



Gate 1 Business Analysis Evaluation Scorecard

SIMM 19A.3 (Rev. 07/2015)

Department of Technology Project Number: 0000-000

Submittal Completeness

- | | |
|--|---|
| <input type="checkbox"/> 1.1 General Information
<input type="checkbox"/> 1.2 Submittal Information
<input type="checkbox"/> 1.3 Preliminary Assessment
<input type="checkbox"/> 1.3.1 Reportability Assessment
Is the Project Anticipated Reportable? <input type="checkbox"/> Yes <input type="checkbox"/> No
<input type="checkbox"/> 1.3.2 Impact Assessment
<input type="checkbox"/> 1.4 Business Sponsor and Key Stakeholders
<input type="checkbox"/> 1.5 Business Driver(s) | <input type="checkbox"/> 1.6 Statutes or Legislation
<input type="checkbox"/> 1.7 Program Background and Context
<input type="checkbox"/> 1.8 Strategic Business Alignment
<input type="checkbox"/> 1.9 Business Problem or Opportunity Summary
<input type="checkbox"/> 1.10 Business Problem or Opportunity and Objectives Table
<input type="checkbox"/> 1.11 Business and Stakeholder Capacity
<input type="checkbox"/> 1.12 Organizational Readiness |
|--|---|

ITPOD Instructions: The statements below will help to ensure that all information is provided and complete. Any information that results in a deficiency will need to be corrected by the submitting Agency/state entity.

1.7 Program Background and Context	Meets Requirements	Deficiency	Comments
1. The proposal contains a brief overview of the business program(s) being impacted, or that will be impacted, by the problems and opportunities identified in Section 1.9.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The proposal explains how the business problem fits within the program(s).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The business program(s) identified align with the business owner(s) and key stakeholder(s) identified in Section 1.4.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. There is a description provided of how both internal and external (if applicable) business partners participate in the business process.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
5. The proposal identifies which part of the business was studied and how it will be affected by this proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

6. The business problem is easily understood, and the proposal excludes any business terminology or acronyms not previously identified.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
7. The proposal sets the scope of the study.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
8. The proposal lists multiple business programs separately if they have distinct problems, opportunities, or objectives.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
9. There is a description of each impacted business program's activities and services.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.8 Strategic Business Alignment	Meets Requirements	Deficiency	Comments
1. The proposal identifies the Agency/state entity's strategic business goals associated with this proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The proposal describes how this proposal will help achieve the Agency/state entity's strategic goals.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The narrative describes how this proposal fits into the Agency/state entity's broader strategic context and contributes towards the Agency/state entity's goals and objectives as stated in the last updated Strategic Plan.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. The strategic business goals provided align with Section 1.9 Business Problem or Opportunity Summary.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
5. The Agency/state entity's Strategic Plan has been updated in the last three years.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.9 Business Problem or Opportunity Summary	Meets Requirements	Deficiency	Comments
1. The business problems or opportunities driving changes to the current state environment, processes, etc., have been defined (this should be an overall description of the problem or opportunity).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

2. The proposal describes how the problem or opportunity was identified (e.g., logs/reports, deficiencies, backorders, assessment of penalties, excessive overtime costs, statutes or legislation, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The proposal describes what created the problem or opportunity.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. The proposal contains a description of the magnitude of the problem or opportunity.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
5. The proposal describes how the business driver(s) listed in Section 1.5 relate to the business problem or opportunity.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
6. The importance of the proposal has been described including why the proposal is being considered at this time.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
7. The proposal identifies security and/or privacy issues, such as confidentiality, integrity, and availability.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
8. The proposal describes the effects and/or impacts of statutes and/or mandates identified in Section 1.6.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.10 Business Problem or Opportunity and Objectives Table	Meets Requirements	Deficiency	Comments
1. The business problem or opportunity objectives list the negative impact(s) (problem) or the positive outcome(s) (opportunity) associated with the proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The proposal describes the impact of each problem or opportunity to the business program.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The business problems or opportunities stated in business terms, aligned to at least one business driver identified in Section 1.5, and relate to a business program described in Section 1.7.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. Each objective has a corresponding "ID" and a sequential objective number (e.g., 1.1, 2.1, 3.1, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
5. When multiple objectives exist for a specific business opportunity or problem, the objectives are numbered using the corresponding "ID" and the sequential objective number (e.g., 2.1, 2.2, 2.3, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

6. The business objective(s) associated with the problem or opportunity identify expected short-term and long-term objectives that this proposal will address (e.g. what the proposal is seeking to achieve).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
7. The proposal identifies at least one objective for each individual problem or opportunity.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
8. The objectives are Specific, Measurable, Attainable, Realistic and Timebound (SMART).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
9. If the objective cannot be measured, it is at least observable and verifiable.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
10. The proposal identifies the timeframe in which the objective will be achieved.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
11. For SMART objectives, the measurement(s) that will be used is/are able to confirm the attainment of the business objectives identified.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
12. The stakeholders have been involved in the development of business objectives.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
13. The objectives provide a baseline value for the metric (e.g., the current business program operations volume, people served, forms processed, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
14. The proposal provides the estimated target value that will result from the implementation of this proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
15. The proposal provides the specific manner in which each metric will be measured.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
16. The proposal indicates how metrics will be tracked through the progression of the project (e.g., existing data, relevant forms, surveys, focus groups, etc.).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.11 Business and Stakeholder Capacity	Meets Requirements	Deficiency	Comments
1. The Agency/state entity has adequately addressed resources and business program priorities.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The Agency/state entity has addressed the question of whether or not the business problem will necessitate the development of entirely new business processes.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

1.11.1 Business Program Priorities	Meets Requirements	Deficiency	Comments
1. For each business program identified in Section 1.7 Program Background and Context, there is a description of how the proposal will be accommodated within the business program's priorities and capacity.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The narrative describes the effects of any new workloads the proposal will bring to the business program and/or other impacted business areas.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The proposal describes how management will make adjustments to ensure that the project maintains the commitment needed to ensure a successful outcome.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
<i>(Response to 1.11.2 External Stakeholder Involvement required only if Section 1.7 Program Background and Context identified external key stakeholder involvement or if the Agency/state entity answered "Yes" to 1.11.1 Business Program Priorities and the shared resources are from an external Agency/state entity business program.)</i>			
1.11.2 External Stakeholder Involvement	Meets Requirements	Deficiency	Comments
1. The proposal describes the extent to which external key stakeholders will be needed to achieve business objectives.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The narrative provides information pertaining to the way external stakeholders will use, share resources, or interact with possible solutions or business process changes.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The narrative provides information pertaining to the relative scope of external key stakeholder involvement with the business problem and possible solution and their level of influence in the achievement of business objectives.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. The proposal describes the extent to which key stakeholders will be needed in the evaluation solution alternatives, the relative scope of stakeholder involvement in the development of requirements and evaluation criteria of solution alternatives, and the level of influence stakeholders will have in the feasibility of alternative solutions.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

1.11.3 New or Changes to Business Processes	Meets Requirements	Deficiency	Comments
1. The proposal identifies the existing business processes that will require changing.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The proposal contains a description of any known or potential impacts on business processes, and the potential scope of business process modeling needed for the development of requirements and organizational change management.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.12 Organizational Readiness			
1.12.1 Governance Structure	Meets Requirements	Deficiency	Comments
1. The narrative addresses the overall scope of the governance structure and overall process and frequency for identifying and bringing topics to the governance body for decision-making.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The narrative includes information pertaining to how the business sponsors and key stakeholders will be represented in decision-making for this proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The proposal provides a description of how department will handle organization change and training.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. The narrative provides a description for both business and IT decision-making, which includes information security and privacy, that will be used to guide this proposal (who, what, when and how).	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
5. The governance structure includes representation from all interested/responsible groups.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.12.2 Leadership Participation	Meets Requirements	Deficiency	Comments
1. The proposal describes in detail the leadership levels selected and how they will be involved in this proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The proposal explains how the business sponsor(s) and key stakeholder(s) identified in the Business Sponsor and Key Stakeholders section will participate in a leadership capacity to successfully guide the project.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

3. The narrative addresses the business leader’s availability and commitment throughout the project as well as their experience with organizational change management.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. The narrative includes any specific training, development or mentoring that is needed to enhance the effectiveness of leadership.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.12.3 Resource Capacity/Skills/Knowledge for Stage 2 Alternatives Analysis	Meets Requirements	Deficiency	Comments
1. The proposal provides a description of the resources that will be included in a budget request and a summary of the planned staff resources’ experience performing similar projects.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. The proposal describes the capacity, skills, and knowledge of the resources that will perform the work required in the Stage 2 Alternatives.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
3. The proposal describes what resources are being considered for the work required in the Stage 2 Alternatives Analysis.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
4. The resources identified have the required business program knowledge, technical knowledge and procurement knowledge to effectively identify and evaluate viable alternative solutions and develop requirements.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.12.4 Training and Organizational Change Management			
1. The narrative describes the relative magnitude of training and organizational change management required to support the objectives of this proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
2. With respect to magnitude, the proposal details the resources, processes, and methodologies in place to provide training and organizational change management services.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

3. The proposal addresses the approximate number of resources that will be affected by the change(s) and what business programs these resources work within.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.12.5 Enterprise Architecture			
1. The proposal describes the Agency/state entity's current documented architecture (future state architecture), the overall impact this proposal will have on the business and IT systems enterprise architecture roadmap and vision, and how this proposal will be integrated with current business and IT systems.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
1.12.6 Project Management Risk Score:			
1.12.7 Data Management			
1. The proposal describes the Agency/state entity's current documented data management components (i.e., data governance, data security, and data quality) and provides an initial assessment of the data management needs to move forward with the proposal.	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Critical Partner Evaluation			
Enterprise Architecture	Yes	No	Comments
Can the business problem or opportunity and objectives be validated against the business strategy for alignment?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Is the proposal in accordance with the organization's target (future state) enterprise architecture and enterprise roadmap (if these artifacts are available)?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Are there any reference architectures, reusable assets, and/or shared business services in existing statewide standards and guidance that can be included in Stage 2 Alternatives Analysis?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

IT Project Oversight Division	Yes	No	Comments
Does the organization make a strong and compelling business case to justify further analysis and solution alternatives development?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Does the organization have the capacity to take on this project during the proposed time period of project initiation?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Does the organization and project management infrastructure have (or appear to have) experience with similar projects and a demonstrated capability of delivering the project successfully?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Does the proposal provide an opportunity for leveraging other existing initiatives or services in the state?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Are there apparent issues and/or risks that may affect the Stage 2 Alternative Analysis?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Identify any California IT Strategic Plan goals that align with this proposal (select all that apply):	<input type="checkbox"/> Responsive, Accessible, and Mobile Government <input type="checkbox"/> Leadership and Collaboration <input type="checkbox"/> Efficient and Reliable Infrastructure and Services <input type="checkbox"/> Secured Information <input type="checkbox"/> Capable IT Workforce <input type="checkbox"/> Responsive and Effective IT Project Procurement		
California Information Security Office	Yes	No	Comments
Does the proposal improve information security, business continuity, or technology recovery?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Are there any privacy or confidentiality laws or regulations which will require a Privacy Impact Assessment?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Are there information security and/or privacy program requirements (SAM Sections 5100 and 5300) that have not been addressed or that require significant program remediation?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Have the information security and/or privacy considerations been described, such as confidentiality, integrity, or availability?	<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.

Office of Technology Services, OTech		Yes	No	Comments
Is there any opportunity to leverage data center services?		<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Has cloud solution been investigated as a possible solution?		<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Office of Geospatial Information Systems		Yes	No	Comments
Is there any opportunity to leverage Geospatial Information Systems (GIS)?		<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Is there an opportunity to leverage existing GIS infrastructure and services?		<input type="checkbox"/>	<input type="checkbox"/>	Click here to enter text.
Gate 1 Exit Criteria				
Critical Partner Review	Reviewer	Date	Comments	
Enterprise Architecture review completed	Click here to enter text.	Date picker	Click here to enter text.	
IT Project Oversight Division review completed	Click here to enter text.	Date picker	Click here to enter text.	
California Information Security Office review completed	Click here to enter text.	Date picker	Click here to enter text.	
Office of Technology Services, OTech review completed	Click here to enter text.	Date picker	Click here to enter text.	
California Project Management Office review completed (as a service provider)	Click here to enter text.	Date picker	Click here to enter text.	
Department of Finance review completed	Click here to enter text.	Date picker	Click here to enter text.	
Office of GIS review completed	Click here to enter text.	Date picker	Click here to enter text.	

Collaborative Review

Collaborative Review completed	<input type="checkbox"/> Not Applicable (Anticipated Non-Reportable)	<input type="checkbox"/> Yes	Date picker	Click here to enter text.
Risk		Agency/State Entity Risk Strategy		Agency/State Entity Risk Strategy Response
Select or type...		Choose an item.		Click here to enter text.
Select or type...		Choose an item.		Click here to enter text.
California Department of Technology Decision				<input type="checkbox"/> Approved <input type="checkbox"/> Approved with Conditions <input type="checkbox"/> Not Approved <input type="checkbox"/> Withdrawn
Condition(s):				
Condi- tion #	Condition Category	Condition Sub- category	Condition	
Condi- tion #	Select or type...	Choose an item.	Click here to enter text.	
Rationale for Decision:				
Click here to enter text.				
ITPOD Oversight Manager:		Email:		Phone:
Click here to enter text.		Click here to enter text.		XXX-XXX-XXXX