exactly Am I Supposed to Be Doing?

Russ discovered early in his career as a project manager that all plans are not created equal. He was a replacement for the project manager on a fairly complex data center consolidation project. Russ stepped in near the end of the first major phase of project work, which was developing the user requirements for the new data center.

One of his first tasks was to review the current project plan and evaluate the progress to date. Russ noticed that the requirements development work was shown as a single two-week task in the project plan with no additional details about the requirements process itself. Because the resulting user requirements document was shown as a completed deliverable and this task was marked as 100 percent complete, he decided to look at the new capabilities the project would provide to the business and its users. So he did. After reading the first four pages of the document, Russ knew there was a problem. He finished reading the user requirements document, closed the file on his computer, and reached for the phone to call the lead business analyst for this effort into his office. When Mary arrived, he asked her, "What exactly is this document supposed to be? Is this just a high-level concept that we need to now go out and define?" Mary replied that the document was the final, approved user requirements document. All the business analysis team had to do now was give the document to the developers. The developers would figure out the rest.

### REQUIRED:

1. You are a business analyst addressing who will receive weekly business analysis status reports containing performance against actuals for your current project. You are performing tasks from which knowledge area?
  
2. What technique might be used when determining the business analysis approach on a project?



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### LEARNING OUTCOMES

After reading this Section of the guide, the learner should be able to:

#### Learning Objectives

- Understand the current state of the business.
- Define the desired future state of the business.
- Assess the risks inherent to the change.
- Develop a change strategy to achieve the desired business outcome.

## Introduction

To achieve a controlled start to a project or project phase, you must be methodical and consistent in its planning and definition. The Strategy Analysis knowledge area provides context for business analysts about the business need, which reflects the gap between the current business situation and a future business situation. One essential skill that the business analyst brings to the big-picture work is knowledge of the internal and external business environments surrounding the project. This is where experienced business analysts begin to translate an organization's business strategy into a proposed new business solution.

### 3.1 Strategy Analysis

Now it is time to add some important context to the business analysis planning and monitoring tasks discussed in Chapter 2, "Controlled Start: Business Analysis Planning and Monitoring." Planning, monitoring, and managing the implementation of a plan isn't going to do the team much good if you don't have clear goals and expected outcomes. These need to be aligned with the business need so that everyone on the team knows the goals and expected outcomes. A controlled project start requires a plan, but it also requires a defined target that was developed and based upon the way things work today. To define, design, and deliver a solution that addresses a business need or opportunity, the team needs to define and agree on the big picture of what needs to be done and why it needs to be accomplished. This high-level definition of the business requirements for a project is the essential first step in producing a successful project outcome. The BABOK® Guide defines the project's big picture in the Strategy Analysis knowledge area. To focus on what is important to business analysts early in their analysis efforts, let's consider the tasks of this knowledge area with the framework of the Business Analysis Core Concept Model (BACCM™). A business analyst needs to keep an eye on their work at this point in time relative to the six concepts contained in the framework: changes, needs, solutions, stakeholders, values, and contexts. Table 3.1 contains a list of the responsibilities associated with each concept.

**TABLE 3.1** The BACCM™: Strategy Analysis

<b>Core Concept</b>	<b>Business Analyst's Responsibilities</b>
Change	Define the future state and develop a change strategy to achieve that future state.
Needs	Identify and prioritize needs within the current state of the business to determine the desired future state.
Solution	Define the solution scope as part of the change strategy.
Stakeholders	Collaborate with stakeholders to understand the business needs and develop a change strategy and future state to meet those needs.
Value	Examine the potential value of the solution to see whether the change is justified.
Context	Consider the change strategy in the context of the existing enterprise: stakeholders, processes, technology, and policies.

The Strategy Analysis knowledge area focuses on defining and documenting the business requirements and solution scope for a project. As part of this effort, business analysts document the current state of the enterprise relative to the business needs driving a possible change in how things are done. That leads to the business requirements, which justify why a particular project should be initiated to address the business need.

Business requirements provide much needed context for detailed requirements activities that take place later. A business analyst takes a close look at the organization's current capabilities relative to a business need, problem, or opportunity. Once business analysts understand what needs to change, they can define the desired future state of the business. They then define a feasible solution scope and approach for addressing that situation.

The tasks in this business-focused knowledge area generate eight key business analysis deliverables. (You can find a complete listing in the BABOK® Guide.) We will cover these four significant deliverables in more detail in this chapter:

- Business objectives
- Business requirements
- Change strategy
- Solution scope

The Strategy Analysis knowledge area is addressed in Chapter 6 of the BABOK® Guide. The knowledge areas in this book are sequenced within the framework of a simple life cycle—controlled start, controlled middle, and controlled end. The Strategy Analysis knowledge area is addressed early in this book because big-picture tasks and business-requirements-focused deliverables of Strategy Analysis are key components of the controlled start to most projects.

## 3.2 The Business Analyst's Task List

A business analyst has four tasks to perform in the Strategy Analysis knowledge area. We will look at each of these tasks in greater detail later in this chapter. The task list from the BABOK® Guide includes the following:

- Analysing the current state of the business
- Defining the desired future state of the business
- Determining the change strategy and solution scope
- Assessing the risks of the selected change strategy

Tasks from the Strategy Analysis knowledge area focus on defining the business requirements and justifying delivery of the solution scope for the project. A business analyst is responsible for developing, defining, and managing the roles and tasks associated with this work. Tasks performed as part of this knowledge area are governed by the business analysis approach. Business analysis performance metrics for the tasks and deliverables are also defined and tracked. We will step through each of these tasks in greater detail.

### **When Does Strategy Analysis Take Place?**

The trick to forgetting the big picture is to look at everything close up. —Chuck Palahniuk

The tasks in the Strategy Analysis knowledge area take place primarily at the beginning of a project. Many of these tasks are done as part of pre-project activities or the basis of a project's controlled start. The business requirements created for a project are like the frame on a painting: They frame and control the desired solution scope and the work efforts required to build the solution. The solution scope and high-level business requirements may require changes, need updates, or be enhanced with additional details as each subsequent phase of the project life cycle is performed. As previously discussed, the controlled start of a project includes pre-project activities to determine whether it is a viable and worthwhile project for the business. At the end of controlled start, the business analysis team should have the solution scope finalized and a compelling set of business requirements built and approved by the senior management team.

### **3.3 Analyzing Current State**

The business analysis team and key stakeholders must understand and be able to articulate why a change is needed. According to the BABOK® Guide, the business need “defines a problem or opportunity of strategic or tactical importance to be addressed.” The business need driving the change must be documented and agreed upon. A business analyst must understand the current state of the enterprise today relative to this proposed change in order to have a context for the change. Remember, not every project gets started because an organization is having a problem. Organizations often consider adding new or changing existing capabilities based on new market opportunities, customer feedback, newly available technologies, or changing legal and regulatory requirements.

Setting a baseline and a context for a change involves looking at the business drivers and issues to determine whether a change is really necessary. The business analyst becomes the master investigator, questioning the business need and any assumptions to make sure that the underlying problem or opportunity relative to the business need is understood and being properly addressed.

Understanding the current state of the business starts the team and its key stakeholders down the path of fully understanding a business problem or opportunity. Organizations need to stay targeted on the business needs versus reacting too quickly to problems, issues, or perceived inefficiencies. The current state definition sets the stage for what comes next in the early part of a project, including deciding on the following:

- The range of solution options to consider
- The set of stakeholders to involve
- The appropriate solution approaches to evaluate

After the business need and the current state of the business relative to that need are articulated for a project or initiative, they are not expected to change significantly through that project's life cycle. If the business need for a project does change during that project's life cycle, the business analyst will have to go back to validate all of the high-level planning and definition work to make sure everything is still okay.

**Figure 3.1** summarizes the inputs, outputs, guidelines, tools, techniques, and associated tasks for analyzing the current state of the business relative to a problem or an opportunity.

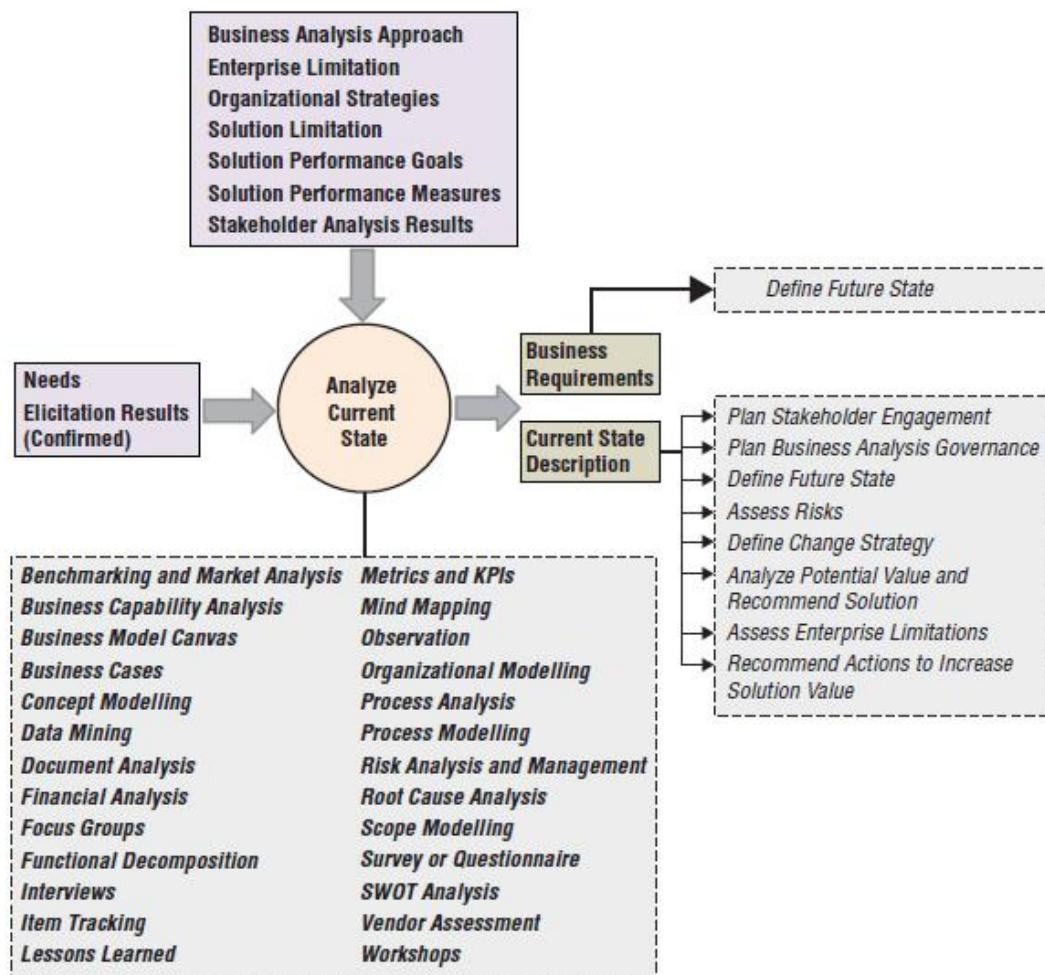


Figure 3.1 Task summary: Analyze current state.



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**Figure 3.1 Task summary:** Analyze current state. Inputs either are informational in nature or can be outputs produced by other business analysis tasks. Inputs are acted on by the task elements and techniques, producing one or more task outputs. Let's take a look at the task inputs used when analyzing the current state:

**Needs** Problems or opportunities must be understood as part of analyzing the current state of the enterprise relative to a potential change in how things are currently done.

**Elicitation Results (confirmed)** Elicitation results help key stakeholders to define and understand the current state of the enterprise relative to the business need. Elicitation information is informally confirmed to identify and resolve any problems with the information before it is used in some way. Confirmed elicitation results should contain no errors, omissions, conflicts, or ambiguity relative to other information that has been gathered or is known.

Guidelines and tools also may be inputs used by business analysis tasks. Guidelines are instructions or descriptions of why and how a business analyst will undertake a task. Tools, on the other hand, are methods for conducting a business analysis task or shaping a task output. Let's take a look at the guidelines and tools that may be used as inputs when analyzing the current state:

**Business Analysis Approach** The business analyst's approach to analyzing the current state of the enterprise is defined and guided by the business analysis approach. Every time a business analyst tackles a task, they need to think about how they will go about getting that work done. Using your organization's business analysis approach to performing this work can be helpful and keep you on track. The approach can be as simple as a series of steps to produce a deliverable or as complex as a detailed plan for gathering information and creating a project deliverable.

**Enterprise Limitation Challenges**, such as the lack of resources or knowledge/skill gaps, can exist within the enterprise relative to the business need and the potential change. These limitations can impact the resulting requirements and solution and must be identified and addressed.

**Organizational Strategy** Organizations usually have a set of business goals and business objectives. Some of them are found in the statements of mission, vision, and values, outlining what the organization wants to achieve and how they see themselves doing it. A determination of how and why addressing the problem or opportunity furthers these goals and objectives can be critical to success.

**Solution Limitation** Understanding the current state means being aware of the limits and challenges that may be present in an existing solution. Changes to the existing solution may impact or be impacted by the existing solution, its capabilities, and its infrastructure.

**Solution Performance Goals** Most organizations measure the current performance of the enterprise and its solutions, particularly IT solutions. These measures of existing solution performance are the baseline for setting the desired future state goals and improvements. These goals reflect enterprise/solution and baselining

**Solution Performance Measures** While solution performance goals are more focused on establishing a baseline for enterprise/solution performance, solution performance measures describe the actual performance of existing solutions in the enterprise. Analysts can then compare the actual to the baseline to assess change. The measures only focus on the actual state of solutions.

**Stakeholder Analysis Results** Identifying the business need is the first step in defining a project's business requirements. As part of their identification efforts, business analysts must elicit information from key stakeholders about their high-level needs and knowledge of the current state.

**Table 3.2** summarizes the inputs to this task and also lists the particular task that was the source of the input (if applicable).

**Table 3.2** Inputs, Guidelines, and Tools: Analyze current state.

**Table 3.2** Inputs, Guidelines, and Tools: Analyze current state.

<b>Task Input</b>	<b>Input Type</b>	<b>Input Source</b>	<b>Source Knowledge Area</b>
Needs	Input	Define business needs.	Strategy Analysis
Elicitation results (confirmed)	Input	Confirmed elicitation results	Elicitation and Collaboration
Business analysis approach	Guidelines and tools	Plan business analysis approach.	Business Analysis Planning and Monitoring
Enterprise limitation	Guidelines and tools	Assess enterprise limitations.	Solution Evaluation
Organizational strategy	Guidelines and tools		
Solution limitation	Guidelines and tools	Assess solution limitations.	Solution Evaluation
Solution performance goals	Guidelines and tools		
Solution performance measures	Guidelines and tools	Measure solution performance.	Solution Evaluation
Stakeholder analysis results	Guidelines and tools		

Business analysts need to step through several elements to analyze, understand, and document the current state of the business. The elements necessary to analyze the current state are as follows:

- Business needs
- Organizational structure and culture
- Capabilities and processes
- Technology and infrastructure
- Policies Business architecture
- Internal assets

**External influencers** Let's step through each of the elements involved in analyzing the current state of the enterprise relative to a problem or opportunity.

A business analyst must investigate the business problem or opportunity to ensure that there is a good reason to move forward and address the problem or opportunity. You are looking for a way to improve the business and add value. Consider several factors when performing this work:

- Quantify any adverse impacts.
- Define any expected benefits from the proposed solution.
- Estimate a timeframe for addressing the problem or opportunity.
- Look at the “do nothing” option as an alternative approach.
- Identify the underlying cause of the problem.

**Organizational Structure and Culture** Part of assessing the current state is performing a cultural assessment of the organization. The BABOK® Guide defines organizational culture as “the beliefs, values, and norms shared by the members of an organization. These beliefs drive the actions taken by [that] organization.” Communications channels and working

relationships are influenced by the organization's structure and culture and should be accounted for as part of analyzing the current state.

**Capabilities and Processes** When defining the current state, be sure to look at the activities the enterprise performs. Core capabilities or processes describe the essential functions of the enterprise that differentiate it from other enterprises. The current state description should define the current capabilities and processes of an organization relative to a business need. This description looks at the organization's business processes, software, hardware, people, operations, and current projects. Activities and processes are measured by performance indicators that will help business analysts assess the benefits associated with a proposed change.

Business analysts can take a capability-centric view of the enterprise in their current state description. This perspective looks at innovative ways to combine existing capabilities and produce new outcomes. The capabilities being assessed are organized in functional hierarchies that relate them to other capabilities. On the flip side, business analysts may choose to take a process-centric view of the enterprise, looking for ways to improve the performance of existing activities. Processes are typically organized in a different way than capabilities, flowing in an end-to-end fashion across the enterprise.

**Technology and Infrastructure** Technology is composed of information systems that support people as they do their work, communicate with others, and make decisions. Infrastructure is part of the enterprise environment, consisting of physical components and capabilities, such as computer hardware or operating a manufacturing plant

**Policies** Day-to-day decision making in an enterprise is defined by policies at different organizational levels. Any policies that may have an impact on the change being proposed need to be identified and understood.

**Business Architecture** The current state of an enterprise relative to a business need does not exist in a vacuum. Be sure to consider the business architecture when thinking about making a change. Business architecture is the design, structure, and behavior of every aspect of the enterprise. This view of how things are currently working helps the business analyst align strategic objectives with tactical demands and possible changes downstream. Internal Assets Assets are the tangible and intangible parts of the current state description. They include financial resources, patents, reputation, and brand names.

**External Influencers** External influences add constraints, dependencies, or drivers to the description and understanding of the current state of things. There are many sources of external influences on an enterprise, including industry structure, competitors, customers, suppliers, the political and regulatory environment, technology, and macroeconomic factors such as unemployment or inflation. There are a number of techniques that you may choose to apply when analyzing the current state of the enterprise. To make sure you consider a range of business needs and desired outcomes before settling on what is driving your potential project, we recommend that you use the document analysis and the root-cause analysis techniques. Let's take a look at these two techniques in greater detail.

**Recommended Technique:** Document Analysis Document analysis allows a business analyst to elicit, confirm, or crosscheck project requirements information by studying existing documentation and other relevant information. These secondary sources of information allow the business analyst to gather details for existing solutions (the “as is” situation) to see whether they have components that can be used or should be changed for the new solution that is being proposed (the “to be” situation).

Document analysis assumes that the existing documentation is easily available and up-to-date. If the information is not up-to-date and valid, it will be of little help to a business analyst in eliciting or confirming the requirements. The “existing stuff” is information prepared for another project or purpose but relevant to your requirements development efforts. This type of secondary data can be quite helpful during requirements elicitation. To conduct document analysis, the business analyst steps through three stages: preparation, the actual document review, and wrap-up. Preparation involves locating and evaluating the relevant system and business documentation.

During document review, you study the material, identify the relevant details (technical and business), and document them along with any questions you might have to follow up on with the subject matter experts (SMEs). Wrap-up is the “get answers, review, and confirm” step.

**Recommended Technique:** Root-Cause Analysis Business analysts perform root-case analysis to determine the underlying source of a problem. This structured technique is used to examine a situation in order to establish the root causes and resulting effects of a particular problem. The BABOK® Guide recommends two common methods for root-cause analysis: the fishbone diagram and the five whys.

**Fishbone Diagram** A fishbone diagram allows the business analyst to show the causes of a problem or an effect. Fishbone diagrams are also called Ishikawa or cause-and-effect diagrams. This diagram allows the business analyst to see all possible causes of a result in a structured way and to make sure that everyone understands the problem or cause that is being addressed. The business analyst and key stakeholders will brainstorm the categories and the possible causes in each category. Typical categories include things like people, methods, machines, materials, measurements, and environment. After the diagram is built, the business analyst will analyze the results and (hopefully) determine the actual cause of what is taking place. This fishbone example looks at the possible causes for a specific effect: decreased wine sales revenue. The possible causes are diagrammed and broken down across four areas: people and skills, systems, distributors, and surroundings. A fishbone diagram, like the one shown in Figure 3.2, offers the team the opportunity to analyze and discuss what they think is leading to this decrease in revenue.

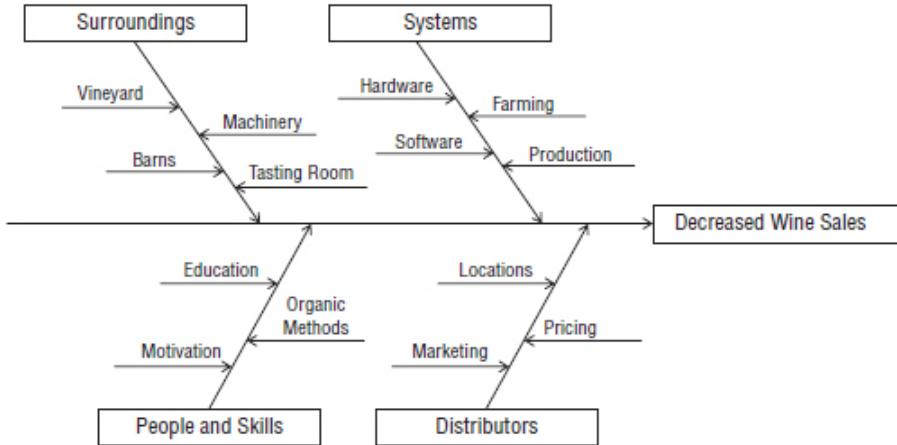


Figure 3.2 A fishbone diagram offers the opportunity to analyze and discuss.



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## Five Whys

The five whys is a questioning technique that asks, “Why?” repeatedly in order to get to the root cause of a problem. This technique can be used alone or used with the fishbone diagram technique. This is a simple and effective facilitation tool. Many business analysts customize their use of this tool by asking, “How?” instead of “Why?” or by alternating between the two terms. Often the root cause is identified before the five questions are asked. Be careful when you use this technique. We were in a meeting once where the facilitator really annoyed the senior user by repeatedly asking, “Why?” in order to determine whether automating an existing process would improve customer service. The senior user ended up throwing a powdered-sugar doughnut at the facilitator, making a big white spot right on the front of the facilitator’s black suit jacket.

## Additional Techniques to Consider

The BABOK® Guide lists some additional techniques that can be used when analyzing the current state for your project. They are summarized for you here:

**Benchmarking and Market Analysis** Benchmarking is done to compare organizational practices against the best-in-class practices from competitors, the government, or industry

associations. Market analysis researches customers to determine what those customers need or want. Both techniques allow you to identify opportunities for improvement in the current state.

**Business Capability Analysis** This technique allows a business analyst to define the current business capabilities of the enterprise, identify performance gaps, and prioritize those gaps and capabilities relative to the value and risk of a business need. **Business Model Canvas** A business model canvas describes how an enterprise creates, delivers, and captures value to and from its customers. This technique provides an understanding of the value proposition between the enterprise and its customers as well as the critical factors in delivering that value and the resulting cost and revenue streams.

**Business Cases** Many organizations use business cases to justify a course of action based upon the benefits of a proposed solution. When analyzing the current state, be sure to capture information regarding the business need and the opportunity that need presents to the enterprise.

**Concept Modelling** Business analysts need to capture and organize the key terms and concepts to build a “business vocabulary” or glossary for people to use when discussing the current state and the proposed change.

**Data Mining** Data mining looks for useful patterns and insights in enterprise data, such as information on the performance of the enterprise. This can improve the decision-making process relative to a business need.

**Financial Analysis** Financial analysis is used to understand the profitability of the current state and to evaluate the enterprise’s financial capability to deliver change. **Focus Groups** This group technique allows a business analyst to bring together a selected group of key stakeholders to identify and discuss problems and opportunities as part of analyzing the current state.

**Functional Decomposition** Functional decomposition allows a business analyst to break down the complex systems and relationships that make up the current state into smaller, easily understood pieces and parts.

**Interviews** It is essential that the business analysts talk with stakeholders to understand the current state and any stakeholder needs relative to that current state.

**Item Tracking** This technique allows issue tracking and management relative to the description of the enterprise’s current state. We often refer to this key technique as “issue management” on our projects. **Lessons Learned** Looking at failures and opportunities from past change initiatives can assist with facilitating a proposed change. Lessons learned may also highlight and drive a new business need for process improvement in one or more areas. **Metrics and Key Performance Indicators (KPIs)** Metrics and KPIs are used to assess the performance of the current state of the enterprise. Be sure to look for measurable ways to assess performance.

**Mind Mapping** Mind mapping is a creative way of note taking that captures ideas and information in a visual and nonlinear way relative to the current state. This technique is used to explore relevant aspects of the current state and to understand the factors affecting the business need.

**Observation** Observation allows a business analyst to gain insight into needs by viewing how things are done within the current state. Often, observation also helps business analysts discover new stakeholder and business needs based upon what they observe.

**Organizational Modelling** Remember those hierarchical organization charts with the rectangles and the lines connecting each level of job title? When analyzing the current state, many business analysts use this technique to describe the roles, responsibilities, and reporting structures that currently exist within the organization.

**Process Analysis** Process analysis identifies opportunities to improve the current state by looking at the efficiency and effectiveness of a particular process that is part of the current state.

**Process Modelling** This graphical modelling technique describes how work occurs in the current state and the current solution.

**Risk Analysis and Management** Risk analysis and management identifies areas of risk or uncertainty that could negatively impact the current state. This technique also analyzes and evaluates those uncertainties to develop responses to deal with the risks.

**Scope Modelling** Ever been asked what is in scope and what is out of scope for your project? Scope models are used to define the boundaries of the current state description.

**Survey or Questionnaire** This elicitation technique helps business analysts gain an understanding of the current state from a large, varied, or disparate group of stakeholders in a relatively short period of time.

**SWOT Analysis** This tool evaluates the strengths, weaknesses, opportunities, and threats to the current state enterprise.

**Vendor Assessment** This technique determines whether vendors that are part of the current state are adequately meeting their commitments or whether changes are needed.

**Workshops** Workshops help engage key stakeholders as they collaboratively describe the current state and their current or future needs relative to that state. Business analysts select the techniques they will apply as part of analyzing the current state. There is no need to use all of these techniques, so choose wisely. Let's take a look at the outputs that result from applying your selected techniques to this task.

### Analyzing the Current State

There are two related outputs from this task: the current state description and the business requirements. The current state description provides the context for the enterprise's existing scope, capabilities, resources, performance, culture dependencies, infrastructure, external influences, and significant relationships between these elements. The business requirements define the problem, opportunity, or constraint defined based upon understanding the definition and inner workings of the current state. The business requirements include the business need, describing the problem or opportunity that an organization is facing. The business requirements and the current state description drive the start of your project.

**Table 3.3** summarizes the output from the Analyze Current State task.

**TABLE 3.3** Outputs: Analyze current state.

<b>Task Output</b>	<b>Output Destinations</b>	<b>Source Knowledge Area</b>
Current state description	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
	Plan business analysis governance.	Business Analysis Planning and Monitoring
	Define future state.	Strategy Analysis
	Assess risks.	Strategy Analysis
	Define change strategy.	Strategy Analysis
	Analyze potential value and recommend solution.	Requirements Analysis and Design Definition
	Assess enterprise limitations.	Solution Evaluation
	Recommend actions to increase solution value.	Solution Evaluation
Business requirements	Define future state.	Strategy Analysis

Once the current state is identified, understood, and documented, it is used as an input or guideline by many other business analysis tasks. They include conducting stakeholder analysis, assessing risks, and analyzing the potential value of taking action. Additionally, the remaining three Strategy Analysis tasks require the current state as an input or guideline for performing their big-picture activities and completing the high-level definition of the project. A number of stakeholders are involved with identifying and analyzing business needs within an organization. Typically, the business analyst is responsible for identifying and investigating the need. It is a best practice to appoint a sponsor who owns the business need and authorizes the actions to make sure that need is met. Often this is done by the project that was triggered as a result of the business need being identified and addressed. Domain SMEs and end users can provide the business analyst with an excellent source of existing problems or limitations with systems and processes. Other key stakeholders involved with analyzing the current state of the enterprise relative to the business need include the following:

- Customer
- Implementation SME
- Operational support
- Project manager
- Regulator
- Supplier
- Tester

The business requirements and current state description guide the identification, definition, and selection of new capabilities, possible solutions, and solution approaches. Remember that the business need is typically contained in the business requirements created as an output from this task. Using the business requirements and current state description, you will now move to the next task and define the desired future state that meets the business need.

**Define Future State** After the business analyst analyzes and understands the current state of the enterprise relative to the business need, the next step is to define the new capabilities required

to address that business need. You must determine whether the organization's existing capabilities can meet the business need or whether additional capabilities and conditions are necessary. Typically, projects begin when organizations have to add new capabilities to the mix in order to meet a business need. Defining the future state allows the stakeholders to understand the potential value of a range of solution options. This leads to making an informed decision and selecting the best possible solution as part of the change strategy. We will look at the change strategy in more detail later in this chapter. According to the BABOK® Guide, the future state is defined to a level of detail that:

- Allows for competing strategies to be identified and assessed
- Provides clear definition of outcomes satisfying the business need
- Details the scope of the solution space
- Allows for value associated with the future state to be assessed
- Enables consensus to be achieved among key stakeholders

Figure 3.3 summarizes the inputs, outputs, techniques, and associated tasks for defining the future state at the appropriate level of detail relative to the business need within an organization.

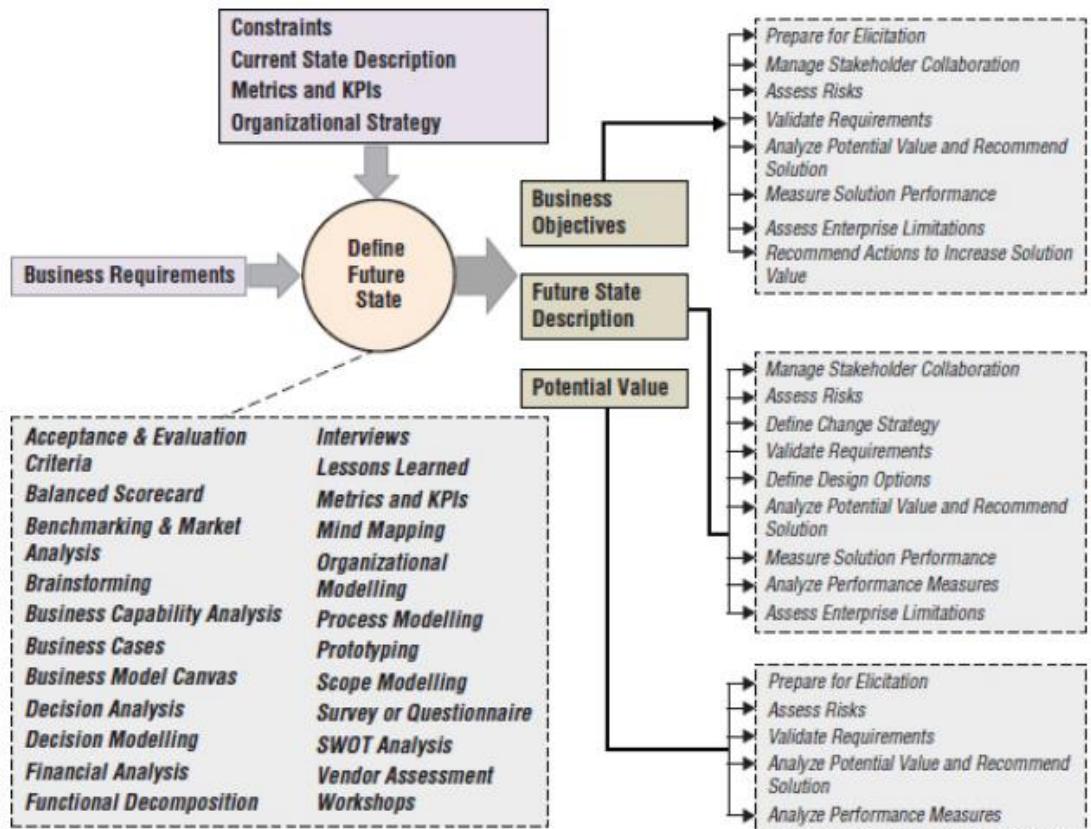


Figure 3.3 Task summary: Define future state.

 Read

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Remember, the desired future state meets the business need. Let's take a look at the task inputs, guidelines, and tools used to assist the business analyst in defining the future state. There is a single input to this task.

**Business Requirements** The business requirements are the basis for defining the future state. Business requirements define the problems, opportunities, or constraints that need to be addressed by the solution scope. The business analyst is focused on what it will take to deliver the business requirements, either by using existing capabilities or by creating new capabilities

Several guidelines and tools are also to be used as inputs when defining the future state. They include the following:

**Constraints** Constraints may exist within the enterprise that limit or change your solution options as part of the future state definition. The BABOK® Guide includes them as considerations in the 6.2.3 model but does not specify constraints in the list found in 6.2.5. We believe they are an important consideration for any project

**Current State Description** The current state description defines the current capabilities of an organization relative to a business need. The description may look at the organization's business processes, software, hardware, people, operations, and current projects. This is the first place you look to understand the organization's current capabilities relative to the business need being addressed and the desired future state to be defined.

**Metrics and KPIs** When defining the future state, key performance indicators and metrics must be considered. This allows you to determine whether the future state has been achieved when the solution is implemented.

**Organizational Strategy** This strategy defines the path, method, or approach the organization will take to achieve the desired future state. This strategy may impact the solution that is chosen for implementation

Table 3.4 summarizes the inputs to this task and also lists the particular task that was the source of the input (if applicable).

**TABLE 3.4** Inputs: Define future state.

<b>Task Input</b>	<b>Input Type</b>	<b>Input Source</b>	<b>Source Knowledge Area</b>
Business requirements	Input	Identify business need.	Strategy Analysis
Constraints*	Guidelines and tools		
Current state description	Guidelines and tools	Analyze current state.	Strategy Analysis
Metrics and KPIs	Guidelines and tools		
Organizational Strategy	Guidelines and tools		

The BABOK® Guide includes constraints as considerations in the 6.2.3 model but does not specify them in the list found in 6.2.5. We believe they are an important consideration for any project.

To define the future state, you need to address and define a number of detailed elements within the task. Those elements are:

- Business goals and objectives
- Scope of solution space
- Constraints
- Organizational structure and culture
- Capabilities and processes
- Technology and infrastructure
- Policies
- Business architecture
- Internal assets
- Assumptions
- Potential value

Let's step through each of the 11 elements involved in defining an organization's future state relative to a specific business need. Many of these elements are the same things you are analyzing when developing a description of the current state of affairs relative to the business need. The business analyst will compare the current state to the future state in order to see what actually needs to be done.

**Business Goals and Objectives** Early in a project or before a project even begins, business analysts are asked to analyze the organization's business goals and objectives as part of defining a particular business need and the desired future state. This strategic information is usually located in the organization's strategic plan, starting with the organization's mission, vision, and values.

Many people mistake the vision statement for the mission statement.

**Vision** The vision describes a future identity.

**Mission** The mission describes why that future identity will be achieved.

**Values** Values provide boundaries for how an organization defines its mission in order to achieve its vision.

**Figure 3.4** depicts the levels of detail and the relationships ranging from an organization's vision, mission, and strategic plan to the projects being done in order to achieve those strategic goals.



**FIGURE 3.4** Relating strategy and implementation

Business goals are strategic statements describing changes that the organization seeks to establish or current conditions that the organization wants to maintain. A single business goal may be subdivided into one or more focus areas, such as customer satisfaction, operational excellence, or business growth.

Business goals must be decomposed into a set of more quantitative business objectives. Business objectives state the predetermined results toward which effort is directed, such as a strategic position to be attained or a purpose to be achieved. Experienced business analysts make sure that their business objectives are SMART (Specific, Measurable, Achievable, Relevant, and Time-Bound)

**Scope of Solution Space** The business analyst must also describe the range of solutions and the options that will be considered to achieve the desired future state. The target is reaching a desired outcome that delivers the most value and can be implemented to address the business need. Do not confuse the desired outcome with a solution; they are not the same thing. Solution options to achieve the future state will be evaluated relative to the desired outcome to make sure they can deliver the business benefits that are expected.

**Constraints** Constraints limit the current state as well as the planned future state. Constraints may not change as part of the solution. Constraints come in many flavors, such as budget, time, technology, infrastructure, policy, resources, team member skills, and regulations.

**Organizational Structure and Culture** When assessing the future state, remember to do a cultural assessment of the organization relative to the changes in formal and informal working relationships that may occur. Communications channels and working relationships are influenced by the organization's structure and culture and should be accounted for as part of analyzing both the current and future states of the enterprise during strategy analysis

**Capabilities and Processes** Once you have a handle on the current capabilities, it's time to consider the new capabilities that may be needed to meet the business need. The business analyst is responsible for modelling and describing these new capabilities. One common way

to do this is called gap analysis: defining what it will take to eliminate or minimize the gap between the current capabilities and the desired future state

**Technology and Infrastructure** The question you must answer is, “Does the organization have the current business and technology capabilities to meet the business need?” You will look at specific parts of the current technology and infrastructure that relate to the business need. Existing technology may impose technological constraints on solution design. If you miss something, your view of the organization’s current technical capabilities may be incorrect and incomplete. That will require you to spend extra time doing the research to discover what you need to know.

**Policies** Day-to-day decision making in an enterprise is defined by policies at different organizational levels. These policies might need to change as part of the desired future state. Policies also have a bad habit of constraining the solution space for the future state, so stay alert for these possible issues and roadblocks.

**Business Architecture** Business architecture is the design, structure, and behavior of every aspect of the enterprise. The future state of an enterprise does not exist in a vacuum; all these elements work together to meet (or obstruct) business goals and objectives. This view of how things will work together in the future helps business analysts align strategic objectives with tactical demands and possible changes downstream

**Internal Assets** Assets are tangible and intangible parts of the future state description. The future state may require new assets or more capabilities from existing assets

**Identify Assumptions** You will have to make assumptions to define new capabilities for the future state. Assumptions are things that are believed to be true regarding meeting the business need. Make sure that you clearly understand any assumptions associated with the new capabilities. Identify and document each assumption, just in case you discover later that one or more of them are actually false

**Potential Value** There is no reason to transition to a future state if no value is added to the enterprise as a result of the change. For the purpose of comparison, the value should be compared to the “do nothing” option. The BABOK® Guide defines the potential value of the future state as “the net benefit of the solution after operating costs are accounted for.” Potential value is a key component of the business case justifying the proposed change

There are a number of techniques that you can use when assessing your organization’s current capabilities relative to a new business need. You can almost always use benchmarking and market analysis or SWOT analysis to help you define the future state of things. Let’s take a look at those recommended techniques now.

### **Recommended Technique: Benchmarking and Market Analysis**

Benchmarking and market analysis studies target using new and different methods, ideas, and tools to improve organizational performance. When conducting such a study, the business analyst compares their organization’s strategies, operations, and processes against the best-in-class strategies, operations, and processes of their competitors and peers. After determining how other companies achieve superior performance, the organization can then propose projects to reproduce solutions that work elsewhere.

### **Recommended Technique: SWOT Analysis**

Strengths, Weaknesses, Opportunities, and Threats (SWOT) analysis lets you look at the organization's current capabilities relative to meeting a new business need. There are two dimensions to this analysis: the internal strengths and weaknesses of the organization and the external opportunities and negative threats that are in play. SWOT analysis is done using a matrix or a grid. Stakeholders brainstorm and complete each quadrant of the grid and then analyze the resulting data to make sure that the business need and its environment are well understood. Solutions for meeting the business need may then be proposed and considered.

### **Additional Techniques to Consider**

The BABOK® Guide lists (and provides a more in-depth discussion of) some additional techniques that may be used when defining the future state for your project. They are summarized for you here.

**Acceptance and Evaluation Criteria** Identify what may make the future state acceptable and how solutions options may be evaluated.

**Balanced Scorecard** This strategic planning and management tool is used to set targets for measuring the organizational performance in the future state. Balanced scorecards are outcome focused and provide a balanced view of the enterprise by looking at four dimensions: learning and growth, business process, customer, and financial.

**Brainstorming** Brainstorming is a creative way to collaboratively come up with ideas for what the future state might be. Participants generate new ideas and reduce those ideas into a smaller subset for subsequent analysis.

**Business Capability Analysis** The business analyst defines the future business capabilities of the enterprise as part of the future state. Capability performance gaps are prioritized relative to value and risk.

**Business Cases** A business case should capture the desired outcomes of the change initiative and clearly define the desired future state.

**Business Model Canvas** This technique maps out the needed infrastructure, target customer base, financial cost structure, and revenue streams required to fulfill the value proposition to customers in the desired future state.

**Decision Analysis** Decision analysis is a formal way to examine and model the possible consequences of different decisions being made in response to a problem. During future state definition, it is used to compare the different future state options and understand what the best choice might be.

**Decision Modelling** This technique is used to model complex decisions regarding future state options. Decision models can use tables or trees to show how data and knowledge are combined to make a specific decision.

**Financial Analysis** When defining the future state, financial analysis is used to estimate potential financial returns to be delivered by that proposed future state.

**Functional Decomposition** Functional decomposition allows the business analyst to break down the complex systems and relationships that will make up the desired future state into smaller, easily understood pieces and parts.

**Interviews** During future state definition, a business analyst speaks with key stakeholders in order to understand their needs and objectives relative to the future state.

**Lessons Learned** Lessons learned can assist business analysts in determining which opportunities for improvement will be addressed as part of the future state and how to improve upon the current state.

**Metrics and Key Performance Indicators (KPIs)** Metrics and KPIs are used to assess the performance of the future state of the enterprise. This technique can help business analysts determine when the organization has achieved the business objectives linked to the future state.

**Mind Mapping** Mind mapping is a creative way to develop future-state ideas using a visual, nonlinear diagram that maps the relationships between ideas.

**Organizational Modelling** Organizational models are used to describe the roles, responsibilities, and reporting structure that could exist in the future state organization.

**Process Modelling** This graphical modelling technique describes how work would occur in the future state.

**Prototyping** Prototypes model requirements for one or more future state options and help users and other stakeholders determine the potential value and feasibility of each option.

**Scope Modelling** Scope models define the boundaries of the enterprise in the future state. Plan ahead and model the current state, too. Then it is an easy comparison between where the enterprise is now and where the enterprise wants to be relative to the business need.

**Survey or Questionnaire** Surveys or questionnaires allow a business analyst to understand stakeholder needs and related business objectives that are part of the future state. This elicitation technique is effective with a large, varied, or disparate group of stakeholders over a relatively short period of time.

**Vendor Assessment** This technique assesses the potential value provided by vendor solution options relative to the desired future state.

**Workshops** Workshops help engage key stakeholders as they collaboratively describe the future state of the enterprise and their needs.

Let's take a look at the outputs result from applying one or more of these techniques to this task or defining the future state

### **Defining the Future State**

There are three outputs from this task: the business objectives, the future state description, and the potential value. The three outputs are tightly intertwined. The business objectives state the desired direction required for the business to achieve the future state. The future state

description defines the new, removed, and modified components of the enterprise, and the potential value expected from the future state.

Once the business objectives, future state, and the future state's potential value are identified, understood, and documented, they are used as inputs by several other business analysis tasks. These tasks are listed in Table 3.5. They have a strong solution focus, and they are integral pieces for defining the solution approach and scope.

<b>Task Output</b>	<b>Output Destinations</b>	<b>Source Knowledge Area</b>
Business objectives	Prepare for elicitation.	Elicitation and Collaboration
	Manage stakeholder collaboration.	Elicitation and Collaboration
	Assess risks.	Strategy Analysis
	Validate requirements.	Requirements Analysis and Design Definition
	Analyze potential value and recommend solution.	Requirements Analysis and Design Definition
	Measure solution performance.	Solution Evaluation
	Assess enterprise limitations.	Solution Evaluation
	Recommend actions to increase solution value.	Solution Evaluation
Future state description	Manage stakeholder collaboration.	Elicitation and Collaboration
	Assess risks.	Strategy Analysis
	Define change strategy.	Strategy Analysis
	Validate requirements.	Requirements Analysis and Design Definition
	Define design options.	Requirements Analysis and Design Definition
	Analyze potential value and recommend solution.	Requirements Analysis and Design Definition
	Measure solution performance.	Solution Evaluation
	Analyze performance measures.	Solution Evaluation
Potential value	Assess enterprise limitations.	Solution Evaluation
	Prepare for elicitation.	Elicitation and Collaboration
	Assess risks.	Strategy Analysis
	Validate requirements.	Requirements Analysis and Design Definition
	Analyze potential value and recommend solution.	Requirements Analysis and Design Definition
	Analyze performance measures.	Solution Evaluation

Table 3.5 Outputs: Define future state.

Read 

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A number of stakeholders are involved with defining the future state relative to a particular business need and to the current state of the enterprise. Business analysts usually drive this work. It is a best practice to appoint a sponsor who owns the business need and authorizes the

actions to make sure that need is met. Often this is done by the project that was triggered as a result of the business need being identified and addressed.

Customers and suppliers may be significantly impacted when a new future state is defined and targeted to meet a business need. Other key stakeholders who provide information about the strengths and weaknesses of the current capabilities include the following:

- Domain SME
- End user
- Implementation SME
- Operational support
- Project manager
- Regulator
- Tester

You can use the current and future state descriptions to identify, prioritize, and select the solution approach for implementing or obtaining the required capabilities. This will be set forth as part of the change strategy and discussed later in this chapter.

### 3.4 Assess Risks

During Strategy Analysis, the business analyst analyzes and manages the risks relative to the current state, the future state, and the change strategy. According to the BABOK® Guide, the risks are analyzed in a basic way with which most of us are familiar. The business analyst looks at the possible consequences if the negative risk occurs, the impact of the consequences, the actual likelihood of the risk occurring, and the potential timeframe when the risk might occur.

Effective business analysts understand the consequences of internal and external forces on the enterprise when working toward a desired future state. Assessing and being aware of risks allows the business analyst to recommend courses of actions as well as select a change strategy that fits the situation at hand. Business analysts manage risks on their projects at any stage of the life cycle to minimize the impact of those risks on the value of the implemented solution or change.

Figure 3.5 summarizes the tasks involved in assessing risks during strategy analysis.

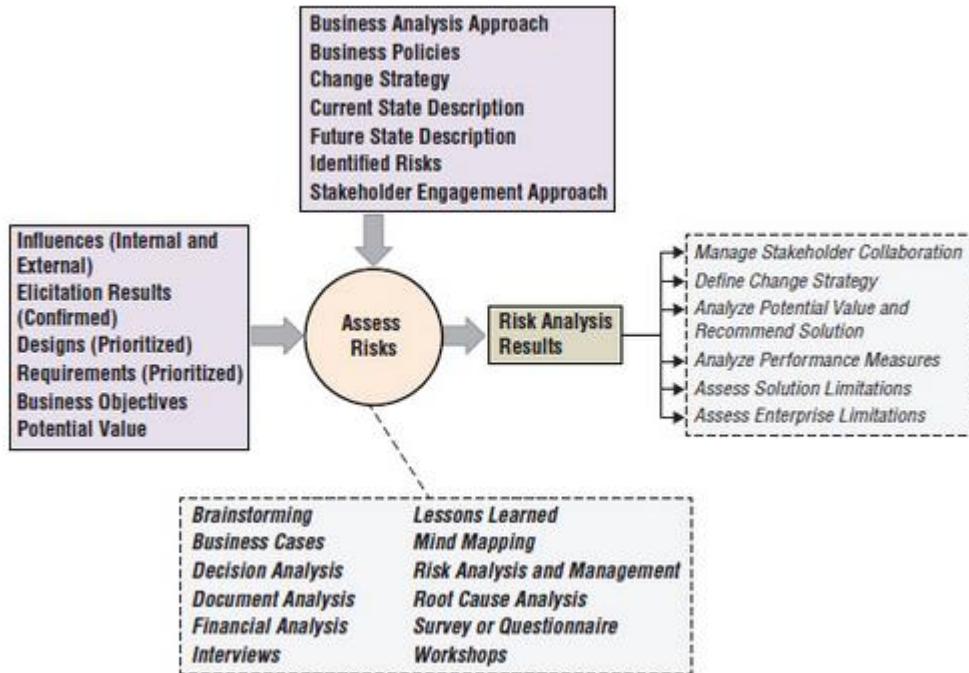


Figure 3.5 Task summary: Assess risks.

Table 3.6 summarizes the inputs to this task and also lists the particular task that was the source of the input (if applicable). Let's take a look at the task inputs used to assess risks.

**TABLE 3.6** Inputs: Assess risks.

Task Input	Input Type	Input Source	Source Knowledge Area
Influences (internal and external)	Input		
Elicitation results (confirmed)	Input	Confirm elicitation results.	Elicitation and Collaboration
Designs (prioritized)	Input	Prioritize requirements.	Requirements Analysis and Design Definition
Requirements (prioritized)	Input	Prioritize requirements.	Requirements Analysis and Design Definition
Business objectives	Input	Define future state.	Strategy Analysis
Potential value	Input	Define future state.	Strategy Analysis
Business analysis approach	Guidelines and tools	Plan business analysis approach.	Business Analysis Planning and Monitoring
Business policies	Guidelines and tools		
Change strategy	Guidelines and tools	Define change strategy.	Strategy Analysis
Current state description	Guidelines and tools	Analyze current state.	Strategy Analysis
Future state description	Guidelines and tools	Define future state.	Strategy Analysis
Identified risks	Guidelines and tools		
Stakeholder engagement approach	Guidelines and tools	Plan stakeholder engagement.	Business Analysis Planning and Monitoring

Remember, inputs are either informational in nature or can be outputs produced by other business analysis tasks. Inputs are acted on by the task elements and techniques, producing one or more task outputs. Let's take a look at the task inputs used when assessing risks.

**Business Objectives** Business objectives describe and point to the desired direction needed to achieve the future state. They are also used to identify and discuss potential risks along the way as part of the risk analysis efforts.

**Designs (Prioritized)** Prioritized designs link to and influence the risks along the way to solution realization. Keep an eye on the designs priorities as you perform risk analysis activities as they directly influence how you prioritize and address the identified risks.

**Elicitation Results (Confirmed)** Effective business analysts make sure that the elicitation information contains an understanding of what the stakeholders perceive as risks in achieving the desired future state.

**Influences (Internal and External)** Influences are factors from inside and outside the enterprise that can impact achieving the future state. They can be as simple as organizational attitudes toward a proposed change in how things are done or tangible influences such as existing or proposed infrastructure and technology.

**Potential Value** Potential value is the value to be realized when a proposed future state is implemented. This definition of business value provides a benchmark against which risks can be assessed across the project life cycle.

**Requirements (Prioritized)** Prioritized requirements link to and influence the risks along the way to solution realization. Keep an eye on the requirements priorities as you perform risk analysis activities as they directly influence how you prioritize and address the identified risks.

There are additional inputs that may be used by business analysis tasks: guidelines and tools. Guidelines are essentially instructions or descriptions on why and how a business analyst will undertake a task. Tools, on the other hand, are methods for conducting a business analysis task or shaping a task output. Let's take a look at the guidelines and tools that may also be used as inputs when assessing risks:

**Business Analysis Approach** The business analysis approach provides the framework for all business analysis activities. It contains the guidelines for how business analysts will perform risks analysis on their project.

**Business Policies** The limits and boundaries for decision making within the organization live here. These policies may have an impact on the risk management activities taking place.

**Change Strategy** The change strategy tells us how we plan to transition from the current state to the future state. Risks associated with this change and the steps of the change need to be considered when analyzing risks.

**Current State Description** How things are currently working provides the context within which the new work needs to be completed. Current state risks may come into play on your project, and you should watch for them.

**Future State Description** Along with the change strategy and the business requirements, this description provides business analysts with a baseline for determining the risks associated with achieving the future state.

**Identified Risks** Identified risks come from the risk analysis results and can be used as a starting point for additional risk identification and analysis activities relative to the current and future states.

**Stakeholder Engagement Approach** Stakeholders are an important source of risks for your project. Be aware of your stakeholders and get them involved with the risk assessment efforts across the project life cycle.

To assess risks, you will cover five areas within the task relative to one or more risks. The elements are as follows:

- Unknowns
- Constraints, assumptions, and dependencies
- Negative impact to value
- Risk tolerance
- Recommendation

Let's step through each of these elements involved in assessing risks.

**Unknowns** Let's face it, business analysts will never know everything that might happen as the result of a change. We will never identify all of the possible risks, either. Remember to look at lessons learned from previous projects to see whether history provides you with additional risks to analyze and watch out for. Stakeholder collaboration is essential when assessing risks. Working together helps you understand the stakeholder's view of the current and future states relative to risks that may be encountered

**Constraints, Assumptions, and Dependencies** Constraints, assumptions, and dependencies should be analyzed for risks. Constraints are boundary conditions or limits that might impact an organization's ability to select certain solution approach options. Assumptions are factors that you believe to be true, but you have not yet confirmed them to be true. Dependencies are logical relationships between the pieces and parts of your project, such as risks, requirements, or activities

Many business analysts treat constraints and assumptions as risks in and of themselves. To do this, restate the constraint, assumption, or dependency as an event or condition along with the consequences that could occur

**Risk Tolerance** One key component of risk analysis is to understand your organization's risk tolerance. Organizations may be risk-averse, risk-neutral, or risk-seeking. Interestingly enough, an organization's approach to risk may change over time. Risk-averse organizations want to reduce risks and are willing to receive fewer benefits in return for a more certain outcome. Risk-neutral organizations are squarely in the middle. They typically need to see that the

expected benefits equal or outweigh the costs of the proposed solution in order to continue on with things. Risk-seeking organizations will accept high risks if they come with high rewards for success.

**Recommendation** Business analysts are expected to recommend a course of action based upon assessing the risks relative to a change strategy and business need. Key stakeholders need to have a clear understanding of the risks relative to the value of the change. There are five typical categories of recommendation that can be made. The categories range from “go for it” to “do nothing.”

- Pursue benefits of the change regardless of risk.
- Pursue benefits of the change while investing to reduce the risk.
- Increase the benefits of the change to outweigh the risks.
- Identify ways to manage and optimize opportunities.
- Do not pursue the benefits of the change.

There are a number of techniques that you may choose to apply when assessing risks for your project. Consider applying the risk analysis and management technique to ensure that you have a full range of possible risks to consider. Let’s take a closer look at how to successfully use this technique.

#### Recommended Technique: Risk Analysis and Management

The risk analysis and management technique is used to identify and manage risks. Risk analysis and management is ongoing throughout a project. This technique is initially used when developing the business requirements and change strategy to identify areas of uncertainty about the technical, financial, and business feasibility of a proposed solution or solutions. This initial risk assessment during Strategy Analysis activities is the first step of many in the land of “things will not go as planned.” Remember, the BABOK® Guide focuses only on risks that are negative (threat) events.

The four steps of the risk analysis and management technique are risk identification, analysis, evaluation, and developing treatments or responses. Let’s take a quick look at each step in more detail.

**Risk Identification** Risks need to be identified before they can be analyzed. Most business analysts enter identified risks into a risk register for a “one-stop shopping” approach to risk analysis and management. As additional information is analyzed regarding each risk, it can also be entered into the risk register.

**Risk Analysis** To analyze the identified risks, the business analyst determines the probability and impact of each risk. This simple determination is usually done with a common scale, such as the numbers from 1 to 5, with a 1 being low impact to value and a 5 being high impact to value.

**Risk Evaluation** An easy way to look at the risk exposure is to take the values you specified in Risk Analysis and add up all of the individual risk levels and impacts to determine an overall risk value. Risk analysis results can then be compared with the potential value of the change to see whether the overall level of risk is acceptable for the change.

**Risk Treatments or Responses** The business analyst and key stakeholders need to determine the treatment or response strategy used to deal with significant negative risks. Five risk response strategies are listed in the BABOK® Guide; these strategies are summarized in TABLE 3.7 Risk treatment or response strategies

**TABLE 3.7** Risk treatment or response strategies

Response	Description
Accept	Accept that the identified negative risk may occur and choose to do nothing about it.
Avoid	Take measures to ensure the identified risk does not occur.
Increase	Decide to take on more negative risk to pursue an opportunity.
Mitigate	Reduce the probability and/or the impact of an identified risk occurring.
Transfer	Transfer the responsibility for dealing with a negative risk to a third party.



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Terri Wagner Chapter 3 Page Number 124**

#### Other Techniques to Consider

The BABOK® Guide lists several other techniques that can be used when assessing risks. They are summarized for you here:

**Brainstorming** Brainstorming is an effective way to generate a list of identified risks relative to the change being made from the current to the future state. The brainstorming approach complements risk assessment activities by enriching the list of possibilities.

**Business Cases** Business cases are often used to capture risks associated with alternative change strategies prior to selecting which strategy to use to make the change actually happen.

**Decision Analysis** This technique allows a business analyst to examine and model the costs and benefits of a proposed solution and its implementation. You can use graphical decision trees and financial valuation techniques to compare and contrast possible outcomes.

**Document Analysis** Experienced business analysts analyze existing documents for potential risks, constraints, assumptions, and dependencies

**Financial Analysis** This technique focuses on the potential effects of risks on the financial value of the solution as well as on the costs to make that change happen.

**Interviews** Interviews are used to speak with stakeholders and understand what those stakeholders think might be risks for a proposed change to meet a business need.

**Lessons Learned** Lessons learned and other historical data should be used as a source of past risks and issues that might also be risks on your project.

**Mind Mapping** This visual, nonlinear information-gathering technique helps you identify and categorize potential risks and see the relationships that exist between those risks.

**Mind Mapping** This visual, nonlinear information-gathering technique helps you identify and categorize potential risks and see the relationships that exist between those risks.

**Survey or Questionnaire** Surveys and questionnaires are often used to understand what geographically dispersed or large numbers of stakeholders think might be risks and the various factors of those risks.

**Workshops** This technique allows groups of stakeholders to share their thoughts on what might be risks and the various factors of those risks

Let's take a look at the outputs that result from applying one or more of these techniques to assess risks relative to a business need.

### Producing Risk Analysis Results

Once the risk analysis results are complete, they are used as an input to multiple tasks later in the project life cycle (Table 3.8). Let's take a quick look at a list of these tasks now.

TABLE 3.8 Output: Assess risks

**TABLE 3.8** Output: Assess risks.

Task Output	Output Destinations	Source Knowledge Area
Risk analysis results	Manage stakeholder collaboration.	Elicitation and Collaboration
	Define change strategy.	Strategy Analysis
	Analyze potential value and recommend solution.	Requirements Analysis and Design Definition
	Analyze performance measures.	Solution Evaluation
	Assess solution limitations.	Solution Evaluation
	Assess enterprise limitations.	Solution Evaluation

The business analyst is responsible for getting this work done. The implementation SME is responsible for providing inputs to the risk analysis in their area of expertise. The sponsor needs to understand the risks as part of authorizing and funding the changes. There are a number of additional stakeholders that should be involved with risk assessment activities, including the following:

- Domain SME
- Operational support
- Project manager
- Regulator
- Supplier
- Tester

You will use the risk assessment results as a decision-making tool when you are building the change strategy. Let's move on and take a look at this final knowledge area task.

### 3.5 Define Change Strategy

Defining the change strategy requires developing and assessing alternative approaches to the desired change before selecting the most appropriate approach. Developing the change strategy produces two key business analysis deliverables: the change strategy and the solution scope. The current state and future state definitions are critical to the success of this task as they provide valuable context for the change that is being driven by the business need.

Basically, the change strategy is used to justify the costs of doing a project in terms of the value the project adds to the business and the associated business benefits. A change strategy must look at both sides of the equation, comparing both the costs and benefits of a proposed solution. The expected business benefits and value of the solution should be evaluated relative to achieving business objectives and meeting the business need.

Many templates and documents are used for a change strategy. We have worked in organizations where the business case justifying our next project contained very much the same information as the change strategy contains here. The template you use for your change strategy is up to you. Just be sure that the information it contains is adequate to support a go/no-go decision about the project that implements the proposed solution defined in the business requirements. At a minimum, the change strategy should address the following areas

- Context of the change
- Alternative change strategies
- Justification for why a change strategy is the best approach
- Investment and resources required to achieve the future state
- Value of the change after the solution is delivered
- Key stakeholders involved in the change
- Transition states required to achieve the future state

After the change strategy is completed and approved for a project, it is time for the detailed requirements development and other project work activities to begin. Many times, the project manager will use the change strategy as an input for the project charter.

According to the BABOK® Guide, the solution scope defines “the set of capabilities a solution must deliver in order to meet the business need.” It is derived from the business need, the desired outcome (business benefits), and the required capabilities. The solution scope will be impacted by the solution approach that is selected.

Solution scope focuses on the key business stakeholders of a project. This is where the business analyst defines a recommended solution in enough detail for these stakeholders to understand the new business capabilities the solution will provide. This definition includes all major features, functions, and external interactions of the solution.

Figure 3.6 summarizes the inputs, outputs, techniques, and associated tasks for defining the change strategy and solution scope.

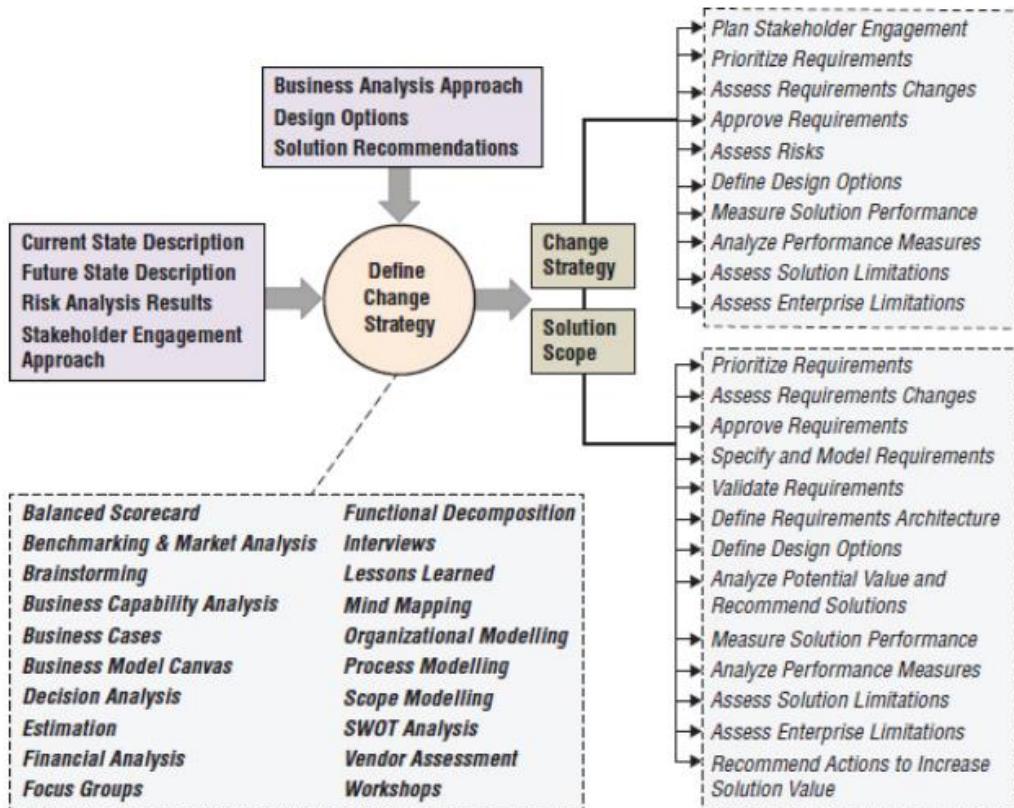


Figure 3.6 Task summary: Define change strategy.

Table 3.9 summarizes the inputs to this task and also lists the particular task that was the source of the input (if applicable)

**TABLE 3.9** Inputs: Define change strategy.

Task Input	Input Type	Input Source	Source Knowledge Area
Current state description	Input	Analyze current state.	Strategy Analysis
Future state description	Input	Define future state.	Strategy Analysis
Risk analysis results	Input	Assess risks.	Strategy Analysis
Stakeholder engagement approach	Input	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
Business analysis approach	Guidelines and tools	Plan business analysis approach.	Business Analysis Planning and Monitoring
Design options	Guidelines and tools	Define design option.	Requirements Analysis and Design Definition
Solution recommendations	Guidelines and tools	Analyze potential value and recommend solution.	Requirements Analysis and Design Definition

Let's take a look at the task inputs used to assist the business analyst in defining the change strategy and solution scope:

**Current State Description** The current state description defines the current capabilities of the organization relative to the business need being addressed and the desired future state to be

defined. When defining the change strategy, an assessment of internal and external influences is crucial and should be found here.

**Future State Description** The future state description provides the business analyst with a baseline and context about the desired future state.

**Risk Analysis Results** This input defines the identified risks and analyzes negative exposure to value for each of those risks.

**Stakeholder Engagement Approach** Stakeholder communication and collaboration needs are defined in this approach. They can assist the business analyst in identifying change-related activities that are stakeholder related.

There are also several guidelines and tools used as inputs to this task. Let's step through them briefly now.

**Business Analysis Approach** The business analysis approach provides guidance on how the business analyst defines the change strategy and what the contents of that strategy might be.

**Design Options** There can be a number of design options that satisfy the business need. Each option has its own challenges that need to be addressed by the change strategy once an option is selected.

**Solution Recommendations** The change strategy typically offers more than one potential solution to a business need. By identifying possible solutions, the "best fit" solution can be selected that can be pursued to achieve the desired future state.

When defining the change strategy, business analysts are expected to address five essential elements when completing the task. Remember, the solution scope and the change strategy are the two key outputs from this task. The elements are as follows:

- Defining the solution scope
- Performing a gap analysis
- Assessing enterprise readiness
- Defining the change strategy
- Looking at transition states and release planning

Let's step through each of these elements involved in defining the change strategy for a project:

**Solution Scope** The BABOK® Guide defines a solution as "the outcome of a change that allows an enterprise to satisfy a need." Solution scope describes the boundaries of a solution, including the major features, functions, and interactions of the proposed solution. You need to be sure to state both the in-scope and out-of-scope solution components across the full enterprise architecture.

**Gap Analysis** Gap analysis results show the difference between the current state and the future state of the enterprise relative to a business need. Business analysts compare the two states and look at the capability gaps between where the enterprise is right now and where the enterprise wants to be in the future. The change strategy creates the missing capabilities or improves upon existing capabilities to eliminate or minimize the gap.

**Enterprise Readiness Assessment** This assessment looks at the enterprise's capacity to make a change, use the resulting change, and operationally support the change over time. This assessment is made relative to realizing value from the solution, which is the outcome of the change. The assessment looks at cultural readiness and operational readiness, the timeline for implementing the change, and the resources available to support the change effort.

**Change Strategy** In a nutshell, the change strategy is a high-level plan of key activities for transitioning the enterprise from its current state to the desired future state. This strategy looks at multiple options for achieving the change and recommends which of these options are actually feasible courses of action.

A preferred change strategy is selected from the feasible options and developed in greater detail. Many times, a business case is built for the feasible options to help with decision making. Selection criteria for choosing the preferred change strategy include the following

- Organizational readiness
- Major costs and investments
- Timelines for making the change
- Alignment to business objectives
- Timelines for value realization
- Opportunity costs

There are pros and cons to the different change strategy options that are being considered. Opportunity costs quantify the benefits that could have been achieved if you selected a different change strategy.

**Transition States and Release Planning** When planning an implementation, try to minimize the impacts to business activities. The desired future state may be achieved in one big jump or in several smaller hops or transition states. Release planning determines which requirements are included in each stage, phase, or iteration of a change. Releases may be defined based upon budgets, time constraints, resource constraints, or the ability of the business to absorb change.

There are a number of techniques that you can use to define your project's change strategy and solution scope. A great way to begin this task is by building a balanced scorecard. Let's take a look at this recommended technique in greater detail.

### **Recommended Technique: Balanced Scorecard**

Value creation needs to be understood, measured, and optimized in order to create sustainable performance. A balanced scorecard measures organizational performance by focusing on outcomes. This technique takes an organization's vision and strategic plan to build a framework of tangible objectives, specific measures, and targeted outcomes. This technique can be used for short, medium, and long-term goals. The balanced scorecard has these four dimensions:

- Learning and growth
- Business process
- Customer
- Financial

The learning and growth dimension looks at employee training and learning, product and service innovation, and corporate culture. In contrast, business process dimension focuses on how well the business is operating and meeting their customer needs. The customer dimension measures customer focus, satisfaction, and delivery of value. The financial dimension includes profitability, revenue growth, and economic value.

### Other Techniques to Consider

The BABOK® Guide lists some additional techniques that can be used when defining the change strategy and solution scope for a project. They are summarized for you here:

**Benchmarking and Market Analysis** This technique compares organizational practices against best-in-class practices and is most often used when business analysts and key stakeholders are deciding which change strategy is preferred.

**Brainstorming** Brainstorming allows a group of stakeholders to collaboratively generate ideas for change strategies.

**Business Capability Analysis** Business capability analysis is a way to prioritize the capability gaps in relation to value and risk between the current state and the desired future state of things.

**Business Cases** Business cases can be used to capture information about the recommended change strategy and other potential strategies that were assessed and considered but were not recommended.

**Business Model Canvas** Business analysts can use this nine-box template to define the changes needed in the current infrastructure, customer base, and financial structure of the organization in order to achieve the potential value of making a change.

**Decision Analysis** Decision analysis techniques compare the different change strategies in order to choose which change strategy is most appropriate in a given situation.

**Estimation** Estimating techniques can be used to determine the timelines for activities within the preferred change strategy.

**Financial Analysis** Financial analysis helps people understand the potential value associated with a specific change strategy. This technique can also be used to evaluate strategies against targets set for return on investments.

**Focus Groups** Focus groups bring customers or end users together to get their input on the solution scope and change strategy.

**Functional Decomposition** Functional decomposition allows you to systematically break down the solution scope components into smaller pieces when developing the change strategy.

**Interviews** This technique involves talking to stakeholders, getting them to fully describe the solution scope and change scope, as well as sharing their ideas on the change strategy.

**Lessons Learned** Remember to use lessons learned so you know what went wrong with past changes and can do things better this time.

**Mind Mapping** Mind mapping is a visual, nonlinear diagramming technique for a group of key stakeholders to develop and explore ideas for change strategies.

**Organizational Modelling** Use this technique to describe roles, responsibilities, and reporting structures that are part of the solution scope and are needed during the change.

**Process Modelling** Process modelling describes how work would occur in the solution scope or during the change transitions.

**Scope Modelling** Scope modelling assists the business analyst in determining what is in scope and what is out of scope for the solution and for the change that is being made.

**SWOT Analysis** SWOT analysis lets you compare the costs and benefits of implementing a potential solution or change strategy. As previously discussed, there are two dimensions to this analysis: the internal strengths and weaknesses of the organization and the external opportunities and negative impacts that are in play. The business analyst is seeking to maximize strengths and minimize weaknesses.

**Vendor Assessment** When goods or services may be purchased from a third party as all or part of a proposed solution or change strategy, an assessment of that vendor should be included as part of the change strategy.

**Workshops** Workshops are used for groups of stakeholders to collaboratively develop change strategies with stakeholders.

Let's take a look at the outputs that result from applying one or more of these techniques to defining solution scope and developing a change strategy.

### **Building the Change Strategy**

The change strategy is the approach that the organization will follow to guide a change in the way things are being done. The solution scope is achieved through execution of the change strategy. The solution scope describes what must be delivered to meet a business need. This includes any effects the solution might have on the business and technology operations and infrastructure of the organization. Solution scope can change throughout the project, based on changes to the business environment or project scope over time.

Once the solution scope is defined and the change strategy is selected, they are used as inputs to numerous business analysis tasks (Table 3.10).

Table 3.10 Outputs: Define change strategy.

**TABLE 3.10** Outputs: Define change strategy.

<b>Task Output</b>	<b>Output Destinations</b>	<b>Source Knowledge Area</b>
Change strategy	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
	Prioritize requirements.	Requirements Life Cycle Management
	Assess requirements changes.	Requirements Life Cycle Management
	Approve requirements.	Requirements Life Cycle Management
	Assess risks.	Strategy Analysis
	Define design options.	Requirements Analysis and Design Definition
	Measure solution performance.	Solution Evaluation
	Analyze performance measures.	Solution Evaluation
	Assess solution limitations.	Solution Evaluation
	Assess enterprise limitations.	Solution Evaluation
Solution scope	Prioritize requirements.	Requirements Life Cycle Management
	Assess requirements changes.	Requirements Life Cycle Management
	Approve requirements.	Requirements Life Cycle Management
	Specify and model requirements.	Requirements Analysis and Design Definition
	Validate requirements.	Requirements Analysis and Design Definition
	Define requirements architecture.	Requirements Analysis and Design Definition
	Define design options.	Requirements Analysis and Design Definition
	Analyze potential value and recommend solution.	Requirements Analysis and Design Definition
	Measure solution performance.	Solution Evaluation
	Analyze performance measures.	Solution Evaluation
Change strategy	Assess solution limitations.	Solution Evaluation
	Assess enterprise limitations.	Solution Evaluation
	Recommend actions to increase solution value.	Solution Evaluation

Read 

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The business analyst and project manager are jointly responsible for managing change and planning activities to complete a change. The project manager owns the project scope, which is the work necessary to deliver the solution scope. Detailed release planning and component allocation activities must integrate into the project plan that drives getting the change and its resulting solution defined in more detail, designed, and deployed. The implementation SME may also be of assistance in allocating capabilities to solution components. After the task is complete, the sponsor will approve the solution scope.

Numerous other stakeholders may be involved in defining the change strategy and solution scope. They include the following:

- Customer
- Domain SME
- End user

- Operational support
- Regulator
- Supplier
- Tester

### 3.6 How This Applies to Your Projects

In this chapter, you stepped through defining the business requirements, current state, future state, change strategy, and solution scope for a project and using this data to seek the sponsor's approval to get that project underway. Performing business analysis usually starts up at 30,000 feet on most projects. Working on complex projects in which the initial feasibility studies and business case development work are a project themselves can be enjoyable. It is always fun to figure out the scope of what needs to be done and to justify why an organization needs to do it. Understanding and defining the big picture is an important piece of a project's controlled start, and every business analyst should be able to perform this work well.

It should be no surprise that projects are successful when what is to be accomplished is clearly stated and agreed upon. The strategy analysis tasks and their resulting outputs set the framework for the subsequent requirements development activities. The change strategy and solution scope are defined by negotiation between key business and management level stakeholders. Solution scope definition restricts the detailed requirements development downstream and allows for informed decision making and prioritization throughout the project life cycle.

Many different project documents can be used to define the scope of a business problem or need and justify why an organization should do something about it. Here is a short list of possible candidates:

- Business case
- Business requirements document (BRD)
- Project brief
- Feasibility study
- Opportunity assessment
- Project charter
- Operational concept description (OCD)
- Scope definition document (SDD)

No matter which document template you use or what name you give that document, it should contain most, if not all, of the information that the business analyst builds and collects as part of their Strategy Analysis tasks. This includes the business need, the justification and rationale for proceeding with the effort, key stakeholders involved with these business-focused efforts, any business constraints, and an initial risk assessment.

Most organizations have their own templates, examples, and specific requirements for writing a business case, scope definition, and/or business requirements document. Be sure to check with your project manager to see what is commonly used or required for your projects when you are defining the big picture. Often, document templates provide a valuable road map for what information you will need to gather and analyze during your Strategy Analysis work.



## Chapter 3 Summary/Review

1. The four tasks of the Strategy Analysis knowledge area focus on defining the business requirements for the project and justifying why that project should be performed. The business requirements are the framework for what capabilities a solution will deliver in order to meet a business need. The resulting business benefits and value from implementing a particular solution will be defined, and the means to measure them will be established.
2. In the *BABOK® Guide*, the set of Strategy Analysis task deliverables includes the business requirements, the business objectives, the potential value of the change, the current state description, the future state description, the solution scope, and the change strategy. The tasks in this knowledge area are focused on defining and getting approval for the big picture of what capabilities and benefits a proposed new solution will provide to the organization.
3. The Strategy Analysis tasks address the most strategic part of business analysis work. Often, these tasks take place before an actual project is planned or even approved. Many organizations assess and evaluate the feasibility and value of possible solutions to their problems and then select the most important projects to be done. The remaining projects get to sit on the back burner and wait for an opportunity to be initiated and done.
4. Business analysts focus on the strategic priorities, business goals, and business objectives of their organizations when working at a more strategic level early on in the project. They have to define and understand the business need and determine the desired outcomes the organization would like to see to meet that need. This work requires interacting with senior management to determine what the problem or opportunity is and what they think might be done to correct it.
5. During strategy analysis, a business analyst looks at ways to go about implementing a solution that solves the problem and meets the identified business need. The selected solution depends a great deal on the nature of the problem and the preferences of the organization. Some organizations might decide to outsource services to implement a solution. Other organizations may prefer to build their own software applications and to provide those services themselves.



### Review Questions (Short)

- What governs the performance of all Strategy Analysis tasks?
2. Which Strategy Analysis task produces the solution scope as an output?
  3. Strategy Analysis tasks focus on documenting what type of requirement?
  4. What term describes the outcome of a change that allows an enterprise to satisfy a need?
  5. What defines the business problem for which the business analyst is seeking a solution?



### Review Questions (Long)

1. When analyzing the current state, the business analyst looks at the scope of decision making at different levels in the organization. What element of the current state are they looking at?
2. Which business analysis technique allows the business analyst to leverage existing materials to analyze the current state of the enterprise relative to a business need?
3. The business analyst is looking at the current state of an existing system and trying to figure out how to improve the efficiency of that system. What level of the enterprise is the business need being defined from?
4. When defining solution scope, which stakeholder role participates in allocating new capabilities to solution components and determining what is required to deliver those capabilities?
5. During Strategy Analysis, which technique allows the business analyst to break down business goals into achievable objectives and measures?



## Review Questions (MCQ)

- 1.What describes the specific end results an organization is seeking to achieve and the measures to objectively assess if these end results have been achieved?
  - A. Business case
  - B. Business objectives
  - C. Business goals
  - D. Business need
- 2.The business analyst is looking at the current state of an existing system and trying to figure out how to improve the efficiency of that system. What level of the enterprise is the business need being defined from?
  - A. From the top-down
  - B. From the bottom-up
  - C. From middle management
  - D. From external drivers
- 3.When defining solution scope, which stakeholder role participates in allocating new capabilities to solution components and determining what is required to deliver those capabilities?
  - A. Business analyst
  - B. Domain SME
  - C. Project manager
  - D. Implementation SME
- 4.During Strategy Analysis, which technique allows the business analyst to break down business goals into achievable objectives and measures?
  - A. Root-cause analysis
  - B. Business rules analysis
  - C. Functional decomposition
  - D. Organization modelling
- 5.What has been defined when all of the Strategy Analysis knowledge area tasks are complete?
  - A. Solution scope and change strategy
  - B. Business requirements and solution approach
  - C. Solution scope and solution approach
  - D. Business case and required capabilities



## Case Studies / Projects

### Palmer Divide Vineyards—Business Goals, Objectives, and Need

As you become more involved with your Palmer Divide Vineyards work, you decide that you need to take a quick look at the organization's existing business goals, objectives, and needs as part of your current state analysis. As discussed in a recent team meeting, you would like to make sure you have it right. The team is curious about how the green initiative and your IT requirements development part of it fit into the organization's strategic plan. The team likes the idea of becoming a certified Green Business. However, they would like to validate how this business goal fits with the organization's long-term strategy and make sure that the project is really worth doing.

There are many aspects to attaining green certification, and the winery has initiated this current project to help achieve this strategic goal. A business objective for this effort is to conserve 20 percent of the current energy and water resource consumption within the next 18 months. The business need triggering the project came from combining the owner's strategic plans, a desire to operate an organic winery, and a perceived market advantage from selling green-labeled organic wines to the public.

#### REQUIRED:

- What governs the performance of all Strategy Analysis tasks?
- Which Strategy Analysis task produces the solution scope as an output?
- What term describes the outcome of a change that allows an enterprise to satisfy a need?

Read



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### LEARNING OUTCOMES

After reading this Section of the guide, the learner should be able to:

#### Learning Objectives

- Tracing requirements and designs
- Maintaining requirements for reuse
- Prioritizing requirements
- Assessing requirements changes Approving requirements

### Introduction

It isn't enough to just plan the business analysis activities and get the work done. Managing and maintaining information about the requirements being developed across the project life cycle is the responsibility of the business analyst (that means you). If you can't manage the requirements from inception to retirement, how will you know whether those requirements are implemented in the solution?

The overarching set of requirements life cycle management tasks is found in the Requirements Life Cycle Management knowledge area. The tasks in this knowledge area focus on ensuring that the right people are involved with developing, understanding, and approving the business, stakeholder, and solution requirements, as well as the designs. In addition, the requirements themselves must be accessible and managed during the requirements development work and throughout the project life cycle.

#### 4.1 Requirements Life Cycle Management

The Requirements Life Cycle Management knowledge area targets managing and sharing the project requirements and designs with the project stakeholders. This knowledge area is also where the business analysis team deals with the challenges of managing changing requirements and designs across the project life cycle and ensuring that the solution implements them. Remember, for the business analyst, requirements are focused on the need, while designs are focused on the solution. Requirements and designs can change while they are being developed and after they have been approved and base lined.

To focus on what is important to the business analyst across the life cycle of their business analysis efforts, let's consider the tasks of this knowledge area with the framework of the BAACM™. Business analysts need to keep an eye on their work relative to the six concepts contained in the framework: changes, needs, solutions, stakeholders, values, and contexts. Table 4.1 describes these responsibilities.

**TABLE 4.1** The BACCM™: Requirements Life Cycle Management

<b>Core Concept</b>	<b>The Business Analyst's Responsibilities</b>
Change	Manage and evaluate proposed changes to requirements and designs across the life cycle.
Needs	Ensure the business need is met by tracing, prioritizing, and maintaining the requirements.
Solution	Make sure the solution meets the business need by tracing requirements and designs to solution components.
Stakeholders	Work with key stakeholders to understand, agree upon, and approve requirements and designs.
Value	Extend value beyond the current initiative by maintaining requirements for reuse.
Context	Analyze the context of the existing enterprise to support tracing and prioritizing requirements and designs.

Change is an interesting beast. Remember when your mother told you that hindsight is always 20/20? Well, your mother was right. Business analysts are experts at recognizing changing circumstances as the project life cycle moves forward. They recognize that their level of knowledge about the solution and its implementation improves over time. However, their ability to respond quickly and easily to changes in the requirements decreases as the project's delivery date draws near. Managing changing requirements is an integral part of what business analysts do. Figure 4.1 illustrates this strange and wonderful relationship between what business analysts know about projects and how quickly and easily they can respond to changes over time.

Figure 4.1

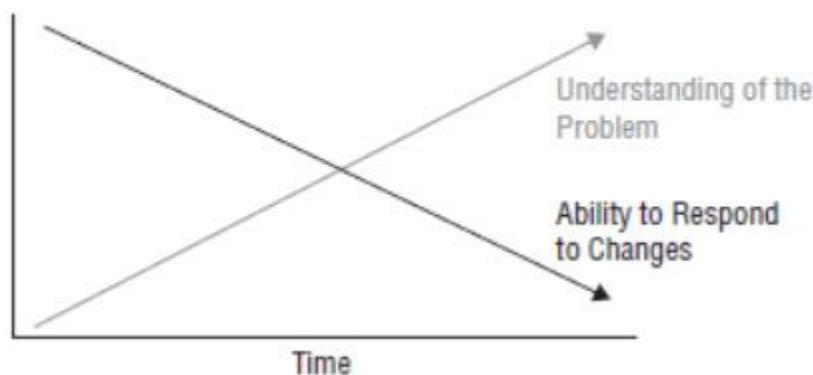


Figure 4.1 Responding to changing requirements

The tasks in this knowledge area consist primarily of actions taken for a project's business, stakeholder, or solution requirements and designs. These tasks provide the business analysis team and the project with requirements-related outputs that are then used in various ways

downstream. The Requirements Life Cycle Management knowledge area is addressed in Chapter 5 of the BABOK® Guide.

The Requirements Life Cycle Management knowledge area also addresses monitoring the effects of changing project requirements across the project life cycle. The business analysis team assesses the effectiveness of the actual solution relative to the organization's business goals and objectives. This ensures that the project's business analysis tracks its organizational alignment and understanding, making it available for use on future projects. How is this accomplished? Let's take a look at the five tasks involved.

## 4.2 The Business Analyst's Task List

The business analyst has five tasks to perform in the Requirements Life Cycle Management knowledge area. We will look at each of these tasks in greater detail later in this chapter. The task list from the BABOK® Guide includes the following:

- Managing requirements traceability
- Maintaining requirements and designs for reuse
- Prioritizing the requirements and designs
- Assessing requirements changes
- Approving and agreeing on requirements and designs

These tasks focus on making sure that the project stakeholders have a common and consistent understanding of the requirements, designs, and solution that the requirements are defining. The business analyst is also responsible for managing the requirements as they change across the project life cycle. We will step through each of these tasks in greater detail later in this chapter.

### When Does Requirements Life Cycle Management Take Place?

The tasks in the Requirements Life Cycle Management knowledge area begin as soon as requirements development work begins for a project. They accompany the work being done in any knowledge area that develops requirements, including Strategy Analysis, Requirements Analysis, Design Definition, and Solution Evaluation. Effective business analysts make sure that their requirements-related communication activities take place across the project life cycle.

Several key business analysis deliverables influence and guide managing the requirements under development on a project. These approaches were created as part of the Business Analysis Planning and Monitoring knowledge area. They include the following:

- Change strategy
- Governance approach
- Information management approach

The tasks in the Requirements Life Cycle Management knowledge area rely on the contents of these approaches that define how you make decisions about proposed changes, implement traceability, and store requirements and designs information as you develop your project

requirements. With that in mind, let's step through the first task in the Requirements Life Cycle Management knowledge area: tracing requirements.

## Trace Requirements

Requirements traceability provides the business analyst with the ability to identify and document the lineage of each requirement and design. A requirement's lineage includes its relationship to other project requirements, to work products, and to the solution components. When business analysts say that they can trace a requirement or design, they are telling you that they can look at that specific requirement or design and all other requirements and designs to which it is related.

Requirements traceability begins with each project's business needs. The business needs are used to determine the business requirements. In turn, the business requirements are decomposed into the more detailed stakeholder requirements level. Stakeholder requirements get broken down once more into the detailed solution requirements that transition the project team from requirements definition to solution design and development. All of the requirements that make up a project's solution scope should trace back to one or more business needs for that project.

Figure 4.2 summarizes the inputs, outputs, guidelines, tools techniques, and associated tasks for tracing requirements on a project.

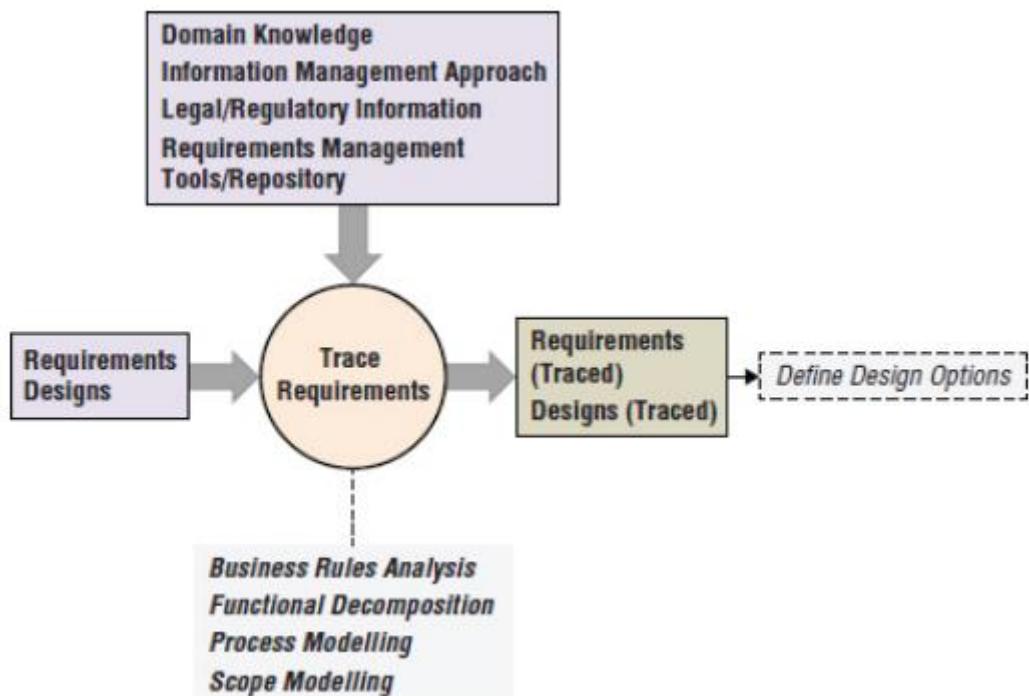


Figure 4.2 Task summary: Trace requirements.

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Terri Wagner Chapter 4 Page Number 150**

Inputs either are informational in nature or can be outputs produced by other business analysis tasks. Inputs are acted on by the task elements and techniques, producing one or more task outputs. These are the task inputs used when tracing requirements:

**Requirements** All requirements can be traced to other requirements on a project. According to the BABOK® Guide, “other requirements” include goals, objectives, business requirements, stakeholder requirements, solution requirements, and transition requirements. All solution and stakeholder requirements must be traceable to a business requirement. Requirements may also have traceability relationships with solution components, business rules, and other work products.

**Designs** Designs are usable representations of solutions. They can be traced to all types of requirements, to solution components, and to other work products.

There are additional inputs that can be used by business analysis tasks: guidelines and tools. Guidelines are essentially instructions or descriptions of why and how a business analyst will undertake a task. Tools, on the other hand, are methods for conducting a business analysis task or shaping a task output. These are the guidelines and tools that can also be used as inputs when tracing requirements:

**Domain Knowledge** Tracing requirements leverages business knowledge and expertise from stakeholders in the business domain being addressed. This knowledge enables business analysts to put together the pieces of the traceability puzzle correctly.

**Information Management Approach** The business analysis team’s traceability decisions should be based on the information management approach. This approach addresses and defines requirements traceability before any actual requirements development has begun.

**Legal/Regulatory Information** Sometimes the business analyst must incorporate legislative or regulatory rules into their project’s traceability approach.

**Requirements Management Tools/Repository** The tools and storage for requirements and requirement traceability must be in place prior to commencing requirements development. Based upon the complexity of the project and the degree of traceability formality, these tools can range from simple spreadsheets to complex requirements management tools.

Table 4.2 summarizes the inputs, guidelines, and tools for this task and lists the source of the input (if applicable).

**TABLE 4.2** Inputs: Trace requirements.

<b>Task Input</b>	<b>Input Type</b>	<b>Input Source</b>	<b>Source Knowledge Area</b>
Requirements	Input		
Designs	Input		
Domain knowledge	Guidelines and tools		
Information management approach	Guidelines and tools	Plan business analysis information management.	Business Analysis Planning and Monitoring
Legal/regulatory information	Guidelines and tools		
Requirements management tools/repository	Guidelines and tools		

Business analysts need to step through three essential elements to create and manage requirements traceability for their projects. These elements are:

- Deciding the level of formality
- Selecting the relationships to be traced
- Documenting and maintaining the traced requirements

Let's step through each of these three elements now.

**Deciding the Level of Formality** The challenge for business analysts and project teams is deciding what requirements and designs need to be traced and what can be skipped. Traceability can be built and maintained at many levels within a given set of project requirements. Traceability usually begins with tracing the current requirements under development to the higher-level requirements from which they are being derived. For example, when business analysts build the solution requirements for a project, the first aspect of traceability that they address is derivation from the stakeholder requirements that preceded the solution requirements.

The business analyst needs to decide the project's approach to traceability before the requirements development work actually begins. It is important to decide the level of traceability and the types of relationships to be traced ahead of time. That allows the business analysis team to do this work concurrently with developing the requirements.

**Selecting Relationships to Trace** Key dependencies and relationships between requirements should be recorded so they can be traced across the project life cycle. Creating and maintaining this information assists the business analyst in sequencing project work activities to design and deploy the capabilities found in the requirements. It also assists the business analyst in correctly allocating requirements to solution components. The following are types of relationships to consider:

**Derive.** *Derivation* is the backward traceability of a requirement to its higher-level parent. An example of derivation is when a solution requirement is derived from a business or stakeholder requirement.

**Depends.** A *dependency* relationship exists between two requirements when the requirements depend upon one another in some way. There are two types of dependency: necessity and effort. Necessity is when it makes sense to implement one requirement only when another requirement is also implemented. Effort is when a requirement is easier to implement when a related requirement is also implemented.

**Satisfy.** The *satisfy* relationship exists between a requirement and a solution component. Essentially, the solution component satisfies the associated requirement.

**Validate.** This relationship exists between a requirement and the test case or other method that validates or proves the solution fulfils the requirement.

**Traceability Repository** Traceability is usually achieved by putting the requirements in a table, spreadsheet, or tool to manage the tracing activities. Although traceability can be done manually using a spreadsheet, complex projects often require a more streamlined approach. Many business analysts prefer to use a requirements management tool or a configuration management system to trace large numbers of requirements.

Implementing traceability for project requirements demands work from the business analysis team, but it's worth the effort. Traceability is used for many things on a project. For example, traceability allows the business analyst to thoroughly evaluate the impacts of a change request to both the requirements and the solution components. In another example, tracing requirements back to the business needs shows the business analyst how those objectives will be accomplished. This also allows the business analyst to confirm that all the business needs are included in the solution scope and the solution components. In one last example, traceability allows the business analyst to trace the subset of requirements that are allocated to each of the solution components.

### Techniques to Consider

**Business Rules Analysis** This technique can be used to trace business rules to the requirements that the business rules support. The technique also works in a different direction, tracing business rules that support requirements.

**Functional Decomposition** Break down solution scope into smaller components for requirements allocation. Requirements allocation assigns requirements to be implemented by a specific solution component or components. Functional decomposition is also used to trace high-level components to lower-level components.

**Process Modelling** Process models visually show the future state process. These models allow the business analyst to trace requirements to that future state process.

**Scope Modelling** Scope models visually depict the scope and allow the business analyst to trace requirements to the area of the scope that the requirement supports.

Business analysts select which techniques they will apply as part of tracing requirements. There is no need to use all of these techniques, so choose wisely. Let's take a look at the outputs result from applying your selected techniques to this task.

### Produce the Traced Requirements

Traced requirements have clearly defined relationships to the other requirements and designs within the solution scope. Traceable requirements are used by the business analyst to identify the effects on other requirements of a requirements change or of a planned implementation.

Once the relevant stakeholders approve the requirements or designs, they are used as inputs to another task in the Requirements Life Cycle Management knowledge area, defining the design options. Table 4.3 summarizes these outputs.

**TABLE 4.3** Outputs: Trace requirements.

Output	Output Destinations	Destination Knowledge Area
Requirements (traced)	Define design options.	Requirements Analysis and Design Definition
Designs (traced)	Define design options.	Requirements Analysis and Design Definition

Business analysts have the primary responsibility for creating and managing requirements traceability for their projects, particularly during requirements development activities. The project managers are also part of this effort, as they use traceable requirements to support the project-level change management activities. Several business analysis stakeholders also have a need for traceable requirements, including the following:

- Customers
- Domain subject matter experts (SMEs)
- End users
- Implementation SMEs Operational support
- Sponsor Suppliers
- Testers

Producing the traced requirements is an interim and necessary step in creating the approved requirements for a project. Traced requirements are strongly recommended as an accompaniment to the approved requirements for your project. Let's take a look at another aspect of producing project requirements: maintaining requirements for reuse on future projects and initiatives.

### 4.3 Maintain Requirements

Requirements can and will change on your projects, even while the requirements are being developed. Maintaining requirements focuses on the current requirements for your project, as well as possibly reusing some of those requirements on other projects and initiatives downstream. Requirements are maintained so they stay current and correct across the project life cycle, particularly after an approved change.

Some requirements developed for a particular project might also be candidates for long-term use or reuse by the organization. The requirements that you choose to maintain might relate to infrastructure, hardware, software, or operational capabilities that the organization must meet on an ongoing basis versus just for your particular project.

Requirements that can be reused on other projects must be named, defined, and easily available to other business analysts in the organization. These requirements are stored and managed in a requirements repository. Some organizations save and maintain all ongoing, operational requirements to assist support and maintenance teams in evaluating possible impacts of changes to the deployed solutions and systems.

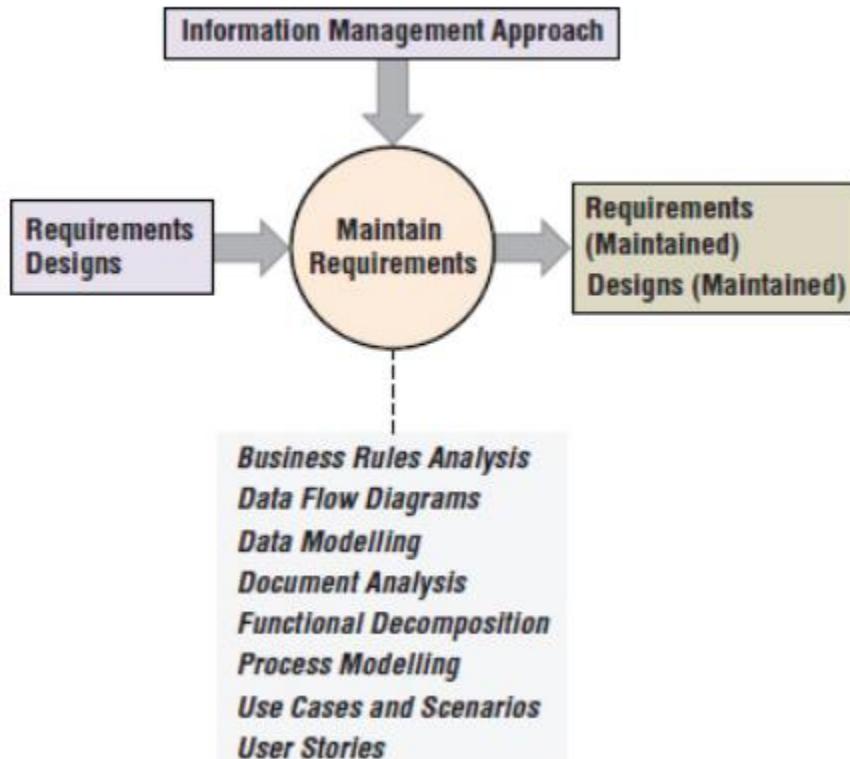


Figure 4.3 Task summary: Maintain requirements.

Several inputs are needed to maintain reusable requirements and designs while a project is ongoing and after that project is complete. These key inputs are produced by other business analysis tasks and include the requirements themselves. Here is a closer look at these inputs:

**Requirements** Requirements that are maintained for reuse typically describe the current state of an organization and the systems and solutions that are being used to address a business need.

**Designs** Designs that are maintained for reuse also describe the current systems and solutions that are being used. They can be maintained across their life cycle.

Let's also take a look at the guidelines and tools that may be used as inputs to the maintaining requirements task:

**Information Management Approach** The business analyst's approach for managing requirements reuse is defined as part of the information management approach during Business Analysis Planning and Monitoring activities.

Table 4.4 summarizes the inputs, guidelines, and tools used by the task and lists their source (if applicable).

**TABLE 4.4** Inputs: Maintain requirements for reuse.

Task Input	Input Type	Input Source	Source Knowledge Area
Requirements	Input		
Designs	Input		
Information management approach	Guidelines and tools	Plan business analysis information management.	Business Analysis Planning and Monitoring

Business analysts need to step through three task elements to maintain and potentially reuse requirements. These elements are as follows:

- Maintain requirements.
- Maintain attributes.
- Reusing requirements

Let's look at each of these elements now.

**Maintain Requirements** Maintained requirements and designs are correct, up-to-date and available across the business analysis life cycle as well as the project life cycle. The business analysis team is responsible for keeping requirements current and correct while they are being developed and when a change is requested and approved.

**Maintain Attributes** It is not enough to just keep the requirements for your project up-to-date and available. The requirements attributes that were elicited along with those requirements also need to be maintained. Typical attributes collected during requirements elicitation include the requirements source, priority, and complexity. Remember that requirements attributes may change over time while the requirement itself stays the same.

**Requirements** that are met or satisfied by a deployed solution should be maintained as long as the business stakeholders need them.

This can be a great help in getting future product enhancements and system changes done and done well.

### Techniques to Consider

The BABOK® Guide recommends several techniques that can be used as part of maintaining reusable requirements. Here is a look at those techniques:

**Business Rules Analysis** Business rules that are similar across the enterprise may be helpful in identifying requirements that are candidates for reuse on other projects and initiatives.

**Data Flow Diagram** Look for information flow that is similar across the enterprise. This consistent data may indicate requirements that are candidates to be maintained and reused.

**Data Modelling** Just like data flow, data structures that are similar or consistent across the enterprise may be pointing to requirements that are candidates for reuse.

**Document Analysis** Playing detective and analyzing existing documentation at the enterprise level may assist you in discovering requirements that may be maintained and reused on other projects and initiatives.

**Functional Decomposition** When performing functional decomposition to break something down into more detailed pieces and parts, be sure to look for requirements associated with lower-level components of the solution that can be reused.

**Process Modelling** Process modelling gives a window into the requirements associated with the processes that might be candidates for reuse.

**Use Cases and Scenarios** Use cases and scenarios can help identify solution components that can be reused by more than one solution.

**User Stories** User stories can be used to identify requirements associated with the story being told that may be available for reuse as part of another solution.

Business analysts select which techniques they will apply as part of maintaining requirements. Now let's take a look at the outputs resulting from applying your selected techniques to maintaining requirements.

### Produce Maintained Requirements

Maintained and reusable requirements and designs often become part of the organizational process assets (OPAs) and the enterprise architecture of an organization. These requirements should be formatted and suitable for long-term or future use by the organization.

Table 4.5 summarizes the output from this task and its destinations. Table 4.5 Output: Maintain requirements.

Output	Output Destinations	Destination Knowledge Area
Requirements (maintained)		
Designs (maintained)		

Table 4.5 Output: Maintain requirements.

As a business analyst, you have the primary responsibility for formatting and storing maintained and reusable requirements and designs after your project is complete. It is likely that these requirements will be used by a different business analyst at a future date, so you should make sure that the requirements are accessible and easily understood. Several other business analysis stakeholders also have a need for reusable and maintained requirements, including the following:

- Domain SMEs
- Implementation SMEs
- Support
- Regulators
- Testers

Reusable and maintained requirements are not always produced on every project. The only requirements that you should consider for this task are those that the organization must meet

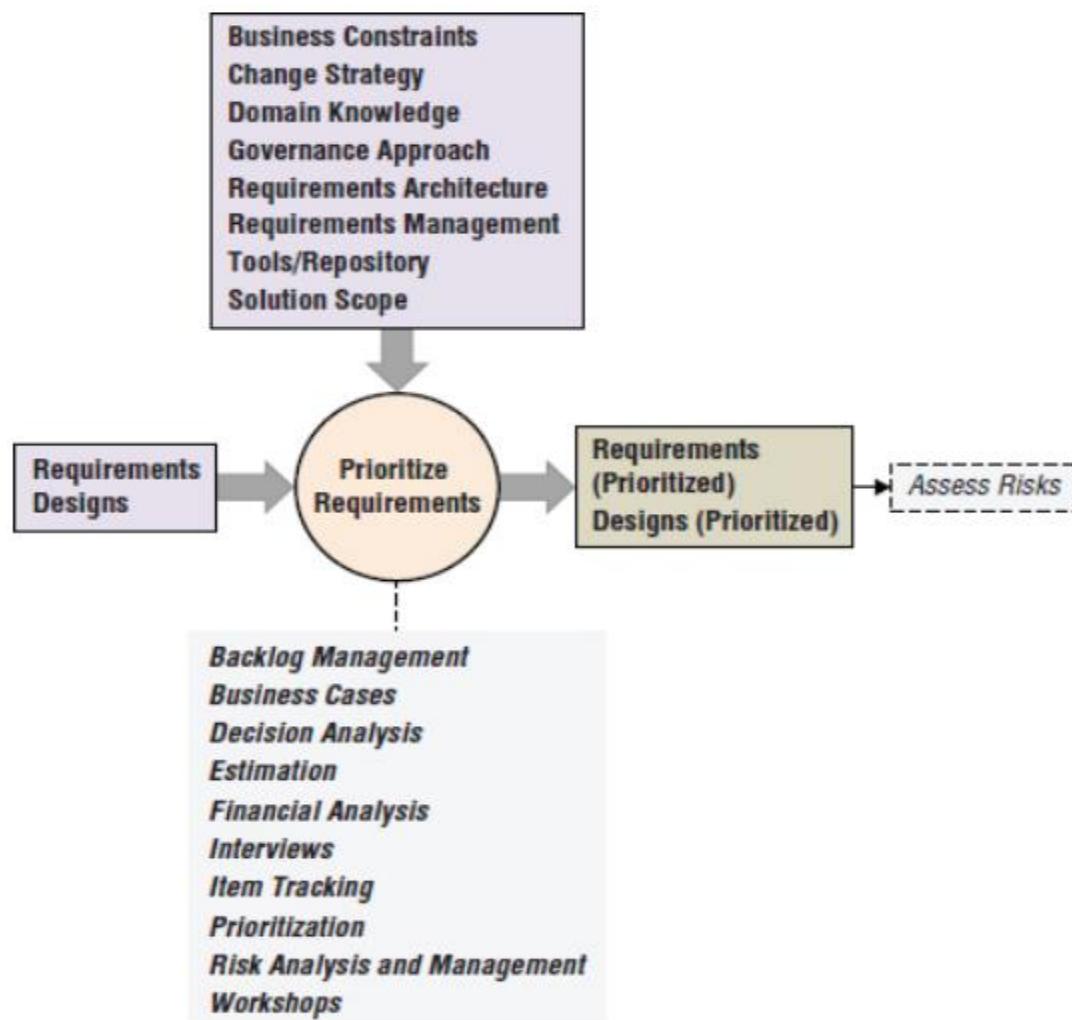
on a continuous basis or those that are needed by business stakeholders. Let's look at another essential task in producing project requirements: prioritizing requirements.

## Prioritize Requirements

Requirements prioritization determines the relative importance of requirements in order to gain maximum value to each other and to implement the overall solution scope. Ranking the requirements by their importance to stakeholders is the way most business analysts perform this task.

There are many ways to prioritize requirements. The requirements prioritization scheme needs to be planned and defined for the business analysis team prior to eliciting requirements information at any level of detail. The priority of a specific requirement or group of requirements may alter over time as the context and level of detailed knowledge changes.

Figure 4.4 summarizes the inputs, outputs, guidelines, tools, techniques, and associated tasks used to prioritize requirements. Remember, requirements prioritization is a consultative and ongoing process. Your stakeholders play a key role in prioritizing the requirements and should make the final decision on which new solution capabilities are most important to them as well as which capabilities are absolutely required to get the job done.



Two inputs are used when prioritizing requirements or designs.

**Requirements** To prioritize requirements defining stakeholder needs and capabilities, a business analyst needs to have those requirements available. Requirements ready for prioritization can be in the form of text, matrices, or diagrams.

**Designs** To prioritize any designs associated with the solution, business analysts need to have those designs on hand in the form of text, prototypes, or diagrams.

There are additional inputs that can be used by business analysis tasks: guidelines and tools. Guidelines are essentially instructions or descriptions on why and how a business analyst will undertake a task. Tools are methods for conducting a business analysis task or shaping a task output. Here is a look at the guidelines and tools that can also be used as inputs when prioritizing requirements:

**Business Constraints** Requirements priorities should align with the regulatory statutes, contractual obligations, and business policies of the enterprise. These constraints may drive the priority of one or more requirements.

**Change Strategy** The change strategy documents costs, timelines, and value realization goals that can factor into prioritizing requirements to meet these planned goals and measures.

**Domain Knowledge** Stakeholders with specific domain knowledge contribute a lot of value to requirements prioritization activities. Their knowledge and experience are indispensable.

**Governance Approach** The governance approach, built during Business Analysis Planning and Monitoring, defines the approach for the business analyst to take on the project when prioritizing requirements.

**Requirements Architecture** The requirements architecture defines the relationship of requirements to other requirement and work products.

**Requirements Management Tools/Repository** Many requirements management tools include a data field for specifying requirements priorities. This field prompts the business analyst to prioritize the requirement and assists in sorting and searching the requirements for the project by priority.

**Solution Scope** The solution scope should be kept front and center when prioritizing requirements in order to deliver the full solution in the end.

Table 4.6 summarizes the inputs, guidelines, and tools used by this task. It also lists the task and knowledge area sources for each item used to prioritize requirements.

Task Input	Input Type	Input Source	Source Knowledge Area
Requirements	Input		
Designs	Input		
Business constraints	Guidelines and tools		
Change strategy	Guidelines and tools	Define change strategy.	Strategy Analysis
Domain knowledge	Guidelines and tools		
Governance approach	Guidelines and tools	Plan business analysis governance.	Business Analysis Planning and Monitoring
Requirements architecture	Guidelines and tools		
Requirements management tools/repository	Guidelines and tools		
Solution scope	Guidelines and tools	Define change strategy.	Strategy Analysis

Read 

**CBAP/ Certified Business Analysis Study Guide 2<sup>nd</sup> Edition, Susan Weese, Terri Wagner Chapter 4 Page Number 163**

When prioritizing the requirements on your projects, you should perform several task elements, such as the following:

- Defining the basis or criteria for prioritizing requirements
- Considering challenges of prioritization
- Address continual prioritization

**Defining the Basis for Requirements Prioritization** A number of prioritization schemes and approaches can be used, such as prioritization based on looking at which requirements should be implemented first in a solution. The BABOK® Guide provides you with eight factors to consider when determining the basis for requirements prioritization, either standalone or in combination with one another. Table 4.7 summarizes these eight factors for prioritizing requirements.

Table 4.7 Requirements prioritization factors

Prioritization Factor	Requirements Are Prioritized to . . .
Benefit	Provide the most business value and meet business goals and objectives.
Penalty	Minimize the negative consequences of not implementing a specific requirement.
Cost	Force stakeholder awareness of the implementation cost of requirements.
Risk	Spend time early on risky or difficult components to make sure the solution can be delivered.
Dependencies	Implement requirements that depend upon one another at the same time.
Time Sensitivity	Yield quick or certain successes relative to adding value to the business.
Stability	Avoid implementing unstable requirements until they are better defined and understood.
Regulatory or Policy Compliance	Address regulatory or policy requirements.

**Considering Prioritization Challenges** Facilitating a session to prioritize requirements can be quite challenging. There is a tendency for stakeholders to issue nonnegotiable demands relative to the importance of their requirements, such as ranking all of their requirements as the most important requirements of the bunch (whether they really are or not). The problems aren't confined to the stakeholders, though. It is not unusual to find the solution development team trying to influence the prioritization results, perhaps because they have some interesting technology they would like to implement. The facilitator must recognize and focus on the need for trade-off decision making and compromise in a session that takes on these characteristics.

**Continual Prioritization** Requirements priorities can be a moving target over time as more information becomes available. As the requirements are defined in greater detail, initial assigned priorities may need to be revisited and revised. The basis for prioritization also changes over time. Initial priorities based upon business benefits may be reprioritized based upon technical constraints and the order of implementation or the cost of the requirements.

Continual Prioritization Requirements priorities can be a moving target over time as more information becomes available. As the requirements are defined in greater detail, initial assigned priorities may need to be revisited and revised. The basis for prioritization also changes over time. Initial priorities based upon business benefits may be reprioritized based upon technical constraints and the order of implementation or the cost of the requirements.

### Recommended Technique: Prioritization

The prioritization technique is a catchall for several approaches to prioritizing requirements. The priorities may be based on risk, value, implementation difficulty, or other criteria. The four approaches are grouping, ranking, time boxing/budgeting, and negotiation. The selection of approach is up to the business analyst team and may change to fit the current situation and the needs of the stakeholders. Business analysts may find themselves using one or more approaches to prioritize their project requirements. Let's step through each approach in more detail.

**Grouping** This common prioritization approach classifies requirements or business analysis information according to predefined categories, such as high, medium, and low, or the Must, Should, Could, and Won't categories of MoSCoW analysis. Grouping helps you to reach a common understanding with your stakeholders on the importance they place on the delivery of each requirement. Requirements might move between prioritization groups as you iteratively apply the technique and discuss your options with key stakeholders.

**Ranking** Ranking orders the requirements or business analysis information from what is most important to what is least important. Ranking can be explicitly sequenced to create a product

backlog of requirements in an ordered list. One recommendation is to rank your requirements so that 25 percent of those requirements are Must, 25 percent of the requirements are Should, 25 percent are Could, and the remaining 25 percent are Won't. If these percentages don't work for you, you can select numbers that fit your project and your set of requirements to prioritize.

**Time Boxing/Budgeting** Time boxing/budgeting prioritizes requirements for implementation based on the allocation of a fixed resource, usually either time (time boxing) or money (budgeting). This technique is most effective when it is framed by the defined solution scope for the project.

**Negotiation** This approach requires establishing consensus among the involved stakeholders regarding the prioritized requirements. Conflict management and negotiation skills can be used to encourage the group to reach consensus.

When using any of these approaches to prioritize requirements, remember that one or more requirements might be redefined, deleted, or added to the set. Over time, the prioritized list of requirements might change based on new information and insight.

### **Additional Techniques to Consider**

**Backlog Management** Ranked requirements are often stored in a product backlog consisting of prioritized requirements in an ordered list. This backlog can be used to compare requirements to be prioritized.

**Business Cases** The business goals and objectives found in the business case are used to determine the importance of requirements during the prioritization process.

**Decision Analysis** You can use this technique to examine and model the consequences of different decisions before actually making a well-informed decision. When prioritizing project requirements, business analysts can use decision analysis to identify and assess high-value requirements.

**Estimation** Cost estimates are often used as the basis for requirements prioritization. This can occur early in the prioritization process or later when solution implementation specifics are being considered.

**Financial Analysis** These techniques can be used to assess the financial value of a set of requirements and to look at how implementation timing can impact that value.

**Interviews** Business analysts use interviews to understand how individual stakeholders or small stakeholder groups want to prioritize requirements.

**Item Tracking** Item tracking allows for tracking of any issues raised by stakeholders during prioritization activities.

**Risk Analysis and Management** Risky requirements often need to be investigated further to determine what should be done with them. Some organizations prefer to implement risky requirements early on to minimize the costs of failure, while others prefer to defer risky requirements until later in the life cycle in order to decide what to do with them.

**Workshops** Business analysts use workshops to understand the basis for how larger stakeholder groups want to prioritize requirements.

Once you have selected and applied one or more techniques as part of your requirements prioritization efforts, you are ready to continue with some of the other analysis tasks at hand. We will discuss those tasks shortly.

Table 4.8 Outputs: Prioritize requirements.

<b>Output</b>	<b>Output Destinations</b>	<b>Destination Knowledge Area</b>
Requirements (prioritized)	Assess risks.	Strategy Analysis
Designs (prioritized)	Assess risks.	Strategy Analysis

A number of stakeholders are involved with prioritizing stakeholder and solution requirements. Remember that the primary responsibility for prioritizing requirements is shared between the business analyst and the key stakeholders who are involved as part of the requirements prioritization process.

Several key business analysis stakeholders should also be involved in prioritizing requirements. The project manager uses your prioritized requirements during the implementation planning efforts. Other stakeholders participating in requirements prioritization include the following:

- Customer
- Domain SME
- End user Implementation SME
- Regulator
- Sponsor

#### 4.4 Assess Requirements Changes

One thing is certain when it comes to developing requirements—at some point in time, those requirements are going to change. Ideally, the changes are handled in a consistent, formal fashion by using a change request to initiate the process of assessing and decision making. This task is performed when a proposed change identifies new needs or possible solutions to those needs. The proposed change must be assessed before action is taken to approve, deny, or modify the request.

Business analysts view proposed requirements and design changes relative to the solution value, the current set of requirements, and the level of risk. Experienced business analysts should ask the following questions when assessing a proposed change. Does the proposed change:

- Align with the overall strategy?
- Affect the value delivered to the business or the stakeholders?
- Impact the timeline or resources required to deliver the value?

- Alter any risks, opportunities, or constraints?

The answers to these questions drive the outcome of assessing the proposed change. When assessing a proposed change, remember to use the decision-making and change control approaches defined in the governance approach that was created by the task Plan Business Analysis Governance as part of Business Analysis Planning and Monitoring.

Figure 4.5 summarizes the inputs, guidelines, tools, outputs, techniques, and associated tasks for assessing requirements changes on a project.

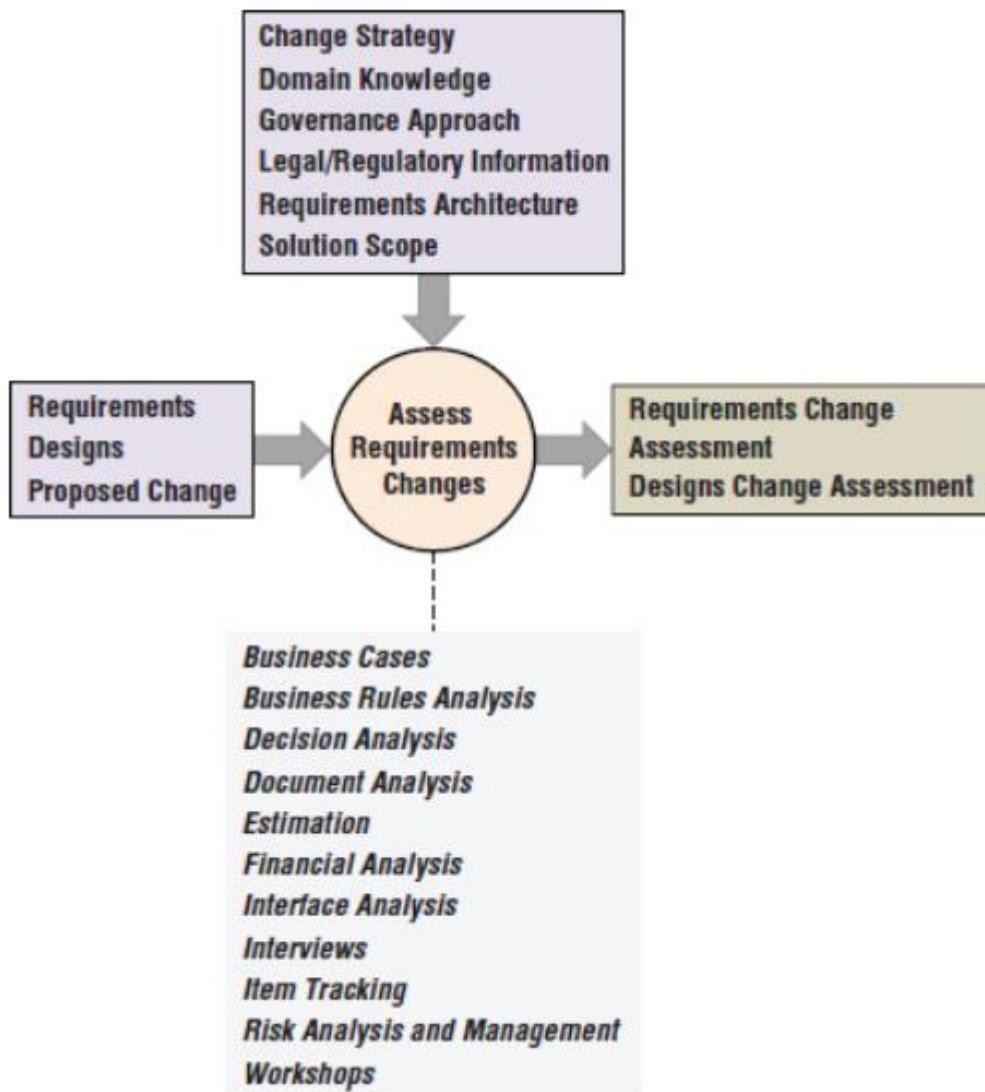


Figure 4.5 Task summary: Assess requirements changes.

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Several key inputs are used to assess requirements changes during a project. These inputs are produced by other business analysis tasks.

**Proposed Change** A proposed change to requirements or designs can occur at almost any time and impact the business analysis work and deliverables completed to date. Triggers for proposed changes include business strategy changes, stakeholders, legal requirements, or regulatory changes.

**Requirements** Business analysts assess the requirements relative to a proposed change in order to identify and quantify the impact of that change.

**Designs** The more solution-focused designs are also assessed relative to a proposed change in order to identify and quantify the impact of that change and the modifications that will be made if the change takes place.

There are additional inputs that can be used by business analysis tasks: guidelines and tools. Here is a look at the guidelines and tools that can also be used as inputs when assessing requirements changes:

**Change Strategy** The change strategy describes the purpose of changes and establishes a context and direction for the changes on a project or initiative. It also identifies the critical components for change.

**Domain Knowledge** Stakeholders with specific domain knowledge contribute a lot of value to assessing proposed requirements changes.

**Governance Approach** The governance approach, built during Business Analysis Planning and Monitoring, defines the approach for the business analyst to take on the project when making decisions and dealing with change control.

**Legal/Regulatory Information** Legislative rules or regulations may also impact a proposed change on a project. They must be considered when assessing requested changes to requirements.

**Requirements Architecture** The requirements architecture defines the relationship of requirements to other requirement and work products. This architecture should be used when assessing the impacts of proposed changes to the requirements.

**Solution Scope** The solution scope should be considered when assessing proposed changes to requirements in order to fully understand the impacts of a proposed change.

Table 4.9 summarizes the inputs, guidelines, and tools used by the task and lists the source of the input (if applicable).

**TABLE 4.9** Inputs: Assess requirements changes.

Task Input	Input Type	Input Source	Source Knowledge Area
Proposed change	Input		
Requirements	Input		
Designs	Input		
Change strategy	Guidelines and tools	Define change strategy.	Strategy Analysis
Domain knowledge	Guidelines and tools		
Governance approach	Guidelines and tools	Define business analysis governance.	Business Analysis Planning and Monitoring
Legal/regulatory information	Guidelines and tools		
Requirements architecture	Guidelines and tools		
Solution scope	Guidelines and tools	Define change strategy.	Strategy Analysis

Business analysts step through three essential elements as they assess a proposed change to requirements or designs. These three elements are as follows:

- Determine the change assessment formality.
- Perform an impact analysis.
- Provide impact resolution for the proposed change.

Here we step through each of these elements in more detail:

**Determining Change Assessment Formality** Methods for assessing and deciding upon requirements changes range from the very informal to formal requests complete with committees to consider whether the requests are worthwhile. Determining the level of formality depends upon the information available, the importance of the change, and the business analysis governance approach defining change control for requirements and designs.

Predictive approaches to projects often use formal methods to assess and determine the merits of requirement and design changes. Changes in projects using predictive approaches to planning can cause major rework of tasks and activities that were previously completed. In contrast, adaptive approaches to project planning often require less change assessment formality because of their iterative and incremental approach to getting work done.

**Performing an Impact Analysis** Impact analysis is done to assess or evaluate the impacts of a proposed change to requirements or designs. Traceability allows the business analyst to look at the impact of the change relative to related requirements and solution components. The impacts of changing existing requirements should be assessed across the five areas found in Table 4.10.

Table 4.10 Areas of impact for changing requirements

Area	What to Look For
Benefit	Benefits to be gained by accepting the change
Cost	Total costs to implement the change
Impact	Number of customers or business processes affected
Schedule	Impact to existing delivery commitments
Urgency	Level of importance of the change

**Providing Impact Resolution** Business analysts follow the methods defined in the governance approach when making decisions about proposed changes on their projects. Based upon the approach, key stakeholders may be authorized to approve, deny, or defer a proposed change. Typically, the results of the impact analysis are documented and communicated to all stakeholders.

### Techniques to Consider

The BABOK® Guide recommends that you select from a number of techniques when assessing a proposed change to requirements or designs. Let's step through these techniques now, since you should make yourself familiar with all of them.

**Business Cases** A business case is often used to justify a proposed change. Business cases are particularly relevant when looking at the benefits to be gained by accepting the proposed change to requirements or designs.

**Business Rules Analysis** This technique is used during impact analysis to trace business rules to the requirements that the business rules support. The technique also works in a different direction and can be used to trace the business rules that support requirements.

**Decision Analysis** Decision analysis facilitates the change assessment process by examining and modelling the possible consequences of different actions. This helps the business analyst decide whether to approve, deny, or defer a proposed change to requirements or designs.

**Document Analysis** Use document analysis to analyse existing documents to help you understand the possible impacts of a proposed change to the requirements or designs.

**Estimation** Estimating the cost and effort to implement a proposed change is a necessary step in impact analysis. Estimation is an iterative process where the act of review and revision takes place as more information is known over time.

**Financial Analysis** This technique estimates the financial consequences of a proposed change to requirements or designs. Consequences include financial viability, stability, and benefit realization.

**Interface Analysis** Interface analysis identifies interfaces that can be affected by a proposed change to requirements or designs. This technique looks at where, what, why, when, how, and for whom information is exchanged between solution components or across solution boundaries.

**Interviews** Business analysts use interviews to talk with individuals and small groups of stakeholders in order to understand the impact of the change on the organization or its assets.

**Item Tracking** Item tracking or issue management tracks any issues or conflicts that were discovered during impact analysis activities.

**Risk Analysis and Management** Risk analysis and management techniques determine the level of risk associated with a proposed change as part of impact analysis activities.

**Workshops** Workshops allow groups of stakeholders to collectively discuss and understand the impacts of a proposed change or decide what to do about one or more proposed changes.

### Assessing Requirements Changes

A Requirements or Designs Change Assessment is the output of this task. This assessment contains a recommendation to approve, modify, or deny a proposed change to either area based upon the results of the impact analysis. Table 4.11 summarizes these outputs.

Table 4.11 Outputs: Assess requirements changes.

Output	Output Destinations	Destination Knowledge Area
Requirements change assessment		
Designs change assessment		

Business analysts have the primary responsibility for assessing requirements and design changes as part of requirements development activities on a project. The project manager reviews the requirements or design change assessment to see what impact the change might have on the solution. Other stakeholders involved in assessing requirements changes include the following:

- Customer
- Domain SME
- End user
- Operational support
- Regulator
- Sponsor
- Tester

### Approve Requirements

Much of the work that you perform as part of the Requirements Life Cycle Management knowledge area gets your project requirements organized and structured appropriately. After they are in good shape, you can share them with key stakeholders for their review, understanding, and approval. This final task holds you responsible for communicating, obtaining agreement on, and getting approval of the requirements and designs. After receiving approval, business analysis work can proceed or actual solution construction can begin.

Requirements communication tends to be iterative and ongoing in nature. It is usually done in parallel with most of the other business analysis tasks found in the BABOK® Guide.

Requirements communication can be formal or informal in nature and includes conversations, notes, documents, presentations, and discussions with your stakeholders.

Approval of requirements and designs may also be formal or informal. Predictive approaches usually perform approvals of requirements and designs at the end of project phases or during change control meetings. On the flip side, adaptive approaches approve requirements when construction and implementation of the solution meeting the requirements are ready to be done.

Figure 4.6 summarizes the inputs, outputs, techniques, and associated tasks for effectively communicating your project requirements.

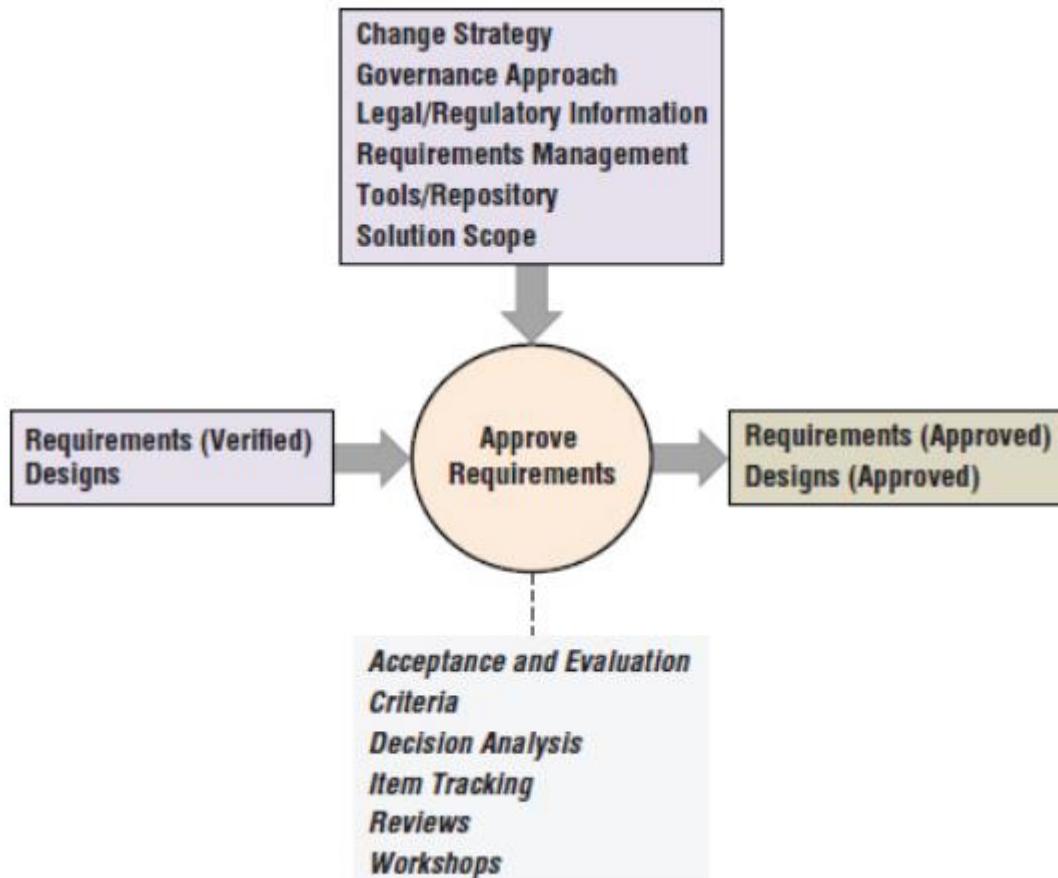


Figure 4.6 Task summary: Approve requirements.

Several key inputs are used when approving requirements during a project. These inputs are produced by other business analysis tasks. Here is a closer look at these inputs:

**Requirements (Verified)** **Verified requirements** provide a set of requirements that are of sufficient quality to be used as a reliable body of work for further specification and development.

**Designs** This set of designs is ready to be used for further specification and development.

Additional inputs that can be used by business analysis tasks include guidelines and tools. Here is a look at the guidelines and tools that can also be used as inputs when approving requirements:

**Change Strategy** The strategy provides information that helps manage stakeholder consensus regarding stakeholder needs.

**Governance Approach** A governance approach identifies stakeholders who have the authority and responsibility to approve business analysis information, the approval process, and their alignment to organizational policies.

**Legal/Regulatory Information** This information describes the legislative rules or regulations that must be followed and may impact the approval process.

**Requirements Management Tools/Repository** A tool such as this documents requirements approvals.

**Solution Scope** Business analysts assess scope when approving requirements to accurately assess alignment and completeness.

Table 4.12 summarizes the inputs, guidelines, and tools to the business analysis task of approving requirements and lists the source of the input (if applicable).

Task Input	Input Type	Input Source	Source Knowledge Area
Requirements (verified)	Input	Verify requirements.	Requirements Analysis and Design Definition
Designs	Input		
Change strategy	Guidelines and tools	Define change strategy.	Strategy Analysis
Governance approach	Guidelines and tools	Plan business analysis governance approach.	Business Analysis Planning and Monitoring
Legal/regulatory information	Guidelines and tools		
Requirements management tools/repository	Guidelines and tools		
Solution scope	Guidelines and tools	Define change strategy.	Strategy Analysis

You need to perform the elements that are part of this task in order to communicate and gain approval of the project requirements by key stakeholders. The four elements are as follows:

- Understand stakeholder roles.
- Address conflict and issue management.
- Gain consensus.
- Track and communicate approval.

**Understand Stakeholder Roles** The approval process for proposed changes to requirements or designs is defined in the business analysis governance approach. Stakeholder roles and authority levels in this process must be defined and understood. It is essential to know who has the decision-making and sign-off authority. Look for influential stakeholders that should be consulted or informed about the changes, as well. These influencers can help with communicating and gaining consensus about the changes that are proposed.

**Address Conflict and Issue Management** Maintaining stakeholder support for a change to requirements or designs can be challenging. The BABOK® Guide recommends seeking consensus for the change among stakeholders prior to requesting that they approve and sign-off on the change. The business analysis governance approach built during Business Analysis Planning and Monitoring defines how to make decisions about changes and resolve any conflicts that arise.

**Gain Consensus** Approval requires a business analyst to review requirements changes with accountable stakeholders and request that they agree to and approve that change. Often, this process requires facilitation of the approval process, addressing questions and providing additional information as needed. Approving a change confirms that stakeholders believe the change creates sufficient value for the organization.

**Track and Communicate Approval** Formal requirements communication follows the contents of the business analysis governance approach when it comes to dealing with proposed changes. Informal communication takes place whenever it is needed. Business analysts record the change approval decisions, often using requirements management tools.

Stakeholders should be able to see what requirements and design changes are approved and in the queue for implementation. Many projects require an audit history of changes to requirements. Be sure to document what was changed, the business analyst who made the change, the reason for the change, and when the change was made.

## Techniques to Consider

**Acceptance and Evaluation Criteria** Stakeholders and decision-makers define acceptance and evaluation criteria in order to make decisions regarding proposed requirements and designs changes.

**Decision Analysis** Decision analysis allows you to examine and model the consequences of different decisions before making a well-informed decision. When resolving issues and evaluating proposed changes, business analysts use decision analysis to resolve issues and gain agreement.

**Item Tracking** Item tracking allows tracking of any issues raised by stakeholders during the agreement and approval activities.

**Reviews** Reviews are used to evaluate requirements and designs relative to a proposed change.

**Workshops** Requirements workshops are structured meetings where a selected group of stakeholders works together to define or refine a set of project requirements. During a requirements workshop, specific requirements may be presented to make everyone familiar with the existing solution scope and the current requirements.

Once you have applied one or more of the recommended techniques and gained approval of your requirements, those requirements are now approved requirements. Remember that communicating requirements ensures that the stakeholders understand what they have been told.

## Approving Requirements with Your Stakeholders

Remember that proposed changes to requirements and designs are not just communicated from the business analyst to the stakeholders. They must be received, understood, and acknowledged by those stakeholders in order for effective requirements communication to have taken place. Table 4.13 shows this output trail.

Output	Output Destinations	Destination Knowledge Area
Requirements (approved)		
Designs (approved)		

Table 4.13 shows this output trail.

The business analyst has the primary responsibility for ensuring that proposed changes to requirements and designs are analyzed, communicated, and approved during the requirements development activities on a project. In tandem, the project manager identifies and manages the risks associated with the approved changes. Additional stakeholders involved with approving requirements include the following:

- Customers
- Domain SMEs
- End users
- Operational support
- Regulators
- Sponsor
- Testers

Remember that all business analysis stakeholders may have a role in this task and could be involved with requirements approval activities across the project life cycle. At a minimum, they may be a sender or a receiver of the communicated requirements information.

#### 4.5 How This Applies to Your Projects

In this chapter, you stepped through tasks that help you to manage changing requirements across the requirements life cycle. One of the biggest challenges that you encounter on your projects is managing changing requirements. Sometimes it takes no more than five minutes after requirements sign-off to start hearing the inevitable changes creeping back into what was just approved. This can be caused by a number of factors.

- Increased level of interaction and information sharing both within and between systems
- Lack of requirements traceability yielding poor understanding of requirements dependencies
- Changes in business plans and objectives that create a high-level focus shift and impact your existing requirements

- Changes in technology, law, policies, regulations, or directives
- Boundary conditions and constraints that move, causing your requirements to change as well
- Customers and users who change their minds about what they need
- Developers who add their own special twists, creating undocumented features that come back to haunt us

Configuration management (CM) is the key to managing changing requirements. Effective issue and change management is possible only if it is supported by CM. Configuration management is a technical and administrative activity focusing on creating, maintaining, and controlling change to the solution and its components (a configuration) throughout that solution's life cycle.

All organizations should have a configuration management strategy for their projects. The strategy can be developed on a project-by-project basis or be applied to all projects that the organization undertakes. The configuration management strategy identifies how, and by whom, the project's products will be controlled and protected. It answers these questions:

How and where will the project's products be stored?

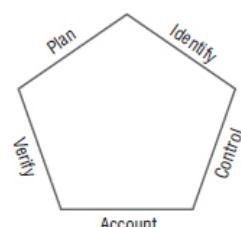
What storage and retrieval security will be put in place?

How will the products and the various versions and variants of these products be identified?

How will changes to products be controlled? Where does responsibility for configuration management lie?

A configuration management strategy is typically derived from a number of information sources, including any corporate configuration management, quality management, or information management systems and strategies. Typically, the strategy is based on either the user's or the supplier's quality management systems and is targeted to support meeting the customer's quality expectations. The specific needs of the solution and the environment where it is being developed also plays a part in this strategy, as does the project management team structure with its identified configuration management roles and responsibilities.

To control and protect your solution and its assets, use a configuration management strategy focusing on the solution and the solution components of your project. This is the best way to provide a framework ensuring that your solution deliverables are identified, tracked, and protected. The five generic steps are illustrated in Figure 4.7: Plan, Identify, Control, Account, Verify. Let's take a quick look at each step.



**FIGURE 4.7** A framework for configuration management

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Terri Wagner Chapter 4 Page Number 179**

**Plan** Configuration management planning defines how you will address storage, retrieval, security, version control, and change control for the solution deliverables. The timing for these activities should also be defined.

**Identify** Identification encompasses specifying and identifying all components of the final product. This is where you would create unique identifiers and records for each solution component.

**Control** Configuration control invokes the ability to approve and baseline deliverables. Changes to approved products can be made only by following the formal change procedure for the solution.

**Account** Status accounting is the recording and reporting of all current and historical data concerning each deliverable or configuration.

**Verify** The project's configuration management system should provide you with the ability to audit actual deliverables against information recorded about those deliverables in the system, such as current status.



## Chapter 4 Summary/Review

1. The five tasks of the Requirements Life Cycle Management knowledge area guide the business analyst in effectively managing requirements changes and communicating requirements to stakeholders across the project life cycle. One of the primary roles of the business analyst is developing and managing requirements across the project life cycle. Effective communication skills are an underlying competency enabling the business analyst to do this work. Successful projects start with defining and agreeing to what is needed. Without the ability to make these requirements understood, you will find it difficult to perform your job well.
2. The *BABOK® Guide* recommends that business analysts plan for managing changing requirements and designs before the real project work gets started. This information can be found in the business analysis governance plan, which was built as part of the Business Analysis Planning and Monitoring knowledge area. The same holds true for effectively communicating about changing project requirements to the stakeholders. This information was also planned for and is located in the governance approach.
3. Most of the deliverables produced in the Requirements Life Cycle Management knowledge area focus on adding details to the stakeholder, solution, and transition requirements as specific actions are taken by the business analysis team.



### Review Questions (Long)

1. Three business analysis deliverables are inputs to several Requirements Life Cycle Management tasks. They are used to influence and guide the business analyst in managing requirements. Which of the following deliverables is *not* one of the three inputs?
2. You are defining the traceability approach for your requirements. You want to make sure that the business analysis team traces the relationship between functional requirements and the solution components that implement those requirements. This is an example of which traceability relationship?
3. You are a business analyst assessing a proposed change to a set of requirements. Your project is being developed in an adaptive fashion with iterative and incremental implementation techniques. How might you handle your impact analysis?
4. The requirements life cycle begins with the representation of a business need as a requirement. When does the requirements life cycle end?

What is the basis for requirements life cycle management during a project, ensuring that proposed requirements support business needs?



### Review Questions (MCQ)

1. When defining your approach to requirements traceability on your project, what levels will you choose from when deciding how to trace the requirements?
  - A. Business, stakeholder, or solution
  - B. Capability, conditions, or constraints
  - C. Individual, model, or feature
  - D. Requirements, components, or artifacts
2. The requirements life cycle begins with the representation of a business need as a requirement. When does the requirements life cycle end?
  - A. When a solution representing the requirements is retired
  - B. After the solution representing the requirements is developed
  - C. Once the solution representing the requirements is implemented

D. When the operational solution meets the business need

3. You are a business analyst assessing a proposed change to a set of requirements. Your project is being developed in an adaptive fashion with iterative and incremental implementation techniques. How might you handle your impact analysis?

- A. Impact analysis must be informal.
- B. Impact analysis must be formal.
- C. Impact analysis may be informal.
- D. Impact analysis may be formal.

4. What is the basis for requirements life cycle management during a project, ensuring that proposed requirements support business needs?

- A. Business case
- B. Business need
- C. Solution scope
- D. Desired outcome

5. All of the following are elements of the approve requirements task *except*:

- A. Capabilities and processes
- B. Understand stakeholder roles
- C. Track and communicate approval
- D. Conflict and issue management



## Case Studies / Projects

### A Must-Do Requirements Stew

Phil was asked to finish up a project that had languished in the requirements development stage for years. The project approach was to procure a commercial product to provide the required capabilities and customize that product as needed. Contributing departments had gold plated the project requirements to such an extent that there were no commercial products that came close to meeting the defined needs of the business. The solution scope had expanded from meeting a single unit's business need to addressing multiple business processes across departments and organizations. All efforts to focus on the set of core functionality required to meet the original business need came to naught. Phil got the key users together and attempted to prioritize the existing requirements set. No one would back down from ranking their requirements at the highest priority, regardless of the prioritization method Phil invoked. They tried forced ranking with no success. They tried voting with even less success. They stuck dots on the wall, they used sticky notes, they time boxed, and they budgeted. To add to the confusion, the marketing department (a key player) consistently refused to state any clear requirements other than needing total flexibility to react to changes in the marketplace.

#### REQUIRED:

- Which Requirements Life Cycle Management task seeks approval and sign-off on requirements or designs?
- What individual behaviours lead to effective teams?
- What factors unique to teams contribute to their success?

Read



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### LEARNING OUTCOMES

After reading this Section of the guide, the learner should be able to:

#### Learning Objectives

- Prepare for elicitation.
- Conduct elicitation activity.
- Confirm elicitation results.
- Communicate business analysis information.
- Manage stakeholder collaboration.

## Introduction

Business analysts elicit the necessary information to develop their business, stakeholder, solution, and transition requirements for their projects. The five tasks in the Elicitation and Collaboration knowledge area guide you in gathering and understanding what the project stakeholders need from a new solution. Remember that effective elicitation is not just asking questions. It is a human-based activity in which you determine the right sources for your requirements and decide how to gather the right information from those sources. Elicitation is very much like a scientific investigation. You will find yourself actively engaged in research, reading, talking, and observing what is going on in the organization as it relates to your project requirements. Elicitation includes organizing and evaluating the results to make sure you have well-organized information, the right level of knowledge, and a good handle on the scope and status of your elicitation efforts.

### 5.1 Requirements Elicitation

The Elicitation knowledge area focuses on gathering the right information to develop project requirements. The requirements for your project are the foundation for a solution that will be designed and deployed by the project and its efforts. Elicitation is defined as “drawing forth or receiving of information from stakeholders or other sources.” Collaboration is defined as “the act of two or more people working together towards a common goal.”

Requirements elicitation can be very challenging. When working with your stakeholders to define requirements, you are often faced with stakeholders who express those requirements in their own terms. You must learn to speak the stakeholders’ language in order to understand the capabilities that are being described. Stakeholders don’t always tell you everything that you need to know, at least not the first time around. Elicitation techniques must be selected to gather as much relevant information as quickly as possible.

Requirements elicitation is performed for all types of requirements found in the BABOK® Guide: business, stakeholder, solution, and transition. Elicitation is performed for your project's high-level business requirements as well as your more-detailed solution requirements. The tasks in the Elicitation and Collaboration knowledge area are performed in parallel with other requirements development tasks from the following knowledge areas:

- Strategy Analysis (business requirements)
- Requirements Analysis and Design Definition (stakeholder and solution requirements)
- Solution Evaluation (transition requirements)

The Elicitation and Collaboration knowledge area also addresses monitoring and reporting on the performance of the elicitation activities throughout the project. The business analysis team is responsible for assessing the effectiveness of the techniques being used to elicit requirements. The Elicitation and Collaboration knowledge area is addressed in Chapter 4 of the BABOK® Guide.

To focus on what is important to business analysts across the life cycle of their business analysis efforts, let's consider the tasks of this knowledge area with the framework of the BACCM™. Business analysts need to keep an eye on their work relative to the six concepts contained in the framework: changes, needs, solutions, stakeholders, values, and contexts.

Table 5.1 List these responsibilities

**TABLE 5.1** The BACCM™: Elicitation and Collaboration

Core Concept	The Business Analyst's Responsibilities
Change	Use a variety of elicitation techniques to fully identify the characteristics of the change and any stakeholder concerns about the change.
Needs	Elicit, confirm, and communicate needs and supporting business analysis information over time.
Solution	Elicit, confirm, and communicate necessary or desired characteristics of proposed solutions.
Stakeholders	Manage collaboration with stakeholders participating in the business analysis work.
Value	Collaborate with stakeholders to assess the relative value of elicitation information in order to confirm and communicate that value.
Context	Apply various elicitation techniques to identify business analysis information about the context that may affect the change.

You must learn to judge when you have elicited and acquired enough requirements information to start documenting and analyzing what you have learned. Experienced business analysts find themselves moving between requirements elicitation, requirements analysis, and requirements documentation activities many times on their projects. This is very much like the waltz on a metronome, moving left to right to left again in order to keep the beat for the music being played.

## 5.2 The Business Analyst's Task List

You have five tasks to perform in the Elicitation knowledge area. We will cover each one of these tasks in detail later in this chapter. The task list from the BABOK® Guide includes the following:

- Preparing for requirements elicitation
- Conducting the elicitation activity
- Confirming the elicitation results
- Communicating business analysis information
- Managing stakeholder collaboration

These tasks focus on obtaining the right information from the right sources in order to develop the right requirements for your project. Remember, effective requirements elicitation in your projects is multifaceted and requires the following:

- The right sources
- The right information
- The right technique
- Clear organization
- Evaluation and understanding
- Accurate reporting

If requirements elicitation is done correctly, the dividends that get paid downstream in the project life cycle can be tremendous. It is like a series of interlocking puzzle pieces. The correct project requirements lead to an appropriate solution design. When the solution design is implemented and deployed, the requirements are still framing the work effort, keeping the team on track to meet the project stakeholder's needs and expectations.

### **When Does Elicitation Take Place?**

I have noticed that even people who claim everything is predetermined and that we can do nothing to change it, look before they cross the road.

—Stephen Hawking

The tasks in the Elicitation and Collaboration knowledge area begin early in the project life cycle and typically peak during the more detailed requirements development phase of the project. Requirements can be elicited at any point in the project life cycle. Typically, you elicit information for the first time early in the project life cycle. You will also find yourself eliciting information to clarify things you have missed or misinterpreted along the way. Changing requirements also trigger additional elicitation efforts later in the project life cycle.

Don't underestimate the importance of the work that gets done by these five tasks on your projects. Without the right requirements information from the right people, your project will probably not succeed. Let's step through the first task in the Elicitation and Collaboration knowledge area: preparing for a particular elicitation effort or activity.

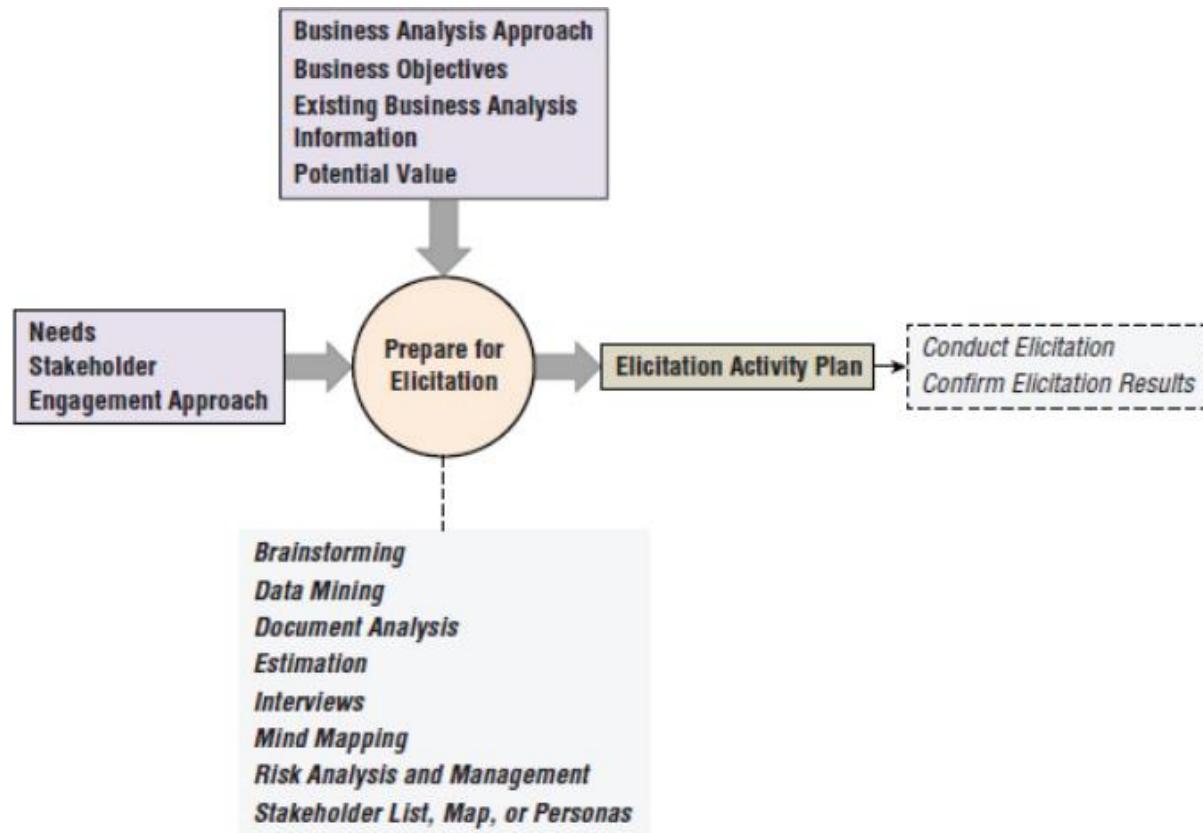
#### **Prepare for Elicitation**

The first task in the Elicitation and Collaboration knowledge area is where you prepare a detailed schedule of your elicitation activities. Your elicitation activities can include interviewing an individual face-to-face, creating a survey to send out to a thousand worldwide

end users, or facilitating a group workshop of 15 people. Your preparation work should include the following:

- Defining the desired outcome for the elicitation activity
- Determining the work product or products to be produced
- Deciding the techniques to be used to produce the results
- Establishing the elicitation logistics
- Identifying supporting materials that are needed
- Planning to foster collaboration during the elicitation activity

This preparation step ensures that the necessary stakeholder resources are organized and scheduled in advance. This step also allows you to get all of your ducks in a row—from meeting room logistics to required materials to attendance and attention from the right people. [Figure 5.1](#) summarizes the inputs, guidelines and tools, outputs, techniques, and associated tasks used to prepare for requirements elicitation.



[Figure 5.1](#) Task summary: Prepare for elicitation.

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Terri Wagner Chapter 5 Page Number 191**

Several key inputs are needed to adequately prepare to elicit requirements information on your project. These key inputs are produced by a number of other business analysis tasks, and they include the needs and the stakeholder engagement approach. Let's take a look at each of these task inputs in greater detail:

**Needs** The business needs define the problem or opportunity being faced by the business. This information is used to determine the information to be elicited when developing business requirements early in the project life cycle. Elicitation is also used to discover and flesh out these needs early in your project.

**Stakeholder Engagement Approach** Planning and preparing for elicitation requires an understanding of how your stakeholders communicate and collaborate. The stakeholder engagement approach is a good place to start when you are ready to elicit business analysis information.

There are additional inputs that can be used during business analysis tasks: guidelines and tools. Guidelines are essentially instructions or descriptions on why and how a business analyst will undertake a task. Tools, on the other hand, are methods for conducting business analysis tasks or shaping a task output. Let's take a look at the guidelines and tools that can also be used as inputs when preparing for elicitation:

**Business Analysis Approach** The business analysis approach is a “one-stop shop” for the general strategy used to guide business analysis work on your project. The approach contains stakeholder information, any business analysis methodologies to be used, a high-level schedule, and the level of detail you will be looking for in your resulting requirements and designs.

**Business Objectives** Requirements elicitation efforts focus on defining business capabilities to achieve a desired, future state. The direction these capabilities need to take is found in the business objectives.

**Existing Business Analysis Information** Existing information should not be overlooked during your requirements elicitation efforts. This information ranges from existing project documentation to requirements development methods you can use to understand the business.

**Potential Value** Be sure you understand and can articulate the value to be realized when the proposed future state is implemented.

Table 5.2 summarizes the inputs, guidelines, and tools for this task and lists the source of each input (if applicable).

**TABLE 5.2** Inputs: Prepare for elicitation.

Task Input	Input Type	Input Source	Source Knowledge Area
Needs	Input		
Stakeholder engagement approach	Input	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
Business analysis approach	Guidelines and tools	Plan business analysis approach.	Business Analysis Planning and Monitoring
Business objectives	Guidelines and tools	Define future state.	Strategy Analysis
Existing business analysis information	Guidelines and tools		
Potential value	Guidelines and tools	Define future state.	Strategy Analysis

When preparing to elicit requirements information across the project life cycle, the business analyst should perform several elements, including the following:

- Understanding the scope of elicitation
- Selecting the elicitation techniques
- Planning the logistics of the elicitation
- Securing any supporting materials
- Preparing the stakeholders

Let's step through each of these five elements now:

**Understanding Elicitation Scope** Successful business analysts don't have time to waste eliciting information about topics that are outside of the scope of their defined effort. That said, it is important to understand the scope of the future solution as well as focus on the exact boundaries of the information you plan to elicit in a particular elicitation activity.

**Selecting Elicitation Techniques** Typically, multiple techniques are used to elicit business analysis information. Business analysts are responsible for choosing the right techniques and applying those techniques correctly. When selecting elicitation techniques, look for techniques you have used in similar situations, techniques that are suited to the current situation, and the tasks necessary to use each selected technique properly.

**Planning Elicitation Logistics** Be sure to plan the logistics of your elicitation session ahead of time. In addition to creating an agenda for the session, the BABOK® Guide recommends that you identify the goals for the activity and provide a list of participants and their roles.

Participants will also want to know the session location, the session schedule, and the tools and techniques that will be used.

**Securing Supporting Materials** Business analysts are responsible for identifying and procuring supporting materials needed for an elicitation activity. Required information may include specific people and what they know, or documented data about existing systems. There may be other elicitation results or analysis models from different facets of your project that are also needed.

**Preparing Stakeholders** Stakeholder understanding and buy-in is essential to successful elicitation. Many times, stakeholders are asked to review supporting materials prior to the elicitation activity. It is helpful to make sure your stakeholders understand the techniques you are using and the outcome the group is seeking.

There are several techniques that you can choose to apply when preparing to elicit project requirements. One technique that we recommend is brainstorming, a creative, structured way to get everyone's brain contributing ideas as you plan what needs to take place and who needs to be involved. Let's take a look at this recommended technique in greater detail.

### **Recommended Technique: Brainstorming**

Brainstorming fosters creative thinking about the capabilities of a new solution across all levels of detail. Brainstorming enables out-of-the-box thinking in a nonjudgmental environment. Out-of-the-box thinking is also called lateral thinking.

Using brainstorming as an elicitation technique produces numerous new ideas from the people involved. If you haven't used brainstorming as part of your requirements elicitation efforts, you should try it. You can draw on the experience and creativity of the participants in your brainstorming session, yielding a plethora of interesting and relevant results that require further analysis.

A productive brainstorming session has two parts: idea generation and idea reduction. Idea generation is the creative part where people share their ideas with one another, no matter how off the wall those ideas might be. Idea reduction is where the group takes the generated ideas and cleans them up a bit to make the information useful for the situation at hand.

Once the ideas are generated and recorded, they need to be analyzed and reduced to something useful. Wrapping up is where the idea reduction part of a brainstorming session takes place. The group discusses and evaluates ideas using the evaluation and rating criteria that were previously defined and agreed upon by the group as part of the meeting. Combining some ideas, deleting some ideas, and eliminating any duplicate ideas will build a condensed list. The resulting list will then be distributed to the appropriate parties for review.

### **Additional Techniques to Consider**

There are many additional techniques to choose from when you find yourself preparing to elicit business analysis information on your projects. Let's step through each of them here.

**Data Mining** This technique helps you to identify information or patterns from existing data that require further investigation during your planned elicitation activity.

**Document Analysis** Use document analysis to analyze existing documents and supporting materials that might be helpful as part of the requirements elicitation process.

**Estimation Estimating** the cost and effort to elicit business analysis information gives you a good idea of just what needs to be done and what getting the work done will take.

**Interviews** Business analyst use interviews as part of elicitation preparation so they can identify concerns about the planned elicitation and seek authority to proceed when necessary.

**Mind Mapping** Mind mapping is a visual, nonlinear, collaborative way to discover the sources of business analysis information that you need and which elicitation techniques might be most effective in a given situation.

**Risk Analysis and Management** Risk analysis and management techniques determine the level of risk associated with eliciting business analysis information. Elicitation plans may be designed or changed to eliminate or minimize significant risks.

**Stakeholder List, Map, or Personas** This stakeholder data is used to determine who should be consulted during elicitation preparation and who should be involved with the actual solicitation activity.

Once you have selected and applied one or more techniques as part of your preparation efforts, you are ready to plan the elicitation activity itself. We will discuss that next.

### Produce the Elicitation Activity Plan

The elicitation activity plan defines both the logistics and scope of a specific elicitation activity. The logistics for the elicitation activity include the scheduled resources and the supporting materials. The scheduled resources are exactly what they sound like—the people, facilities, and equipment that you need for requirements elicitation. The resource schedule should include the resource name or names, the location of the elicitation activity, and anything else that might be needed.

Business analysts often like to use a worksheet to plan their elicitation efforts and get a handle on the questions they will be asking. Table 5.3 provides an example of a requirements elicitation worksheet populated for a round of solution requirements elicitation at Palmer Divide Vineyards. You can use questions and apply techniques, as shown here, or add additional information to your worksheet based on your organization and the nature of your project.

Table 5.3 Palmer Divide Vineyards elicitation worksheet

Supporting materials are anything that you need in order to perform the elicitation activity. These materials could be required for a particular elicitation technique, such as having a whiteboard available for a requirements workshop.

Preparing for a brainstorming session involves defining the session itself, including the particular area of interest for the session and the amount of time that will be spent by the participants. A longer brainstorming session is needed for larger groups of people. The ideal brainstorming session contains six to eight people.

Other logistics need to be determined prior to the session start. The session's facilitator and participants need to be selected. Expectations for the session should also be defined, focusing on the area of interest. The evaluation and rating criteria for the idea reduction step should also be set and agreed to in advance.



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Table 5.3 Palmer Divide Vineyards elicitation worksheet

As a business analyst, you are responsible for adequate requirements elicitation preparation. On large projects, this responsibility often falls to the collective members of the business analysis team, who will be simultaneously eliciting requirements information from different stakeholders. Be sure to coordinate who is doing what, when, and make sure you plan to sit down and accumulate what everyone has learned. Any business analysis stakeholder can be involved in requirements elicitation. The project manager, domain SMEs, and the project sponsor may also be involved in the elicitation prep work.

Now, let's take a look at the next step in effective requirements elicitation—successfully conducting the elicitation activity.

### 5.3 Conduct Elicitation

There are a number of ways to elicit requirements for your projects. The most common elicitation technique is a face-to-face meeting with one or more of your project stakeholders to gather information regarding their needs. However, elicited information doesn't have to come directly from people. It can also come to you indirectly, based on your research and review of existing documents and other data.

Stakeholders may collaborate during elicitation by participating in the actual elicitation activity or by researching, studying, and providing feedback on documents, systems, models, and interfaces related to the activity and its results.

Figure 5.2 The inputs, outputs, techniques, and associated tasks used to conduct requirements elicitation

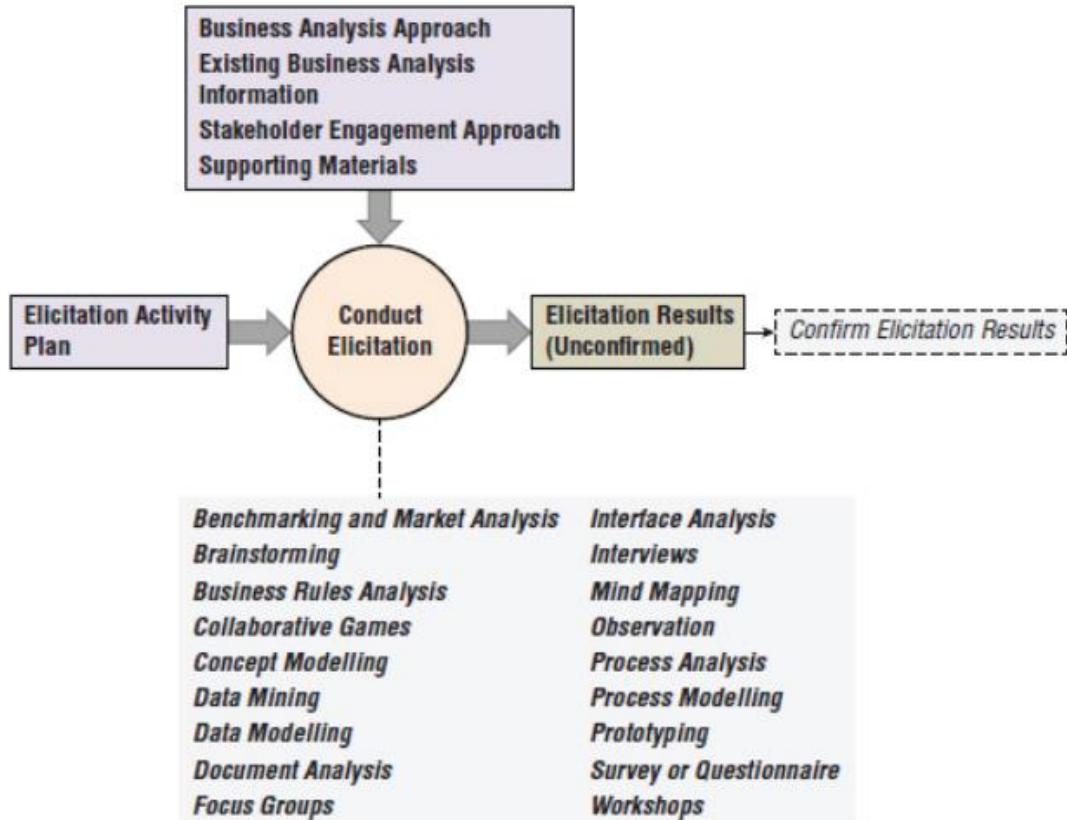


Figure 5.2 Task summary: Conduct elicitation activity.

Several key inputs, guidelines, and tools are needed when eliciting requirements information. The primary input to this task is the planning you did in the previous task when preparing for elicitation. **Elicitation Activity Plan** The elicitation activity plan defines both the logistics and scope of a specific elicitation activity. The logistics for the elicitation activity include the scheduled resources and the supporting materials. This plan was created by the Prepare for Elicitation task in the Elicitation and Collaboration knowledge area that we just covered in the previous section.

There are additional inputs that may be used by business analysis tasks: guidelines and tools. Let's take a look at the guidelines and tools that may also be used as inputs when conducting elicitation:

- Business Analysis Approach** The business analysis approach is a “one-stop shop” for the general strategy used to guide business analysis work on your project. The approach contains stakeholder information, any business analysis methodologies to be used, a high-level schedule, and the level of detail you will be looking for in your resulting requirements and designs.

**Existing Business Analysis Information** Existing information should not be overlooked during your requirements elicitation efforts. This information ranges from existing project documentation to requirements development methods you can use to understanding the business.

- Stakeholder Engagement Approach** This approach provides the business analyst with stakeholder preferences for collaboration and communication that may be helpful when eliciting information.

**Supporting Materials** These materials are used to prepare the business analysis team and the stakeholders prior to an elicitation activity and may be reviewed prior to the event. Supporting materials also include information, tools, or equipment used as part of the elicitation itself.

Table 5.5 summarizes the inputs, guidelines and tools to this elicitation task and lists the source of each input (if applicable).

**TABLE 5.5** Inputs: Conduct elicitation.

Task Input	Input Type	Input Source	Source Knowledge Area
Elicitation activity plan	Input	Prepare for elicitation.	Elicitation and Collaboration
Business analysis approach	Guidelines and tools	Plan business analysis approach.	Business Analysis Planning and Monitoring
Existing business analysis information	Guidelines and tools		
Stakeholder engagement approach	Guidelines and tools	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
Supporting materials	Guidelines and tools		



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There are several elements that you should perform when eliciting project requirements information across the project life cycle, including the following:

- Guiding the elicitation activity
- Capturing elicitation outcomes

Let's look at each element in greater detail:

**Guide Elicitation Activity** Experienced business analysts follow their elicitation plan to navigate the actual elicitation activity. This approach keeps things on track by focusing on gathering business analysis information at the required level of detail. Remember that things can change once elicitation is underway; being flexible and adaptable relative to your elicitation plan is also an essential skill. Keep an eye out for when you have gathered enough information.

**Capture Elicitation Outcomes** Eliciting requirements is an iterative and incremental activity. Elicitation outcomes are captured and integrated into the planned outcomes and what the

business analysis team already knows. Recording business analysis information during elicitation is essential for later reference, integration, and use.

The BABOK® Guide contains numerous elicitation techniques that you should be able to use as needed. Each technique is an excellent way to elicit requirements. The technique you choose should be the best fit for the situation that you find yourself in. For instance, scheduling telephone interviews with 100 individual users is not time effective. Building a survey/questionnaire to send to them combined with a requirements workshop for a selected subset of senior or key users may be a better approach to gathering information.

There are several techniques that you may choose to apply when prioritizing your project requirements. Two techniques that we recommend for eliciting requirements are focus groups and prototypes. Let's take a look at these recommended techniques in greater detail.

### **Recommended Technique: Focus Groups**

Focus groups provide you with an interactive group environment to elicit ideas and attitudes from selected stakeholders about a product, service, or opportunity. The work done in a focus group may be similar to a brainstorming session, but a focus group is a more structured event. Focus groups are a form of qualitative research in which your participants are prequalified to address a set of questions about a particular topic.

Focus group preparation requires you to select and recruit the right participants for the session. The BABOK® Guide recommends a focus group size of 6 to 12 attendees. A moderator and a recorder for the session should also be assigned ahead of time. It is essential that your focus group be guided by a trained moderator. In many organizations, the trained moderator is the business analyst. The moderator creates a discussion guide defining the goals and objectives of the session and five or six questions to be discussed. The focus group location and any necessary technical services also need to be set up in advance.

The focus group should be conducted in a one-to-two-hour session. The moderator is responsible for guiding the discussion using the discussion guide as a road map. The recorder is responsible for capturing the group's comments. It is not advisable for the moderator to be the recorder—it is quite difficult to facilitate a focus group and take notes at the same time. An alternative is to make audio and/or video recordings of the focus group.

After the session is complete, the moderator is responsible for analyzing and documenting the session results. A key output is group themes and perspectives. This captures agreements, as well as disagreements, in the areas being discussed. The moderator produces the report and sends that report to key stakeholders, business analysts, or marketing staff.

### **Recommended Technique: Prototyping**

Prototyping is a great way to add detail to your solution interface requirements and integrate those requirements with the other requirements defining the new solution. Essentially, a prototype is an initial or preliminary version of a solution or system.

Prototypes are extremely valuable for identifying, describing, and validating your solution needs during requirements development. There is tremendous value in allowing early user

interaction and feedback with a new solution. For software projects, mocked-up screens or report layouts allow users to interact with and comment on the solution.

Two categories of prototypes are defined in the BABOK® Guide: throw-away prototypes and evolutionary or functional prototypes. Let's take a closer look at each category:

**Throw-Away** Throw-away prototypes are built to uncover and identify solution requirements using simple tools. These tools can be paper based or computer based. A throw-away prototype is intended to be discarded after the final system is complete. These prototypes don't have anything much under the covers that would be of operational use. Throw-away prototypes are used to gather requirements information.

**Evolutionary or Functional** Evolutionary prototypes are built to be the basis for the new fully functioning system. To use them in this way, the prototypes must be built using a specialized prototyping tool or language. They ultimately become the working software application that is part of the solution. Evolutionary prototypes are also called functional prototypes.

To prepare for prototyping, you must clearly identify the functionality that will be modelled and select your prototyping approach. Then, build the prototype in an iterative fashion, adding details as appropriate. It is important to make sure that the elements of the prototype can be traced back to the solution requirements, such as processes, data rules, and business rules. Prototypes are intended for end users, so make sure the prototype actually meets their needs for the new solution.

There are many forms of prototypes in use today. [Table 5.6](#) describes each form for you.

Table 5.6 Forms of prototypes

[TABLE 5.6](#) Forms of prototypes

Form	Description
Proof or Principle or Concept	Validates the design of a system without modelling appearance, materials, or process flow
Form Study	Explores basic size, look, and feel of a product without creating actual functionality
Usability	Addresses how the end user interacts with the system without including any properties
Visual	Shows the visual aspects of the solution without modelling complete functionality
Functional	Tests software functionality, system qualities, and workflow in a working model

Your goal when building a prototype is developing an end-to-end understanding with your end users (and for yourself) of how the solution or part of a solution actually works.

### Other Techniques to Consider

The BABOK® Guide lists some additional techniques that may be used when conducting elicitation. They are summarized for you here:

**Benchmarking and Market Analysis** Benchmarking studies are a source of business analysis information, comparing an aspect of the solution with an external baseline. Market analysis is

a mechanism for determining what external customers want and what your competition provides.

**Brainstorming** This technique is used during elicitation to generate many ideas from a stakeholder group in a short period of time. The resulting ideas can then be organized and prioritized relative to the targeted elicitation activity outcome and what is currently known.

**Business Rules Analysis** When eliciting business analysis information, business analysts must discover and factor in how decisions are made in the organization and the rules governing organization operations.

**Collaborative Games** Collaborative games, such as product boxes, affinity maps, and fishbowls, help groups of stakeholders develop a better understanding of a problem or stimulate creative solutions to a problem.

**Concept Modelling** Concept models identify key terms and ideas of importance, and the relationships between the two.

**Data Mining** Data mining is an analytical way to identify relevant information and patterns from data. This technique examines and summarizes large amounts of data from different perspectives.

**Data Modelling** Data modelling defines entity relationships during elicitation activities using a diagram and textual descriptions of the pieces and parts.

**Document Analysis** Document analysis allows the business analyst to review documented information about existing systems, contracts, policies, procedures, standards, and regulations.

**Interface Analysis** This technique focuses on understanding the interaction between two entities, such as systems, organizations, or individual roles.

**Interviews** Interviews involve asking questions of stakeholders to uncover needs, identify problems, or discover opportunities during the requirements elicitation process.

**Mind Mapping** Mind mapping is a visual, nonlinear collaborative way of generating, organizing, and prioritizing many ideas from a group of stakeholders.

**Observation** Watching people do their work is an excellent way to gain insight about how the work is actually done.

**Process Analysis** Process analysis focuses on understanding the current processes and identifying opportunities to improve those processes as part of an elicitation activity.

**Process Modelling** Process modelling is a way to understand and think about improving processes with stakeholders during elicitation activities.

**Survey or Questionnaire** Surveys and questionnaires allow the business analyst to elicit business analysis information about customers, products, work practices, and attitudes in a structured way from a group of stakeholders.

**Workshops** Workshops are a collaborative and facilitated way to elicit information about customers, products, work practices, and attitudes from a stakeholder group.

Think of each recommended elicitation technique as a three-step process: prepare, conduct, and wrap-up. Figure 5.3 illustrates the sequence of the steps for you. First, you prepare to use the technique you have chosen for eliciting requirements. The preparation activities will be driven by the technique you have selected. Then, you conduct the elicitation activity and use the selected technique in the appropriate way. After the elicitation activity is done, you then are responsible for wrapping things up by reviewing, reporting, and, as needed, further investigating what you have learned.

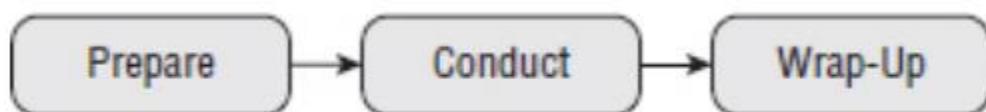


Figure 5.3 Applying the elicitation techniques

### Produce the Elicitation Results

The elicitation results are just what the name says: the informally documented results of your requirements elicitation efforts. These might be your informal notes, scribbles, and pictures representing what you have been told. Your informal elicitation results are then used as input to the confirm elicitation results task. [Table 5.7](#) summarizes this transaction.

[Table 5.7](#) Output: Conduct elicitation activity.

**TABLE 5.7** Output: Conduct elicitation activity.

Output	Output Destinations	Destination Knowledge Area
Elicitation results (unconfirmed)	Confirm elicitation results.	Elicitation and Collaboration

As the project business analyst, you have the primary responsibility for informally documenting your elicited project requirements information. The format that you select depends on the information you are documenting. You may use text, graphical models, or a combination of the two. The technique or techniques you selected to elicit requirements may also play a role in how the elicitation results are informally collected. Other business analysis stakeholders might be involved with providing the business analyst with the requirements information that they are seeking.

Let's take a look at the next step in effective requirements elicitation—confirming your elicitation results.

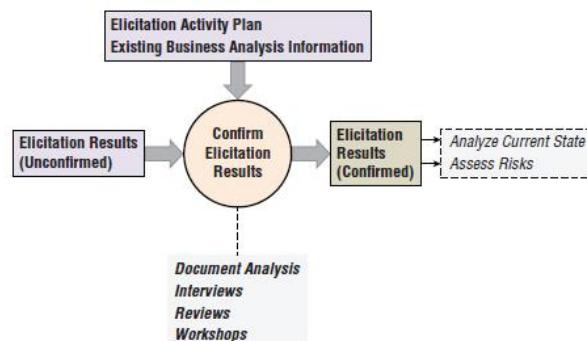
### Confirm Elicitation Results

The third task in the Elicitation and Collaboration knowledge area is confirming the results of your elicitation activities. Elicited business analysis information is checked for accuracy and consistency. Any identified errors, omissions, conflicts, or ambiguity are resolved prior to using the elicited information. Often, we find that additional elicitation and stakeholder collaboration is required to resolve these discrepancies. This important step ensures that you

clearly understand the stakeholder intentions and any related issues that might impact your requirements and your project. You must make sure that you involve all stakeholders who participated in the elicitation event in this confirmation step.

According to the BABOK® Guide, confirming elicitation results is a less rigorous and less formal review than what takes place during analysis.

Figure 5.4 summarizes the inputs, guidelines, tools, outputs, techniques, and associated tasks used to confirm the elicitation results.



**FIGURE 5.4** Task summary: Confirm elicitation results.

One key input is required to confirm the elicitation results—the elicitation results themselves. Additional guidelines and tools can also be used. Let's take a look at this key input in more detail:

**Elicitation Results** Elicitation results are the stated and unconfirmed requirements that represent the business analyst's documented understanding of the stakeholder's intentions. They were obtained using one or more elicitation techniques. This information has yet to be reviewed with the involved stakeholders to make sure everything is correct and complete. This information may also include risks, assumptions, and constraints to be confirmed and addressed by the business analyst

Table 5.8 summarizes the inputs, guidelines, and tools used by this task.

Inputs: Confirm elicitation results.

**TABLE 5.8** Inputs: Confirm elicitation results.

Task Input	Input Type	Input Source	Source Knowledge Area
Elicitation results (unconfirmed)	Input	Conduct elicitation.	Elicitation and Collaboration
Elicitation activity plan	Guidelines and tools	Prepare for elicitation.	Elicitation and Collaboration
Existing business analysis information	Guidelines and tools		

Guidelines and tools are additional inputs that can also be used by business analysis tasks. Let's take a closer look at the guidelines and tools that can also be used as inputs when confirming the elicitation results:

**Elicitation Activity Plan** Elicitation activity plans are created as part of preparing for elicitation. They provide the business analyst with guidance regarding techniques to be applied, questions to be asked, and the general scope of a particular elicitation effort.

**Existing Business Analysis Information** Existing business analysis information should not be overlooked during your requirements elicitation efforts. This information ranges from existing project documentation to previously elicited information and requirements to requirements development methods you can use.

When confirming requirements information, the business analyst performs two elements of this task, which are as follows:

- Comparing elicitation results against source information
- Comparing elicitation results against other elicitation results

Let's step through each of these elements now:

**Comparing Elicitation Results Against Source Information** Elicitation results can come from a number of sources, including existing documents and your project stakeholders. Many times, business analysts schedule follow-up meetings to review elicitation information for correctness and completion against one or more of these sources. Key stakeholders may also be asked to review and confirm elicitation results independently.

**Comparing Elicitation Results Against Other Elicitation Results** Consistency is an attribute of well-formed and accurate requirements. To achieve consistent elicitation results that become confirmed requirements, business analysts often compare the results against the results of other elicitation activities. Differences are then collaboratively discussed and resolved with the stakeholders and the team. Comparisons can also be made to historical data or existing specifications or models.

## Techniques to Consider

The BABOK® Guide recommends one or more techniques when confirming elicitation results with stakeholders. Let's take a look at them now in greater detail:

**Document Analysis** Use document analysis to confirm elicitation results against existing documents, source information, and other elicitation results.

**Interviews** Interviews are used to confirm business analysis information with stakeholders at any level of detail. This technique is particularly helpful when you are combining and integrating what you have learned to build the confirmed requirements.

**Reviews** Formal and informal reviews are a way to confirm elicitation results with stakeholders, either individually or in groups.

**Workshops** Workshops are another collaborative way to confirm elicited information. Walking through elicitation results in a more structured fashion with stakeholders allows for their feedback and correction.

## Producing the Confirmed Elicitation Results

Think of the unconfirmed elicitation results as raw stakeholder information; your stakeholders tell you what they think is needed. Stakeholder concerns are any stakeholder issues that arise

from your elicitation activities. They can be many things, such as risks, assumptions, and constraints that accompany the requirements information you are gathering. Once these concerns are captured and documented, they will need to be addressed by the business analysis team.

Any stakeholder can be involved with confirming elicitation results, as needed. Domain SMEs often bring their knowledge and experience to the table relative to specific business analysis information that has been elicited relative to a specific change.

Table 5.9 summarizes the full set of tasks using the confirmed elicitation results.

**TABLE 5.9** Output: Confirm elicitation results.

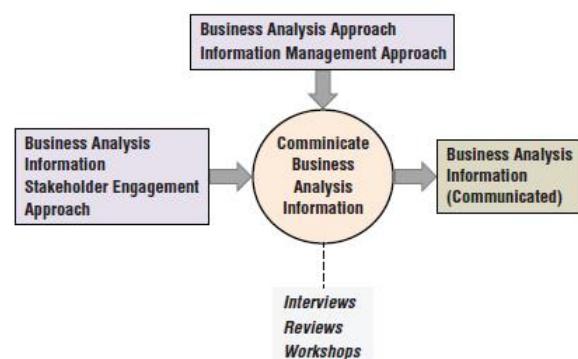
Output	Output Destinations	Destination Knowledge Area
Elicitation results (confirmed)	Analyze current state. Assess risks.	Strategy Analysis
		Strategy Analysis

#### 5.4 Communicate Business Analysis Information

Much of the work that you perform as part of the Elicitation and Collaboration knowledge area gets your project requirements information elicited, organized, and structured appropriately. After the business analysis information is in good shape, don't forget to share that information with key stakeholders for their review, understanding, and approval. This task holds you responsible for effectively communicating requirements to ensure stakeholder understanding.

Communicating business analysis information tends to be bidirectional, iterative, and ongoing in nature. It is usually done in parallel with most of the other business analysis tasks found in the BABOK® Guide. Communication can be formal or informal in nature and includes conversations, notes, documents, presentations, and discussions with your stakeholders.

Figure 5.5 summarizes the inputs, guidelines, tools, outputs, techniques, and associated tasks for effectively communicating business analysis information on your projects.



**FIGURE 5.5** Task summary: Communicate business analysis information.



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Several key inputs are used when communicating business analysis information during a project. These inputs are usually produced by activities performed by other business analysis tasks. Let's take a closer look at these inputs:

**Business Analysis Information** The business analyst is responsible for determining which business analysis information needs to be communicated to and understood by the stakeholders. Information can be packaged and communicated to stakeholders at any point in the requirements development process.

**Stakeholder Engagement Approach** The stakeholder engagement approach defines how to communicate about business analysis activities, elicited information, and deliverables with your stakeholders. Your focus is on the requirements development tasks and the resulting deliverables.

There are additional inputs that may be used by business analysis tasks: guidelines and tools. Guidelines are descriptions of why and how a business analyst will undertake a task. Tools are methods for conducting a business analysis task or shaping a task output. Let's take a look at the guidelines and tools that may also be used as inputs when communicating elicitation information:

**Business Analysis Approach** The business analysis approach is a “one-stop shop” for the general strategy used to guide business analysis work on your project. The approach contains stakeholder information, any business analysis methodologies to be used, a high-level schedule, and the level of detail you will be looking for in your resulting requirements and designs.

**Information Management Approach** This approach determines how business analysis information will be stored, packaged, and communicated to your stakeholders.

Table 5.10 summarizes the inputs to the business analysis task of communicating requirements and lists the source of the input (if applicable).

**TABLE 5.10** Inputs: Communicate business analysis information.

<b>Task Input</b>	<b>Input Type</b>	<b>Input Source</b>	<b>Source Knowledge Area</b>
Business analysis information	Input		
Stakeholder engagement approach	Input	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
Business analysis approach	Guidelines and tools	Plan business analysis approach.	Business Analysis Planning and Monitoring
Information management approach	Guidelines and tools	Plan business analysis information management.	Business Analysis Planning and Monitoring

You need to perform two elements that are part of this task in order to effectively communicate business analysis information to stakeholders and make sure they understand that information. The two elements are:

- Determine the objectives and format of communication.
- Communicate the business analysis package.

Let's step through each of these elements now:

**Determine Objectives and Format of Communication** Formal communication of business analysis information is done using *business analysis information packages*. These packages are used to communicate requirements, designs, quality, solution design inputs, and formal reviews and approvals. Informal communication takes place whenever it is needed.

Business analysts develop packages to effectively share information with stakeholders about planned changes. It is essential to analyze the audience for the business analysis information package and make sure they can understand the information that is being shared. Packages can be stored in online or offline repositories.

Business analysis information packages can be formal documents, informal documents, or presentations. They should fit both the audience and the situation. Business analysts are expected to have good presentation skills. These skills include creating the presentations, as well as delivering them to the stakeholders.

Formal documents are usually based upon a template used by the organization and may include text, matrices, or diagrams. Formal documents are saved and typically become part of the long-term information record for the project. Informal documents are used during a change but are not part of the formal organizational process.

**Communicate Business Analysis Package** Business analysts are expected to provide stakeholders with details about the change so the stakeholders can understand the information. Communicating this information allows stakeholders to review the package, ask questions, and raise any issues pertaining to what they have read.

Common ways to communicate business analysis information packages include group collaboration, individual collaboration, and email or other nonverbal methods. Group collaboration allows for immediate discussion and feedback from a group of stakeholders regarding the package contents. Individual collaboration is a one-on-one review of the package

between the business analysts and a single stakeholder. Nonverbal methods such as email are used when the information is clear and few questions or explanations are expected.

## Techniques to Consider

The *BABOK® Guide* recommends three techniques for communicating requirements with stakeholders: *interviews*, *reviews*, and *workshops*. Let's summarize each of these techniques.

**Interviews** Interviews are typically used when communicating the contents of a business analysis information package to a single stakeholder in a one-on-one setting. This facilitates individual understanding of the information.

**Reviews** Reviews allow a group of stakeholders to understand the contents of a business analysis information package and provide feedback on the contents. Reviews are also used when approvals for a change are being sought.

**Workshops** Requirements workshops are structured meetings where a group of stakeholders works together to provide feedback and approval of a business analysis information package. This technique is typically used during group collaboration.

Once you have applied one or more of the recommended techniques to communicate your business analysis information, you can say that the business analysis information has been communicated. Remember that communicating business analysis information ensures that the stakeholders understand what they have been told. Let's review the concept of communicating business analysis information one more time.

## Communicating Business Analysis Information to Your Stakeholders

Once you have decided how to approach formally or informally documenting business analysis information, you are ready to communicate the information to your stakeholders. Remember that the communicated business analysis information is not just transmitted from the business analyst to the stakeholders. It must be received, understood, and acknowledged by those stakeholders in order for effective business analysis information communication to have taken place. There is no standardized output trail.

The business analyst has the primary responsibility for communicating business analysis information during requirements development activities on a project. However, all business analysis stakeholders may have a role in this task and could be involved with business analysis information communication activities across the project life cycle. Typical stakeholder roles involved with this activity include end user, customer, domain SME, implementation SME, and tester. They may be a sender or a receiver of the communicated information.

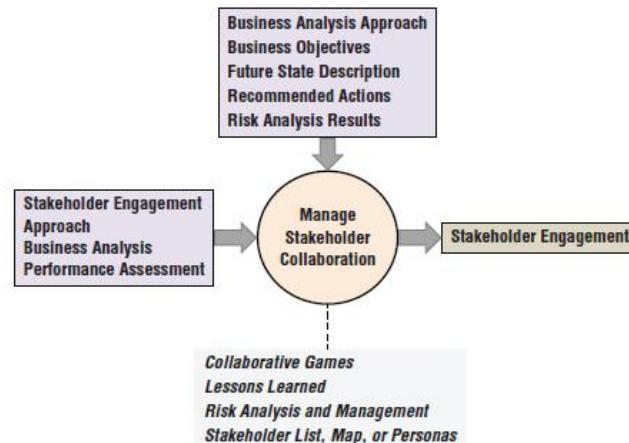
Now let's take a look at the next step in effective requirements elicitation and collaboration—effectively managing stakeholder collaboration.

## 5.4 Manage Stakeholder Collaboration

Confirming the elicitation results is not enough. Effective business analysts foster a spirit of collaboration and teamwork with their stakeholders across the project life cycle. Business analysis work does not take place in a vacuum. Business analysis efforts require significant collaboration as work products are defined, documented, reviewed, revised, and approved.

Business analysts should strive to minimize risk and maximize positive reactions by keeping the right people “in the loop” relative to business analysis information and work activities.

Managing stakeholder collaboration is an ongoing task for the business analyst. As work moves forward, stakeholders are identified, their roles are confirmed, and they receive communications at the right time about the correct topics. New stakeholders can be identified at any point in time and must be incorporated into the collaborative work environment the business analyst has created. Stakeholders can also wear many hats on a project, taking on multiple roles as the project progresses.



**FIGURE 5.6** Task summary: Manage stakeholder collaboration.

### Figure 5.6 Task summary: Manage stakeholder collaboration.

Several key inputs are needed to adequately prepare business analysts to perform this task. Let's take a look at each of these task inputs in greater detail:

**Stakeholder Engagement Approach** This approach defines and describes the types of engagement expected from the stakeholders and suggests ways to manage and deal with those stakeholders.



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**Business Analysis Performance Assessment** This assessment focuses on how effectively business analysis tasks are being performed. The tasks being assessed include those tasks targeting stakeholder engagement.

There are additional inputs that may be used by business analysis tasks: guidelines and tools. Let's take a closer look at the guidelines and tools that may also be used as inputs when managing stakeholder collaboration:

**Business Analysis Approach** The business analysis approach is a “one-stop shop” for the general strategy used to guide business analysis work on your project. The approach contains stakeholder information and the level of involvement and collaboration expected from the stakeholders during business analysis activities.

**Business Objectives** Business objectives define the direction to take in order to achieve the desired future state. These objectives are frequently used to focus your stakeholders on a common goal for the desired changes and the resulting solution.

**Future State Description** The future state description defines where the initiative is heading and what will result when the changes have been implemented. This description is also used to focus stakeholders on a common goal as they work together to achieve that future state.

**Recommended Actions** Recommended actions suggest what should be done to improve the value of a solution. They are part of the common goal the business analyst can use to keep stakeholders working together and heading in the same direction.

**Risk Analysis Results** Some risks identified for your project will be stakeholder-related risks. You will need to address these risks to maintain communication and collaboration with stakeholders across the project life cycle.

Table 5.11 summarizes the inputs, guidelines, and tools for this task and lists the source of each input (if applicable).

**TABLE 5.11** Inputs: Manage stakeholder collaboration.

Task Input	Input Type	Input Source	Source Knowledge Area
Stakeholder engagement approach	Input	Plan stakeholder engagement.	Business Analysis Planning and Monitoring
Business analysis performance assessment	Input	Identify business analysis performance improvements.	Business Analysis Planning and Monitoring
Business analysis approach	Guidelines and tools	Plan business analysis approach.	Business Analysis Planning and Monitoring

Task Input	Input Type	Input Source	Source Knowledge Area
Business objectives	Guidelines and tools	Define future state.	Strategy Analysis
Future state description	Guidelines and tools	Define future state.	Strategy Analysis
Recommended actions	Guidelines and tools	Recommend actions to increase solution value.	Solution Evaluation
Risk analysis results	Guidelines and tools	Assess risks.	Strategy Analysis

When managing stakeholder collaboration across the project life cycle, the business analyst performs several elements, including the following:

- Gaining agreement on commitments
- Monitoring stakeholder engagement
- Collaborating

Let's step through each of these three elements now:

**Gaining Agreement on Commitments** Business analysis activities typically require time and resource commitments from the stakeholders. These expectations are key parts of completing the business analysis work in a timely fashion. The terms and conditions of time and resource commitments should be discussed and negotiated as early as possible to avoid or minimize conflicts. Remember to use your negotiation, communication, and conflict resolution skills when managing stakeholder collaboration.

**Monitoring Stakeholder Engagement** Monitoring participation and performance of stakeholders doing business analysis work is another important task for the business analyst. The right stakeholders need to participate on the right things in order for the work to be done correctly. Keeping stakeholders engaged and interested in the business analysis work is also essential.

A number of risks come into play when stakeholders are involved in business analysis work. Stakeholders can be diverted to other work activities that are not part of your efforts. They can also provide low-quality business analysis information that impacts your requirements and designs. Confirmation and approval of elicitation results and other business analysis deliverables must be completed in a timely fashion.

**Collaborating** Business analysts should encourage free flow of information, ideas, and innovations when working with stakeholders. Common sense tells us that stakeholders who feel that they are part of the team are typically more engaged with the work that is being done. Collaboration requires regular, frequent, bidirectional communication between the business

analysis team and the stakeholders. This stakeholder “care and feeding” is an important part of the business analyst’s job.

There are several techniques that you may choose to apply when managing stakeholder collaboration. One technique that we recommend is collaborative games, an engaging way to get your stakeholders to work as a team. Let’s take a look at this recommended technique in greater detail.

### **Recommended Technique: Collaborative Games**

Collaborative games stimulate teamwork and collaboration by putting participants in an environment where they elicit information and build a joint understanding of a problem or solution. These games are designed to facilitate collaboration between the participants while focusing them on a specific objective. Participants share their knowledge on a particular topic, identify assumptions, and explore the knowledge together in creative ways. People with different points of view learn how to work together and develop a shared model of what is needed.

A neutral facilitator usually manages the event and enforces the rules of the game across all participants. Most collaborative games involve a strong visual or tactile element, such as using sticky notes, whiteboards, or drawing pictures. Games typically have these three steps:

1. The first step is an opening step to get participants involved and aware of the rules of the game. They may also start generating ideas during this step.
2. The exploration step is where participants engage and look for connections between their ideas, test the ideas, and experiment with new ideas.
3. The closing step has everyone assessing the ideas and working out which ideas are the most useful relative to the objective of the game.

At the end of the game, the facilitator debriefs the activity. Participants then review the results and decide what needs to happen next as a result of what was learned in the session.

### **Additional Techniques to Consider**

There are many other techniques to choose from when you find yourself managing and encouraging stakeholder collaboration on your projects. Let’s step through each of them here:

**Lessons Learned** Lessons learned provide a great way to understand stakeholder engagement and satisfaction as part of your project team. They also offer the opportunity to improve working relationships by making changes in the way things are done.

**Risk Analysis and Management** Risk analysis and management is used to identify and manage stakeholder-related risks, such as participation, involvement, or engagement.

**Stakeholder List, Map, or Personas** This technique provides the business analyst with a list of the stakeholders who are available to participate in business analysis work.

Once you have selected and applied one or more techniques as part of your efforts, you are ready to get your stakeholders engaged with your project efforts. We will discuss that next.

### **Achieving Stakeholder Engagement**

The *BABOK® Guide* defines *stakeholder engagement* as “willingness from stakeholders to engage in business analysis activities and interact with the business analyst when necessary.” All types of stakeholders may be involved with the business analysis activities on a project at some point in time. Managing these stakeholder resources effectively and keeping them engaged with the work falls on the business analyst’s shoulders. This task output is fairly subjective. You will be tasked with getting the stakeholders to “play pretty” and be a part of things. All stakeholders on your project may collaborate with the business analyst, project team members, and one another while dealing with a proposed change.

Now let’s wrap up our review of the Elicitation and Collaboration knowledge area.

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Now let’s wrap up our review of the Elicitation and Collaboration knowledge area

## **5.5 How This Applies to Your Projects**

In this chapter, you stepped through tasks guiding you in eliciting information for your project’s business, stakeholder, solution, and transition requirements. Remember that requirements elicitation work is iterative and incremental in nature. One of the biggest challenges that you

will encounter in your projects is making sure that you ask the stakeholders all of the right questions. After all, the goal is to get the right information so you can develop correct and complete requirements defining what capabilities the new solution has to offer. Engaging and collaborating with your stakeholders is another essential component of a successful project.

Many types of questions are used in gathering business analysis information. Using all types of questions as part of your elicitation activities allows you to organize and discover what the stakeholders need and want within the scope of the proposed solution. Remember, skilled requirements analysts are experts at asking questions, especially when they don't know the answers. These are the types of questions a skilled business analyst should be proficient with:

- Research questions
- Detailed questions
- Directive questions
- Meta questions
- Open-ended questions
- Closed-ended questions

We'll take a quick look at each of these question types, but first let's see how one seasoned business analyst uses them in interviews.

**Research Questions** These are general questions inviting your stakeholders to provide you with information about their concerns, interests, and needs relative to the solution scope. Research questions allow a skilled business analyst to assess the stakeholder needs. People are comfortable answering research questions when the questions are not limited or specific and the answers are not controlled in any way. An example of a research question might be "What constitutes success for this project?"

**Detailed Questions** Detailed questions focus on gathering specific information within the predefined solution scope. These questions are typically the step after research questions and help the business analyst focus on more specific information that is needed. To be thorough, detailed questions should be framed around the five Ws: who, what, where, when, and why. As your questions become more specific, it is important to discourage one-word answers, such as yes and no. This can often be achieved in the phrasing of each question. An example of a detailed question is, "Who provides you with this information?"

**Directive Questions** Directive questions are used primarily by business analysts in group settings where there are contradictions in what the business analyst has been told. Directive questions direct the other parties to an area where agreement needs to be reached and sometimes away from an area that is contentious. For project requirements information, these questions can be used to get consensus on specific features and functionality and to encourage stakeholder decision making. One example of a directive question might be, "What is the relative priority of this key feature?"

**Meta Questions** Meta questions are powerful tools. They allow you to clarify and enhance what has just been said. Basically, meta questions are questions about questions. This communications strategy allows the business analyst to promote open communication in a nonthreatening way. Meta questions clarify and summarize what the business analyst has been told. They are an active listening technique that proves that the business analyst really listened

to what a particular stakeholder said during requirements elicitation. An example of a meta question is, “Do you mind if I ask you about . . . ?”

Both research and detailed questions can be open-ended or closed-ended questions. Be sure you can distinguish between the two types of questions, as this is a topic that could appear on your certification exam.

Using a good blend of question types at all levels of detail allows you to elicit more complete and correct requirements information for your projects. Saving your questions and reusing them is another best practice that you should apply on all of your projects. Once you have well-written, general questions, it is easy to use them on another project. Building requirements elicitation questionnaires or surveys based on your proven questions often raises the quality and quantity of business analysis information received. It also saves you from reinventing the wheel.



## Chapter 5 Summary/Review

1. The five tasks in the Elicitation and Collaboration knowledge area guide a business analyst in effectively gathering and organizing requirements information at any level of detail. It is difficult to develop complete and correct requirements for your project if you do not elicit complete and correct business analysis information from your stakeholders. Remember, elicitation is not just asking questions.
2. Effective communication and collaboration skills are underlying competencies enabling a business analyst to do this work. Successful projects start with defining and agreeing to what is needed. Without the ability to elicit high-quality requirements information, business analysts will find it difficult to perform their jobs well.
3. Your elicitation results must be documented, confirmed, and used in subsequent requirements development activities, such as analysis and specification. The stated, confirmed requirements and any stakeholder concerns are the building blocks from which the real requirements for your projects will be derived.



### Review Questions (Short)

1. All of the following tasks are performed during elicitation except:?
2. What is the proper sequence for conducting any type of elicitation technique?
3. Who may participate in requirements elicitation activities?
4. What are the three types of interfaces typically looked at during interface analysis?
5. Does the existing functionality currently meet your needs?" is an example of what type of structured interview question?



### Review Questions (Long)

1. You are working with a group trying to build a diverse list of possible approaches as to how the team might solve a specific business problem. What technique should the group consider applying?
2. You have just discovered that the business process expert, who was responsible for the existing system currently being upgraded, is no longer employed by the company. Which elicitation technique might you apply in this situation?
3. You are planning a focus group to elicit requirements for a new online order-entry system, addressing a wide variety of end users interacting with the system in different ways. What type of users should you include in your focus group?
4. You and the project sponsor are informally discussing what the business expects from a proposed new system. You came into the discussion with no prepared questions. What type of elicitation interview are you conducting?

You are reviewing documents for the current system in order to confirm the existing requirements. Document analysis is an effective technique for doing this work as long as the documents being reviewed are



### Review Questions (MCQ)

1. The requirements elicitation technique that uncovers and visualizes the interface requirements before an application is designed or developed is called:

1. Prototyping
2. Interface analysis
3. Observation
4. Reverse engineering

2. What technique provides an effective method for eliciting requirements information from many people in a short period of time?

1. Workshop
2. Interview
3. Survey
4. Review

3. Eliciting requirements using a brainstorming session enables the participants to exercise \_\_\_\_\_ thinking.

1. Creative
2. Parallel
3. Focused
4. Critical

4. You and the project sponsor are informally discussing what the business expects from a proposed new system. You came into the discussion with no prepared questions. What type of elicitation interview are you conducting?

1. Structured
2. Functional
3. Unstructured
4. Discussion

5. All of the following are games that may be used to encourage stakeholders to develop a joint view of a problem or potential solution except:

1. Affinity map
2. Product box
3. Business rules
4. Fishbowl



## Case Studies / Projects

### Palmer Divide Vineyards Elicitation Worksheet

The IT staff at the vineyard has a long history of projects that don't go according to plan. Almost every effort is over budget and behind schedule. The team has been assessing their current project practices in order to achieve more successful results. Taylor, the head of IT, has decided that this has gone on for long enough. She is determined to put project management processes in place that enable better project outcomes and less rework. One area of weakness is the team's approach to requirements development. In the past, senior management has been reluctant to allot much time for defining what needs to be done. They ask, "When will you guys be doing the real work and producing something useful?" For the research study project, Taylor and the team have defined a simple requirements development process that they plan to follow. Senior management has agreed to allot them the extra time to define requirements before the design and coding efforts begin. One step in Taylor's process is requirements elicitation. She believes that gathering the right information from the right folks makes all the difference. Even though the vineyard is a small company, there are many opinions on what needs to be done and what is most important. Taylor hopes to harness that information and target defining high-quality requirements for this and every subsequent project.

#### REQUIRED:

- What prototype allows you to learn about user interface needs and then to evolve the requirements into a fully functioning system?
- During an active observation session, the business analyst watches the user carefully, asks them probing questions?



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