**Programme Title:**

Programme Business Case (PBC)



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# Introduction - The Project Delivery Life Cycle

The Home Office is continuing to strengthen management of its change portfolio by:

* Focusing investment on delivery of the department’s strategic objectives and transformation plans in the right way, with the right people and skills;
* Ensuring that we are delivering the right projects; and
* Helping get the optimum return on the investment.

Led by the Portfolio and Project Delivery Directorate (PPD) in Capabilities and Resources Group, this is being done by shifting focus to support and development throughout the **project delivery lifecycle**:

* Supporting projects from the outset and working with partners to ensure they have the right skills and capabilities to both mobilise and deliver. This will be achieved through frank and open discussions on affordability, achievability, strategic fit and benefits right at the very beginning of the project lifecycle, and, importantly, pre-Business Case;
* Working with projects throughout the project delivery lifecycle, including on Business Cases and with a greater focus on definition and realisation of benefits;
* Putting in place an integrated approach to people planning across the portfolio and providing better professional support for recruitment, retention and development of people working in projects;
* Ensuring proposals fit with the business and technical design of the Home Office; and taking a more proactive approach, through the understanding of capabilities and dependencies, to define and shape the portfolio.

**Portfolio and Project Delivery Directorate**

August 2019

# How to Complete this Template and use the Guidance

This template includes a guidance section at the back, which should be deleted from the final version. The guidance is based on **HM Treasury’s ‘Better Business Cases’** methodology (The 5-case model) and its [Guide to Developing the Programme Business Case](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/749085/Programme_Business_Case_2018.pdf).

The template includes sections for programmes that may be well into their delivery life cycles and some sections may not be suitable (in part or in full) for programmes that have not progressed as far. Adaption of sections in the template to actual circumstances can be managed in collaboration with your **Portfolio Business Partner (PBP)**.

Programmes should read the guidance before starting to complete the template section. The template section includes *purple italic text* which should also be deleted from the final version.

Further related guidance and templates can be found in the [Home Office Project Delivery Framework](https://khub.net/group/home-office-project-delivery-framework).

Further advice can be obtained from the Portfolio and Project Delivery (PPD) Directorate’s Portfolio Business Partners (PBP) who support individual programmes and projects through their delivery life cycles.

# Executive Summary

### Introduction

*Set out a short overview of the Programme Business Case, being clear on what decision makers are being asked to do. It must set out a compelling case for change; value for money; commercial viability; financial affordability; and deliverability. This section* ***must*** *be written by the Programme Director and the SRO.*

This Programme Business Case (PBC) seeks approval to invest an estimated £…… in …….

### Recommendation

We recommend that…

**Signed: Signed:**

**Date: Date:**

**Programme Director Senior Responsible Owner**

# Strategic Case

*Please see* [*Strategic Case Guidance*](#_Strategic_Case_Guidance) *before completing this section of the template.*

## The Strategic Context

*Summarise the strategic drivers for this investment, with particular reference to supporting Home Office strategies, programmes and plans.*

*If this is an updated PBC reconfirm the strategic context.*

Insert text here.

## The Case for Change

*Summarise the business needs for this investment, with particular reference to existing difficulties and the need for service improvement.*

*If this is an updated PBC reconfirm the case for change.*

Insert text here.

# Economic Case

*Please see* [*Economic Case Guidance*](#_Economic_Case_Guidance) *before completing this section of the template.*

## OBC Long-List and Short-List

*Summarise the long and short lists of options, with results.*

Insert text here.

*Describe the procurement method.*

*If this is an updated PBC revisit the procurement method to confirm that the project has been procured by the most appropriate method.*

Insert text here.

*Describe the cost of risk retained by the public sector as calculated within the public sector comparator (PSC).*

*If this is an updated PBC revisit the cost of risk and PSC.*

Insert text here.

## Procurement Process and Evaluation of Best and Final Offers (BAFOs)

### The Procurement

*Provide a concise overview of the procurement process – from long-list to short-list and best and final offers (BAFOs).*

*If this is an updated PBC explain any changes since the previous PBC.*

Insert text here.

The following short list emerged as a result of BAFOs in relation to the scheme:

* Option 1 – the reference project or Public Sector Comparator (PSC) (if this is required)
* Option 2 – supplier A
* Option 3 – supplier B
* Option 4 – supplier C

## Key Findings – Confirming Value for Money

### The economic appraisals

*Set out the findings from the economic appraisals here.*

Insert text here.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **'Do Something' Option:**  |  **Option 1** |  **Option 2** |  **Option 3** |  **Option 4** |  **Option 5** |  **Option 6** |
| **Costs & Benefits (discounted value, £m)** |  |
|  Net Cost | - | - | - | - | - | - |
|  Change Cost | - | - | - | - | - | - |
|  Cashable Benefit - HO | - | - | - | - | - | - |
|  Cashable Benefit - Non-HO | - | - | - | - | - | - |
|  Non-Cashable Benefit | - | - | - | - | - | - |
|  Total Benefit (Cashable & Non-Cashable) | - | - | - | - | - | - |
| **Value for Money Metrics** |  |
|  NPSV (£m) | - | - | - | - | - | - |
|  Savings for HO Budget (£m) | - | - | - | - | - | - |
|  Benefit Cost Ratio (BCR) | - | - | - | - | - | - |
|  BIR | - | - | - | - | - | - |

Option appraisal conclusions:

* Option 1: PSC – this option ranks…
* Option 2: supplier A – this option ranks…
* Option 3: supplier B – this option ranks…
* Option 4: supplier C – this option ranks…

## Overall Findings: The Preferred Option

*Summarise the key findings, overall conclusions and the recommended preferred option as a result of the procurement.*

Insert text here.

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Summary** | **Option 1** | **Option 2** | **Option 3** | **Option 4** |
| Net Present Social Value (NPSV) |  |  |  |  |
| Benefit Cost Ratio (BCR) |  |  |  |  |
| NPSV/K |  |  |  |  |

*Remember that you must submit your completed Appraisal Summary Table (AST) with your business case to clearly display your costs and benefits.*

# Commercial Case

*Please see* [*Commercial Case Guidance*](#_Commercial_Case_Guidance) *before completing this section of the template.*

Insert text here.

## The Negotiated Deal and Contractual Arrangements

*Describe the Deal that has been negotiated with the choice of service provider.*

Insert text here.

### Procurement Route

Insert text here.

### Contract Award

Insert text here.

### Agreed Products and Services

The following goods and services are being contracted…

### Contract Performance and Management

Insert text here.

### Agreed Implementation Timescales

The key milestones and delivery dates are as follows: …

### Accountancy Treatment

The agreed accountancy treatment is…

### Agreed Risk Allocation and Charging Mechanism

The following risk allocation and supporting charging mechanism have been agreed…

# Finance Case

*Please see* [*Finance Case Guidance*](#_Security_Section_Guidance) *before completing this section of the template.*

*The example tables provided below are not editable. The project should complete the Finance Standard Business Case Model, which will produce the required output tables, which can then be cut and pasted into this business case template.*

Insert text here.

## Financial Implications of the Deal

Summary of the project/programme Whole Life Cost is:

*Example table* 

### *Confirm the final approval request to PIC.*

Insert text here.

### Financial Risks*.*

Insert text here.

### Inclusions and Exclusions from Project Costs

Insert text here.

### Cashable Financial Benefits and Income

*Provide a table to show the tangible cashable financial benefits generated by the programme, per the example table below.*



### *Provide the name(s) and details of individual(s) who have agreed and committed to delivering the savings:*

Insert text here.

### Overall Affordability

Insert text here.

### *Example table(s):*



A detailed affordability statement over the lifespan of the investment is in appendix X.

Insert text here.

### Capital Allocation over the Spending Review Period

Insert text here.

### *Example table:*



### Resource Allocation over the Spending Review Period

Insert text here.

### *Example table:*



### Financial Assumptions & Balance Sheet Treatment

*The key financial assumptions underpinning the above figures covering Optimism Bias and Contingency, Inflation/Indexation, VAT and Capitalisation.*

An indicative deprecation schedule has been completed which along with a Financial Risk Analysis and a Statement showing the HO’s Net Cash Position are included in Appendix X.

# Management Case

*Please see* [*Management Case Guidance*](#_Management_Case_Guidance) *before completing this section of the template.*

## Finalise Programme Management Arrangements

### Programme Governance

*Explain how governance arrangements may change during closure. Include diagrams if possible.*

Insert text and diagrams here.

### Programme Plan - Deliverables and Key Milestones

Insert text here.

### Programme Plan - Dependencies

Insert text here.

### Programme Closure

Insert text here.

### Change Management Arrangements

#### Business Change

Insert text here.

### Business Continuity

Insert text here.

### Benefits Management Arrangements

Insert text here.

## Finalise Risk and Issue Management Arrangements

Insert text here.

## Finalise Resource Management Arrangements

Insert text here.

### Finalise Contract Management Arrangements

Insert text here.

## Finalise Assurance and Post-Evaluation Review Arrangements

### Assurance and Approvals

Insert text here.

### Gateway Review Arrangements

A PAR / Gate 0 has been undertaken on the programme (**Month Year**), in conjunction with the submission of this PBC. The delivery confidence assessment was **XX**.

The consequent recommendations and progress against them are as follows…]

Insert text here.

### Controls

Insert text here.

### Programme Evaluation and Sharing Lessons Learnt

The arrangements for ensuring that programme evaluation take place are…

The Lessons Learned Report has been written…

Lessons Learned will be captured and disseminated by…

# Security Section

*Please see* [*Security Section Guidance*](#_Security_Section_Guidance) *before completing this section of the template.*

### Security Landscape

*Explain the current security landscape, i.e. the threat environment in which the project will be operating.*

Insert text here.

# Data Section

*See* [*Data Section Guidance*](#_Data_Section_Guidance) *before completing this section.*

### Data Usage

*Explain how the project will be using or creating data during (and after) delivery of the project.*

Insert text here.

### Transparency and Open Data

Insert text here.

### Freedom of Information (FoI)

Insert text here.

# Evidence Pack

*To support this business case, make available, and provide on request, the appropriate evidence which supports the information outlined above. A set of documents would normally be expected to include the following (not exhaustive) list.*

1. Project Delivery Plan
2. Organisational Structure
3. Project Communication Plan
4. Stakeholder Engagement Plan
5. Economic Long List & Short List Options Appraisal
6. Appraisal Summary Table (AST)
7. Business Case Model (including economic and financial data)
8. Benefits Management Strategy
9. Benefits Map
10. Benefits Register
11. Benefits Realisation Plan
12. Commercial Implementation Plan
13. Risk and Issue Management Strategy
14. Risk and Issue (RAID) Log
15. Quality and Assurance Strategy
16. Quality and Assurance Plan
17. Resource Management Strategy
18. Resource Management Plan
19. Integrated Assurance and Approvals Plan (IAAP)
20. Network and Infrastructure Commitment Control Form (required for all projects and programmes spending on networks and infrastructure)

*Please contact your Portfolio Business Partner (PBP) in PPD for further guidance if required.*

# Guidance: Programme Business Case Overview

*The purpose of the Programme Business Case (PBC) is to:*

* ***Identify the ‘market place opportunity’ which offers optimum Value for Money (VfM);***
* ***Set out the negotiated commercial and contractual arrangements for the deal;***
* ***Demonstrate that it is ‘unequivocally’ affordable; and***
* ***Put in place the detailed management arrangements for the successful delivery of the scheme.***

*A programme will often develop several PBCs. The initial PBC and then subsequent updates. The updates will include more and more detail as the delivery / procurement develops.*

*Every effort has been made to include as much detail as possible which is relevant to the Home Office, but this document does not cover all aspects of business case development.*

***HM Treasury’s ‘Business case guidance for programmes’*** *(see link at page 6) breaks down business case development in key stages, steps and actions. This business case includes the following steps and actions from that guidance:*

# Strategic Case Guidance

*Provide a brief description of the strategic context for this investment and if a PBC update confirm that the case for change remains unaltered.*

*Refer to the evidence provided in previous PBC(s) where necessary.*

## Revisit the Case for Change

*It is not generally expected that the Strategic Case will change significantly. As a minimum, PBC updates should note that the case for spending as previously set out remains the same; and that the resultant scope and underlying assumptions have not altered.*

*When minor changes have occurred, these should be recorded in full. Any changes to the following should be explained:*

* *The strategic context for the scheme;*
* *The agreed spending objectives;*
* *Business needs;*
* *The earlier scope and service requirements;*
* *The benefits;*
* *The risk;*
* *The dependencies; and*
* *The constraints.*

*Summarise the* ***strategic drivers*** *for this investment, with reference to supporting Home Office strategies, programmes and plans. Refer to the previous PBC(s) where applicable.*

*Summarise the* ***business needs*** *for this investment, with reference to existing difficulties and the need for service improvement. Refer to the previous PBC(s) where applicable.*

*Major changes to the Strategic Case may require significant change to the original PBC. If this is the case, further guidance should be sought from the Project and Portfolio Delivery Directorate (PPD).*

# Economic Case Guidance

*Production of the Economic Case is an iterative process across the development of the PBC. The following example checklist details the economic case content that should be included across different iterations of the PBC.*

|  |  |  |  |
| --- | --- | --- | --- |
|  | ***PBC***  | ***PBC update #1*** | ***PBC update #2*** |
| *Critical Success factors* | *✓* |  |  |
| *Long-listed options* | *✓* | *✓* |  |
| *Preferred Way Forward* | *✓* | *✓* | *✓* |
| *Short-listed options* | *✓* | *✓* | *✓* |
| *NPSC/NPSV findings* |  | *✓* | *✓* |
| *Benefits appraisal* |  | *✓* | *✓* |
| *Risk assessment* |  | *✓* | *✓* |
| *Sensitivity analysis* |  | *✓* | *✓* |
| *Preferred option* |  | *✓* | *✓* |

*This PBC update should seek to demonstrate that the conclusions reached in any previous PBC are still valid and their rankings remain the same. Does the chosen ‘preferred option’ continue to demonstrate Value for Money (VfM)?*

*Any new options must be clearly identified and any adjustments to existing options explained.*

*Update the key findings, overall conclusions and the recommended preferred option as a result of the procurement, if appropriate.*

*Please note that the PBC must be re-submitted for approval if costs, benefits or contracts terms change significantly post-PBC approval.*

## Revisit the options

*As the initial PBC may have provided only an estimate of the costs and benefits, the next PBC should provide a more precise and comprehensive update of the option appraisal, with appropriate sensitivity analysis on all assumptions, and optimism bias mitigated as far as possible.*

*New information gained through the procurement exercise may affect the original options appraisal, for example:*

* *The relative rankings may have changed because of supplier side prices and other costs;*
* *The expected benefits of the original preferred option may be lower, or the anticipated benefits of another option higher, which may change the previous ranking of the options;*
* *The level of uncertainty in a high-risk option may have reduced making it more attractive; and*
* *Changes within the strategic context, and consequently to the deal, may have led to significant changes in the preferred option.*

*In considering any changes, the PBC must demonstrate that the recommended option continues to be:*

* *Better VfM than the ‘do nothing’ or ‘do minimum’ options – this ensures the case for change remains robust; and*
* *Better VfM than the other available options – including the original preferred option, on the basis of the service providers’ offerings.*

***Revisit the Procurement method*** *to confirm that the project has been procured by the most appropriate method.*

*Early on in the programme life cycle, different methods of funding and procurement were examined. If it recommended that some sort of private finance was deliverable and potentially offered better VfM than conventional funding, a privately financed option may have been pursued. Then, any private finance offer must be appraised against the public sector comparator (PSC) and ‘do minimum’ options confirm VfM.*

*The principles of economic appraisal are the same as for those used to identify the preferred option at OBC stage (also* ***see HO OBC Template and Guidance****).*

***The public sector comparator (PSC) should be refined*** *before undertaking further economic appraisal to reflect knowledge gained from the procurement. This is to enable a ‘like-for-like’ comparison of the cost of providing services in-house with the service providers’ solutions on an outsourced or privately financed basis.*

### Risk Adjustment

*The PBC should revisit the ‘cost of risk’ across the outlined options. If the options were not risk quantified previously, but instead adjusted to reflect optimism bias, the associated risks should now be identified and quantified in full.*

*The aim is to reduce the level of optimism bias to the absolute minimum. As a guide, for a standard capital scheme stage this should be around 2%. See* ***HM Treasury Green Book, Supplementary guidance*** *on Optimism Bias for further details.*

## Detail Procurement Process and Evaluation of Best and Final Offers (BAFOs)

*To confirm VfM, a private finance offer should be appraised against the public-sector comparator (PSC) and ‘do minimum’ options detailed. Before carrying out this appraisal, refine the PSC to reflect knowledge developed from the procurement.*

*Provide a concise overview of the procurement process – from long list to short list and best and final offers (BAFOs) and explain any changes since previous PBCs.*

*List the service providers who expressed interest at the pre-qualification stage and reasons for any rejections. Also list the service providers who were selected for the ‘long-list’ and ‘short-list’ (BAFO) stages of the procurement and reasons for rejections.*

***Complete economic appraisals*** *for the ‘short-listed’ service providers at the BAFO stage of the procurement. These appraisals must account for the full cost of the scheme, incorporating ‘attributable’ costs to the organisation and the public and private sectors over the contractual and expected lifespan of the service.*

***Set out the findings from the economic appraisals****. A suggested presentation of your options appraisal is provided in the example tables in the Economic Case Template section.*

*The recommended option should be appraised against the BAU, ‘do minimum’ and PSC and other in-house options, incorporating adjustments made earlier when the options were revisited, assessment of non-financial benefits and risks and sensitivity analysis.*

### Overall Findings: The Preferred Option

*Update the key findings, overall conclusions and the recommended preferred option as a result of procurement. Provide confirmation that the preferred option still represents the best value for money option.*

*Remember that you must also submit an Appraisal Summary Table (AST) with your business case to clearly display your costs and benefits. Email PicEconomicCase (see the Home Office Global Address List (GAL)).*

*To assist readers of the document, present a table, (or use other means, to clearly summarise the key results from the appraisal. The table must present and compare the NPSV, BCR and NPSV/K for each option.*

*A summary table can be found in the AST.*

# Commercial Case Guidance

*The Commercial elements should be written by a commercial manager from HO Commercial Directorate, Crown Commercial Services etc*.

*The focus is to outline whether the preferred option is commercially viable. Attention should be focussed on outlining:*

* *The recommendation for an affordable solution, including detailed arrangements for delivery, transition and implementation;*
* *The proposed contract and contract award notice, and a summary of the evaluation process; and*
* *Significant Risks and Issues that Portfolio Investment Committee (PIC) or Senior Stakeholders need to be made aware of along with any possible mitigations where possible.*

## Set out he Negotiated Deal and Contractual Arrangements

*Describe the Deal that has been negotiated with the choice of service provider. Use standard headings to explain:*

* *The* ***service streams and outputs*** *that are being contracted.*
* *The* ***implementation timescales*** *which have been agreed their delivery.*
* *The* ***allocation of risk negotiated*** *with the service provider.*
* *The underpinning method of payment for these services and outputs, including the premiums for risk transfer.*
* *The* ***type of contract*** *and* ***key contractual issues****.*
* *In the case of PPP (PFI) procurements, the contract form should be* ***compliant with the relevant Treasury and Cabinet Office standards****.*
* *The* ***accountancy treatment*** *of the negotiated Deal, with confirmation from auditors, as required.*
* *Detailed* ***explanation of any personnel implications (for example, TUPE)*** *and how they are being managed.*

*The project should provide a copy of the proposed Contract with the Evidence Pack.*

### Procurement Route

*Provide a brief explanation of the procurement process, highlighting any changes that occurred since previous PBC, where applicable.*

*Describe any key points with regards to the appraisal of bids and any decisions made as a result of the bid appraisal.*

### Contract Award

*Confirm that there are no barriers to contract award and that the appropriate time has been allocated to the Alcatel period and mobilisation.*

*The formal decision to award a contract must be signed off according to the governance arrangements set up for the procurement and in line with delegated budget authority.*

*For major projects, involving HMT/ CO scrutiny, additional assurance will be required to consider proposals to award contract and provide pre-briefing material.*

*As required under Public Contract Regulations (2015), 10 days must be left between notification of the contract award decision and the point when the contract is formally entered with the winning bidder.*

*Confirm that the SRO agrees with the award decision.*

*Articulate any risks to award in the form of a legal challenge etc.*

### Contract Performance and Management

*Confirm that all contract management procedures and resources are in place to comply with the Primary Level Service Agreements (where they are in place) and the Home Office Contract Management Manual.*

*Confirm that all notifications requiring publication on OJEU have been complied with and contracts finder has been updated with relevant information.*

*Describe the transition/ mobilisation plans to move from the current commercial arrangement(s) to the new commercial arrangement(s).*

*Describe any changes from what was detailed in previous PBC that PIC need to be made aware of.*

*What are the governance arrangements for the contract and who will be the SRO for the ‘live’ arrangement?*

*Confirmation of proposed service / contract management arrangements and identification of additional resources if required e.g. responsible personnel. Confirm final plans for monitoring, evaluations and benefits realisation.*

### Government Functional Standard for General Grants

*Below is a link to the Government Functional Standard for General Grants Guidance:*

[*https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\_data/file/722198/Grants-Standard-FOUR-Business-Case.pdf*](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/722198/Grants-Standard-FOUR-Business-Case.pdf)

# Finance Case Guidance

*Before starting to write the* ***Finance Case****, projects should get in touch with the Capital Planning & Business Case Team (****FinanceCases*** *on the Home Office Global Address List (GAL)**) who are part of the Financial Planning Unit and provide advice and guidance to project teams throughout their lifecycle.*

*This team will provide the project with the* ***Finance Standard Business Case Model*** *template.* ***The use of this model is mandatory for all Business Cases in the Home Office.***

*The Finance Case template section includes some example tables (not editable)****,*** *taken from the Finance Standard Business Case Model. The project should complete the Finance Standard Business Case Model, which will produce the required output tables, which can then be cut and pasted into this template.*

*Projects should also liaise with their Programme and/or Portfolio Finance Team as well as their respective Finance Business Partner (FBP) who will provide necessary guidance on issues regarding affordability, budgeting and forecasting.*

*The PBC should cover the following issues:*

* *Confirm affordability of the programme;*
* *Confirm that full funding (including ongoing and live running costs) has been secured;*
* *Present: Cost profile (including business as usual, ongoing and annual costs), confirmation of the total funding required and the agreed budget allocation showing net impact on future years budgets;*
* *Provide whole life cost;*
* *Confirm all benefits;*
* *Update Financial Risks register; and*
* *Resolve any outstanding technical accounting issues.*

*Summarise and update the overall affordability of capital and resource over the life of the proposed investment. Ensure any additional funding requirements are clearly explained.*

## Financial Implications of the Deal

*Provide a table to summarise the programme Whole Life Cost.*

***Confirm the final approval request to PIC.***

### Financial Risks

*Ensure that the financial risk register is updated, that all risks are clearly set out, their potential financial impact is stated, and that all risks have appropriate mitigating actions identified and owned by a named individual.*

*Provide the name(s) and details of the individual(s) responsible for the financial risks.*

### Inclusions and Exclusions from Project Costs

*Summarise the key assumptions covering VAT, inflation/indexation, Optimism Bias and Contingency. The aim is to reduce Optimism Bias to a minimum level. This is because all risks should be known at this stage and mitigating actions in place. The proposed contract and agreement should have removed all known outstanding uncertainty over costs and prices.*

### Cashable Financial Benefits and Income

*Provide a table to show the tangible cashable financial benefits generated by the project.*

### *Provide the name(s) and details of individual(s) who have agreed and committed to delivering the savings:*

### Overall Affordability

*Summarise the overall affordability of the scheme – both in terms of its capital and revenue consequences over the Spending Review Period. Confirmation should be obtained from both the Financial Planning Unit and Finance Business Partners.*

*Provide table(s) per the example tables in the Finance Case Template section.*

*When the scheme requires the support and approval of Internal Home Office oversight groups, please indicate that this has been obtained. A letter of confirmation should be attached as an appendix.*

*Where the* ***investment is above the PIC delegated limit*** *and/or is ‘novel and contentious’, please indicate the sums requiring approval and any additional funding requirements.*

### Capital Allocation over the Spending Review Period

*Provide a table per the example table in the Finance Case Template section.*

*Capital Investment is the total planned level of capital expenditure excluding Optimism Bias.*

### Resource Allocation over the Spending Review Period

*Provide a table per the example table in the Finance Case Template section.*

*Resource Investment & BAU spend is the total planned level of resource expenditure excluding Optimism Bias & Contingencies.*

### Financial Assumptions & Balance Sheet Treatment

*Describe the key financial assumptions underpinning the above figures covering Optimism Bias and Contingency, Inflation/Indexation, VAT and Capitalisation.*

# Management Case Guidance

*Provide details on the agreed arrangements for project, change and risk management, contract management, benefits realisation, transition arrangements, post project evaluation, contingency plans and assurance.*

*Material provided previously should now be revisited in the light of any market engagement.*

*The documentation describing each of these sections should be included as part of the PBC’s evidence pack.*

*If this is the final PBC then the PBC should include details on arrangements for programme closure.*

## Project Management Arrangements

### Project Governance

*Summarise the governance arrangements to demonstrate that the appropriate bodies, roles and processes are in place, including lines of authority and accountability, and the involvement of key stakeholders as cited in the Strategic Case.*

*Cover each level of the project organisation, including (as available) those roles that design and develop the solutions, deploy them and embed the changes into business-as-usual.* ***Include diagrams if possible.***

*Explain how governance arrangements may change during closure, if applicable.* ***Include diagrams if possible.***

### Project Plan

*Plans are the backbone of the management information system for the project. Plans should describe how, when and by whom a specific target or set of targets is to be achieved. It must contain sufficient information and detail to confirm that the targets of the plan are achievable.*

#### Project Plan - Deliverables and Key Milestones

*Summarise the key deliverables and provide 10-12 milestones for the remainder of the project lifecycle. Where appropriate, these should include the preferred suppliers’ proposed development and implementation milestones.*

*Summarise progress against plan so far – what does this say about achievability?*

#### Project Plan - Dependencies

*Summarise the key interdependencies with other work-streams, projects and/or business areas, and how they will be managed. PPD dependency management guidance will be useful here.*

### Programme Closure

*As part of the final PBC the project should consider the programme closure activity required. The programme will have to produce some or all of the following:*

* ***Closure Plan.***
* ***Transition Plan.***
* ***Resource roll-off plan.***
* ***Lessons Learned Report***
* ***Closure Report.***
* ***Handover Report.***
* ***Post Implementation Review (PIR) Report*** *- post closure*
* ***Return on Investment Report (RoI)*** *- post closure.*

*See the Home Office Project Delivery Framework for closure guidance and templates.*

*Summarise the key closure activities and milestones. Describe the closure products the programme has produced (or is intending to produce).*

### Change Management Arrangements

#### Business Change

*Describe the approach to change, including the impact on business areas and how this will be handled.*

*The* ***latest version of the Business Change Plan*** *should be provided as part of the Evidence Pack of this FBC. The Plan should reflect specific training and development needs of key groups of personnel and any required communication arrangements. Plans should be signed off by the key stakeholders involved.*

*Describe how the project will assess* ***Business Readiness*** *before the decision to Go Live, if applicable.*

#### Business Continuity

*Any business continuity costs and requirements should also be reflected in the* ***Economic****,* ***Finance*** *and* ***Strategic*** *cases as appropriate.*

*Explain what the fall-back arrangements are should the project fail to deliver.*

*Explain what the fall-back arrangements are should the product/service fail post-delivery.*

### Benefits Management Arrangements

*Explain how the benefits cited in the* ***Economic Case*** *are to be realised (the PPD Benefits Framework provides detailed guidance). Provide a completed benefit register as part of the evidence pack to the FBC:*

* *Confirm baselining has been undertaken and detail responsibilities for realisation and confirm sign-up at senior management level.*
* *How and by whom, measurement and tracking of benefits will be undertaken (including interim benefits, use of existing Key Performance Indicators (KIPs) and/or proxy measures as appropriate). Show how variances will be handled.*
* *How regular reporting of benefit achievement (together with reports on the deployment of relevant enablers and on underpinning business change) will be built into project governance.*

*Provide a copy of the* ***Benefit Profiles****,* ***Benefits Register*** *and* ***Benefits Realisation Plan*** *in the Evidence Pack.*

### Risk and Issue Management Arrangements

*Key risks and issues should have been identified. Risks and issues should be* ***reviewed regularly,*** *and any new risks and issues captured in the* ***Risk and Issue (RAID) Log*** *as they emerge.*

*Provide an overview and update of risks and issues, including provision of a contingency plan in the event of non-delivery of the contracted services. Complete and attach the project’s risk register.*

*Summarise the programme’s risk exposure and how risks are being addressed.*

*Ensure there are business owners for any residual risks and issues. Residual risks should be included in any* ***Handover Reports*** *required to support programme closure.*

*Provide a copy of the* ***Risk and Issue (RAID) Log*** *in the Evidence Pack.*

### Finalise Resource Management Arrangements

*Give a summary description of the programme resources needed to complete the planned activities:*

* *How will programme resources be rolled-off as it approaches closure?*
* *How will the programme ensure it retains the right staff with the right skills to ensure closure activities are finalised before closure.*

### Contract Management Arrangements

*Include an overview of the formal and informal arrangements which need to be in place to successfully manage the contract changes.*

*Many of the contract change arrangements will be covered in the contract. However, over the life span of the service it is likely there will be some significant changes given the nature of the Home Office’s policy areas. In accordance with the ‘partnering’ principle, the Home Office should consider its strategy for managing future, yet unknown, contractual change.*

*Outline who will be responsible for managing and planning for future change and any arrangements should be detailed.*

### Assurance and Post-Evaluation Review Arrangements

#### Assurance and Approvals

*The project should discuss and agree assurance and approval requirements for the prgramme with PPD. Provide an overview of your assurance and approvals plan here.*

***Include assurance and approval points in the Programme Delivery plan.***

*Provide a copy of your* ***Integrated Assurance and Approvals plan (IAAP)*** *in the Evidence Pack.*

#### Gateway Review Arrangements

*Describe the Gateway review arrangements that have been made (most recent review and next planned review).*

*It is important that project teams address recommendations and delivery confidence assessments from assurance interventions to maximise the chances of project success. Set out:*

* *A summary of the outcome of the last external assurance review;*
* *A summary of the latest internal and external delivery confidence assessments;*
* *Details of the actions the project is taking to address the recommendations from these and how they impact on the project.*

*Outline plans for future assurance and approvals, for example:*

* *Post closure PARs, Gateway 0’s.*
* *Post Implementation Review / Report.*
* *Return on Investment Review / Report.*

### Controls

*Provide an outline of internal and external reporting arrangements and arrangements for reporting exceptions and their handling.*

### Programme Evaluation and Sharing Lessons Learnt

*The purpose of programme evaluation is to:*

* *Improve programme appraisal at all stages of the programme in order to make continuous improvements to the way the programme is being managed and delivered;*
* *Appraise whether the programme has delivered its anticipated improvements and benefits;*
* *Identify lessons (good and bad) that will be of value in completing the programme and to others doing similar things.*

*A final* ***Lessons Learned Report*** *should be developed and is a key requirement for the Closure Report and Post Implementation Review Report.*

*Outline here the arrangements for ensuring that programme evaluation will take place and how lessons will be captured and disseminated, not just within the programme but also be made available to others.*

*Outline the plans for Post Implementation Review(s), Return on Invest Report and final Lessons Learned Review and Report.*

*Expected timings for these arrangements should be included with named individuals responsible for making sure they are carried out.*

*A central repository for lessons learned is available on Horizon.*

*Consider the Government’s transparency agenda in deciding what information about the programme and the resulting service / policy can be proactively published.*

# Security Section Guidance

### Security Measures

*The Senior Risk Owner (SRO) is accountable for ensuring that appropriate measures have been put in place to protect Home Office information and assets. Failure to plan for security often leads to increases in project costs, delays in delivery and poor security by design.*

### Security Risk

*Poor or insufficient attention to security at the design and build stage of a project can pose a significant risk to data, information and people once the build is completed and operational. Getting physical, personnel, cyber and operational security right at the design and planning stage is critical.*

*When designing and planning, consider the depth of security that is necessary to provide adequate protection to your information and assets including the staff employed. You should also consider the scope for insiders to disrupt the project both during development and normal delivery. You must ensure that a zero tolerance approach is taken with regard to insider activity including with regard to fraud, corruption or leaks of Home Office information or data.*

*Questions that should be addressed:*

* *What type of holistic and layered security measures will be needed to protect your assets?*
* *Who will be the responsible owner for security at a senior level? (In rare cases, a decision may be needed at Ministerial level, for example where the paucity of security measures provide a black risk to the Home Office.)*
* *What level of assurance will be required?*

### Advice on Security Measures

*Home Office Security can provide a range of advice on security measures to enable the project to decide on the appropriate safeguards that should be put in place.*

*Further details can be obtained by emailing Home Office Security Enquiries, please include ‘PIC enquiry’ in the subject field of your email.*

# Data Section Guidance

### Use of Data

*The Home Office has a legal and ethical obligation on the management of any data that it uses or holds. We hold millions of personal records and billions of object and event records; probably the largest and most varied set of data holdings of any UK sector. Following our workforce, it’s the most valuable asset that we have.*

*The demand for services and the nature of the challenge/threat is evolving fast due to a move to a more digitised society. Public expectancy is high and rightfully so. We must ensure we get our Data right and that any new work being undertaken has data as a core consideration in order to be approved.*

*Data & Identity Directorate can provide a range of advice on Data when undertaking a project or programme that will use new or change the use of existing data.*

*Further details can be obtained by emailing Home Office Data Strategy or the Data Board Secretariat at* HODataStrategyTeam@homeoffice.gov.uk or HODataBoard@homeoffice.gov.uk

### Data Processing Risks

*Insufficient attention to the use of Data in the design of a project can pose a significant risk to data, information and people once the project is operational. Getting data consideration right at the design and planning stage is critical.*

*It is important to think about interoperability, future work emerging from the current project, the ability for progress and/or profit and alignment of the project to current and ongoing priorities. One of these priorities is the HO Data Strategy.*

*The HO Data Strategy has identified seven key priorities which signify its delivery mechanism; clarifying our objectives for data use,*

* *understanding our data assets,*
* *organising our data so that it is available and accessible,*
* *mapping our capabilities to address existing challenges,*
* *opening up to innovation in technology,*
* *building our workforce to ensure we have the right skills and understanding of opportunities in data,*
* *being recognised as a data enabled organisation in the public and private sector and,*
* *ensuring we manage public trust and confidence through effective governance and compliance with legal and ethical frameworks.*

*You must consider how your project aligns with these priorities.*

***Questions you should seek to address:***

* *Does my project or programme use a significant amount of data?*
* *Who will be the responsible Information asset owner for said Data at a senior level? (In rare cases, a decision may be needed at Ministerial level, for example where the paucity of security measures provide a black risk to the Home Office.)*
* *Does my processing of data have any high level of risk associated with it? What mitigations are being taken to reduce this risk?*
* *If Data is being processed, does it comply the legal requirements set out in the Data Protection Act 2018 and have you completed Data Protection Impact Assessment?*
* *Are the processing methods described for the project ethical?*
* *Does the project follow HO Data Strategy?*
* *What are the future implications the project would have on Data?*

### *Meanwhile the Knowledge and Information Management (KIM) team can provide advice on data-related information management matters such as Transparency and Open Data and Freedom of Information (FoI).*

### Transparency and Open Data

*If any outputs from the project, or any eventual outcomes (e.g. new or revised service) comprise data, the project has a duty to consider whether this data can be made public in an open and transparent format? Set out the considerations and answer the following questions on data:*

* *What information / data / intelligence does, or will the project have?*
* *How can the project make better use of it?*
* *What other information / data / intelligence does the project need and can the project fully exploit it?*
* *How might the information / data / intelligence be beneficial to others?*
* *How the project will deliver against the government’s seven information principles:*
	+ *Principle 1 - information is a valued asset*
	+ *Principle 2 - information is managed*
	+ *Principle 3 - information is fit for purpose*
	+ *Principle 4 - information is standardised and linkable*
	+ *Principle 5 - information is re-used*
	+ *Principle 6 - public information is published*
	+ *Principle 7 - citizens and businesses can access information about themselves.*

### Freedom of Information (FoI)

*As the Home Office attracts a high volume of FoI requests, the project must provide information on how the project intends to ensure these are handled appropriately.*

*As part of the Evidence Pack, provide answers to the following questions:*

* *Is any part of the project likely to attract interest from journalists, lobby groups or members of the public?*
* *If so, what types and volumes of FoI requests does the project expect to receive, i.e. what information might be requested? In answering this question, the project should consider how the requests may change during the lifecycle of the project, including during post-delivery operational stages.*
* *How does the project plan to manage these? In answering this the project should include:*
	+ *An assessment of the resources that will be required to respond to the FoI requests, i.e. if the project expects a sudden influx of requests at a stage of implementation, then the project should explain how the project plans to handle these.*
	+ *An overview of the types of information that might be suitable for release in response to a FoI request.*
	+ *The types of information that would need to be withheld and why.  Which exemptions under the FoI Act are likely to apply, and for how long, i.e. the project should say whether information associated with the project could potentially be released at a later date.*