

<INSERT PROJECT NAME>

# ­­­PROGRAMME business case VERSION 3.1

The purpose of the **Programme Business Case (PBC)** is to select the projects and activities required to deliver the programme’s spending objectives in support of the agreed strategy for the delivery of policy objectives.

A PBC should be used where several linked projects contribute to the same outcomes and cannot be treated separately. Producing a complete and detailed PBC means that the business cases for those projects can be smaller because they can refer to this submission.

## Guidance

* To support better spending, investment decisions and better procurement, this Programme Business Case should be written using WMCA guidance, which can be found [here](https://www.wmca.org.uk/media/0vfjt2fd/wmca-saf-gd020-programme-business-case-guidance-v3-1.pdf).
* In addition, it is a requirement that all proposals for public funds submitted to WMCA are guided and based around the HM Treasury’s Green Book and supporting information can be found [here](https://www.gov.uk/government/publications/the-green-book-appraisal-and-evaluation-in-central-governent/the-green-book-2020?msclkid=e4ea50b2c56a11ec815238da40854bb6).
* The input of key stakeholders must be detailed within Table 2, or the business case will be rejected until this information is provided.
* Mandatory appendices as listed in Section 6.0 of this business case must be submitted as supplementary documents.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Table 1* | | | | |
| **PROGRAMME DETAIL** | | | | |
| **Programme Name:** | |  | | |
| **WMCA Directorate:** | |  | | |
| **Delivery Team (if WMCA internal):** | |  | | |
| **Organisation (if WMCA external):** | |  | | |
| **GOVERNANCE** | |  | | |
| **If external to WMCA, when was this programme approved by your internal governance?** | |  | | |
| **VERSION CONTROL** | | | | |
| **Version:** |  | | **Date:** |  |
| **PBC Prepared by:** |  | | **Job Title:** |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Table 2* | | | | |
| **STAKEHOLDER INVOLVEMENT**  Please provide the names and level of input of the stakeholders listed below.  Note that some are mandatory and others are optional / dependent on the source of funding / nature of the project, this is made clear on the left of the table below. | | | | |
|  | **Role** | **Name** | **Input** | **Date** |
| **Mandatory** | **Senior Responsible Owner (SRO):** |  | Choose an item. |  |
| **WMCA Executive Director:** |  | Choose an item. |  |
| **Finance Lead:** |  | Choose an item. |  |
| **Legal Representative:** |  | Choose an item. |  |
| **Procurement Lead:** |  | Choose an item. |  |
| [**Digital and Data Engagement and Delivery**](mailto:DigitalandDataEngagementandDeliveryTeam@wmca.org.uk)**:**  ***(if WMCA internal)*** |  | Choose an item. |  |
| **Optional** | **Programme SRO:**  ***(if applicable)*** |  | Choose an item. |  |
| [**Major Programme Finance**](mailto:majorprogrammereturns@wmca.org.uk)**:**  ***(if CRSTS/ Investment Programme funded)*** |  | Choose an item. |  |
| **Human Resources:** |  | Choose an item. |  |
| [**Transport Planning** **Assurance**](mailto:Transport%20Planning%20Assurance%20%3cTransportPlanningAssurance@tfwm.org.uk%3e)**:**  ***(if CRSTS funded)*** |  | Choose an item. |  |
| [**Cycling Team**](mailto:cycling@tfwm.org.uk)**:** |  | Choose an item. |  |
| [**Network Mitigations Forum**](mailto:behaviourchangehub@tfwm.org.uk;colin.whitehouse@tfwm.org.uk)**:** |  | Choose an item. |  |
| [**Inclusive Growth Team**](mailto:InclusiveGrowthUnit@wmca.org.uk)**:** |  | Choose an item. |  |

# executive summary

## Please provide a one-page stand-alone summary of the proposed programme which includes (max 500 words)

## a brief programme description

## target objectives

## associated outputs

## finance summary

|  |  |
| --- | --- |
| *Table 3* | |
| **Finance Summary** | **PBC (£)** |
| **Total Programme Cost:** |  |
| **WMCA Funding Requested:** |  |
| **WMCA Funding Stream:** |  |
| **Funds Secured:** |  |
| **Funds Not Secured:** |  |

# 1 - strategic case

# *providing strategic fit supporTED BY A COMPELLING CASE FOR CHANGE*

## 1.1 Programme 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.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| *Table 4* | | | | | | |
| **#** | **Objective** | **Quantitative Baseline** | **Target** | **Specific actions** **to achieve objective** | **How will the customer be impacted? (i.e., Outcomes)** | **Alignment to WMCA Aims and Objectives** |
| **1.** |  |  |  |  |  | Choose an item. |
| **2.** |  |  |  |  |  | Choose an item. |
| **3.** |  |  |  |  |  | Choose an item. |
| **4.** |  |  |  |  |  | Choose an item. |
| **5.** |  |  |  |  |  | Choose an item. |
| **6.** |  |  |  |  |  | Choose an item. |

## 1.2 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](https://www.wmca.org.uk/documents/housing-regeneration/investing-with-us/inclusive-growth-decision-making/). 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](https://intranet.wmca.org.uk/section/resource-hub/equality-diversity-and-inclusion/health-and-equity-impact-assessments) 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](mailto:equalitiesteam@wmca.org.uk).

## 1.3 organisational overview

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

## 1.4 EXISTING 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.

## 1.5 key risks

Specify the key 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.

The information provided should be an extract from the Risk Register and Issue Log attached with this PBC.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| *Table 5* | | | | | | |
| **ID** | **Risk** | **Impact**  **(1-5)** | **Probability**  **(1-5)** | **RAG**  **Rating** | **Risk**  **Owner** | **Mitigation** |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |
|  |  |  |  |  |  |  |

## 1.6 benefits

State the main benefits associated with achievements of the programme. This should be aligned with the Benefits Realisation Plan and Benefits Register (or MEP) appended to this PBC.

|  |  |  |  |
| --- | --- | --- | --- |
| *Table 6* | | | |
| **#** | **Benefit** | **Benefit Type** | **Beneficiary** |
| **1.** |  | Choose an item. |  |
| **2.** |  | Choose an item. |  |
| **3.** |  | Choose an item. |  |
| **4.** |  | Choose an item. |  |
| **5.** |  | Choose an item. |  |

## 1.7 constraints

Specify any constraints that have been placed on the programme.

## 1.8 dependencies

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

# 2 economic case

# *maximise public value to society through the selection of the optimal combiNAtion of SCOPe, costs and outcomes*

## 2.1 critical success factors

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.

|  |  |  |
| --- | --- | --- |
| *Table 7* | | |
| **#** | **Critical Success Factor (CSF)** | **Alignment to Programme Objectives / Related Project (s)** |
| **1.** |  |  |
| **2.** |  |  |
| **3.** |  |  |
| **4.** |  |  |
| **5.** |  |  |

## 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.

Information provided for the short listed options should also feature below.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Table 8* | | | | |
| **#** | **Option Description** | **Advantages**  **(Benefits)** | **Disadvantages**  **(Disbenefits)** | **Does this option meet the Objectives and Critical Success Factors of this programme?**  **(Y/N)** |
| **1.** |  |  |  |  |
| **2.** |  |  |  |  |
| **3.** |  |  |  |  |
| **4.** |  |  |  |  |
| **5.** |  |  |  |  |
| **6.** |  |  |  |  |
| **7.** |  |  |  |  |
| **9.** |  |  |  |  |
| **10.** |  |  |  |  |
| **11.** |  |  |  |  |
| **12.** |  |  |  |  |

## 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.

## 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.

# 3 commercial case *commercially viable and attractive to the supply side*

At PBC stage, the Commercial Case is not expected to be matured. However, the nature of work required to sound out the market and inform the procurement process of the future project business case submissions, should be identified.

## 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).

## 3.2 Overview of the Commercial Strategy

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

# 4 financial case

# *affordable and fundable over time*

Unrounded figures should be used throughout the Financial Case

## 4.1 capital and revenue funding statement

Provide an overview of the proposed funding package to deliver the programme within the table below and include the remaining funding gap (if applicable).

All secured funding identified below should be verified by a written confirmation attached to this PBC with details of any conditions. Note that any funding requested via this PBC is “unsecured” until approval of the project case, BJC or FBC (as appropriate for the project).

|  |  |  |
| --- | --- | --- |
| *Table 9* | | |
|  | **Status**  ***(Secured / Not Secured )*** | **£M** |
| **Revenue** |  |  |
| **Capital** |  |  |
| **Total** |  |  |
| **Development Funding within the above *(funding required to reach the next stage)*** |  |  |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| *Table 10* | | | | |
| **Funder** | **Amount** | **% of Total** | **Status**  ***(Secured / Not Secured)*** | **Details of Funding Status / Timing / Conditions etc.** |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
|  |  |  |  |  |
| **Total** |  |  |  |  |

## 4.2 overview of funding and affordability summary

A written 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 the table below to provide an overview of WMCA funding.

|  |  |
| --- | --- |
| *Table 11* | |
| **Funding Type**  *Grant / Cashflow (repayable) / Underwrite* |  |
| **Funding Commencement Date** | *DD/MM/YY* |
| **Funding Completion Date** | *DD/MM/YY* |
| **Basis of Reimbursement**  *Quarterly in arrears of expenditure incurred (WMCA Standard)* |  |
| **Any Conditions Precedent?**  *e.g., securing DfT funding. Include any spend deadlines, eligible spend outputs and high priority items likely to be included in any Conditional Grant offers or development agreements in principle (Heads of Terms)* |  |
| **Order in which WMCA Funding is to be drawn**  *1st/2nd/3rd* |  |
| **Work streams for which WMCA Funding is available to be drawn against**  *e.g., all / workstream 1, 3 and 4 etc.* |  |

## 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:

|  |  |
| --- | --- |
| *Table 12* | |
| **Principle expected to be Borrowed** | *£XX* |
| **Source of Finance** | *(PWLB, Private, LA to LA, etc.)* |
| **Loan Type** | *(Annuity, Equality Instalment of Principal, Maturity,*  *Other)* |
| **Interest Rate Assumed** | *X.X%* |
| **Loan Term** | *XX Years* |
| **Expected Loan Draw Down Date** | *DD/MM/YYYY* |
| **Repayment Source** | *(E.g., Future Customer Revenues)* |
| **Other costs Associated with Borrowing** | *£XX* |

## 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.

## 4.5 stakeholder support

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

# 5 management case *can be delivered sucessfully by the organisation and its partners*

## 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

## 5.2 programme schedule for delivery

List key programme milestones below including project start and end dates. The information provided should align with the Programme Schedule attached with 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

|  |  |  |  |
| --- | --- | --- | --- |
| *Table 13* | | | |
| **#** | **Milestone** | **Start Date** | **End Date** |
| **1.** |  |  |  |
| **2.** |  |  |  |
| **3.** |  |  |  |
| **4.** |  |  |  |
| **5.** |  |  |  |
| **6.** |  |  |  |
| **7.** |  |  |  |
| **9.** |  |  |  |
| **10.** |  |  |  |

## 5.3 programme team organogram

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

## 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 ).

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Table 14* | | | | | |
|  | **<Insert Role>** | **<Insert Role>** | **<Insert Role>** | **<Insert Role>** | **<Insert Role>** |
| **<Insert Task>** | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |
| **<Insert Task>** | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |
| **<Insert Task>** | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |
| **<Insert Task>** | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |
| **<Insert Task>** | Choose an item. | Choose an item. | Choose an item. | Choose an item. | Choose an item. |

## 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)

## 5.6 change and contract management arrangements

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

## 5.7 risk and issue managment

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?

## 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 project implementation and post evaluation reviews.

## 5.9 contingency arrangements

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

## 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.

## 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](https://intranet.wmca.org.uk/section/resource-hub/finance-and-business-hub/business-improvement-team/performance-team-0). For additional support with completing the M&E template pleases contact the M&E team: [CorporateMonitoringEvaluation@wmca.org.uk](mailto:CorporateMonitoringEvaluation@wmca.org.uk)

# 6.0 mandatory APPENDICES REQUIRED FOR THIS pbc

Please provide each of the mandatory appendices listed below 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.

|  |  |
| --- | --- |
| *Table 15* | |
| **APPENDIX** | **PROVIDED (Y/N)** |
| Benefits Realisation Plan / Monitoring and Evaluation Plan (MEP) |  |
| Benefits Register (may be contained within MEP) |  |
| Risk Management Strategy |  |
| Stakeholder and Communications Strategy |  |
| Risk Register and Issue Log |  |
| Programme Schedule |  |
| Change Management Strategy |  |
| Written Confirmation/s of Confirmed Funding |  |
| If Investment Programme, Project Delivery Plan on a Page (POAP) |  |
| If CRSTS, Additional Appendix |  |