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**State of California**  
**Department of Technology**  
**Stage 1 Business Analysis**  
**General Instructions for Excel<sup>®</sup>**

**July 2013**

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## GENERAL INSTRUCTIONS FOR EXCEL

Use this document in conjunction with Statewide Information Management Manual (SIMM) Section 19A for the preparation of your InfoPath submission of the Stage 1 Business Analysis.

### INTRODUCTION TO THE STAGE 1 BUSINESS ANALYSIS

#### Overview

The California Department of Technology (Department of Technology) is restructuring the Information Technology (IT) project approval process to improve the quality, value and likelihood of success for technology projects being undertaken by the State of California. Through SIMM Section 19, California is adopting a new Project Approval Lifecycle which introduces a Stage/Gate Model specifically tailored for IT projects. This is intended to ensure projects are undertaken with clear business objectives, accurate costs, and realistic schedules.

The Stage/Gate Model divides the Project Approval Lifecycle into stages, separated by gates. Each stage consists of a set of prescribed, cross-functional, and parallel activities to develop deliverables used as the inputs for the next gate. The gates provide a series of “go/no go” decision points that request only the necessary and known information needed to make sound decisions for that particular point in time. As additional information is collected and refined through the lifecycle, cost estimates, schedules and business objectives will be progressively evaluated to determine if the project is still practical and if the investment should continue.

The Project Approval Lifecycle is intended to:

- Improve efficiencies through performing systematic and strategic analysis without compromising due diligence in carrying out California’s IT policies and processes.
- Ensure each step and work product in the life cycle is operationally reusable in subsequent steps.
- Ensure decision points request only the necessary and appropriate level of detail of information needed to make a sound decision, estimate, or product for that particular stage.
- Ensure that a “no” or a “go back and re-think” decision is communicated sooner if the level of detail provided is inadequate.
- Ultimately result in more successful projects.

SIMM Section 19A, Stage 1 Business Analysis, is the first stage of the Project Approval Lifecycle and provides a basis for project management, program management, executive management, and state-level control agencies to understand and agree on business problems or opportunities, and the objectives to address them. The Stage 1 Business Analyses replace the former IT Concept Statement and is used to generate the annual Statewide IT Capital Plan (refer to SIMM 57), which represents the Executive Branch's plan for IT investments in support of the California IT Strategic Plan.

The Stage 1 Business Analysis instructions have been prepared to help State of California Agencies and state entities<sup>1</sup> meet the Department of Technology requirements for documentation of proposals for projects.

#### Clarifications

- ✓ Agencies / state entities are required to submit a Stage 1 Business Analysis for all proposals, regardless of delegated cost thresholds .
- ✓ Reporting requirements are determined during existing FSR process used today.
- ✓ Agencies and state entities are reminded that a Stage 1 Business Analysis must be approved by the Department of Technology prior to conducting a feasibility study.

### Stage 1 Business Analysis Reporting Requirements

The Department of Technology requires specific information from Agencies and state entities to carry out its responsibilities in approving the Stage 1 Business Analyses. To evaluate an Agency or state entity's Stage 1 Business Analysis, the Department of Technology needs to fully understand the business investment justification. Each proposal must provide sufficient detail to describe the business driver(s), statutes or legislation, program background and context, business problems or opportunities, and strategic business alignment.

The Stage 1 Business Analysis must be comprehensive and cannot rely on verbal or subsequent written responses to justify its responding to the Department of Technology staff's questions to provide needed justification for the submission. Submissions that are incomplete and fail to provide relevant information in written form may be returned without consideration at the discretion of the Department of Technology.

Agencies submitting IT proposals that meet one or more of the Department of Technology reporting criteria must follow the documentation requirements defined in the State Administrative Manual (SAM) and these instructions. Each Agency or state entity is responsible for ensuring its Stage 1 Business Analyses meet Department of Technology requirements. At its discretion, the Department of Technology may request additional information from the Agency or state entity.

Definitions for "proposal" versus "project" are provided next to provide clarification on how these words are used in the context of the Project Approval Lifecycle.

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<sup>1</sup>**State entity:** Includes every state office, officer, department, division, bureau, board, and commission, including Constitutional Officers. "State entity" does not include the University of California, California State University, the State Compensation Insurance Fund, the Legislature, or the Legislative Data Center in the Legislative Counsel Bureau.

## Proposal versus Project Definitions

A proposal is defined as a request for a new project. A proposal is initially submitted as a Stage 1 Business Analysis which goes through due diligence to identify the program background, strategic alignment, business drivers, business problems, opportunities and measurable objectives. The Stage 1 Business Analysis captures the intent of the project giving the sponsor, project manager, customer, and stakeholders a starting point for initiating a project. For purposes of Stage 1/Gate 1, any references to proposal will indicate that this is a new endeavor being considered which requires approval by the Department of Technology prior to it becoming a project.

A project is defined as an endeavor with a defined beginning and end (usually time-constrained, and often constrained by funding or deliverables), undertaken to meet unique goals and objectives, typically to bring about beneficial change or added value. For purposes of this document, any references to project will indicate that all project lifecycle approvals including the necessary funding and procurements have been completed.

## Stage 1 Business Analysis Preparation Instructions

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The following are the instructions for using the Excel form to complete the Stage 1 Business Analysis.

### **Functionality Specific to the Excel Form**

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The Excel Form does not behave like a normal Excel file. This section discusses the functionality specific to the Excel Form for the Stage 1 Business Analysis. It is important to note that the Excel Form also does not mirror the functionality of the InfoPath form for the Stage 1 Business Analysis. In general due to some limitations within the Excel form, the InfoPath form outperforms the Excel form and therefore the Department of Technology encourages Agencies/state entities to use the InfoPath form as the preferred form for submitting Stage 1 Business Analyses.

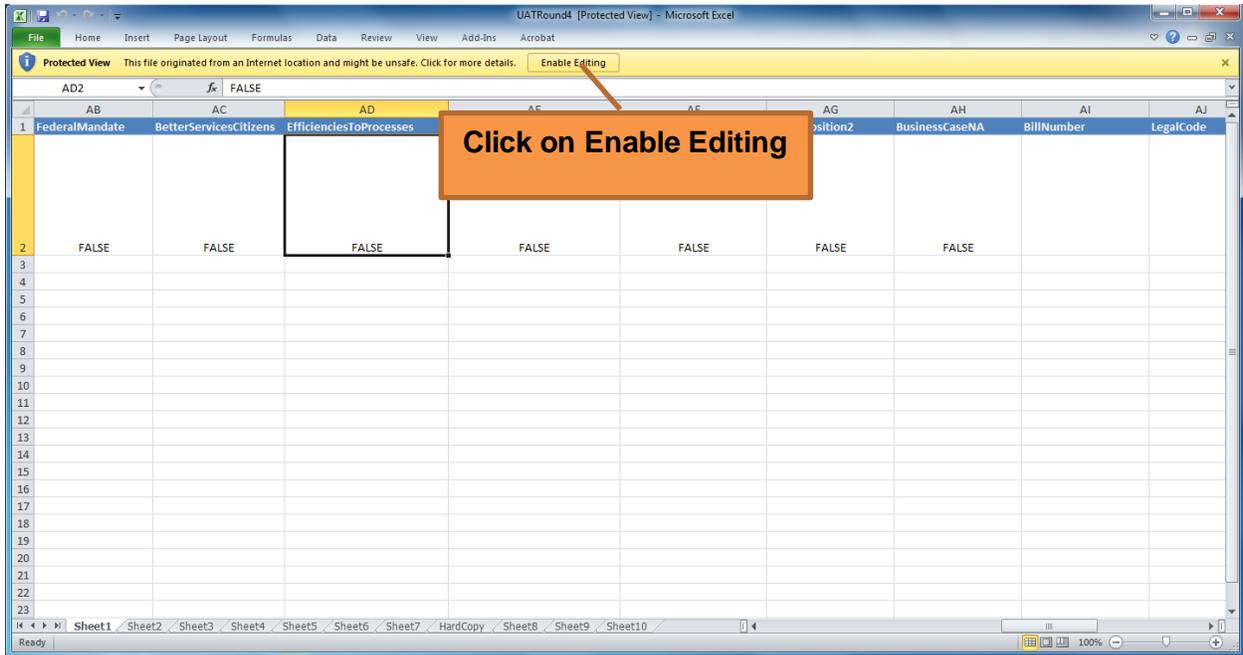
The following lists functionality specific to the Excel form:

- The Excel form is not supported when used on desktops with operating systems other than Microsoft Windows, e.g. Mac/UNIX users.
- The Excel form is not supported when used through remote computing environments, such as Citrix.
- The Excel form includes built-in macros. Your Agency/state entity's desktop standards may be set to disable macros when opening files. If this is the case, security warnings may or may not appear upon file opening. If this is encountered and you are unsure of your organization's desktop standards, please contact your Agency/state entity's Desktop Support.
- The Excel form is accessible for users with Excel 97-2003 or newer.
- Excel form users will not be working directly in the spreadsheet as typical. Instead, a form will appear on top of the spreadsheet where users will input the information. The workbook may still be visible behind the form. However, the workbook is locked and will not accept direct input.
- The Quick Access Toolbar and the Ribbon are disabled.
- None of the normal Excel functionality is available through the Quick Access Toolbar or the Ribbon.
- The "close" button  and the right click paste functionality using a mouse are disabled.
- To paste information from a source document into the Excel form, the Ctrl+V keyboard command must be used for pasting.
- Formatting is not available or supported in the Excel form (e.g. formatted content such as bullets, font color, font size, italics, bold, or underline which are developed in some other document such as in Word and copied and pasted over into the Excel form will not have the formatting carried over).
- The Excel form does not provide the ability to increase/decrease the text size.
- The functionality to preview print jobs is disabled.
- The Print button directly sends a job to the printer, without further review of print settings or confirmation.
- There are no navigational aids, such as "Back" or "Forward" buttons.
- There is no built-in "Help" feature.
- The Excel form cannot be resized.

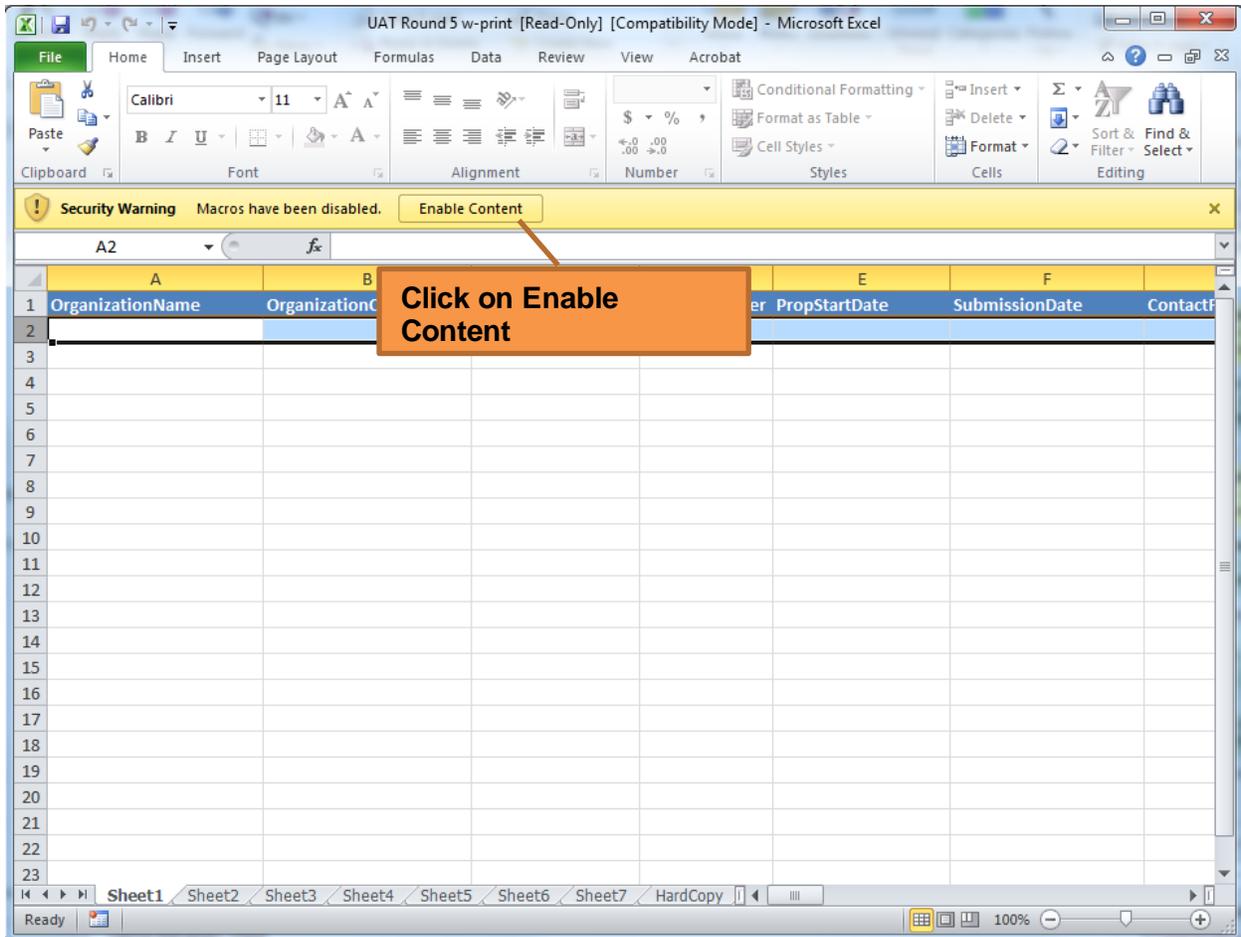
- Opening other Excel files while the Excel form is opened can cause problems and require the windows to be closed using the Task Manager menu.
- In certain screens, the Tab function is disabled.
- If any mandatory fields have not been filled out first, when attempting to close the form, the user will be prompted through a series of error messages to either enter the mandatory fields at that time or to enter them later.
- For printing purposes, if the content in Section 1.3 and/or Section 1.4 exceeds a maximum of approximately 4,900 characters (including spaces), the entire content provided in the section will not appear when printed. As a result of the printing limitations, the ability to view the content can be done electronically within the form. If a hard copy is needed for internal review purposes, the content can be copied from the Excel form into a Word document.

## Opening the Excel Form

When opening the Excel Form for the very first time, the following screen will be displayed first. This screen cannot be edited. Click on “Enable Editing.”



Once “Enable Editing” has been selected the first time the Excel form is opened, the next screen will display. This screen cannot be edited. Click on “Enable Content.”



After clicking on “Enable Content,” the Excel Form screen will be displayed over the previous screen.

## General Information

Stage 1 Business Analysis



# Stage 1 Business Analysis

General Information | Business Analysis 1.1 - 1.2 | Business Analysis 1.3 | Business Analysis 1.4 | Business Analysis 1.5 - 1.6

### General Information

**Agency or State Entity Name:**  \* **Organization Code:**  \* **Proposed Start Date mm/dd/yyyy:**  \*

**Name of Proposal:**  \* **Department of Technology Project Number:**  \*

### Submittal Information

**Contact First Name:**  \* **Contact Phone:**  \* **Submission Date:**  \*

**Contact Last Name:**  \* **Contact email:**  \*

### Business Sponsor and Key Stakeholders

**Executive Sponsors**  **Business Owners**  **Key Stakeholders**

In order to save the form for the first time or to exit out of the form, all mandatory fields marked with a red asterisk must be filled out first.

**Agency or State Entity Name:** Click on the dropdown arrow to select the name of the Agency or state entity that prepared the Stage 1 Business Analysis and is responsible for the proposed project. If a Stage 1 Business Analysis represents a proposal in which multiple Agencies or state entities will have a role, one Agency or state entity should be designated as the owner.

**Organization Code:** Organization Code will be pre-populated once the Agency or State Entity Name is selected.

**Name of Proposal:** Enter the title of the proposal as determined by the Agency or state entity. The name should not reflect a system or type of IT solution.

**Proposed Start Date:** Enter the proposed start date for the requested project; only the month and year will be displayed.

**Department of Technology Project Number:** If this is a brand new submission, this field should be left blank. The Department of Technology Project Number will be assigned by the Department of Technology after initial submission. If this is a resubmission, enter in the number assigned by the Department of Technology.

## Submittal Information

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The screenshot shows a web form titled "Submittal Information" with the following fields and callouts:

- Contact First Name:** Enter the first name for Agency or state entity person that will be the primary point-of-contact for control agency questions and comments.
- Contact Last Name:** Enter the last name for Agency or state entity person that will be the primary point-of-contact for control agency questions and comments.
- Contact Phone:** Enter the ten-digit phone number of the contact provided.
- Contact email:** Enter the email address of the contact provided above.
- Submission Date:** Enter the date the Stage 1 Business Analysis is being submitted to the Department of Technology for review and decision.

Below the contact information is a section titled "Business Sponsor and Key Stakeholders" with three "Open" buttons for "Executive Sponsors", "Business Owners", and "Key Stakeholders". At the bottom are buttons for "Save", "Print", "Save As", and "Exit".

After filling out the mandatory information, click on the “Open” button to begin entering information for the Executive Sponsors, Business Owners, and Key Stakeholders.

## Business Sponsor and Key Stakeholders

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### Executive Sponsors

An “Executive Sponsor” maintains a leading and very active role in championing the project by promoting and marketing the project to stakeholders. An executive sponsor:

- Provides vision, guidance, and direction to the project.
- Determines appropriate levels of funding and resources.
- Ensures multi-divisional or multi-agency participation on the project where appropriate.
- Acts as an advocate for the project throughout its life.
- Monitors project progress, intervenes as needed, and resolves escalated issues.
- Oversees project budget, schedule, and scope.

- Communicates project status to the executive stakeholders, as appropriate and ensures sustained buy-in at all levels.

The screenshot shows a window titled "Stage 1 Business Analysis" with a sub-header "Add Executive Sponsors". The form contains the following fields and controls:

- Title:** A text input field for the Executive Sponsor's title.
- First Name:** A text input field for the Executive Sponsor's first name.
- Last Name:** A text input field for the Executive Sponsor's last name.
- Business Program Area:** A text input field for the business program area.
- Buttons:** "Add", "Delete", two arrow buttons (left and right), and "Save & Close".

Callout boxes provide instructions for each field and button:

- Title:** Enter the title for the Executive Sponsor(s).
- First Name:** Enter the first name for the Executive Sponsor(s).
- Last Name:** Enter the last name for the Executive Sponsor(s).
- Business Program Area:** Enter the name of the business program area represented by the Executive Sponsor(s).
- Add:** Click on Add to insert more Executive Sponsors.
- Delete:** Click on Delete to delete an Executive Sponsor.
- Arrow buttons:** Click on the arrow buttons to move between records.
- Save & Close:** Once all fields are filled out, click on Save & Close. This will return you to the previous screen in the Excel form.

### Business Owners

A "Business Owner" maintains a leading and very active role from the perspective of the government program area that the proposed project enables, supports, and/or enhances. Business owners "partner" with technology project leaders to lead projects that serve "business drivers" (see Section 1.1 following) for the continued success of the business program(s). A business owner:

- Champions the project.
- Defines the expected business outcomes.
- Develops the business strategy.
- Describes and clarifies business processes and terminology.
- Reviews and approves the business requirements.

The screenshot shows a window titled "Stage 1 Business Analysis" with a sub-header "Add Business Owners". The form contains the following fields and controls:

- Title:** A text input field for the business owner's title.
- First Name:** A text input field for the business owner's first name.
- Last Name:** A text input field for the business owner's last name.
- Business Program Area:** A text input field for the business program area.
- Buttons:** "Add", "Delete", left and right arrow buttons, and "Save & Close".

Callout boxes provide the following instructions:

- Title:** Enter the title for the Business Owner(s).
- First Name:** Enter the first name for the Business Owner(s).
- Last Name:** Enter the last name for the Business Owner(s).
- Business Program Area:** Enter the name of the business program area represented by the Business Owner(s).
- Click on Add to insert more Business Owners.**
- Click on Delete to delete a Business Owner.**
- Click on the arrow buttons to move between records.**
- Once all fields are filled out, click on Save & Close. This will return you to the previous screen in the Excel form.**

### Key Stakeholders

A "Key Stakeholder" has a vested interest in the outcome of the project and may have the ability to influence the project. Examples of key stakeholders are:

- Program executives and managers whose business area will be most affected by the proposed project.
- Information technology executives and managers who will have responsibility for implementing the proposed project.
- Legislators who may have supported legislation related to the proposed project.

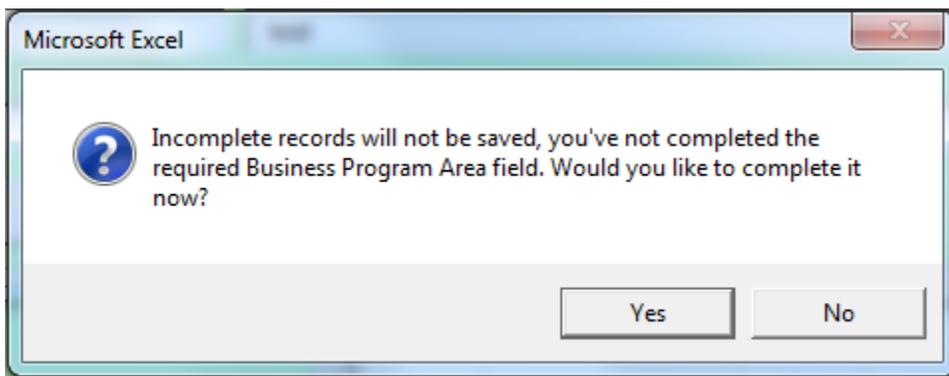
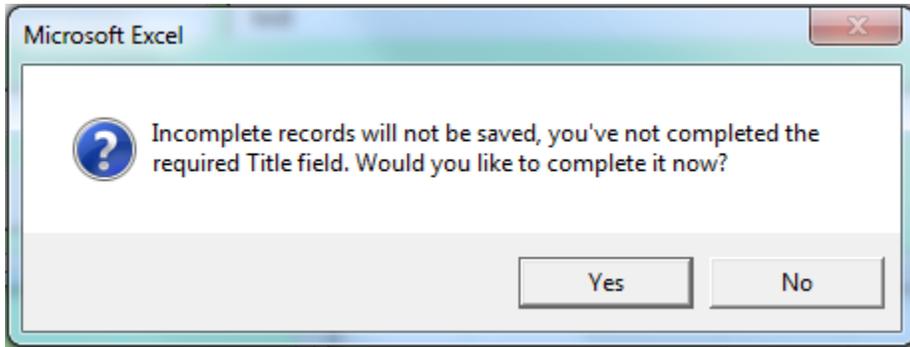
The screenshot shows a window titled "Stage 1 Business Analysis" with a form titled "Add Key Stakeholders". The form contains the following fields and controls:

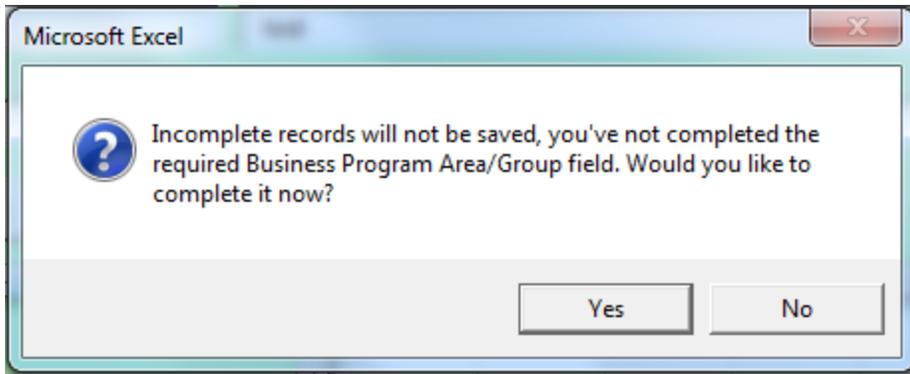
- Title:** A text input field.
- External:** A checkbox located to the right of the Title field.
- First Name:** A text input field.
- Last Name:** A text input field.
- Business Program Area/Group:** A text input field.
- Buttons:** "Add", "Delete", two arrow buttons (left and right), and "Save & Close".

Instructional callouts provide the following information:

- Title:** Enter the title for the Key Stakeholder(s).
- External:** Check the box to identify any Key Stakeholders who are external to the Agency or state entity.
- First Name:** Enter the first name for the Key Stakeholder(s).
- Last Name:** Enter the last name for the Key Stakeholder (s).
- Business Program Area/Group:** Enter the name of the business program area/group represented by the Key Stakeholder(s).
- Add:** Click on Add to insert more Key Stakeholders.
- Delete:** Click on Delete to delete a Key Stakeholder.
- Arrows:** Click on the arrow buttons to move between records.
- Save & Close:** Once all fields are filled out, click on Save & Close. This will return you to the previous screen in the Excel form.

**Note:** The following error messages will appear if the “Save and Close” button is selected and any of the fields are left blank on the Add Executive Sponsors, Business Owners, or Key Stakeholders screens. NOTE: the only way to return back to the General Information screen is to select “Save and Close.” Select “No” to go back to the General Information screen if you do not wish to complete the required fields.





## Business Analysis

Once at the main screen, click on the tab "Business Analysis 1.1 -1.2" to enter information into Section 1.1 Business Drivers and Section 1.2 Statutes or Legislation.

The screenshot shows the "Stage 1 Business Analysis" application window. At the top left is the State of California Department of Technology logo. The main title is "Stage 1 Business Analysis". Below the title is a navigation bar with tabs: "General Information", "Business Analysis 1.1 - 1.2", "Business Analysis 1.3", "Business Analysis 1.4", and "Business Analysis 1.5 - 1.6". The "Business Analysis 1.1 - 1.2" tab is selected. The form is divided into three sections: "General Information", "Submittal Information", and "Business Sponsor and Key Stakeholders". In the "General Information" section, there are fields for "Agency or State" (a dropdown menu), "Organization Code" (text input with "0000"), "Proposed Start Date mm/dd/yyyy" (calendar icon), "Name of Proposal" (text input), and "Department of Technology Project Number" (text input). An orange callout box with the text "Click on Business Analysis 1.1 - 1.2" points to the selected tab. The "Submittal Information" section has fields for "Contact First Name", "Contact Last Name", "Contact Phone", "Contact email", and "Submission Date". The "Business Sponsor and Key Stakeholders" section has three buttons: "Executive Sponsors Open", "Business Owners Open", and "Key Stakeholders Open". At the bottom of the form are buttons for "Save", "Print", "Save As", and "Exit".

### 1.1 Business Driver(s)

A "business driver" is a resource, process, or condition that is vital for the continued success and growth of the government program(s) that the proposed project will enable, support, and/or

enhance. Potential business drivers have been placed into three general categories. Check all items that are applicable as business drivers of this proposed project:

- **Financial Benefit**

**Cost Savings:** Cost Savings is defined as “Both actual budget reductions and the ‘freeing up’ of staff or other resources for reassignment to other areas of legitimate concern of the agency.” (SAM Section 6602). Check this box if the project will result in reduced expenses for the program or IT budget (e.g., in the form of reduced program, IT staff, equipment, or travel expenses).

**Increased Revenues:** Revenue is defined as any addition to cash or other current assets that does not increase any liability or reserve and does not represent the reduction or recovery of an expenditure (e.g., reimbursements and /abatements). Revenues are a type of receipt generally derived from taxes, licenses, fees, or investment earnings. Revenues are deposited into a fund for future appropriation and are not available for expenditure until appropriated (Uniform Codes Manual). Also, “Any changes in the amounts of operating income received by state and local agencies as the result of an executive regulation... including taxes, state and/or federal assistance, fees, licenses, and so forth.” (SAM Section 6602). Check this box if the project will result in additional income to the State in the form of increased federal funding, state taxes, or fees.

**Cost Avoidance:** Cost Avoidance is defined as “Benefits that occur when future program needs are met at less cost than would otherwise have been required. Such program needs can include new program services, increased program service levels, or replacement of current systems.” Check this box if the project will result in the avoidance of a future planned increase in the program or IT budget.

- **Mandate(s)**

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## Stage 1 Business Analysis

General Information | Business Analysis 1.1 - 1.2 | Business Analysis 1.3 | Business Analysis 1.4 | Business Analysis 1.5 - 1.6

### 1.1 Business Drivers

Increased Revenues  Better services to citizens

**Financial Benefit:**  Cost Savings **Mandate(s):**  State **Improvement:**  Efficiencies to program operations

Cost Avoidance  Federal  Technology refresh

**Federal:** Federal Mandates could include new federal legislation or changes to existing federal regulations. Check this box if the project is required to implement new Federal legislation or changes to existing Federal regulations.

**State:** State Mandates could include executive orders or proclamations which would impact the business program and will be further identified in Section 1.2. See SAM Section 4819.37 for additional information on project reporting requirements related to mandates. Check this box if the project is required to implement new State legislation or changes to existing State regulations.

- Improvement

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## Stage 1 Business Analysis

Business Analysis 1.4 | Business Analysis 1.5 - 1.6

Improvement:  Better services to citizens  
 Efficiencies to program operations  
 Technology refresh

**Better services to citizens:** Better services to citizens could include improving the experience of people interacting with program operations such as replacing paper forms with internet forms or replacing paper listings of information with searchable databases. Check this box if the project will result in better services to citizens.

**Efficiencies to program operations:** Efficiencies to program operations could include making improvements to the business processes used to run program operations such as replacing paper-based reports with searchable databases. Check this box if the project will result in efficiencies to program operations.

**Technology Refresh:** Technology refresh could be the replacement of aging hardware or software that is unreliable or will no longer be supported by the manufacturer. Check this box if the project will result in a technology refresh.

## 1.2 Statutes or Legislation

Statutes or legislation could mandate new business solution(s) or change existing business solution(s). Identify by checking the appropriate box if the statute or legislation is new, if there are changes to existing legislation, or if this section is not applicable. If applicable, provide the following information:

**1.2 Statutes or Legislation**

**Statutes or Legislation:**

- New statutes or potential legislation
- Changes to existing legislation
- Not applicable

**Bill Number:**

**Legal Code:**

**Additional Information:**

**Save** **Print** **Save As** **Exit**

**New statutes or potential legislation:** Check this box if a new statute or potential legislation is being cited.

**Changes to existing legislation:** Check this box if existing legislation is being cited.

**Not Applicable:** Check this box if statutes or legislation is not applicable.

**Legal Code:** Cite the appropriate legal code (e.g. Government Code, Penal Code, etc...)

**Bill Number:** Provide Chapter and Statute information in the following format:

- Examples:
  - Chapter 404, Statutes of 2010 (AB 2408)
  - SB 1592, 2012 (in process)

**Additional information:** Provide any clarifying information, including any privacy, confidentiality laws or regulations for consideration.

### 1.3 Program Background and Context

Provide a brief overview of the business program(s) within the Agency or state entity that is being, or will be, impacted by the problems or opportunities identified in Section 1.4. Briefly explain how this project fits within the programs. Explain how all internal and external Business Sponsors and Key Stakeholders participate in the business process.

Identify which specific part of the business was studied and will be affected by the proposal. The business description should be succinct and at the highest level possible to understand the business problems and not contain any business terminology and acronyms unless previously defined.

***This section should not provide a description of the Agency or state entity's mission or background. Do not discuss business programs that are not affected by the proposal, how the work is performed, business problems, potential solutions, existing technology, etc.***

This narrative should adhere to the following guidelines:

- The program background and context should set the scope of the study; everything that follows in the study must relate to and follow from the business description.
- List multiple business programs separately if they have problems, opportunities or objectives that are distinct. Include a description of impacted business program activities and services.
- The business program(s) identified should align with the Business Owner(s) and Key Stakeholder(s) identified in the Business Sponsor and Key Stakeholder section.

Click on the tab "Business Analysis 1.3" to enter content into Section 1.3 Program Background and Context.

Stage 1 Business Analysis

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# Stage 1 Business Analysis

General Information | Business Analysis 1.1 - 1.2 | **Business Analysis 1.3** | Business Analysis 1.4 | Business Analysis 1.5 - 1.6

## 1.3 Program Background and Context

Click on Business Analysis 1.3

Save Print Save As Exit

Enter in the program background and context.

**REMINDER:** The Excel Form does not support formatting.

**NOTE:** For printing purposes, if the content in this section exceeds a maximum of approximately 4,900 characters (including spaces), the entire content provided in this section will not appear when printed. As a result of the printing limitations, the ability to view the content can be done electronically within the form. If a hard copy is needed for internal review purposes, the content can be copied from the Excel form into a Word document.

## 1.4 Business Problem or Opportunity Summary

Provide a brief narrative summary of the business problem or opportunity that is driving changes to the current state (environment, processes, etc.). This should be a brief narrative statement of the overall problem or opportunity. The individual problems or opportunities will be listed in Section 1.5.

This narrative summary should address the following questions:

- How was the problem or opportunity identified (e.g. logs/reports, deficiencies, backorders, assessment of penalties, excessive overtime costs, statutes or legislation, etc...)?
- What created the problem?
- What is the magnitude of the problem or opportunity?
- How do the business drivers selected in Section 1.1 relate to the business problem or opportunity?
- Why is this proposal important to consider at this time?
- Are there any security and/or privacy issues, such as confidentiality, integrity, and availability which should be considered?
- What are the effects and/or impact of the statutes or mandates, if identified in Section 1.2?

Click on the tab “Business Analysis 1.4” to complete Section 1.4 Business Problem or Opportunity Summary.

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General Information | Business Analysis 1.1 - 1.2 | Business Analysis 1.3 | **Business Analysis 1.4** | Business Analysis 1.5 - 1.6

## 1.4 Business Problem or Opportunity Summary

Click on Business Analysis 1.4

Save Print Save As Exit

Enter in the business problem or opportunity summary.

**REMINDER:** The Excel Form does not support formatting.

**NOTE:** For printing purposes, if the content in this section exceeds a maximum of approximately 4,900 characters (including spaces), the entire content provided in this section will not appear when printed. As a result of the printing limitations, the ability to view the content can be done electronically within the form. If a hard copy is needed for internal review purposes, the content can be copied from the Excel form into a Word document.

## 1.5 Business Problem or Opportunity and Objectives Table

Click on the tab “Business Analysis 1.5 - 1.6” to complete Section 1.5 Business Problems or Opportunities and Objectives Table and Section 1.6 Strategic Business Alignment.

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General Information | Business Analysis 1.1 - 1.2 | Business Analysis 1.3 | Business Analysis 1.4 | Business Analysis 1.5 - 1.6

## 1.5 Business Problems or Opportunities and Objectives Table

Enter Problems and Opportunities and their related Objectives with the Business Objectives Table form

**Open**

**Click on Business Analysis 1.5 - 1.6**

**Click on Open to fill out the Business Problem or Opportunity and Objectives Table**

## 1.6 Strategic Business Alignment

Enter Strategic Business Goals and their Alignment with the Strategic Business Alignment form

**Save** **Print** **Save As** **Exit**

Stage 1 Business Analysis

**ADD Problems and Opportunities**

ID  
1

**Problems and Opportunities:** List the negative impact(s) (problem) or the positive outcome(s) (opportunity) to all business programs. Include the impact of each problem or opportunity to the business program. Each problem or opportunity must be stated in business terms, aligned to at least one of the business drivers identified in Section 1.1, and must relate to a business program described in Section 1.3. Describe the effects and/or impact of the statutes or mandates, if identified in Section 1.2. The statements should not indicate that the completion of a new system will solve the problem or achieve the opportunity.

**Enter the ID number for each problem or opportunity as added.**

Follow a sequential Work Breakdown Structure (WBS) format so that the objectives can relate back to the problem or opportunity.

**Example:**

- Problem 1
  - Objective 1.1
- Problem 2
  - Objective 2.1
  - Objective 2.2
- Opportunity 3
  - Objective 3.1

**Objective:** List the business objective(s) and identify expected short-term and long-term objectives that the proposed project will address (what the project is seeking to achieve). Identify at least one objective for each individual business problem or opportunity. An ideal objective statement is “SMART” (“S” Specific, “M” Measurable, “A” Achievable, “R” Realistic, and “T” Time Bound). If an objective cannot be measured, it should at least be observable or verifiable. Identify the timeframe in which the objective will be achieved. Provide additional details as necessary.

It is essential that each objective:

- Relates to a problem or opportunity specified in the problem/opportunity statement.
- Is business based.
- Is stated in quantifiable terms and at a level which decision makers can determine value vs. investment.
- Is realistically achievable.
- Is not compounded, e.g., list one objective per line item. Do not combine more than one objective in an objective statement.

**NOTE:** For printing purposes, if the content in the following areas exceeds the maximum number of characters (including spaces), the entire content provided in the area(s) will not appear when printed:

- Problems and Opportunities: 692 characters
- Objectives: 502 characters
- Metric: 472 characters

- Baseline: 380 characters
- Target: 328 characters
- Measurement Method: 540 characters

As a result of the printing limitations, the ability to view the content can be done electronically within the form. If a hard copy is needed for internal review purposes, the content can be copied from the Excel form into a Word document.

**Enter the ID number as each objective is added for the particular problem or opportunity.**

Follow a sequential Work Breakdown Structure (WBS) format to relate the objectives back to the above problem or opportunity:

**Example:**

- Problem 1
  - Objective 1.1
- Problem 2
  - Objective 2.1
  - Objective 2.2
- Opportunity 3
  - Objective 3.1

**Metric:** Describe the measurement(s) that will be used to confirm the attainment of the business objectives identified. Provide specific, measurable, and realistic means to measure the project against the objectives. Measurements should be developed with stakeholder involvement. These measurements will be used to collect data before, during, and following the project to support the achievement of the objectives as described in the Post Implementation Evaluation Report (PIER).

**Click on the arrow buttons to move between records.**

**Click on Add to insert more Problems, Opportunities, or Objectives**

**Click on Delete to delete an Objective**

**Baseline:** Provide the current value for the metric such as the current business program operations volume: people served, forms processed, etc.

**Target:** Provide the estimated target value that will result from the implementation of the project. This will be an increase or decrease from the baseline value.

**Measurement Method:** Provide the specific manner in which each metric will be measured. Describe how the metric will be tracked through the progression of the project. Examples include but are not limited to: existing data; relevant forms; surveys; focus groups, etc.

Once the first Problem or Opportunity is added, a dropdown will appear that will allow additional objectives related to the specific Problem/Opportunity to be added.

The screenshot shows a software window titled "Stage 1 Business Analysis". The window is divided into two main sections: "ADD Problems and Opportunities" and "ADD Objectives".

**ADD Problems and Opportunities:** This section has a header bar with the text "To add objectives to an existing problem, select a problem" and a dropdown menu. Below this is a large empty text area. To the left of this area is an "ID" label and an empty input box.

**ADD Objectives:** This section also has an "ID" label and an empty input box to its left. Below the input box is a table with four columns: "Metric", "Baseline", "Target", and "Measurement Method". Each column has an empty input field below its header.

**Callout Box:** A blue-bordered box with white text points to the dropdown menu in the "ADD Problems and Opportunities" section. The text reads: "Click on the dropdown arrow to find the Problem/Opportunity to relate additional objectives to. insert Objectives for the particular problem or opportunity. Fill out the information in the 'Add Objectives' section as noted in the previous page."

**Buttons:** At the bottom of the window, there are four buttons: "Add", "Delete", a navigation button with left and right arrows, and "Save & Close".

**Good Example:**

Stage 1 Business Analysis

**ADD Problems and Opportunities**

**ID**  
1

Efficiencies to program operations (business driver): Administrative Services Division (business program) manually processes and matches approximately 2,500 Residential Housing Unit (RHU) purchase orders (POs) annually which requires over 2,080 hours in overtime by staff (impact).

**ADD Objectives**

**ID**  
1.1

Reduce staff time necessary to reconcile the RHU Purchase Orders by 25 percent within 18 months of the completion of the BMR.

Metric	Baseline	Target	Measurement Method
Average time to reconcile a single PO in minutes.	20 min	15 min	Existing PO tracking report

Add Delete ◀ ▶ Save & Close

## Poor Example:

Stage 1 Business Analysis

### ADD Problems and Opportunities

ID: 1  
Excessive customer's wait time at field offices.

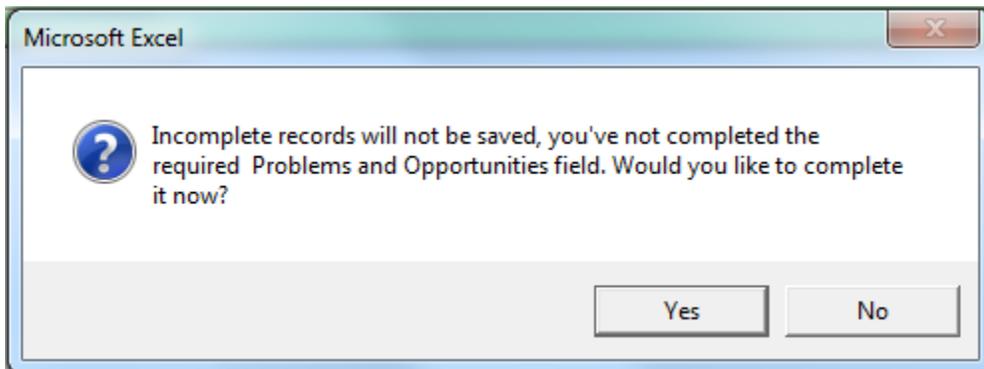
### ADD Objectives

ID: 1.1  
Within 18 months of implementation of the system, reduce the field office wait time.

Metric	Baseline	Target	Measurement Method
Time customer is seen at a window.	30 min	Reduced 50%	Anecdotal information from field offices

Add Delete Save & Close

If "Save & Close" is clicked without information added into the fields, the following error message will appear.



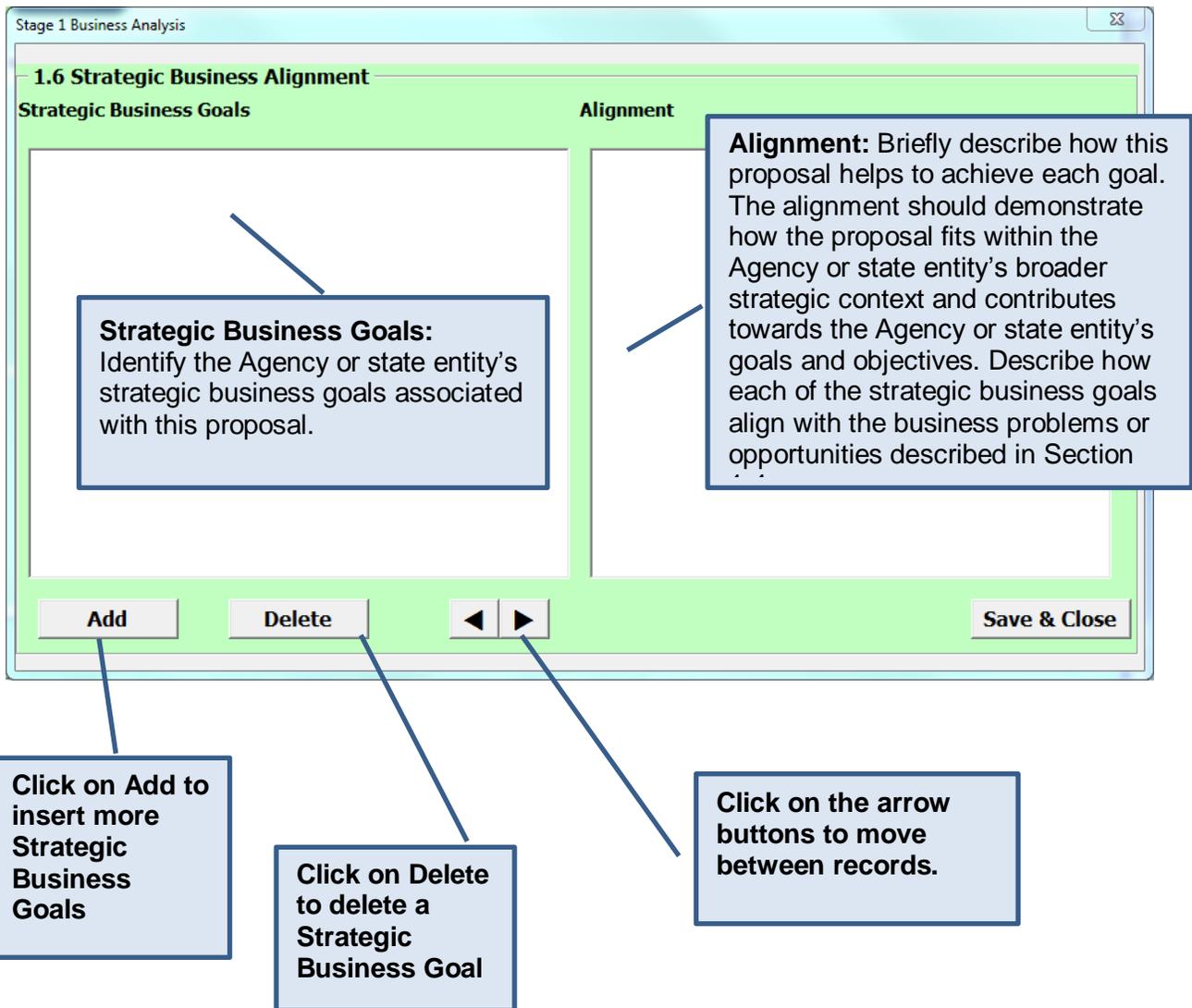
## 1.6 Strategic Business Alignment

For Section 1.6 click on “Open” to begin entering information into the Strategic Business Alignment section.

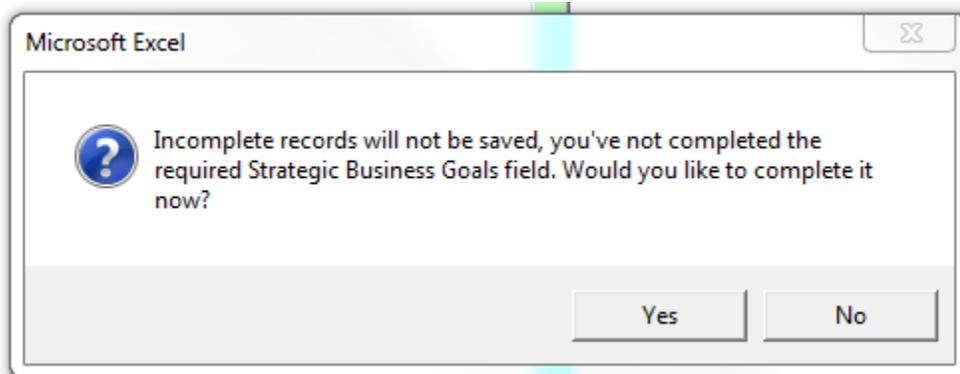
The screenshot shows a web application window titled "Stage 1 Business Analysis". The header includes the State of California Department of Technology logo and the title "Stage 1 Business Analysis". Below the header is a navigation bar with tabs for "General Information", "Business Analysis 1.1 - 1.2", "Business Analysis 1.3", "Business Analysis 1.4", and "Business Analysis 1.5 - 1.6". The main content area is divided into two sections:

- 1.5 Business Problems or Opportunities and Objectives Table**: This section contains the text "Enter Problems and Opportunities and their related Objectives with the Business Objectives Table form" and a green "Open" button.
- 1.6 Strategic Business Alignment**: This section contains the text "Enter Strategic Business Goals and their Alignment with the Strategic Business Alignment form" and a green "Open" button. An orange callout box with a red arrow points to this "Open" button, containing the text "Click on Open to fill out the Strategic Business Alignment".

At the bottom of the interface are two buttons: "Save" and "Print".



If "Save & Close" is clicked without information added into the fields, the following error message will appear.



### **Gate 1 Business Analysis Criteria Scorecard**

The Gate 1 Business Analysis Criteria Scorecard is what the Department of Technology will use to communicate feedback on the Stage 1 Business Analysis submission to the Agencies and state entities. The Scorecard will be available to Agencies and state entities to view and to use as a tool for reviewing the quality of their own submissions internally prior to submission.

The Gate 1 Business Analysis Criteria Scorecard is located under SIMM Section 19A.

### **Gate 1 Business Analysis Evaluation Criteria**

The Department of Technology has developed evaluation criteria to guide the evaluation and final disposition of the Stage 1 Business Analysis submitted by Agencies or state entities. Agencies and state entities should use the evaluation criteria to assist them in the development of the Stage 1 Business Analysis.

The Gate 1 Business Analysis Evaluation Criteria is available for Agencies and state entities to use as a tool to help in the development of a successful Stage 1 Business Analysis.

The Gate 1 Business Analysis Evaluation Criteria is located under SIMM Section 19A.