NOTE TO THE AUTHOR

[This document is a template of a **Business Case** document for an investment. The template includes instructions to the author, boilerplate text, and fields to fill with agency-specific values.

To prevent confusion, delete any instructional or sample text (in BLUE ITALICS) that is not applicable to your Business Case prior to submitting (e.g., Note to the Author).

All documents are to be submitted in Word or Excel format. If PDF is used, ensure that there are no permissions that would prevent conversion.



*Investment name*

Business Case

*DATE*

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# 

# gENERAL iNVESTMENT iNFORMATION

|  |  |
| --- | --- |
| **Investment Name** | *Provide Name of Investment/Initiative* |
| **Submission Date** | *Provide the date the Business Case is submitted for approval* |
| **Business Sponsor and Phone Number** | *Provide a Business Sponsor* *who is the primary sponsor of this investment.* |
| **Name of Sponsor Organization** | *Provide Business Sponsor’s organization* |
| **CIO** | *Provide a CIO that will support the business sponsor with any related technology procurement/implementation.* |
| **Investment Manager (Name, Contact #)** | *Provide Investment Manager information* |
| **The investment type is:**  **a) Enhancement**  **b) Replacement**  **c) New Business** | *The following definitions will be useful in identifying which investment type the project is:*   * *Technical Enhancement – modifications or improvements to current business functions that will be supported by enhancements to existing technology systems.* * *Replacement – modifications or improvements to business functions that will be supported by replacing technology applications or systems currently in place.* * *New Business – new business processes or functions that will be supported by new applications or systems not used by the business organization today.* |

# Executive Summary

*Provide a* ***synopsis*** *of the key points of the Preferred Solution the agency seeking to fund for the reader (Use the examples below as needed to guide your response):*

1. *Why the investment is needed*
2. *What problem does it solve (be specific about what is currently not working)*
3. *What benefits it will provide*
4. *How this investment aligns with (or supports) the strategic goals and objectives of the agency and/or the state*
5. *What will success look like if the investment is made (high-level; more detail provided in Section 6)*
6. *The agency’s proposed solution to the problem and a description of the consequences and impact of not acting on this recommendation*
7. *A high-level estimate of the cost for the investment (including implementation and 5-year Total Cost of Ownership (TCO) and how it will be funded (all sources and the status of approval for each one)*
8. *An overview of the procurement(s) needed to obtain and implement the solution (utilize Appendix D to provide more detail)*
9. *Include the estimated budget of the preferred solution*
10. *Include Section 6 – Alternative Analysis table in the Executive Summary*
11. *NOTE: the Executive Summary should provide a brief overview; details will be included in the following sections of the document.*

# Purpose of investment

Provide more **detail** regarding the purpose of the business case that is being presented and what the investment is expected to do. This section must also:

1. Fully describe the current state, including its business and technology limitations
2. Identify the consequences of inaction
3. Discuss opportunities the proposed solution will provide
4. Explain how the investment will allow improvements and/or expansions to your current business (if relevant)
5. Describe any stakeholder or business partner support or influence driving the investment
6. *Describe one or more of the applicable business driver(s) for this investment (Use the examples below as needed to guide your response):*
   1. *Budget Reduction*
   2. *Modernization*
   3. *Legislative Mandate*
   4. *Available Funding*
   5. *Known Organizational Risk*
   6. *Process Improvement (automation)*
   7. *Other non-listed drivers*
7. *Describe how this Investment supports the State's strategic plan (Use the examples below as needed to guide your response):*
   * 1. *Make Georgia #1 for Small Business*
     2. *Reform State Government*
     3. *Strengthen Rural Georgia*
     4. *Put Georgians First*

# Business Impact

Please Describe:

1. What business functions/processes may be impacted, and how (positively or negatively)
2. Your plans for addressing ongoing operations as well as how any anticipated future growth both during implementation and after the investment is in place (training, organizational change management, resource realignment, etc.)
3. What financial resources will be required for the investment (estimated **total cost of ownership**) and details on how funding has been or will be obtained
4. Other resources that will be required for successful execution of the investment (e.g., state staff, contractors, consultants, etc.)
5. *Describe the primary benefit(s) of this investment (Use the examples below as needed to guide your response):* 
   1. *Cost Reduction*
   2. *Improved Financial Controls and Reporting*
   3. *Improved Customer Service*
   4. *Implementation of Cloud Based Efficiencies*
   5. *Improved Operational Efficiency*
   6. *Technology Upgrade (Applications)*
   7. *Technology Upgrade (Infrastructure)*
   8. *Improved Data Backup and Recovery Capabilities*
   9. *Address a Known Security Gap*
   10. *Redeployment of Resources*
   11. *Enhanced Systems Security Capability*
   12. *Improved Technical Performance*
   13. *Internal Process Improvement*

# aLTERNATIVES aNALYSIs

1. The Alternative Analysis section should identify options for and alternatives to the proposed solution and the strategy used to research them. The analysis of these potential options should provide strong support for a preferred solution. Examples of alternative analysis:
   1. Outsource vs. in-house business management
   2. Business process redesign versus technology enhancement or replacement
   3. Consolidation or centralization of resources vs. new distributed technology
2. List as many options as appropriate and include: A description of how research was conducted to identify the option(s)
3. An outline/description of each alternative considered (include **at least three viable alternatives**, including the option of keeping things as they are in the “Current State”)
4. Things to consider in your analysis should include, but are not limited to:
   1. Cost/benefit analysis
   2. Estimated timeline
   3. Initial and ongoing cost (for at least a 5-year total cost of ownership); a detailed breakdown for all known and estimated costs should be included
   4. Any organizational change issues specific to the alternative and potential impacts of those issues cost
   5. Payback period (if known)
   6. Other resource considerations
5. Security considerations (business and/or technology)
6. Risks and constraints
7. Critical Success Factors
8. Assumptions

## 5.1 Current State

This option outlines the cost of not making a change. It should reflect the current state of the business, including all relevant costs. Include a detailed alternative analysis that contains information as outlined in section 5.0 above.

Utilize a table containing detailed cost breakdowns that can be compared across the various options, as in this sample. It is important that the cost categories be the same for each alternative. If certain categories are not relevant to any option, you can designate them as $0 or N/A in the table. The table provided below includes sample cost categories for you to consider. These categories are not mandatory, but consistency across each alternative is critical as the Business Case is reviewed.

IMPORTANT NOTE: You must provide background or reference information to show how costs were derived.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Cost Category** | **As** **Is** *(Current Costs)* | **Project Costs** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Totals** |
| Agency Staff |  |  |  |  |  |  |  |
| Software (procurement/licenses) |  |  |  |  |  |  |  |
| Hardware purchase |  |  |  |  |  |  |  |
| Hosting Expense |  |  |  |  |  |  |  |
| Implementation Cost |  |  |  |  |  |  |  |
| Maintenance/Ops Cost |  |  |  |  |  |  |  |
| Help Desk Support |  |  |  |  |  |  |  |
| Training (project related and ongoing) |  |  |  |  |  |  |  |
| Consultant Costs |  |  |  |  |  |  |  |
| * Business Process Mapping |  |  |  |  |  |  |  |
| * IV&V |  |  |  |  |  |  |  |
| * Project Management |  |  |  |  |  |  |  |
| * Tech. Support Contractors |  |  |  |  |  |  |  |
| * Organizational Change Management |  |  |  |  |  |  |  |
| Unknown Expenses |  |  |  |  |  |  |  |
| **Totals** |  |  |  |  |  |  |  |

Please include a table like the one below to highlight considerations made during the analysis:

|  |  |
| --- | --- |
| **Pros (+)** | **Cons (-)** |
|  |  |
|  |  |
|  |  |

## 5.2 Alternative B

Include a detailed alternative analysis that contains information as outlined in section 5.0 above.

Utilize a table containing detailed cost breakdowns that can be compared across the various options, as in this sample. It is important that the cost categories be the same for each alternative. If certain categories are not relevant to any option, you can designate them as $0 or N/A in the table. The table provided below includes sample cost categories for you to consider. These categories are not mandatory, but consistency across each alternative is critical as the Business Case is reviewed.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Cost Category** | **As Is** *(Current Costs)* | **Project Costs** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Totals** |
| Agency Staff |  |  |  |  |  |  |  |
| Software (procurement/licenses) |  |  |  |  |  |  |  |
| Hardware purchase |  |  |  |  |  |  |  |
| Hosting Expense |  |  |  |  |  |  |  |
| Implementation Cost |  |  |  |  |  |  |  |
| Maintenance/Ops Cost |  |  |  |  |  |  |  |
| Help Desk Support |  |  |  |  |  |  |  |
| Training (project related and ongoing) |  |  |  |  |  |  |  |
| Consultant Costs |  |  |  |  |  |  |  |
| * Business Process Mapping |  |  |  |  |  |  |  |
| * IV&V |  |  |  |  |  |  |  |
| * Project Management |  |  |  |  |  |  |  |
| * Tech. Support Contractors |  |  |  |  |  |  |  |
| * Organizational Change Management |  |  |  |  |  |  |  |
| **Totals** |  |  |  |  |  |  |  |

Please include a table like the one below to highlight considerations made during the analysis:

|  |  |
| --- | --- |
| **Pros (+)** | **Cons (-)** |
|  |  |
|  |  |
|  |  |

## 5.3 Alternative C

Include a detailed alternative analysis that contains information as outlined in section 5.0 above.

Utilize a table containing detailed cost breakdowns that can be compared across the various options, as in this sample. It is important that the cost categories be the same for each alternative. If certain categories are not relevant to any option, you can designate them as $0 or N/A in the table. The table provided below includes sample cost categories for you to consider. These categories are not mandatory, but consistency across each alternative is critical as the Business Case is reviewed.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Cost Category** | **As Is** *(Current Costs)* | **Project Costs** | **Year 1** | **Year 2** | **Year 3** | **Year 4** | **Totals** |
| Agency Staff |  |  |  |  |  |  |  |
| Software (procurement/licenses) |  |  |  |  |  |  |  |
| Hardware purchase |  |  |  |  |  |  |  |
| Hosting Expense |  |  |  |  |  |  |  |
| Implementation Cost |  |  |  |  |  |  |  |
| Maintenance/Ops Cost |  |  |  |  |  |  |  |
| Help Desk Support |  |  |  |  |  |  |  |
| Training (project related and ongoing) |  |  |  |  |  |  |  |
| Consultant Costs |  |  |  |  |  |  |  |
| * Business Process Mapping |  |  |  |  |  |  |  |
| * IV&V |  |  |  |  |  |  |  |
| * Project Management |  |  |  |  |  |  |  |
| * Tech. Support Contractors |  |  |  |  |  |  |  |
| * Organizational Change Management |  |  |  |  |  |  |  |
| **Totals** |  |  |  |  |  |  |  |

Please include a table like the one below to highlight considerations made during the analysis:

|  |  |
| --- | --- |
| **Pros (+)** | **Cons (-)** |
|  |  |
|  |  |
|  |  |

# Alternative analysis

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Current State** | **Alternative B** | **Alternative C** |
| +Pros |  |  |  |
| -Cons |  |  |  |
| Risk |  |  |  |
| Payback Period |  |  |  |
| Annual Cost Estimate |  |  |  |
| Implementation Cost |  |  |  |
| Estimated 5-Year TCO |  |  |  |

# Preferred Solution

*In this section, please declare the ‘Preferred Solution’ of the alternatives that have been analyzed above. Additionally, support your decision regarding the preferred solution by describing the following (Use the examples below as needed to guide your response):*

1. *Identify high-level Risks & constraints*
2. *Identify whether the investment will deploy new applications or technology*
3. *Describe the Solution you are implementing.*
   1. *Custom Developed*
   2. *Custom Off the Shelf (COTS)*
   3. *Software as a Service (SaaS)*
   4. *Unknown currently*
4. *Identify time constraint(s) for completion if applicable.*
   1. *Legislative Mandate*
   2. *Re-Bid Requirement*
   3. *Tied To Fiscal Year*
   4. *Budget Constraint*
   5. *Project Dependency*
   6. *Technology / Security Risk (Exposure)*
   7. *Other non-listed constraint*
5. *Identify the primary benefit/return on this investment from the list below or provide an additional benefit:*
   1. *Cost Reduction*
   2. *Improved Financial Controls and Reporting*
   3. *Improved Customer Service*
   4. *Implementation of Cloud Based Efficiencies*
   5. *Improved Operational Efficiency*
   6. *Technology Upgrade (Applications)*
   7. *Technology Upgrade (Infrastructure)*
   8. *Improved Data Backup and Recovery Capabilities*
   9. *Address a Known Security Gap*
   10. *Redeployment of Resources*
   11. *Enhanced Systems Security Capability*
   12. *Improved Technical Performance*
   13. *Internal Process Improvement*
6. *Identify who will be most impacted by the implementation of this investment project:* 
   1. *Internal Department Staff*
   2. *Agency enterprise-wide*
7. *Identify how many entities are required for implementation:* 
   1. *A single Dept/Group within a single agency*
   2. *Multiples Dept/Groups within a single agency*
   3. *2 or more agencies*
   4. *Multiple State-wide Sites*
   5. *External Entities*

# SecurITy standards

*In this section, please identify and explain the expected Security standards and controls that are applicable and how they will be utilized for this project.*

1. *Has the Agency Information Security Officer evaluated the related project document(s) for Risk and constituent data?*
2. *The Project must follow NIST 800-53 Rev.5*
3. *What is the Data type?*
4. *Where will Data be stored/hosted?*
5. *Who will have access to the Data?*
6. *Define the level of Security Risk.*
7. *A System Security Plan must be submitted as a deliverable.*
8. *Language must be included, if it references security and privacy incidents involving PII, PHI, or HIPAA data, agreeing to OCGA §§ 10-1-910 – 10-1-915 (under Title 10, Article 34, Identity Theft) § 10-1-912.*
9. *The selected vendor must carry Cyber and Technology Liability, which encompasses Network, Security/Privacy, Technology Errors, and Omission coverage, of $5M.*
10. *Security assessments are required on an annual basis and Risk assessments are required every 3 years per NIST 900-53 Rev.5 (unless the system is rated FISMA high, then it is to be done annually)*
11. *All state-sensitive and confidential data must be encrypted during transmission and at rest or where stored and must comply with NIST SP 800-111.*

# Estimated Duration

*What is the estimated project duration?*

# Estimated project implementation Budget

*What is the estimated project implementation budget?*

*Describe the primary Funding Source(s)*

Appendix A: Business Case Approval

The undersigned acknowledge they have reviewed the *<Project Name>* **Business Case** and agree with the approach it presents. Changes to this **Business Case** will be coordinated with and approved by the undersigned or their designated representatives.

List the individuals whose signatures are desired. Examples of such individuals are Business Sponsor, Business Owner, or Agency Commissioner(s). Add additional lines for signature as necessary.

|  |  |  |  |
| --- | --- | --- | --- |
| Signature: |  | Date: |  |
| Print Name: |  |  |  |
| Title: |  |  |  |
| Role: |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Signature: |  | Date: |  |
| Print Name: |  |  |  |
| Title: |  |  |  |
| Role: |  |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Signature: |  | Date: |  |
| Print Name: |  |  |  |
| Title: |  |  |  |
| Role: |  |  |  |

APPENDIX B: REFERENCES

Insert the name, version number, description, and physical location of any documents referenced in this document. Add rows to the table as necessary.

The following table summarizes the documents referenced in this document.

|  |  |  |
| --- | --- | --- |
| **Document Name and Version** | **Description** | **Location** |
| *<Document Name and Version Number>* | *[Provide description of the document]* | *<URL or Network path where document is located>* |

APPENDIX C: KEY TERMS

*Insert terms and definitions used in this document. Add rows to the table as necessary. Follow the link below for definitions of project management terms and acronyms used in this and other documents.*

*http://www2.cdc.gov/cdcup/library/other/help.htm*

The following table provides definitions for terms relevant to this document.

|  |  |
| --- | --- |
| **Term** | **Definition** |
| *[Insert Term]* | *[Provide a definition of the term used in this document.]* |
| *[Insert Term]* | *[Provide a definition of the term used in this document.]* |
| *[Insert Term]* | *[Provide a definition of the term used in this document.]* |

**APPENDIX D: PROCUREMENT STRATEGY**

*Insert an overview of the proposed strategy for procuring the preferred solution. Include any product/supplier solicitations (e.g., Requests for Information, Requests for Proposal, Multi-stage Requests for Proposal, Sole Source Procurement, etc.) anticipated to obtain all required resources for its implementation. If DOAS approval/participation is required, discuss how they have been engaged in the development of the strategy. It is understood that the strategy may be adapted as planning progresses. Provide as much detail as is appropriate at this stage of the investment.*

**APPENDIX E: Applicable OCGA Code & GTA - PSG References**

* [OCGA Section 50-25-1](https://law.justia.com/codes/georgia/2010/title-50/chapter-25/50-25-1/) - Establishment of Georgia Technology Authority
* [OCGA Section 50-29-3](https://law.justia.com/codes/georgia/2022/title-50/chapter-29/section-50-29-3/) - Submission of Business Cases for IT Programs; Requirements
* [SM-14-008](https://gta-psg.georgia.gov/psg/gta-endorsement-proposed-technology-procurement-sm-14-008) - GTA Endorsement of Proposed Technology Procurement
* [GM-17-001](https://gta-psg.georgia.gov/psg/accountability-change-management-and-process-improvement-act-2016-hb676-gm-17-001-0) - Accountability, Change Management and Process Improvement Act of 2016 (HB676)
* [SM-08-103](https://gta-psg.georgia.gov/psg/information-technology-review-standard-sm-08-103-sm-08-103) - Information Technology Review Standard