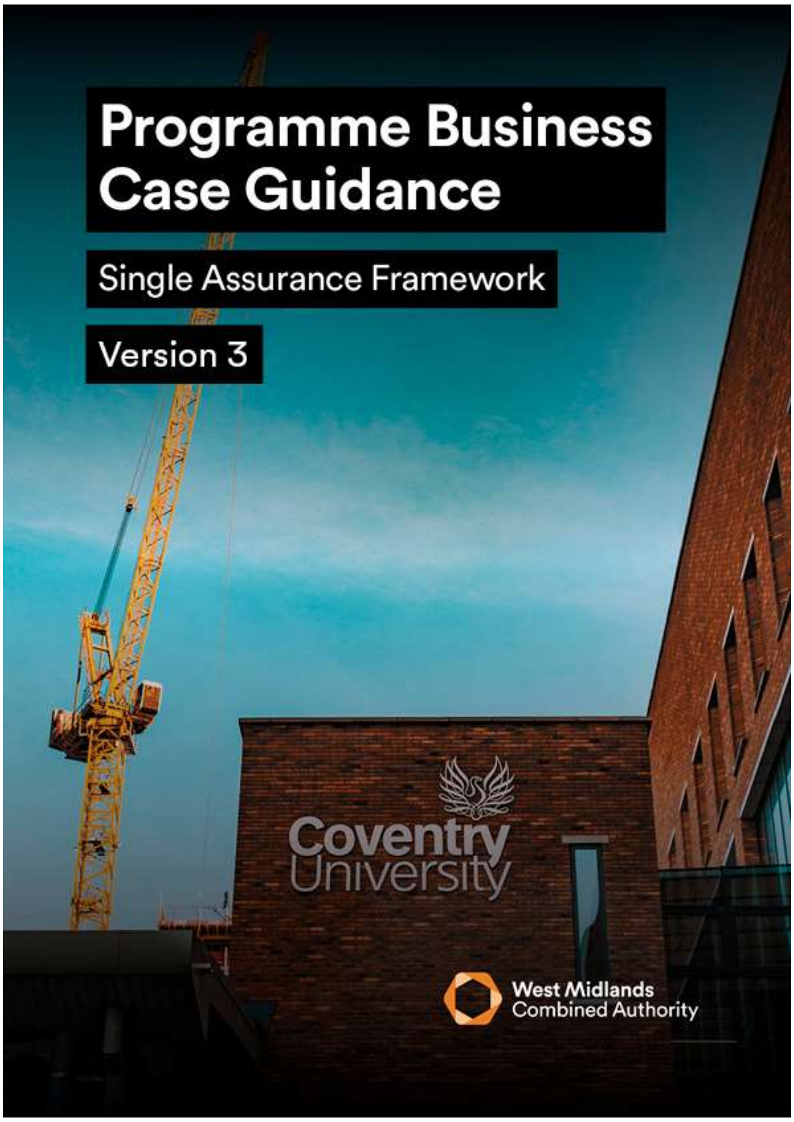


ABSTRACT

This document provides guidance based on HM Treasury's Green Book and WMCA Requirements to assist in the writing of Programme Business Case (PBC)

Programme Assurance and Appraisal

October 2023

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

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

Related Documents

Reference	Related Documents
WMCA-SAF-TP020	PBC - Business Case

Contents

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 Full Business Case (FBC). The guidance is designed to help with the completion of the FBC 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 Programme Business Case

The purpose of the Programme Business Case is to provide an over-arching document that can be used to scope a set of related projected, events and co-ordinated activities in pursuit of an organisation's long-term goals.

Managing Successful Programmes (MSP) is an international standard for programme management, it defines a programme as 'a temporary, flexible organisation created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organisation's strategic objectives.

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, 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 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	PBC
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 PROGRAMME SPENDING OBJECTIVES AND ALIGNMENT TO WMCA AIMS

Outline the SMART (Specific, Measurable, Achievable, Realistic and Time-Dependent) objectives of the programme and how they will be measured within the table below. Desired outcomes include improved economy, efficiency, effectiveness, replacement and compliance.

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

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

The programmes 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 programme.
- 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 programme.

The programme'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 in order 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 Programme 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	Current unemployment level in the	Improvement of 2% in unemployment	The delivery of 12 digital bootcamps	Economy	Promote inclusive economic

	un-employment in the city of Birmingham	area is 15.3% as of November 2022	by 31 December 2023	in Birmingham		growth in every corner of the region

1.2 INCLUSIVE GROWTH AND EQUALITIES

Explain how this project will contribute to inclusive growth and equality within the West Midlands. The WMCA's Inclusive Growth Decision Kit 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, to do this the WMCA Health and Equity Impact Assessment (HEQIA) Tool can be found here.

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, 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.

• 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).

1.3 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 EXISITING ARRANGEMENTS AND BUSINESS NEEDS

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. Also, state the deficiencies associated with the current provision and the implications if the programme does not proceed.

Provide a brief 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.

Evidence the needs of the organisation and the implications if this programme is not implemented.

1.5 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 5 provided 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 PBC, which should follow the standard WMCA Risk Register template and should be developed and used in accordance with the WMCA Risk Management Framework.

Further details and guidance on Risk Management are available below at "*Risk and Issue Management*".

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

1.6 BENEFITS

Specify the main benefits associated with the achievements of the programme. This should be aligned with the Benefits Realisation Plan and Benefits Register appended to this PBC.

Complete Table 6 provided to specify the main benefits of the programme to be delivered by:

- Benefit - detail the benefit that will be realised as a result of the programme
- Benefit category – select the type of benefit from the following 3 categories:
  - Direct public sector benefits (to originating organisation):
    - Cash releasing benefits (CRB).
    - Monetizable non-cash releasing benefits (non-CRB).
    - Quantifiable but not readily monetizable benefits (QB).
    - Qualitative but not readily quantifiable benefits (Qual).
  - Indirect public sector benefits (to other public sector organisation):
    - Cash releasing benefits (CR).
    - Monetizable non-cash releasing benefits (non-CRB).
    - Quantifiable but not readily monetizable benefit (QB).
    - Qualitative but not readily quantifiable benefits (Qual).

- Wider benefits to UK society (e.g. households, individuals, businesses):
  - Monetizable, including cash benefits.
  - Quantifiable but not readily monetizable benefits.
  - Qualitative but not readily quantifiable benefits.
- Benefit Classification Example
  - 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 Benefits & Beneficiaries:

#	Benefit	Benefit Type	Beneficiary
1	Reduction of Co2 in Dudley City Centre	Wider benefits to UK society	General public (in particular those who live and/or work within Dudley City Centre)

1.7 CONSTRAINTS

Specify any constraints that have been placed on the programme.

Detail any constraints that have been placed on the programme 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 programme has little or no control. These can include policy decisions, ethical and legal considerations, rules and regulations, and timescales within which the programme must be delivered. Affordability constraints may include agreed limits on capital and revenue spend.

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

1.8 DEPENDENCIES

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

Detail any dependencies outside the scope of the programme upon which the ultimate success of the programme 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 programme but are still within the perimeters of the organisation's programme and project management environment, and most likely linked to the scope of another programme or project within the strategic portfolio).
- External dependencies outside the programme environment. (These are the dependencies that extend beyond the boundaries of all the programmes into other parts of the organisation or even other organisations. These dependencies are outside the control of the programme 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 programme achieve to be successful?

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

Align this to the individual project(s) that will contribute to the delivery of each CSF.

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 LIST OF OPTIONS

Determine the long list options and undertake SWOT (strengths, weaknesses, opportunities, threats) analysis to complete the table below. All supporting evidence informing the long list together should be made available if requested for reference and/or Assurance and Appraisal purposes.

Use Table 8 to present 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 programme 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 programme 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 programme 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 SHORTLISTED OPTIONS

Describe how proposals for delivering the programme objectives (via projects) have been shortlisted. State the preferred way forward which will progress through to the development of future project business case stages.

Explain how the shortlist was developed from the long list of options. The shortlist should consist of around four options.

The shortlist options should include a Business As Usual (BAU), a do minimum, a do maximum, and the preferred way forward (where that is not already included). Other options may be included, for example an ambitious do maximum and a less ambitious do maximum

Any option in the longlist that does not meet the CSFs should not be considered in the shortlist.

The answer to this question should clearly show the process used to select the shortlisted options, and explain how the preferred way forward was selected.

2.4 SOCIAL VALUE FINDINGS

Detail the calculation of Net Present Social Value (NPSV) and Net Present Social Cost (NPSC) for the shortlisted options. This should also include significant impacts that cannot be quantified or included in the NPSV calculation and indicate how the preferred way forward offers the greatest value for money.

This is a step-by-step guide to calculating NPSV, following the process set out in the Green Book. It is not possible to provide values or working calculations as each programme is different

This process should be read alongside the Green Book and its supplementary guidance, available at < https://www.gov.uk/government/collections/the-green-book-and-accompanying-guidance-and-documents >

Firstly, ensure that Social Value is the appropriate way to appraise your programme. It is the most usual way and appropriate for most programmes, but some programmes may be more effectively appraised via Social Cost Effectiveness Analysis or Multi Criteria Decision Analysis. Refer to the Green Book and supplementary guidance for more information.

1. Identify your benefits

The starting point should be the benefits listed in your business case. However, note that Green Book supplementary guidance and Government sector-specific guidance may list other benefits to be considered

2. Calculate to what extent the benefits apply to your programme

3. Identify whether the social benefits can be monetised

4. Identify appropriate social values for the monetisable benefits - see sector specific guidance for more information

5. Calculate the benefits attributable to the programme in the years they occur (including ongoing benefits where appropriate). Do so for a reasonable programme life (e.g., 60 years for infrastructure, contract length for a service, or a life expectancy for community facilities)

6. Discount the benefit stream to your base year (the present year or other year specified by sector specific guidance) - this gives the Present Value of Social Benefits

7. Calculate your programme costs for the life of the programme (include capital, revenue and maintenance costs)

8. Remove any inflation in programme costs to bring all costs to the same base year used for benefit calculations

9. Discount the costs to your base year - this gives the Present Value of Social Costs

10. Net Present Social Value (NPSV) is Present Value of Social Benefits - Present Value of Social Costs

11. Benefit Cost Ratio (BCR) is Present Value of Social Benefits / Present Value of Social Costs

Sector specific guidance (NOT exhaustive):

Environmental: < https://www.gov.uk/government/publications/valuation-of-energy-use-and-greenhouse-gas-emissions-for-appraisal >

Transport: < https://www.gov.uk/guidance/transport-analysis-guidance-tag >

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 programme (including HR/IT personnel implications).

Detail the due diligence that's been undertaken during the assessment of current and potential suppliers to provide the organisation confidence that they are willing and can deliver what the output, service or works required. Provide evidence that both procurement and legal teams have provided input into this proposal (including details of any implications e.g., HR or IT).

3.2 OVERVIEW OF THE COMMERCIAL STRATEGY

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

Discuss how the programme 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 programme 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 OBC, 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 programme 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 PBC with details of any conditions etc.

Complete Tables 9 and 10 to provide detail on the overall funding package.

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

Table 8 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 9 and 10:

- 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 the programme to a commercially operable status.
- Development funding - Costs that are needed to reach the next business case stage/s, i.e. feasibility studies, design works, and creation of the Strategic Outline Case (SOC).

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 summary of the overall affordability of the programme 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 11 to provide further detail on WMCA funding specifically.

In addition, if there is a shortfall in funding, commentary should be included above Table 9 to state how this will be dealt with e.g., discussions with DfT around future funding streams or ongoing discussions with the private sector.

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 BORROWING SUMMARY

Please state if any element of the programme costs is to be financed by borrowing. (Yes/No).

If applicable, please complete the following table and provide an explanation of the borrowing required to fund this programme.

If programme costs are dependent upon borrowing, this question is applicable.

If the programme is dependent upon borrowing, using the guidance provided in italics, please complete Table 12 to demonstrate the receipt of funding from other parties whereby there is an agreement that the funds will be repaid.

4.4 IMPACT ON ORGANISATIONAL FINANCES

The impact on the organisation’s balance sheet and income and expenditure account must be explained. This includes depreciation, impairment, and any contingent liabilities or capital changes.

Provide commentary that explains this impact of this programme upon the wider organisations finances.

Some definitions to help with the completion of this section:

- Balance Sheet: a statement of the assets, liabilities, and capital of a business or other organization at a particular point in time, detailing the balance of income and expenditure over the preceding period.
- Depreciation: a reduction in the value of an asset over time, due in particular to wear and tear.
- Impairment: if projected future cash flows are less than its current carrying value.
- Contingent Liabilities: potential financial liability that may occur in the future.
- Capital Changes: any reclassification, merger, consolidation, reorganization, stock split (including a reverse stock split), stock dividend or distribution or other similar transaction.

4.5 STAKEHOLDER SUPPORT

Evidence of stakeholder support must be provided where other public sector organisations are funding the programme's outputs and services.

If elements of this programme are to be funded by sources outside of the WMCA, this question is applicable. Please highlight stakeholder support in the guise of ongoing commitment to financially support this programme.

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 the 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 programme evaluation. These arrangements should be included in the programme schedule with the individuals responsible for their delivery.

5.2 PROGRAMME SCHEDULE FOR DELIVERY

List key programme milestones below, including programme start and end dates. The information provided should align with the Programme Schedule, which must be appended to this PBC.

The key project milestones table below is a summary of those key milestones aligned to the Programme Schedule, which must be appended to this PBC. Include dates for future business case submissions (i.e., individual projects) and a longstop date by which all monies for this programme will be drawn.

Use Table 13 to set out the key programme 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 Programme Schedule appended to this PBC.

5.3 PROGRAMME TEAM ORGANOGRAM

Insert a Programme 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 Programme 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 PROGRAMME DELIVERY ROLES AND RESPONSIBILITES

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

Use Table 14 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 USE OF SPECIALIST ADVISERS

Specify what support and SME advice is required from outside the programme team. Include both resources inside your organisation (e.g. legal and finance) and those outside (e.g. technical consultants).

The use of specialist advisers is encouraged where the necessary capabilities and competencies are in short supply for large, significant, complex and novel programmes.

The requirement for special advisers usually falls into four key categories in the programme plan: financial, legal, technical and programme / project management.

The PBC should indicate how and when this advice will be used along with expected costs.

Special advisers should be used where an independent and impartial role is required to achieve the best results. This includes facilitating workshops.

5.6 CHANGE AND CONTRACT MANAGEMENT ARRANGEMENTS

Explain how contracts and changes will be managed with references to the WMCA Change process. The information provided should align with the Change Strategy attached with this PBC.

The following arrangements need to be explained:

- Change management arrangements (inc. reference to WMCA Change Process) - detail the process for managing, tracking and approving changes to time, cost, quality and scope. This section should align with the Change Strategy appended to the PBC.
- Contract management arrangements - detail the arrangements in place to manage the agreed contracts over the duration. This should include detail on both the service provider's and procuring authority's respective roles and responsibilities in relation to the agreed Deal.

5.7 RISK AND ISSUE MANAGEMENT

Explain how project risk management is undertaken; the relevant roles and responsibilities for managing risk within the project. Think about how risks are identified, how often and by whom the risk register is reviewed, and how risks are to be escalated. This last point is particularly important, what happens if a risk is out of control, where does it go?

Risk is the possibility of something occurring that could adversely impact the success of the project. While an Issue is evidence that such a risk event is occurring or has already occurred. Risk management is, therefore, a structured approach to identifying, assessing and controlling risks that emerge during the project lifecycle. Effective risk management is not a tick box exercise, it supports better decision-making, is a key tool in providing protection to the WMCA, and provides assurance to the Board, Audit Committee and Central Government.

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.

Within each project it is important that the roles and responsibilities for risk management are understood. In particular:

- Who owns each risk and is thereby responsible for the risk,
- Who the action owners are; individuals tasked with implementing activity aimed at bringing a risk under control?
- Who will review the risk register and how often, and importantly,
- What happens with risks that are outside of control? Do these risks escalate to a programme or Executive Director / Operational risk register?

- What happens if there is evidence of far wider risks? How is awareness escalated to the programme or Executive Director / Operational risk register?

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

5.8 PROGRAMME ASSURANCE

Set out the arrangements for programme assurance, including the use of Cabinet Office Gateway Reviews. Other sources of assurance should be considered: technical, quality etc. Specify the probable timescales for undertaking programme **implementation and post evaluation reviews.**

Detail the programme assurance arrangements in place (including, but not limited to):

- Ongoing quality assurance, monitoring and reporting - meetings in place and frequency of progress reporting.
- Planned out of directorate health checks undertaken by the WMCA Programme Assurance and Appraisal Team or other 2nd line of defence assurance teams - the plan to seek independent support and guidance outside of the programme team
- External and internal audit/government reviews - planned audits that may be a requirement of the funder/s
- Post evaluation and implementation reviews

5.9 CONTINGENCY ARRANGEMENTS

Set out the contingency plans in the event of any delays or disruptions to anticipated services.

Provide details of the contingency plan(s) in the event of the non-delivery of the contracted services to the required level of performance and availability at some unspecified future point in time, this includes:

- Details of any tolerances built into the programme, which if breached would trigger a change request (i.e. impact on cost, time, scope, benefits or quality of deliverables).
- Plans in place in the event of programme or service failure.

5.10 LESSONS LEARNT

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

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

5.11 MONITORING AND EVALUATION

Set out a summary of the outline Monitoring Evaluation arrangements for the project and milestones leading to Project Evaluation.

Further steer is set out within the BJC guidance document and Performance Team Intranet page. For additional support with completing the M&E template pleases contact the M&E team: CorporateMonitoringEvaluation@wmca.org.uk

Include detail on the following:

- Do you have the final costs for the budget & resources required for M&E? - (Note, this should align to the financial case).
- How does previous lessons learnt / M&E learning inform this programme?
- Explain how performance will be measured? – including indicator/metrics.
- Have you Identified your monitoring resource needs for when the project moves into delivery? / i.e., who will be responsible for M&E data collection, assessment, and quality control with delivery partners, etc?
  Is that capacity available within the organisation? If not, do you have a timeline for recruiting & setting up this resource?
- Do you have an M&E template in place, or will the funder be providing an M&E template for monitoring purposes? If not, please refer to the WMCA M&E template for guidance **Performance team Intranet page**. For additional support with completing the M&E template pls contact the M&E team: **CorporateMonitoringEvaluation@wmca.org.uk**
- Do you have an engagement strategy for disseminating M&E data and reporting amongst internal & external stakeholders, and have they been identified?
- Will this programme be evaluated?
- What are the main evaluation objectives of the programme?
- Do you have an initial set of evaluation questions to help with commissioning evaluation?
- Have you Identified your preferred Evaluation experts? – (for both Process & Impact Evaluation).

6.0 Mandatory Appendices

This section will provide guidance on each of the mandatory appendices required at PBC 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 BENEFITS REALISATION PLAN

The benefits realisation plan provides details of how the benefits process will be applied to a project.

A project benefit is an outcome of the project that is seen as a positive change by one or more stakeholders. It must, by definition, be achievable and approved by key stakeholders. Project benefits are not deliverables (e.g., a computer system or carpark).

Examples of tangible benefits: increased revenue, productivity gain or process improvement.

Examples of intangible benefits: improved user experience, increased compliance or brand equity.

The benefits realisation strategy should set out arrangements for the identification of potential benefits, their planning, modelling and tracking. It should also include a framework that assigns responsibilities for the actual realisation of those benefits throughout the key phases of the project.

For further information please access government Guidance on benefit measurement here <https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/987133/Benefits_Measurement_Guidance_Note_May_2021.pdf>

6.2 BENEFITS REGISTER

Aligned to the Outline Benefits Realisation Plan, the Benefits Register must capture all the target benefits. This register should also indicate how those benefits are to be realised. This is typically an Excel spreadsheet that includes line items of each benefit, a short description, the objective the benefit links/contributes to, the Benefit Owner, the beneficiaries, the baseline, target and measurement methodology.

6.3 RISK MANAGEMENT STRATEGY

A risk management strategy is a plan to deal with uncertainties that could affect your goals or operations. Strategies for the proactive and effective management of risk involve:

An Outline Risk Management Strategy should include the following elements:

- A demonstration of processes in place to monitor risks, and access to reliable, up-to-date information about risks,
- the right balance of control to mitigate against the adverse consequences of the risks, if they should materialise and
- the decision-making processes supported by a framework for risk analysis and evaluation.

6.4 STAKEHOLDER AND COMMUNICATIONS STRATEGY

A Communications Strategy documents the involvement and influence of your programme stakeholders. It also outlines how you plan to communicate with stakeholders.

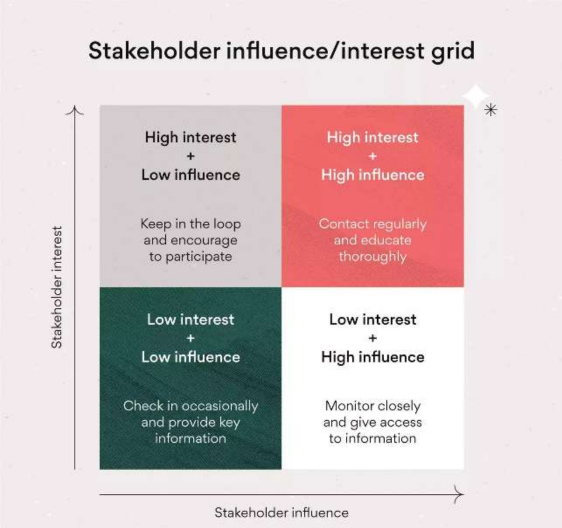
Stakeholders can either be individuals from within your team or external parties that are impacted by your work.

- 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:



6.5 RISK REGISTER AND ISSUE LOG

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.

6.6 PROGRAMME SCHEDULE

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

A programme 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 programme progress.

6.7 CHANGE MANAGEMENT STRATEGY

Outline the strategy, framework and plans required for managing change, including:

- An assessment of the potential impact of the proposed change on the culture, systems, processes and people working within the organisation,
- the associated and anticipated governance and reporting arrangements should be clearly explained and
- the change management plan should set out the communication and developmental deliverables (for example, training products) required for the implementation phase.

The above requirements are to manage change at a local level to satisfy internal governance arrangements, any change requests submitted will be subject to the WMCA Change Control Process. There is an interactive course available on the WMCA Learning Pool titled ‘Approvals and Change Control’ for more information.

6.8 WRITTEN CONFIRMATION/S OF CONFIRMED FUNDING

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

End of Document