**Business Analysis and Defining Requirements Standard Operating Procedure**

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**&& Notes to analysts**

* This SOP is meant to organize all the decisions, templates, tools that were created during the workshop.
* It is considered the main deliverable.
* We expect the client will edit this document as they grow their process so everything must be editable.
* Use the Heading 1,2,3 in the heading bar to preserve the automatic formatting.
* Use f9 to update the auto generated table of contents.

**&&Workshop Facilitator Guidance: How to Use this Document**

1. Replace “YOUR COMPANY LOGO GOES HERE” on cover page with client’s logo.
2. Search for all instances of ‘&&’ and replace with appropriate information.   
   Make sure to update the footer reference to [&&client name].
3. Add content to each section based on completion of the corresponding workshop session.   
   Use facilitator guidance and sample content provided (all with ‘&&’ prefixes for ease of searching) to guide development of client-specific content for each section.   
   Remove facilitator guidance and sample content upon completion of client content documentation.
4. Update the Table of Contents (page 2), and remove all items above “About this Document”.
5. Remove this section prior to delivering to client.

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# About This Document

## Purpose

This document summarizes the methodologies, processes, and decision points related to business analysis and requirements definitions activities at [&&*client name*], as originally documented during the Info-Tech Client Optimization Workshop of [&&*workshop date*] and as revised thereafter by [&&*client name*] staff.

This document is intended to act as an end-to-end guide to performing business analysis and requirements activities, as an essential component of executing IT efforts in support of [&&*client name*] business objectives.

## Structure of this Document

This document is structured into 3 major sections:

1. **Project Initiation & Selecting a Business Analysis Methodology**This section summarizes:
   * How projects are initiated
   * The discrete set of top-level business analysis methodologies used within [&&*client name*],
   * How decisions are made to use (and possible tailor) a specific business analysis methodology on any given project.

Each of these top-level methodologies is detailed in section 2.

1. **Business Analysis Methodology SOPs**This section details *each* of the business analysis methodologies identified and summarized in section 1.   
   For example:
   * Section 2.A – Large Project Methodology
   * Section 2.B – Small Project Methodology
   * Section 2.C – High Risk Project Methodology

Some elements of the SOPs are common across *all* of the methodologies. These are referenced in this section, but detailed in section 3.

1. **Shared SOP Elements**For each SOP element that is common across the entire set of business analysis methodologies in use at [&&*client name*], this section details that SOP, as referenced in section 2.

Through the SOPs documented in these sections, [&&*client name*] is able to structure and execute all key business analysis and requirements definition activities in order to efficiently and effectively deliver solutions that meet business objectives and support enterprise architecture goals.

# Project Initiation & Selecting a Business Analysis Methodology

**&&Workshop Facilitator Guidance: Purpose of this section**

This section includes content that will enable the client to pick the appropriate business analysis methodology for a specific project, adapt it as needed, and then begin the business analysis and requirements definition process for that project (as defined in section 2 of this SOP). The content for this SOP section is developed in Workshop section 1.

**&&Workshop Facilitator Guidance: How to Complete this Section**

**Project Initiation & Selecting a Business Analysis Methodology**

This section summarizes:

* + How projects are initiated & executed
  + The discrete set of top-level business analysis methodologies used within [&&*client name*],
  + How decisions are made to use (and possible tailor) a specific business analysis methodology on any given project.

Each of these top-level methodologies is detailed in section 2.

**&&Workshop Facilitator Guidance: Elements to include**

This section should include:

1. A ***top-level*** “where does the client sit” on the WF<->Agile spectrum and list of pain points
2. A ***top-level*** project initiation flowchart & supporting process step details (see Appendix A for template)
   * Note that this is NOT a PPM (Project/Portfolio Management) SOP.
   * Keep it at a high level, with enough information to understand *where and how* new initiatives are identified as requiring business analysis and requirements definition attention.
3. A ***top-level*** project execution flowchart indicating steps during which business analysis & requirements definition activities are involved.
4. A ***top-level*** description of ***each*** of the discrete business analysis methodologies in use
   * Include the 8 elements from BABOK® v2 section 2.1 to provide insight into why and when one methodology is used vs. another.
   * Include the 6 elements from BABOK® v2 section 2.5 to provide an overview of the *standard* requirements management processes for each methodology.
5. Include information about *tailoring*
   * Under what circumstances, and based on the approval of which individuals, can each of the business analysis methodologies be adapted to suit the needs of a particular initiative?

## Overview of Current Approaches to Managing Projects

&&Note the client’s *current* position along the Waterfall/Agile spectrum shown below. Add some notes that provide further information about that current state.

At present, [&&*client name*] tends to manage and execute projects using methodologies that are [&& *describe: plan driven, change driven, more plan than change, more change than plan*], as shown in the diagram below.

[&&*Add any additional notes about how different types of projects are handled in different ways – this information will lead into section 1.3*]

### Business Analysis and Requirements Definition Challenges

Historically, significant requirements-related pain points in approaches to project management and execution have included:

[&&*Ideally, insert snapshots of the* ***responses*** *from the Diagnostic Tool – but use the following table for now*]

|  |  |  |  |
| --- | --- | --- | --- |
| **Specific Challenges** | **Level of Pain & Associated Notes** | | |
| **Start of Workshop (Actual)** | **End of Workshop (Anticipated)** | **Follow-Up Review (Actual)** |
| Unclear project goals |  |  |  |
| Unclear about who is involved in a project |  |  |  |
| Unclear and incomplete requirements |  |  |  |
| Lack of understanding of scope during design |  |  |  |
| Lack of stakeholder input |  |  |  |
| Lack of stakeholder communication |  |  |  |
| Not delivering what stakeholders want |  |  |  |
| Unclear goals of development effort |  |  |  |
| Changing requirements mid-development |  |  |  |
| Inability to solve issues immediately |  |  |  |
| Not enough details in requirements |  |  |  |
| Not enough team communication |  |  |  |
| Not meeting team deadlines |  |  |  |
| Stakeholders not knowing what was accomplished |  |  |  |
| Everything takes too long |  |  |  |
|  |  |  |  |
|  |  |  |  |

### Workshop Mapping of Challenges

The challenges associated with historic approaches to project management and execution can be mapped against the sections of the workshop, as follows:

[&&*Ideally, insert snapshots of the* ***outputs*** *from the Diagnostic Tool – but use the following table for now*]

|  |  |  |  |
| --- | --- | --- | --- |
| **Challenges Mapped to Workshop Sections** | **Level of Pain & Associated Notes** | | |
| **Start of Workshop (Actual)** | **End of Workshop (Anticipated)** | **Follow-Up Review (Actual)** |
| 1.2 Business Analysis Planning & Methodology |  |  |  |
| 1.3 Refining Your Requirements Methodologies |  |  |  |
| 2.1 Business & Stakeholder Requirements Gathering Processes |  |  |  |
| 2.2 Solution Requirements Gathering Processes |  |  |  |
| 2.3 Requirements Prioritization and Optimization Processes |  |  |  |
| 3.1 Build vs. Buy Decision-Making Processes |  |  |  |
| 3.2 Buy Projects – Selection Processes |  |  |  |
| 3.3 Build Projects – Specification Processes |  |  |  |
| 3.4 Validate & Evaluate Performance of Deployed Solutions |  |  |  |
| 4.1 Managing Approvals, Changes & Requirements Risk |  |  |  |
| 4.2 Optimizing Requirements Team Performance |  |  |  |
| 4.3 Continuous Improvement of Requirements Processes & Tools |  |  |  |
| 4.4 Managing Stakeholder Feedback and Expectations |  |  |  |

## Top-Level Project Initiation & Execution Process

&&The following is an example top-level project initiation process. Edit /replace with client-specific process flow. Ensure that process step details (see Appendix A) are completed (or assigned for completion) and inserted below in support of the process flowchart.

The following process flow and supporting process step details reflect how projects are initiated:



&&The following includes an example top-level ***waterfall, agile,*** and ***hybrid*** project execution processes. Edit /replace with client-specific process flows. Ensure that process step details (see Appendix A) are completed (or assigned for completion) and inserted below in support of the process flowchart.

The following process flow and supporting process step details reflect the *planned* approach (or approaches) to executing projects using improved business analysis and requirements definition techniques:

**Waterfall example:**



**Agile example:**



**Hybrid example:**



## Top-Level View of Business Analysis Methodologies in Use

&& The following table should be used to capture high-level information about the specific business analysis methodologies in use. Edit/replace with client-specific information as the workshop progresses.

The table on this page summarize the business analysis methodologies that will be used at [&&client name], as detailed throughout the execution of the workshop.

| **Business Analysis  Methodology** | **Small Projects** | **Large Projects** | **High-Risk Projects** |
| --- | --- | --- | --- |
| **Typical Project Initiation Process** | Approved maintenance requests | Approved projects from PPM/IT Steering Committee | *Ad hoc* requests from C-level management |
| **Summary of**  **Applicability/ Constraints**   * **Cost** * **Time** * **Labor** * **Other** | Use this methodology for:   * <$5000 * <1 month elapsed * <1 person-month of effort | Use this methodology for:   * >$5000 * >1 month elapsed * >1 person-months of effort | Use this methodology for:   * Systems dealing with regulated information |
| **Other Relevant Information for the**  **Business Analysis Methodology** |  |  |  |

Artifacts in support of each business analysis methodology are included in sections 2 and 3 of this *Guide*, and supporting information is captured in the following accompanying documents:

1. Requirements Definition SOP.xls
   * This Excel document captures details about each aspect of each business analysis methodology, defining the context within which business analysis and requirements definition activities are performed at [&&client name].
   * Reference Appendices B through G for details from BABOK® v2 (section 2) about what to consider when defining each element of the Business Analysis Methodology.
2. BA Activities Plan.xlsx
   * This Excel document captures details about the BA activities associated with each business analysis methodology, specifying the steps that are followed during execution of business analysis and requirements definition activities at [&&client name].
   * Reference the relevant BABOK® v2 section about what to consider within each BA activity.

# Business Analysis Methodology SOPs

**&&Workshop Facilitator Guidance: Purpose of this section**

This section includes content that will enable the client to complete ***all*** business analysis and requirements definition activities for a specific project, based on the selection (and, if necessary, adaptation) of a top-level business analysis methodology from section 1.

The content for this SOP section is developed in Workshop sections 2, 3, and 4.

**&&Workshop Facilitator Guidance: How to Complete this Section**

**Business Analysis Methodology SOPs**This section details *each* of the business analysis methodologies identified and summarized in section 1.   
  
For example:

* + Section 2.1 – Large Project Methodology
  + Section 2.2 – Small Project Methodology
  + Section 2.3 – High Risk Project Methodology

The detail for each methodology includes sections covering:

* + Workshop sections 1.2-1.3 detail information
  + Workshop section 2.1 - Business & stakeholder requirements gathering (ref. BABOK® sections 1.3.3)
    1. Enterprise analysis (BABOK® section 5)
    2. Business case development (BABOK® section 5.5)
  + Workshop section 2.2 – Solution requirements gathering (ref. BABOK® sections 1.3.3)
    1. Elicitation – preparing, gathering, documenting, confirming (BABOK® section 3)
    2. Requirements management and communication (BABOK® section 4)
  + Workshop section 2.3 – Requirements analysis
    1. Prioritization and optimization (BABOK® section 6.1-6.2)
    2. Specification, modeling, assumptions and constraints (BABOK® 6.3-6.4)
    3. Verification and validation (BABOK® 6.5-6.6)
  + Workshop section 3.1 – BVB
    1. BVB decision making processes (referencing back to business case development/Workshop section 2.1)
    2. Assessing proposed solutions and allocating requirements (BABOK® 7.1-7.2)
  + Workshop section 3.2 – Buy
    1. RFPs and handoff to acquisition processes
    2. Refinement of buy requirements - including assessment of org readiness and defining transition requirements (BABOK® 7.3-7.4)
  + Workshop section 3.3 – Build
    1. Refinement of build requirements - including assessment of org readiness and defining transition requirements (BABOK® 7.3-7.4)
    2. Estimation & hand-off to execution processes
  + Workshop section 3.4 – After delivery
    1. Validation and solution performance evaluation
  + Workshop section 4.1 – Approvals, changes, and risks
    1. Approval management
    2. Risk management
    3. Change management
    4. Process enforcement & adherence to IT/Corp standards
  + Workshop section 4.2 – Optimizing team performance
    1. BA management processes (including BABOK® section 2.6)
  + Workshop section 4.3 – Continuous process improvement
    1. CPI plans
  + Workshop section 4.4 – Stakeholder management
    1. Education, feedback and expectation management

Some elements of the SOPs are common across *all* of the methodologies. These will be ***referenced*** in this section, but ***detailed*** in section 3, and are indicated above as underlined components.

Depending on the client’s specific needs, there may be additional section 2 elements that are also common across all the BA methodologies that the client uses. If so, include ***references*** to these as well, and provide ***details*** for these in section 3.

**&&Workshop Facilitator Guidance: Elements to include**

This section should include details (or references to SOP section 3) associated with each of the workshop sections, for each of the methodologies defined in SOP section 1.

## Standard Project Methodology

### Requirements Gathering Processes

Materials in this section are covered in detail in workshop section 2.1

### Requirements Management Processes

Materials in this section are covered in detail in workshop section 2.2

### Business & Stakeholder Requirements Gathering Processes

Materials in this section are covered in detail in workshop section 2.3

### Requirements Prioritization and Optimization Processes

Materials in this section are covered in detail in workshop section 2.4

### Build vs. Buy Decision-Making Processes

Materials in this section are covered in detail in workshop section 3.1

### Buy Projects – Selection Processes

Materials in this section are covered in detail in workshop section 3.2

### Build Projects – Specification Processes

Materials in this section are covered in detail in workshop section 3.3

### Validate & Evaluate Performance of Deployed Solutions

Materials in this section are covered in detail in workshop section 3.4

The following sections are available for populating details about variations on the standard methodology.

## *Variation 1* Project Methodology

## *Variation 2* Project Methodology

# Shared SOP Elements

**&&Workshop Facilitator Guidance: Purpose of this section**

This section includes content that will enable the client to re-use elements of their business analysis methodologies that are common across all those methodologies.

The content for this SOP section is developed in Workshop sections 3.4, and 4.x.

**&&Workshop Facilitator Guidance: How to Complete this Section**

**Shared SOP Elements**For each SOP element that is common across the entire set of business analysis methodologies in use at [&&*client name*], this section details that SOP, as referenced in section 2.

Typically, this includes the following sections:

* + Workshop section 3.4 – After delivery
    1. Validation and solution performance evaluation
  + Workshop section 4.2 – Optimizing team performance
    1. BA management processes (including BABOK® section 2.6)
  + Workshop section 4.3 – Continuous process improvement
    1. CPI plans
  + Workshop section 4.4 – Stakeholder management
    1. Education, feedback and expectation management

Depending on the client’s specific needs, there may be additional section 2 elements that are also common across all the BA methodologies that the client uses. If so, include these as well.

**&&Workshop Facilitator Guidance: Elements to include**

This section should include details associated with each of the workshop sections that are common across all methodologies in use (as referenced in SOP section 2), for each of the methodologies defined in SOP section 1.

Add client content here …

# Appendices

Appendix A: Process Step Detail Template

*Appendices B through G support completion of Business Analysis Methodologies details as referenced in section* 1.3 *of this Guide. All references within Appendices B through G are to sections of BABOK*® *v2, and all content in Appendices B through G is sourced from BABOK*® *v2.*

Appendix B: Plan Business Analysis Approaches

Appendix C: Conduct Stakeholder Analysis

Appendix D: Plan Business Analysis Activities

Appendix E: Plan Business Analysis Communication

Appendix F: Plan Requirements Management Process

Appendix G: Manage Business Analysis Performance

## Appendix A: Process Step Detail Template

Use the following as a template for documenting details associated with any process steps included in flowcharts from the SOPs above.

|  |  |  |
| --- | --- | --- |
| **Process Reference** | *Insert reference ID/# and name/title of the process step.* | |
| **Requirements & Inputs** | *Insert details about upstream requirements and inputs into this process step: what is required for this step to be successful?* | |
| **Participants (RACI format)** | **Responsible:** | *Insert name(s) and role(s) of individual(s) responsible for completing the work in this process step.* |
| **Accountable:** | *Insert name and role of the single individual responsible for making decisions related to this process step.* |
| **Consulted:** | *Insert name(s) and role(s) of individual(s) who must be consulted prior to, and who may provide input into, the work in this process step.* |
| **Informed:** | *Insert name(s) and role(s) of individual(s) who must be notified of the outcome of this process step.* |
| **Activities** | *Insert details about the activity (or activities) performed in this process step.* | |
| **Outputs** | *Insert details about the output (or outputs) of this process step, including where outputs are used in subsequent process steps.* | |

## Appendix B: Plan Business Analysis Approach

These details support completion of the *Requirements Definition SOP.xls*, as referenced in section 1.3.

Source: *BABOK*® *v2,* section 2.1.4.

Almost all methodologies fit somewhere along a spectrum between plan-driven and change-driven approaches.

**Plan-driven** approaches focus on minimizing up-front uncertainty and ensuring that the solution is fully defined before implementation begins in order to maximize control and minimize risk. These approaches tend to be preferred in situations where requirements can effectively be defined in advance of implementation, the risk of an incorrect implementation is unacceptably high, or when managing stakeholder interactions presents significant challenges. The authority to approve requirements typically rests with selected stakeholders and the project sponsor. The project sponsor will have the final authority to approve solution requirements, but it is common for sponsors to insist that other stakeholders grant their approval before the sponsor will. Waterfall methods of software development and business process re-engineering initiatives are typical examples of plan-driven approaches.

**Change-driven** approaches focus on rapid delivery of business value in short iterations in return for acceptance of a higher degree of uncertainty regarding the overall delivery of the solution. These approaches tend to be preferred when taking an exploratory approach to finding the best solution or for incremental improvement of an existing solution. The authority to approve requirements usually rests with a single individual, who is an active participant in the team’s daily activities—others may advise or be informed but may not withhold consent, and the approval process must be completed within a strict time limit. Agile methods of software development, as well as continuous improvement projects, are typical examples of change-driven approaches.

The performance of this task is dependent on where the selected approach falls on this spectrum. The descriptions below touch on the ends of the spectrum, and hybrid approaches may combine aspects of both. Similar considerations must be taken into account whether the business analyst is selecting or tailoring the approach.

**Appendix B: Plan Business Analysis Approach** (continued)

|  |  |
| --- | --- |
| Timing of business analysis work | Determine when the business analysis efforts should occur, when tasks need to be performed, and if the level of business analysis effort will need to vary over time. This includes determining whether enterprise analysis, requirements analysis, and solution assessment and validation activities will be performed primarily in specific project phases or iteratively over the course of the initiative.  **Plan-driven** approaches have most business analysis work occur at the beginning of the project or during one specific project phase. The exact name of the phase varies by the specific methodology, but the main focus of the phase includes such activities as eliciting, analyzing, documenting, verifying, and communicating the requirements, as well as reporting on the status of the business analysis activities work for the project.  **Change-driven** approaches may have a business analysis effort conducted early to produce an initial list of high-level requirements (also referred to as requirements envisioning). This product backlog is then updated throughout the project as new requirements emerge. Throughout the project, these requirements will be prioritized and reprioritized based on the business need. The highest-priority requirements will be taken from the backlog for detailed requirements analysis as resources become available for implementation, and implementation will begin as soon as analysis is complete. |

**Appendix B: Plan Business Analysis Approach** (continued)

|  |  |
| --- | --- |
| Formality and level of detail of business analysis deliverables | Determine whether requirements will be delivered as formal documentation or through informal communication with stakeholders, and the appropriate level of detail that should be contained in those documents. The expected deliverables must be defined as part of the approach. See *Chapter 4: Requirements Management and Communication* for examples of business analysis deliverables.  **Plan-driven** approaches typically call for a significant amount of formality and detail. Requirements are captured in a formal document or set of documents which follow standardized templates. This may be preceded by a number of requirements related documents, built with increasing levels of detail, including a high level vision and scope document that focuses on business requirements, and documents describing the requirements from the point of view of specific stakeholder groups. Relevant stakeholders must generally formally approve each of these documents before work begins on requirements at a lower level of detail. The specific content and format of the requirements documents can vary, depending on the organizational methodologies, processes, and templates.  **Change-driven** approaches favor defining requirements through team interaction and through gathering feedback on a working solution. Mandatory requirements documentation is often limited to a prioritized requirements list. Additional documentation may be created at the discretion of the team and generally consists of models developed to enhance the team’s understanding of a specific problem. An alternative approach is to document the requirements in the form of acceptance criteria accompanied by tests. Formal documentation is often produced after the solution is implemented to facilitate knowledge transfer.  Determine how requirements will be prioritized and how those priorities will be used to define the solution scope. Methods of prioritizing requirements are discussed in *Prioritize Requirements (6.1)*. Also see *Chapter 5: Enterprise Analysis* for information on defining the solution scope and *Chapter 4: Requirements Management and Communication* for information on managing the solution scope. Prioritization methods will also be used when performing *Allocate Requirements (7.2)*. Change-driven approaches tend to place a great deal of emphasis on effective requirements prioritization methods, due to the small scope of each iteration or release. |

**Appendix B: Plan Business Analysis Approach** (continued)

|  |  |
| --- | --- |
| Requirements prioritization | Determine how requirements will be prioritized and how those priorities will be used to define the solution scope. Methods of prioritizing requirements are discussed in *Prioritize Requirements (6.1)*. Also see *Chapter 5: Enterprise Analysis* for information on defining the solution scope and *Chapter 4: Requirements Management and Communication* for information on managing the solution scope. Prioritization methods will also be used when performing *Allocate Requirements (7.2)*. Change-driven approaches tend to place a great deal of emphasis on effective requirements prioritization methods, due to the small scope of each iteration or release. |
| Change management | Changes to requirements may occur at any time. Consider the expected likelihood and frequency of change and ensure that the change management process is effective for those levels of change. Effective business analysis practices can significantly reduce the amount of change required in a stable business environment but cannot eliminate it entirely.  **Plan-driven** approaches seek to ensure that changes only occur when they are genuinely necessary and can be clearly justified. Each change is often handled as a “mini project,” complete with requirements elicitation, estimates, design, etc. Changed requirements impact both the solution scope and the project scope and the change management process will be incorporated into the overall project management process.  Many organizations have a formal process which includes a request for change, a change log that tracks the changes that have been received, and an analysis of the impact of the change not only to the project, but also to other business and automated systems. In practice, the number and impact of change requests often increases towards the end of the project. This can be due to any combination of factors, including loosely scoped projects, lack of requirements ownership by project stakeholders, poorly performed business analysis, changing management priorities, business reorganization, regulatory change, or changing business requirements.  **Change-driven** approaches presume that it is difficult to identify all requirements in advance of their implementation. There is generally no separate change management process distinct from the selection of requirements for a given iteration. Changes to existing solution capabilities are simply prioritized and selected for an iteration using the same criteria as new features and capabilities. |

**Appendix B: Plan Business Analysis Approach** (continued)

|  |  |
| --- | --- |
| Business analysis planning process | The business analyst must determine the process that will be followed to plan the execution of businesses analysis activities. In most cases, this process will be integrated into a larger project plan. |
| Communication with stakeholders | Communications may be written or verbal, formal or informal. Decisions must be made at the outset of the project as to the applicability of such communications technologies such as email with regards to project decision-making and approval of deliverables.  **Plan-driven** approaches tend to rely on formal communication methods. Much of the communication of the actual requirements is in writing, and often uses pre-defined forms requiring signatory approvals. All project documentation is normally archived as part of the project history.  **Change-driven** approaches focus more on frequency of communication than on formal documentation. Official documentation is often in writing, but informal communication takes precedence over more formal written communication. Documentation frequently occurs following implementation. |
| Requirements analysis and management tools | The business analyst must identify any requirements analysis or management tools that will be used. These tools may shape the selection of business analysis techniques, notations to be used, and the way that requirements will be packaged. |
| Project complexity | The complexity of the project, the nature of the deliverables, and the overall risk to the business needs to be taken into consideration. The factors listed below, among others, increase the complexity of business analysis efforts as they increase:   * number of stakeholders * number of business areas affected * number of business systems affected * amount and nature of risk * uniqueness of requirements * number of technical resources required   The level of requirements uncertainty is partly dependent on the domain of the project. |

## Appendix C: Conduct Stakeholder Analysis

These details support completion of the *Requirements Definition SOP.xls*, as referenced in section 1.3.

Source: *BABOK*® *v2,* section 2.2.4.

Stakeholder roles must be identified early in the project in order to help ensure timely delivery of requirements deliverables. Note that some individuals may be called on to play a variety of stakeholder roles on the same project, as well as on different roles on different projects.

|  |  |
| --- | --- |
| Identification | Understanding who the stakeholders are and the impact of proposed changes on them is vital to understanding what needs, wants, and expectations must be satisfied by a solution.  Because requirements are based on stakeholder needs, wants, and expectations, those that are uncovered either late or not at all could require a revision to requirements that changes or nullifies completed tasks or tasks already in progress, increasing costs and decreasing stakeholder satisfaction. Change-driven approaches may better accommodate this risk, but cannot eliminate it, as late stakeholder identification can still result in alterations to the project roadmap and release content.  Who participates in which business analysis activities can vary between projects, methodologies, and organizations. For example, some organizations may encourage members of the technical team to attend requirements workshops to provide costs, technical effort estimates and information on technical impacts while others may rule that no technical discussion is permitted during these meetings. |
| Complexity of stakeholder group | The complexity of interactions with a stakeholder group may be affected by factors such as:  **Number and variety of direct end users** in their constituency. Different approaches, plans, reports, amount of formality, and the amount of documentation can be customized based on the number of stakeholders each subject matter expert represents. Stakeholders with fewer constituents may be able to represent their stakeholder group without much difficulty. Stakeholders representing a large number of constituents or representing those from different functional areas or divisions may need to research information or engage in requirements elicitation themselves.  **Number of interfacing business processes and automated systems**. The planning for stakeholders who represent those performing complex, interfacing, or overlapping business processes is different from those whose processes are more self-contained. Since not all stakeholders can or want to attend all requirements workshops, they can be more easily persuaded if the workshop pertains to their process and the associated software application. |

**Appendix C: Conduct Stakeholder Analysis** (continued)

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| Attitude and influence | Assess stakeholder attitudes toward and influence over the initiative. Factors to consider include:  **Attitude** towards:   * The business goals, objectives, and solution approach:   + Do they believe that the solution will benefit the organization?   + Will the benefits affect them directly?   + Will the benefits be accrued elsewhere?   + Are the possible negative effects of the initiative on this stakeholder greater than the rewards?   + Do they believe that the project team can successfully deliver the solution? * Attitude towards business analysis:   + Do they see value in defining their requirements?   + Do they present solutions and expect the requirements to be contained in that solution, and believe that this will enable them to avoid requirements definition? * Attitude towards collaboration:   + Have they had success on previous collaborative efforts?   + Does the organization reward collaboration?   + Is the organization hierarchical in nature, rather than being team-based?   + Are personal agendas the norm? * Attitude towards the sponsor:   + On cross-functional efforts, do all the SMEs support the sponsor?   + Are there SMEs who would prefer another sponsor? * Attitude towards team members:   + Have key members of the project team (including but not limited to the business analyst) built trusting relationships or have there been prior failed projects or project phases involving those people? |

**Appendix C: Conduct Stakeholder Analysis** (continued)

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| Attitude and influence  (continued) | **Influence**: Understanding the nature of influence and the influence structures and channels within an organization can prove invaluable when seeking to build relationships and work towards building trust. Understanding the influence each stakeholder may have, as well as their attitude, can help develop strategies for obtaining buy-in and collaboration. Some factors relating to influence to consider are:   * **Influence on the project.** How much influence does the stakeholder have on the project? For instance, because sponsors obtain funding, including resources, and make vital decisions, they usually exert more than end-users. * **Influence in the organization.** There are usually formal and informal structures within organizations and one’s title or job role, while it can provide what is called authority or positional power, it does not always reflect the actual importance or authority a stakeholder has. * **Influence needed for the good of the project.** The business analyst should analyze how much influence is needed to make the project succeed compared with the amount of influence the key stakeholders, such as the project sponsor, have. For example, on a large, complex project requiring many internal and external resources, the project will need a sponsor who has effective relationships with funding groups to ensure that adequate resources are available for project work. Projects that are smaller may require sponsors with less influence. If there is a mismatch between the influence required and the amount of influence the stakeholder has or is perceived to have, develop risk plans and responses and other strategies that might be needed to obtain the required level of support. * **Influence with other stakeholders.** Within most organizations there is an informal way influence occurs. It is best to be aware of this informal influence structure. For example, if there are stakeholders who consider themselves project champions, they can be helpful in converting those who are less enthusiastic or even outwardly hostile to the project purpose and designated outcomes. |

**Appendix C: Conduct Stakeholder Analysis** (continued)

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| Authority levels for business analysis work | Identify which stakeholders will have authority over business analysis activities, in relation to both business analysis work and product deliverables. Stakeholders may have authority to:   * Approve the deliverables * Inspect and approve the requirements * Request and approve changes * Approve the requirements process that will be used * Review and approve the traceability structure * Veto proposed requirements or solutions (individually or in a group)   Additional information on authority levels can be found in *Plan Requirements Management Process (2.5)*. |

## Appendix D: Plan Business Analysis Activities

These details support completion of the *Requirements Definition SOP.xls*, as referenced in section 1.3.

Source: *BABOK*® *v2,* section 2.3.4.

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| Geographic distribution of stakeholders | The business analyst must consider the physical location of key stakeholders on the project. Some projects will have the stakeholders located in a single location while others will have some of their key stakeholders dispersed over a wide area. These latter projects may well involve increased complexity, which will have an impact on the estimate of some activities and tasks in the project. Stakeholders may be collocated or dispersed.  **Collocated:** All key stakeholders are located in the same local geographic area. There are no special location-related planning considerations for the business analyst involved in these projects.  **Dispersed:** These more complex projects have some key stakeholders located in different geographic regions or countries. The factors of distance, possible time differences and cultural and language differences increase the complexity for business analysis and will require effort to identify and account for these differences and how they will affect requirements planning and solution development/selection, testing and implementation. If stakeholders are dispersed, it may be necessary to have more teleconferences or videoconferences rather than face to face meetings.  Another common situation involves an outsourced development project where the development team is physically located many time zones away. This type of situation, for example, will be accounted for during business analysis planning and might be better served with more detailed requirements documentation and acceptance criteria or more frequent review sessions. |
| Type of project or initiative | **The type of project or initiative** to which the business analyst is assigned may have a significant impact on the activities that need to be performed. For example, in a project to purchase a new software package, the work will be different from an effort to develop a new business process. Different kinds of business analysis initiatives include, but are not limited to:   * Feasibility studies * Process improvement * Organizational change * New software development (in-house) * Outsourced new software development * Software maintenance or enhancement * Software package selection |

**Appendix D: Plan Business Analysis Activities** (continued)

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| Business analysis deliverables | A list of deliverables is useful as a basis for activity identification. Methods for identifying deliverables include, but are not limited to:   * Interviews or facilitated sessions with key stakeholders. * Review project documentation. * Review organizational process assets, such as methodologies and templates, which may dictate which deliverables are required,   An organization may have a standard set of deliverables, or multiple sets that are used to support different approved methodologies. The breakdown of deliverables may also be dependent on the techniques selected by the business analyst, and may include deliverables such as interview questions, meeting minutes, use case diagrams and descriptions, and as-is/to be business process models. The business analysis approach frequently mandates the use of certain techniques. Most agile methods assume that user stories will be used to document stakeholder requirements, and a Business Process Management initiative will require process modeling.  Frequently, additional techniques may be selected on an ad-hoc basis during execution of business analysis as the business analyst encounters situations for which they are most appropriate. For example, the business analyst may decide to elicit requirements using a requirements workshop, and then determine in that workshop that a particular stakeholder has additional requirements which are best identified through an interview or observing that stakeholder on the job.  Deliverables will often take the form of a requirements package, as described in *Prepare Requirements Package (4.4)*. The selection and format of requirements packages is likely to be mandated by the business analysis approach. |

**Appendix D: Plan Business Analysis Activities** (continued)

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| Determine business analysis activities | An important tool in defining the scope of work and in developing estimates is the work breakdown structure (WBS). The WBS decomposes the project scope into smaller and smaller pieces, creating a hierarchy of work. A WBS may break down the project into iterations, releases, or phases; break deliverables into work packages; or break activities into smaller tasks.  Work packages include at least one and usually many activities, which can be further broken into smaller and smaller tasks. This decomposition of activities and tasks creates the Activity List.  The Activity List can be created in different ways, such as by:   * Taking each deliverable, assigning the activities required to complete the deliverable, and breaking each activity into tasks * Dividing the project into phases, iterations, increments, or releases, identifying the deliverables for each, and adding activities and tasks accordingly * Using a previous similar project as an outline and expanding it with detailed tasks unique for the business analysis phase of the current project   The elements identified for each activity and task may include:   * **Unique Number** to uniquely identify each task. * **Activity description** labeled with a verb and a noun, and describing the detailed tasks that comprise each activity. For example, an activity might be labeled “Update Requirements Document”.   In addition, it may include other information, such as:  **Assumptions:** For each task, there may be factors or conditions which are considered to be true. The business analyst can document these factors, and where present estimates will be developed using these assumptions.  **Dependencies:** Identify logical relationships, such as which activities have to be completed before subsequent tasks can begin.  **Milestones:** Represent significant events in the progress of a project. Milestones are used to measure the progress of the project and compare actual progress to earlier estimates. Milestones can be used as a time to celebrate the completion or delivery of a major deliverable or section of project work. An example of a major milestone is the stakeholders’ and sponsor’s formal approval of a requirements document. |

## Appendix E: Plan Business Analysis Communication

These details support completion of the *Requirements Definition SOP.xls*, as referenced in section 1.3.

Source: *BABOK*® *v2,* section 2.4.4.

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| Geography | The communications needed for a team that is collocated will be different from communications required for a project with geographically dispersed stakeholders. For example, it is more difficult to have short, daily team meetings when the participants live in vastly different time zones, when technology is not readily accessible, and where multiple, complex deliverables with complex interfaces are being developed simultaneously in different locations. |
| Culture | Cultural diversity should also be taken into account when planning communications. Cultural considerations are important regardless of where the team members are located.  In addition to the obvious language barriers, there may be more subtle differences that should be considered in the plan, including:   * **Relationship to time.** Some cultures view deadlines as firm commitments, while others may view deadlines as a goal to be balanced against other concerns and interests. * **Relationship to task completion**. Some cultures complete tasks because they have committed to the planned activities. Others complete tasks primarily when trust and the human relationship have been built. * **Relationship to contracts**. Some cultures believe in the letter of the law, others in the spirit of the contract. This difference might surface when creating Requests for Proposal, for example. * **Relationship to formal and informal authority.** Some cultures prefer a centralized power structure where decisions are made by a small group, while others prefer to involve all affected stakeholders in approving decisions.   The use of models following a standardized notation can help overcome language barriers by eliminating the need for many textual descriptions. |

**Appendix E: Plan Business Analysis Communication** (continued)

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| Project type | Different projects will necessitate different deliverables, and the extent of documentation that is needed in a requirements package will vary depending on the project. Some examples are:  **A new, customized in-house software development project.** In this scenario, all requirements may need to be included.  **Upgrading the technology or infrastructure of a current system.** In this scenario, only the technical requirements may need to be included in the package.  **Change in a business process or new data for an existing application.** In this scenario, the process and data requirements, business rules, functional and technical requirements will be needed.  **Purchase of a software package.** This type of project will likely require a Request For Proposal, and the package will need to include the business requirements, technical requirements, limited functional requirements and other vendor specifications.  **Short, focused, agile style iterations of software development.** These projects may not specify any or very little formal requirements documentation. Whiteboards, flip charts, and user stories may suffice. Agile focuses on creating the minimum necessary of documentation to deliver the requirements, and many agile teams will prefer to document the solution after it has been delivered. |
| Communication frequency | Investigates the frequency required by various stakeholders for each type of communication. Note the frequency of reporting can vary from stakeholder to stakeholder. For example, the frequency of reporting business analysis status can be biweekly for the sponsor, weekly for the Domain Subject Matter Experts and biweekly for the technical partners. |

**Appendix E: Plan Business Analysis Communication** (continued)

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| Communications formality | Planning communications requires taking into consideration the level of formality that is needed. This could vary from stakeholder to stakeholder, project phase to project phase, work within a project phase, and requirements presentation.  Communication tends to be more formal under the following circumstances:   * The project is unusually large (by organizational standards) and will be delivered in phases. The level of communications formality tends to increase as the scale of a project increases. This is because more stakeholders are typically involved and more communication is required. * The domain involved is very complex. Note that the domain affected by the project may span departmental and divisional boundaries within the organization. For example, the domain of engineering employee recruitment could involve the engineering, human resources, payroll, marketing, and benefits administration departments. These groups will all be key stakeholders for the project and its deliverables. * The technology employed, if any, will be new, or new to the organization. * The project is considered to be mission critical, in that it is tied directly to strategic objectives. * The executive sponsor and/or key stakeholders require formality. * The requirements are likely to be subject to regulatory review. * The requirements will be presented to suppliers in an RFQ/RFI/RFP. |

## Appendix F: Plan Requirements Management Process

These details support completion of the *Requirements Definition SOP.xls*, as referenced in section 1.3.

Source: *BABOK*® *v2* section 2.5.4.

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| Repository | A requirements repository is a method of storing requirements, including those under development, those under review, and approved requirements. Repositories may include whiteboards, word processing documents, diagrams and models, wikis, requirements management tools and applications, or any other method of recording information that allows requirements to be single-sourced and available to all relevant stakeholders for as long as they are needed. All approved requirements should be found in a repository (as opposed to using tools such as email, which may not reach all relevant stakeholders and may not be retained) and stakeholders need to be able to locate requirements in that repository.  The system for adding, changing and deleting requirements should be consistent and clearly understood by the team. File or component naming standards will assist with categorizing and maintaining requirements. |
| Traceability | Determine whether and how to trace requirements based on the complexity of the domain, the number of views of requirements that will be produced, potential impacts from risk, and an understanding of the costs and benefits involved. Tracing requirements adds considerable overhead to business analysis work and must be done correctly and consistently to have value.  See *Manage Requirements Traceability (4.2)* for additional information. |

**Appendix F: Plan Requirements Management Process** (continued)

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| Select requirements attributes | Requirements attributes provide information about requirements, such as the source of the requirement, the importance of the requirement, and other metadata. Attributes aid in the ongoing management of the requirements throughout the project lifecycle. They need to be planned for and determined, along with the requirement themselves, but are not in themselves part of the solution definition.  Requirements attributes allow the requirements team to associate information with individual or related groups of requirements and facilitate the requirements analysis process by expressing such things as which requirements may add project risk or require additional analysis. The information documented by the attributes helps the team efficiently and effectively make tradeoffs between requirements, identify stakeholders affected by potential changes, and understand the impact of a proposed change.  Some commonly used requirements attributes include:  **Absolute reference** is a unique numeric (preferred) or textual identifier. The reference is not to be altered or re-used if the requirement is moved, changed or deleted.  **Author of the requirement**. If the requirement is later found to be ambiguous the author may be consulted for clarification.  **Complexity** indicates how difficult the requirements will be to implement. This is often indicated through qualitative scales based on number of interfaces, complexity of essential processes or the number and nature of the resources required.  **Ownership** indicates the individual or group that needs the requirement or will be the business owner after the project is released into the target environment.  **Priority** indicates which requirements need to be implemented first. See below for further discussion on prioritizing and managing requirements.  **Risks** associated with meeting or not meeting the requirements.  **Source of the requirement.** Every requirement must originate from a source that has the authority to define this particular set of requirements. The source must be consulted if the requirement changes, or if more information regarding the requirement or the need that drove the requirement has to be obtained. |

**Appendix F: Plan Requirements Management Process** (continued)

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| Select requirements attributes  (continued) | **Stability** is used to indicate how mature the requirement is. This is used to determine whether the requirement is firm enough to start work on. Note that the ongoing presence of large numbers of unstable core requirements may indicate significant risk to project continuance.  **Status** of the requirement, indicating such things as whether it is proposed, accepted, verified, postponed, cancelled, or implemented.  **Urgency** indicates how soon the requirement is needed. It is usually only necessary to specify this separately from the priority when a deadline exists for implementation.  Additional attributes may include information such as cost, resource assignment, and revision number, traced-from and traced-to. |
| Requirements prioritization process | Requirements do not all deliver the same value to stakeholders. Requirements prioritization focuses effort on determining which requirements should be investigated first, based on the risk associated with them, the cost to deliver them, the benefits they will produce, or other factors. Timelines, dependencies, resource constraints, and other factors influence how requirements are prioritized. Planning the requirement prioritization process helps ensure that stakeholders determine and understand how requirements will be prioritized throughout and at the end of the business analysis effort.  **Formality.** The formality and rigor of the requirements prioritization process is determined partly by the methodology chosen, and by the characteristics of the project itself. Differences will lie in the level of detail, the amount of formal structure in the prioritization process (i.e. formal meetings versus informal conversations) and the amount of documentation needed to support the prioritization process.  **Establishing The Process And Technique**. The process to plan how requirements prioritization will occur needs to include which prioritization technique(s) will be used.  **Plan The Participation.** The business analyst, in conjunction with the project manager and sponsor should work together to determine the participants needed for the prioritization process.  Whom to invite and who does the inviting depends on organizational norms and best practices. Since sponsors are ultimately accountable for the solution’s effectiveness and major project decisions, they need to be invited to participate in the discussion, even if they delegate the participation to subject matter experts. Another key stakeholder is the project manager, whose project plan is dependent on which requirements are released and when. The invitees depend on methodologies, organizational norms, and the engagement of the sponsor. When there are multiple limiting factors, invite participants accordingly. |

**Appendix F: Plan Requirements Management Process** (continued)

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| Change management | Some considerations when planning for handling changes are:  **Determine the process for requesting changes.** The process can, but does not have to, set authorization levels for approving changes. For example, it may be decided that if a change is estimated to take less than a certain number of hours or dollars, the requestor and project manager can approve the change. If a predefined time or cost limit is exceeded, the sponsor has to approve it.  **Determine who will authorize changes**. The planning activity needs to include a designation of who can approve changes after requirements have been approved. Plan-driven methods usually have a formal Change Control Board (CCB) or Change Authority, which considers the requested change, and provides initial judgment on the merits of that request. The CCB can consist of any number of people in any number of positions. It may or may not include the sponsor, the project manager, the business analyst, subject matter experts, or other parties. Change-driven methods are more likely to allow the project team or a single product owner to have direct control over changes.  **Impact Analysis**. Specify who will perform the analysis of such impacts as business processes, information requirements, system and hardware interfaces, other software products, other requirements, test strategies and plans, to name a few.  **Plan the wording of the request**. It is important to set the expectation at the beginning of the business analysis activities that although the amount of documentation required to request changes is project and methodology dependent, the wording of the request must be clear. The requested change must be expressed in unambiguous terms. Therefore, it will be necessary to discuss the nature of the request with the requestor and other interested stakeholders.  The requirements process needs to spell out the nature of the components within a request for change. These might include:   * **Cost and time estimates of change**   For each item, work product, or technical product affected, a brief assessment of the expected cost of change is to be estimated. As a matter of good practice, reusability will yield improvements to the change process by limiting the extent and scope of changes to other components. The goal should be to ensure responsiveness to change, not raising unlimited objections and impediments to the change process.  The estimate will provide an integrated view of the costs, resources needed, implementation timeframe, and any dependencies. |

**Appendix F: Plan Requirements Management Process** (continued)

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| Change management  (cont.) | * **Benefits and risks of the change**   How the change aligns with the project and business objectives to help ensure all changes add business value.  Since there are often unintended consequences to what seems like a favorable change, the request should include a well-structured change analysis form (written or verbal), statements of the expected risks, including both negative and positive influence on project objectives. Benefits considered may include not only financial benefits, but also the technical aspects of product features, influences on project scope, time, cost, quality, resources, and the business case.   * **Recommended course of action for change**   The course of action for the change needs to be explained with the understanding of benefits and risks in the previous section. Several alternative courses can be considered, including those recommended by the requestor and by other stakeholders. By weighing the relative benefits, risks, and other criteria for each option, the decision maker, designated by the approval process, can make a choice that will best serve the needs of the project.  The various options considered and the reasoning for the option finally selected needs to be recorded.  The recommended course of action needs to be complete enough to permit clear coordination of the parties affected by the change. For larger changes, this course of action might be a subproject within the context of the overall project, including elements that need to be put into the overall project plan.   * Updates to the communications plan and the method for communication of the change to affected stakeholders. * Configuration management and traceability disciplines should establish product baselines and version control practices that will clearly identify which baseline is affected by the change. |

**Appendix F: Plan Requirements Management Process** (continued)

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| Change management  (cont.) | **Coordinate Prioritization Of Change.** The priority of the proposed change must be established relative to other competing interests within the current project phase. The requestor should provide a priority as described in the section above. Project decision makers will need to consider the priority as well any potential risk of deferring implementation until a later time.  **Change-Driven Methods**  Change-driven methodologies (in particular, agile software development methods) do not typically have a change control process that is separate from the requirements prioritization process. All requirements, including “new” and “changed” requirements, are recorded in the product backlog and prioritized. At the beginning of each iteration, the highest priority requirements are selected from the backlog and estimated, and these estimates are used as input to determine whether the requirement will be implemented in that iteration. |
| Tailoring | An organization’s requirements management process may need to be tailored to meet the needs of a specific initiative or project. Factors in the tailoring process include:  **Organizational culture***.* In organizations where the culture does not support formality, but where informality jeopardizes the end product, it will be necessary to work with the stakeholders to negotiate an appropriate process.  **Stakeholder preferences***.* Some stakeholders may require more or less formality. A sponsor may, for example, want formal approval but may not want a documented process for eliciting requirements. As above, it will be necessary to recommend the most appropriate approach to handling requirements, pointing out risks and impacts as needed.  **Complexity of project, project phase, or product (product, service, or result) being delivered***.* Formal processes for configuration management and change management are more likely to be used for:  Projects that have many interfaces, many business and/or system impacts or span a variety of functional areas.  Products that are built with many components and subcomponents, have complex interfaces, will be used by a variety and number of stakeholders, or have other complexities.  **Organizational maturity***.* Less mature organizations tend to be less likely to want to spend time or money creating a requirements process, and there may be outright resistance to the idea of having a process to define requirements.  **Availability of resources** needed to support the effort of creating such a process is a major consideration. Internal groups, such as a Project Management Office and external sources such as consulting firms and even vendors may be able to augment organizational resources. |

## Appendix G: Manage Business Analysis Performance

These details support completion of the *Requirements Definition SOP.xls*, as referenced in section 1.3.

Source: *BABOK*® *v2,* section 2.6.4.

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| Performance measures | Performance measures are used to set expectations regarding what constitutes effective business analysis work in the context of a particular organization or initiative. Performance measures may be based on deliverable due dates as specified in the business analysis plan, metrics such as the frequency of changes to requirements or the number of review cycles required, or qualitative feedback from stakeholders and peers of the business analyst. Appropriate performance measures should enable the business analyst to determine when problems are occurring that may affect the performance of business analysis or other activities, or identify opportunities for improvement. |
| Performance reporting | Reports can be in written format to provide for archival and tracking, or they can be informal and verbal, based on the needs of the project. Some reports may be made formally and orally as presentations to various levels of stakeholders and management. |
| Preventive and corrective action | The business analyst should assess the performance measures to determine where problems in executing business analysis activities are occurring or opportunities for improving the business analysis process exist. Once this assessment is complete the business analyst should engage the necessary stakeholders to identify the correct preventative or corrective actions. Preventative or corrective action is likely to result in changes to the business analysis plan. |