

Strategic Outline Case Guidance

Single Assurance Framework

Version 3



West Midlands
Combined Authority

ABSTRACT

This document provides guidance based on HM Treasury's Green Book and WMCA Requirements to assist in the writing of a Strategic Outline Case (SOC)

Programme Assurance & Appraisal

February 2024

Version Control Sheet

Version No.	Date	Author	Changes
V1.0	June 2021	Programme Assurance Appraisal &	First Launch of Business Case Guidance
V2.0	March 2023	Programme Assurance Appraisal &	Planned update to reflect WMCA and Green Book Requirements
V3.0	October 2023	Programme Assurance Appraisal &	Planned yearly update including but not limited to; addition of Inclusive Growth and Equalities Section, more detailed guidance on Stakeholder Involvement, Critical Success Factors and Monitoring and Evaluation
V3.1	February 2024	Programme Assurance Appraisal &	Update to stakeholder information and improved guidance on Inclusive Growth and Equalities Section

Version No.	Date	Approver	Approvals
v1.0	June 2021	Programme Assurance Appraisal &	Working Group Activity
V2.0	March 2023	Programme Assurance Appraisal &	Task and Finish Group Activity
V3.0	October 2023	Programme Assurance Appraisal &	Programme Appraisal
V3.1	February 2024	Programme Assurance Appraisal &	Programme Appraisal & Centre of Excellence

Related Documents

Reference	Related Documents
WMCA-SAF-TP016	SOC - Strategic Outline Case

Contents

Version Control Sheet.....	0
Related Documents	2
I Introduction	4
II Project Detail.....	5
III Executive Summary	5
IV Financial Summary.....	6
1.0 Strategic Case	7
1.1 STRATEGY AND POLICY ALIGNMENT	7
1.2 EXISTING ARRANGEMENTS	7
1.3 ORGANISATIONAL OVERVIEW.....	7
1.4 PROJECT SPENDING OBJECTIVES AND ALIGNMENT TO WMCA AIMS.....	7
1.5 INCLUSIVE GROWTH AND EQUALITIES	8
1.6 MAIN BENEFITS	9
1.7 KEY RISKS.....	10
1.8 CONSTRAINTS	10
1.9 DEPENDENCIES.....	11
2.0 Economic Case.....	12
2.1 CRITICAL SUCCESS FACTORS (CSF'S)	12
2.2 LONG LISTED OPTIONS	12
2.3 SHORT LISTED OPTIONS AND APPRAISAL	13
2.4 PREFERRED WAY FORWARD (PWF).....	13
3.0 Commercial Case	15
3.1 OVERVIEW OF COMMERCIAL CASE IN SUPPORT OF PREFERRED OPTION	15
3.2 OVERVIEW OF THE COMMERCIAL STRATEGY.....	15
4.0 Financial Case	16
4.1 CAPITAL FUNDING AND REVENUE FUNDING STATEMENT	16
4.2 OVERVIEW OF FUNDING AND AFFORDABILITY SUMMARY	17
4.3 CASHFLOW	17
5.0 Management Case.....	18
5.1 MANAGEMENT AND GOVERNANCE	18
5.2 PROJECT SCHEDULE FOR DELIVERY	18
5.3 PROJECT ORGANOGRAM	19
5.4 PROJECT DELIVERY ROLES AND RESPONSIBILITES.....	19
5.5 LESSONS LEARNT.....	19

5.6 MONITORING AND EVALUATION	20
6.0 Mandatory Appendices	21
6.1 RISK REGISTER	21
6.2 INITIAL STAKEHOLDER AND COMMUNICATIONS STRATEGY	22
6.3 WRITTEN CONFIRMATION/S OF CONFIRMED FUNDING.....	23
6.4 PROJECT SCHEDULE.....	23

I Introduction

A key principle that underpins the Single Assurance Framework (SAF) is delivering enhanced evidenced based decision-making across everything that the WMCA does, this requires ensuring that decision-makers are as informed as they can be with the right information.

To support this approach the SAF requires the development of business cases using HM Treasury's Five Case Model as outlined within The Green Book, in a scalable and proportionate way that incorporates WMCA requirements such as alignment to Strategic Objectives, Policy and Inclusive Growth.

A well-prepared Project Business Case:

- enables the organisation and its key stakeholders to understand, influence and shape the project's scope and direction early in the planning process
- assists decision-makers to understand the key issues, the available evidence base and to avoid committing resources to schemes that should not proceed
- demonstrates to senior management, stakeholders, customers and decision makers the continuing viability of the project, and provides the basis for management, monitoring and evaluation during and after implementation

This guidance document sets out the requirements that need to be delivered when submitting a Strategic Outline Case (SOC). The guidance is designed to help with the completion of the SOC by explaining what the WMCA and Green Book standards are that will be appraised, assessed, and considered through the decision-making process.

The Purpose of a Strategic Outline Case

Scoping the proposal and preparing the Strategic Outline Case (SOC) is the first stage in developing the project business case for a significant scheme using the Five Case Model. The purpose of the SOC is to establish the case for change and to provide a preferred way forward for senior management's approval prior to going onto the more detailed planning stage.

II Project Detail

Ensure Table 1 and 2 are completed in full, including the names of the key stakeholders who have input and been sighted on the submitted business case. Note, a level of input from the Senior Responsible Owner (SRO), WMCA Executive Director, Finance Lead, Procurement Lead and Legal lead is mandatory, and the business case submission will not be accepted until this detail is provided. If the business case has been submitted by a non-WMCA entity i.e., a Local Authority, the stakeholders listed can be non-WMCA employees.

III Executive Summary

Complete a one-page overview of the project that is a maximum of 500 words.

This summary should include the following at a minimum:

- Project Description – A well-written description makes it possible for the intended audience (e.g., the decision-makers and reviewers) to understand the concept, context, and rationale of the proposed project

- Target Objectives – State the ‘big picture’ goals that are planned to be achieved (e.g., improving air quality)
- Associated Outputs – State the tangible and direct results of the project (e.g., 250 metres of cycle lane)

IV Financial Summary

Complete Table 3 to provide a brief financial summary of the project.

Definitions for each line required are:

- Total Project Cost – The sum of the entire project cost (as known), including all funding sources identified
- WMCA Funding Requested – The amount of funding being requested from WMCA (i.e., the financial ask of this specific business case)
- WMCA Funding Source – State the funding source of the WMCA Funding being requested (e.g., City Region Sustainable Transport Settlement – CRSTS)
- Funds Secured – The amount of funding that has already been officially secured; this should be demonstrated by confirmation of funding appended to the business case.
- Funds Unsecured - The amount of funding that has not yet been officially secured, this should include the financial ask of this business case (i.e., the amount in the WMCA Funding Required column).

Example Table for Financial Summary

Finance Summary	SOC
Total Project Cost:	£1,000,000
WMCA Funding Requested:	£100,000
WMCA Funding Source:	CRSTS
Funds Secured:	£0
Funds Not Secured:	£1,000,000

1.0 Strategic Case

The purpose of the strategic dimension of the business case is to make the case for change and to demonstrate how it provides strategic fit.

1.1 STRATEGY AND POLICY ALIGNMENT

Briefly explain how the project supports the existing policies and strategies of the organisation and other programmes and projects within the strategic portfolio. In addition, comment on how Local, National, Regional Policy and other organisations' strategies are supports. Attach relevant documents, if applicable.

Explain how the project supports the existing policies and strategies of the organisation and will assist in achieving the business goals, strategic aims and business plans of the organisation.

This section should explain:

- All relevant international, national, regional, sector and local policies, initiatives and targets, as required, and focus on those which are most relevant to the project
- The relationship between the proposed project and other programmes and projects within the organisation's strategic portfolio, including relevant milestones and timescales on the critical path for delivery.
- Any linkages and interdependencies with another organisation's programmes and projects should be explained, especially where the proposed project is intended to contribute to shared outcomes across multiple organisations.
- This information may be gleaned from existing documents, including organisational strategies and business plans. These should be briefly summarised or attached to the Business Case.

1.2 EXISTING ARRANGEMENTS

Provide a complete summary of the organisation's current service model referring to its Business as Usual (BAU) offer, this may also include elements of services provided within the organisation's external environment.

Provide a summary that details the current situation and range of services presently being provided by the organisation. This includes detail on key customers, service levels and current demand.

1.3 ORGANISATIONAL OVERVIEW

Provide a brief overview of the organisation(s) making the case for intervention and change.

Provide an overview that introduces the organisation to the reader of the business case.

The key area to focus upon is the purpose of the organisation, including its vision and mission statements, strategic goals, business aims and key stakeholders.

1.4 PROJECT SPENDING OBJECTIVES AND ALIGNMENT TO WMCA AIMS

Specify the spending objectives for the project. These should focus on the target outcomes for the intervention and be SMART (Specific, Measurable, Achievable, Realistic and Time-Dependent). Desired outcomes include: improved economy, efficiency, effectiveness, replacement and compliance.

Note, all projects need to consider Inclusive Growth and its contribution to Net Zero.

Complete Table 4 to set out the spending objectives for the project i.e., the outcomes we are seeking to achieve.

The project’s spending objectives should be:

- Aligned with the WMCA Strategic Objectives - there should be at least one objective for both Inclusive Growth and contribution to Net Zero
- SMART – Specific, Measurable, Achievable, Relevant, and Time-constrained – to facilitate evaluation. The setting of clear, concise and meaningful SMART spending objectives is an iterative process and will depend upon the nature and focus of the project.
- Customer-focused and distinguishable from the means of provision, so focus is on what needs to be achieved rather than the potential solution
- Not be so narrowly defined as to preclude important options, nor so broadly defined as to cause unrealistic options to be considered at the options appraisal stage
- Focused on the vital outcomes, since a single or large number of objectives can undermine the clarity and focus of the project.

The project’s spending objectives will typically address one or more of the following five generic drivers for intervention and spend. These are:

- To improve the quality of public services in terms of the delivery of agreed outcomes (effectiveness). For example, by meeting new policy changes and operational targets.
- To improve the delivery of public services in terms of outputs (efficiency). For example, by improving the throughput of services whilst reducing unit costs.
- To reduce the cost of public services in terms of the required inputs (economy). For example, through ‘invest to save’ schemes and spend on innovative technologies.
- To meet statutory, regulatory or organisational requirements and accepted best practice (compliance). For example, new health and safety legislation or building standards.
- To re-procure services to avert service failure (replacement). For example, at the end of a service contract or when an enabling asset is no longer fit for purpose.

Example Table for Project Spending Objectives and Alignment to WMCA Aims:

#	Objective	Baseline (quantitative)	Target	Specific actions to achieve objective	How will the customer be impacted (i.e., outcomes)	Alignment to WMCA aims and objectives
1	Contribute towards reducing un-employment in the city of Birmingham	Current unemployment level in the area is 15.3% as of November 2022	Improvement of 2% in unemployment by 31 December 2023	The delivery of 12 digital bootcamps in Birmingham	Economy	Promote inclusive economic growth in every corner of the region

1.5 INCLUSIVE GROWTH AND EQUALITIES

Explain how this project will contribute to inclusive growth and equality within the West Midlands. If WMCA internal, the WMCA’s Inclusive Growth Framework can be found [here](#). To add, state how health inequalities and equalities (protected characteristics as defined by the Equality Act) have been considered in the production of this business case, this can be done using the WMCA Health and Equity Impact Assessment (HEQIA) Tool found [here](#) for

internal staff, or other tools available within Local Authorities. If you are external to WMCA but wish to use our HWQIA Tool, contact equalitiesteam@wmca.org.uk.

Provide a written explanation that explains how the project contributes to both inclusive growth and equality. This can be done using the WMCA tools provided within the links above (links available for WMCA internal applicants), or other tools available within Local Authorities. Once the tool/s are completed, the output should be used to shape the business case i.e., what steps or actions have been taken in response to the results. If you are external to WMCA but wish to use our HWQIA Tool, contact equalitiesteam@wmca.org.uk.

- The Inclusive Growth Framework poses a set of considerations and provides guidance and evaluation criteria to help assess whether a project will directly or indirectly contribute to achieving the [inclusive growth fundamentals](#). Please refer to the [Inclusive Growth Toolkit](#) page for further information and updates.
- The Health and Equity Impact Assessment (HEQIA) tool how equalities etc has been considered, highlighting any likely positive, neutral and/or negative impacts, and in the case of the latter, what steps or actions can be taken to mitigate negative impact(s).

1.6 MAIN BENEFITS

Specify the main benefits associated with the achievements of the project's spending objectives by beneficiary. Distinguish benefits from outcomes.

Complete Table 5 to specify the main benefits of the project to be delivered by:

- Benefit - detail the benefit that will be realised because of the project
- Benefit Category – select the type of benefit from the following 3 categories
 - 1) Direct public sector benefits (to originating organisation):
 - a. Cash releasing benefits (CRB)
 - b. Monetisable non-cash releasing benefits (non-CRB)
 - c. Quantifiable but not readily monetisable benefits (QB)
 - d. Qualitative but not readily quantifiable benefits (Qual).
 - 2) Indirect public sector benefits (to other public sector organisation):
 - a. Cash releasing benefits (CR)
 - b. Monetisable non-cash releasing benefits (non-CRB)
 - c. Quantifiable but not readily monetisable benefit (QB)
 - d. Qualitative but not readily quantifiable benefits (Qual).
 - 3) Wider benefits to UK society (e.g., households, individuals, businesses)
 - a. Monetisable, including cash benefits
 - b. Quantifiable but not readily monetisable benefits
 - c. Qualitative but not readily quantifiable benefits.

Benefit Classification Examples:

- Cash releasing (CRB) - Reductions in operating cost; Increases in revenue stream
- Non-cash releasing (non-CRB) - Re-deployment of existing resources, including staff and infrastructure onto other business; Improved efficiency
- Quantifiable (QB) - Improved social outcomes; Improved retention of trained staff; Customer satisfaction
- Qualitative (Qual) - Widening the cultural appreciation of school children

- Beneficiary – to whom it will be of value

Example Table for Main Benefits:

#	Benefit	Benefit Type	Beneficiary
1	Reduction of Co2 in Dudley City Centre	Wider benefits to UK society	Those who live and/or work within Dudley City Centre

1.7 KEY RISKS

Specify the main risks associated with the achievement of the project’s objectives, along with the key activity aimed at either managing the cause or mitigating the effects of each risk.

Use Table 6 to specify the most significant / highest rated risks associated with the achievement of the project’s outcomes and the key activity for mitigation and management of said risks.

These risks should be extracted from the more comprehensive risk register appended to the SOC, which should follow the standard WMCA Risk Register template and should be developed and used in accordance with the WMCA Risk Management Framework.

All the information necessary to understand how Risk Management works at the WMCA can be found in the Risk Management Framework here: <https://intranet.wmca.org.uk/section/resource-hub/finance-and-business-hub/business-improvement-team/risk-management>. This includes the scope of the framework, the roles and responsibilities, and the process we expect to be followed in identifying, assessing, managing, and escalating risks.

For any questions on the application of risk management please contact Peter Astrella, the WMCA Risk Manager, peter.astrella@wmca.org.uk

Example Table for Key Risks:

#	Risk	Impact (1-5)	Probability (1-5)	RAG Rating	Risk Owner	Mitigation
1	Discovery of Japanese knot weed along the desired metro route	4	2	Medium	S Jones (SRO)	Land surveys to be completed in March 2023

1.8 CONSTRAINTS

Specify any constraints that have been placed on the project.

Detail any constraints that have been placed on the project i.e., the limitations that may be faced.

Constraints are the external conditions and agreed parameters within which the programme must be delivered, over which the project has little or no control. These can include policy decisions, ethical and legal considerations, rules and regulations, and timescales within which the project must be delivered. Affordability constraints may include agreed limits on capital and revenue spend.

Constraints on the project need to be managed from the outset, since they will constrain the options that can be considered for project delivery.

1.9 DEPENDENCIES

Specify any dependencies outside the scope of the project upon which the success of the project is dependent.

Detail any dependencies outside the scope of the project upon which the ultimate success of the project is dependent i.e., things that must be in place/managed elsewhere.

These should include:

- Inter-dependencies between other programmes and projects. (These are the dependencies that are external to the project but are still within the perimeters of the organisation's project and project management environment, and most likely linked to the scope of another project or project within the strategic portfolio).
- External dependencies outside the project environment. (These are the dependencies that extend beyond the boundaries of all the projects into other parts of the organisation or even other organisations. These dependencies are outside the control of the project management environment; potentially in business operations, partnering organisations and include external dynamics, such as legislation, strategic decisions and approvals).

2.0 Economic Case

The purpose of the economic dimension of the business case is to identify the proposal that delivers best public value to society, including wider social and environmental effects.

2.1 CRITICAL SUCCESS FACTORS (CSF'S)

List the critical success factors i.e., what must this project achieve to be successful?

These are not outcomes or objectives, they are the attributes essential for successful delivery of the project.

Complete Table 7 with the following: Critical success factors are those factors that if not met, would mean the project had not been successful. They can be used to eliminate options from the short list, even those options that perform well financially or economically but do not satisfy all CSFs.

- An optional, 'nice to have' or non-critical output or outcome should not be listed as a CSF
- CSFs are not the same as project outputs, objectives or outcomes, which should still be defined separately
- CSFs should be set at the SOC stage, and further guidance is available at that stage of the SAF process
- Each CSF should indicate how it aligns to the project objectives - showing how meeting the Objectives contributes to meeting the CSF. This means that each CSF should align to one or more objective.
- When considering a projects CSFs, a starting point in order to ensure a broad range of attributes essential for delivery are identified consider the following themes; Strategic Fit, Business Need, Value for Money, Supplier Capacity and Capability, Affordability (example #1 below), and Achievability.

Example Table for CSF's:

#	Critical Success Factor	Alignment to Project Objectives
1	Deliver within available funding envelope	1. Deliver 1000 units by 2025 2. Enable 3000 customer interactions per month by 2025

2.2 LONG LISTED OPTIONS

Determine and long list options and undertake SWOT analysis.

Complete Table 8 with the following: The long list of options should consist of a wide range of options that are broad enough to capture all potential ways to meet the project objectives and CSFs, but without being unrealistic.

The long list should not consist solely of variations of the preferred option but should be compiled before the preferred option is selected to give a range of possible solutions. This may result in options which are vastly different "on the ground" but which meet the project objectives and critical success factors.

One possible way of producing a long list is to consider a range of criteria (e.g., scope, delivery method, finance route, timing etc) and consider a BAU, minimum, central and maximum solution for each criterion. This will give a 'matrix' of options from which a long list can be chosen.

The "International Guide to developing the project business case" on the UK Government Green Book website provides more details of how to apply this method.

Example Table for Long List SWOT Analysis:

#	Option Description	Advantages	Disadvantages	Does This Option Meet CSF's?
1	BAU	No changes needed	Doesn't meet growth plans	No

2.3 SHORT LISTED OPTIONS AND APPRAISAL

Short Listed Options

Complete Table 9 with the following: From the long list, select between 3 and 5 possible options to consider in more detail. These options should include the BAU (which is used as a baseline), a do-minimum and at least two others. The option which appears to be the best solution at this stage is identified as the Preferred Way Forward (PWF).

A broad, indicative, appraisal is then carried out using the available information to provide further information on each option.

At this stage, it is not essential for the Preferred Way Forward to have the highest BCR although it should be within the range of the other options. A more detailed appraisal will be carried out at the OBC stage to confirm the option which offers the best value for money.

Example Table for Short List Options:

Label	Description	Ind NPSV	Ind PVC	Ind BCR
BAU	Carry on with existing in-house arrangements	£2,000,000.00	£1,800,000.000	1.11

Provide quantified benefits for selected measures, noting the value that has been included in the Social Value and BCR. Note that in a Green Book analysis, GVA/GDP is not included in the BCR calculation but is still a relevant measure to report in the business case.

Complete Table 7 as below, if your project does not impact on a specific measure, enter a 0.

Example Table for Quantified Benefits:

#	Item	Quantified Benefit	Social Benefit included in BCR
1	GVA	£2m increase in WM GVA over 3 years	N/A

2.4 PREFERRED WAY FORWARD (PWF)

Preferred way forward

Provide more detail on the preferred way forward. If the matrix method was used to develop the long list, the detail in this can be used to answer this question.

3.0 Commercial Case

The purpose of the commercial dimension of the business case is to demonstrate that the preferred option will result in a viable procurement and a well-structured Deal between the public sector and its service providers.

3.1 OVERVIEW OF COMMERCIAL CASE IN SUPPORT OF PREFERRED OPTION

State the ability of the marketplace to provide the required goods or services and the attractiveness of this proposal to potential service providers. Also include detail on how the respective procurement and legal teams have been consulted with regards to the impact of subsidy control on the project (including HR/IT personnel implications).

The overview should include:

- An assessment of the ability of the current marketplace to provide the required goods and services needed to deliver to project.
- Evidence the level of attractiveness of any future Deal to potential service providers, including some analysis of risk apportionment and supporting charging mechanisms
- Demonstrate input from procurement and legal team during the initial stages of project development, this includes any implications on HR and/or IT

3.2 OVERVIEW OF THE COMMERCIAL STRATEGY

Reference the organisations Commercial Strategy and how public value will be achieved through economics of scale.

Discuss how the project will utilise the organisations current Commercial Strategy throughout development and how economies of scale will be achieved in a bid to provide public value.

4.0 Financial Case

The purpose of the financial dimension of the business case is to ensure the project is affordable and is fundable over time. This section should be completed either by or in consultation with Finance and Accounting personnel. All figures need to be unrounded and there should be full alignment with the Financial Summary provided in Table 3.

Some key points to consider when writing this section:

- Nominal costs (including inflation) are not real costs
- This section should provide a cost breakdown for expenditure for which funding is requested from this submission i.e., if you are asking for £100,000 for this SOC, what are the line items that this funds
- Inclusion of contingency and the % of the total ask should be made clear
- Where possible, demonstrate how benchmarking has been used to ensure reasonable cost estimates have been used (cost/unit.)
- Provide commentary to supplement tabular data and highlight assumptions used and sources of uncertainty

4.1 CAPITAL FUNDING AND REVENUE FUNDING STATEMENT

A summary of the overall affordability of the project and the funding that has been secured to date must be provided.

All secured funding identified below should be verified by a written confirmation attached to this SOC with details of any conditions etc.

Complete Table 11 and 12 to provide detail on the overall funding package.

Note, funding can only be deemed secured if written confirmation is available and attached with the SOC.

Table 11 should include a target date of a decision of funds should be listed against all unsecured funding e.g., decision due March 2026 and should detail any conditions attached to the secured funds e.g., spend by March 2026.

Some definitions to help with the completion of Tables 11 and 12:

- Gross costs - The total costs, expenses, liabilities, Taxes and other expenditures.
- Revenue costs - Total cost incurred to obtain a sale and the cost of the goods or services sold.
- Capital costs - Fixed, one-time expenses incurred on the purchase of land, buildings, construction, and equipment used in the production of goods or in the rendering of services. In other words, it is the total cost needed to bring a project to a commercially operable status.
- Development funding - Costs that are needed to reach the next business case stage i.e., feasibility studies, design works and creation of an Outline Business Case (OBC)

You can use revenue funding to fund capital expenditure, but you can't use capital funding for revenue expenditure. Examples of revenue funding include:

- Certain grants

- Revenues generated
- Capital funding:
- Capital Grants
- Capital Receipts

“Local Authorities can only borrow for capital expenditure” (CIPFA Prudential Code)

4.2 OVERVIEW OF FUNDING AND AFFORDABILITY SUMMARY

A written summary of the overall affordability of the project and the funding that has been secured to date must be provided. Where there is a shortfall in available funding, provide details of how this will be addressed, and the level of contingency included.

Complete Table 13 to provide further detail on WMCA funding specifically.

Note, WMCA are to be seen as a funder of the last resort where possible and therefore this should be reflected within the order in which WMCA funding is drawn down (should other funding sources be available).

4.3 CASHFLOW

Complete the cashflow table below setting out both income and expenditure. Amend fiscal year dates as required and number of funding sources.

Complete Table 14 to demonstrate the cashflow of the project from its ongoing operational costs and external investment sources.

Please tailor the financial period/s to reflect the timings most suitable for the project.

5.0 Management Case

The purpose of the management dimension of the business case is to demonstrate that robust arrangements are in place for the delivery, monitoring and evaluation of the scheme, including feedback into the organisation's strategic planning cycle.

5.1 MANAGEMENT AND GOVERNANCE

Provide an overview of the necessary management and governance arrangements both in the delivery phase and in operation i.e., include detail on: Governance and decision-making arrangements; Change management arrangements (inc. reference to WMCA Change Process); Benefits realisation arrangements and plans, including benefits register; Contract management arrangements; Post evaluation arrangements.

Please provide further information on the following elements of Management and Governance:

- Governance and decision-making arrangements - who is involved in the decision-making process both inside and outside the organisation including the use of governance frameworks such as the Single Assurance Framework. Diagrams may be added.
- Change management arrangements (inc. reference to WMCA Change Process) - detail the process for managing, tracking and approving changes to time, cost, quality and scope.
- Benefits realisation arrangements and plans, including benefits register - explain the process in place for identifying and monitoring benefits through to realisation. This should include detail on the maintenance of a benefits register.
- Contract management arrangements - detail the arrangements in place to manage the agreed contracts over their duration. This should include detail on both the service provider's and procuring authority's respective roles and responsibilities in relation to the potential Deal.
- Post evaluation arrangements - provide high level detail that includes the expected timescales for post project evaluation. These arrangements should be included in the project schedule with the individuals responsible for their delivery.

5.2 PROJECT SCHEDULE FOR DELIVERY

List the key project milestones and ensure this information is fully aligned to the Project Schedule, which must be appended to this SOC. Include dates for future business case submissions (i.e., OBC) and a longstop date by which all monies for development of this SOC needs to be drawn by

Use Table 15 to set out the key project milestones including (but not limited to) dates for future business case submissions and a longstop date by which all monies need to be drawn by.

Note, the detail provides should fully align to the Project Schedule appended to this SOC.

5.3 PROJECT ORGANOGRAM

Insert a Project Organogram which includes full-time, part-time and fixed term staff. A Senior Responsible Owner (SRO) should be appointed and identified in the organogram.

Insert a Project Organogram that includes all key stakeholders and their reporting lines. This should identify the staff that are full-time, part-time and fixed term.

5.4 PROJECT DELIVERY ROLES AND RESPONSIBILITIES

Classify the roles and tasks to determine who is Responsible (R) , Accountable (A) , Consulted (C) and Informed (I).

Use Table 16 to classify the key role and tasks leading up to the next business case stage.

Responsible - The individual(s) with responsibility for the task or deliverable is typically responsible for developing the deliverable or completing the activity. The persons responsible are typically working-level project team members, such as the project manager, business analyst, developers, or those who create marketing material and technical documentation, for example. These are the doers.

Accountable - The accountable party is typically the person or group responsible for ensuring the work is complete and suitable. This is usually someone with signature authority or the decision-maker. The accountable parties are typically the business owner, business sponsor, steering committee, key stakeholders, information security or governance bodies, or the manager of the key responsible party.

Consulted - Consulted individuals are those from whom feedback, and input should be solicited. Consulted parties could be legal, information security, compliance, and subject matter experts (SMEs) from other departments in the organisation that could be impacted. If you are working on new product development, this could essentially be the entire organisation.

Informed - Informed persons are those you simply want to keep in the loop. These individuals do not have to be consulted or be a part of the decision making. Keep this group on your cc list for awareness of topics, decisions, and progress. Also, invite this group as optional attendees for kick-off meetings and project demos.

5.5 LESSONS LEARNT

Detail how Lessons Learnt have been considered during the development of this proposal and plans for capturing Lessons Learnt during this project.

Provide information on how lessons learnt will be captured during the project phases to improve project delivery. This may include the use of Lessons Learnt workshops or a Lessons Learnt log.

5.6 MONITORING AND EVALUATION

Set out a summary of the initial Monitoring Evaluation arrangements for the project and milestones to progress towards completion of the next business case stage i.e., OBC.

Further steer is set out within the SOC guidance document and [Performance Team Intranet Page](#). For additional support with completing the M&E template please contact the M&E team: CorporateMonitoringEvaluation@wmca.org.uk

Include detail on the following:

- An initial idea how performance will be measured including indicators and metrics
- Previous Lessons Learnt and M&E learning that can inform this project/programme
- An initial estimate of budget & resources for M&E (note, this should align to the Financial Case)

6.0 Mandatory Appendices

This section will provide guidance on each of the mandatory appendices required at SOC stage.

Please provide each of the mandatory appendices as a separate Word/Excel document – do not embed in the Business Case or provide PDFs.

If any appendices are missing, your business case may be rejected until missing appendices are provided.

6.1 RISK REGISTER

Identifying, mitigating, and managing risks and issues is crucial to the successful delivery of your project, since risks coming to fruition are most likely to result in the project not delivering its intended outcomes and benefits within the anticipated timescales and spend.

A standard WMCA Risk Register template is available here:

<https://intranet.wmca.org.uk/file/5768/download/Risk%2520Register%2520template%2520-%2520Final%2520Version.xlsx>

It includes concise but comprehensive guidance on how to complete the register.

Note that where a previous or existing risk register template is being used, you must ensure the headings within the WMCA Risk Register are included as a minimum standard.

The key requirements of a WMCA risk register are as follows:

Column	Description
Risk ID	Enter Reference Number e.g., Proj X 003, etc
Date Risk Raised	Date risk was first raised to the risk register
Raised by	This is the project owner that raised the risk. This can be any member of the team but would usually be Senior or Assistant Delivery Managers, project co-ordinators, performance managers
Risk Owner	The risk owner is usually the Head of Service, Sponsor or Directors
Category	Select a Risk category from the dropdown list; this should be linked to the cause and should, in most instances, reflect where or how the risk arose.
Risk Title	Enter a brief, easily understood, risk title
Cause	Describe the root cause of the threat to the achievement of WMCA / project objectives, deliverables, etc.
Effect	Describe the possible consequences of the risk materialising. List the main impacts this risk could have, thinking about the effects not just on the department but also on WMCA and any other stakeholders (e.g., Internal and external partners).

Controls and Measures already in place	Enter all the controls or measures the project already has in place, or which have been put in place specifically for this risk. This should include any ongoing activity.
Likelihood	Likelihood reflects the probability of the risk happening, taking into consideration the controls and measures already in place and without any further control activity taking place.
Impact	Reflects the effect the risk might have once existing controls have been considered and assuming no further control activity is undertaken.
Score	The total risk score based on the Impact x Likelihood assessment.
Further Actions required to Mitigate Risk	Where the risk score is higher than desired, enter all further actions required to bring the risk down to achieve its target
Action Owner	Who is responsible for the further action. This could be a project team member.
Action Due Date	When the action is due
Risk Escalation	This cell should only be used to show that a risk has been passed from Project to Programme, to Directorate, or from Directorate to SRR. If there is a need for the risk to be raised with a different body, committee, etc, as a control activity, then that should be captured under "Further actions required...".
Date Risk escalated	Date the escalation took place.

6.2 INITIAL STAKEHOLDER AND COMMUNICATIONS STRATEGY

A stakeholder and communications strategy documents the involvement and influence of your project stakeholders. It also outlines how you plan to communicate with stakeholders.

Stakeholders can either be individuals from within your team or external parties that are impacted by your work.

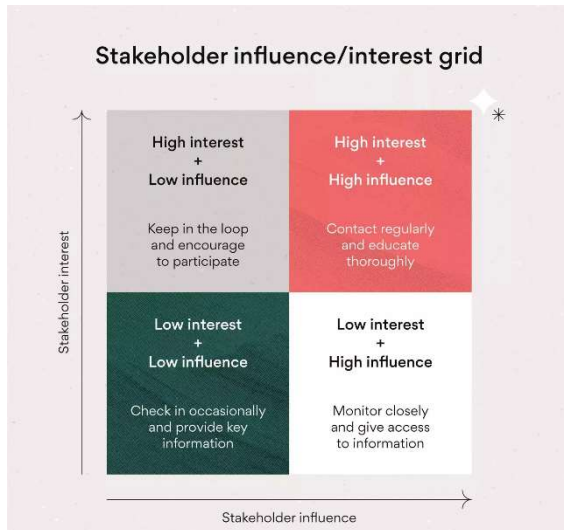
- Internal stakeholders may include project managers, operations teams, department heads, and board members.
- External stakeholders may include clients, customers, investors, suppliers, company partners, or shareholders.

At a minimum, the strategy should include:

- Stakeholder name: Identify who your stakeholder is.
- Interest level: Rank the stakeholder's interest level (High, Medium or Low), a stakeholder matrix may be useful to show this
- Influence level: Rank the stakeholder's level of influence (High, Medium or Low), a stakeholder matrix may be useful to show this
- Communication frequency: Identify how often you'll communicate with this stakeholder.

- Communication channel approach: Identify what communication tool you'll use to communicate with this stakeholder.
- Information type: Identify the type of information you'll deliver to this stakeholder when communicating.

Example of Stakeholder Interest-Influence Matrix:



6.3 WRITTEN CONFIRMATION/S OF CONFIRMED FUNDING

Attach any official confirmation/s received to confirm funding award, this may include funding award letters.

6.4 PROJECT SCHEDULE

A project schedule is a timetable that organises tasks, milestones, and due dates in an ideal sequence so that a project can be completed on time.

A project schedule is created during the planning phase and includes the following:

- Deliverables
- Tasks
- Task start and end dates
- Task dependencies

Then, during the delivery phase, the schedule baseline is compared against the actual project progress.

End of Document