

## **The Management Case**

1. This document should be read in conjunction with '*The Transport Business Case*', which is available on the Department's website ([www.dft.gov.uk](http://www.dft.gov.uk)).

### ***What is the management case?***

2. The management case assesses whether a proposal is deliverable. It tests the project planning, governance structure, risk management, communications and stakeholder management, benefits realisation and assurance (e.g. a Gateway Review).
3. There should be a clear and agreed understanding of what needs to be done, why, when and how, with measures in place to identify and manage any risks. The management case sets out a plan to ensure that the benefits set out in the economic case are realised and will include measures to assess and evaluate this. All projects and programmes are expected to have a risk management plan, proportionate to their scale.

### ***What questions will be asked?***

4. The management case will contribute towards the overall business case presented for consideration by ministers. Prior to this more detailed evidence will be scrutinised by an investment committee alongside the wider business case. The committee will examine the feasibility and practicality of delivering the project and will require demonstration that an appropriate project management regime is in place for the project. The questions likely to be asked by an investment committee include:
  - Who is the client/sponsor?
  - What are the key go/no go decision points? Is it clear what would happen at each stage after a go/no go decision?
  - Who is in charge? Is there a project board or similar? Are they following best practice (e.g. by being able to answer these questions satisfactorily)? And are they properly skilled?
  - What is the allocation of roles and responsibilities between the Department and delivery partners? Who has the final say on committing fund/accepting risk?
  - What is the composition of the project board (e.g. is it people who take decisions, or are they people who simply represent interests)? Do they have the relevant skills and experience?

- What are the metrics: milestones, targets, desired outcomes and wider impacts? Is there a programme for measuring/evaluating them? Is there a clear logic model for how the outcomes will be achieved?
- What is the proposed reporting and approval process?
- How are stakeholders involved? Are they being managed?
- Where they employ a programme manager externally, do they have the skills and capacity to manage the programme manager?
- Who is advising the client? Are they credible in the context of the project? What is their track record in the field?
- What risks are left with the client (and the Department where different), what are the cost implications and how will they be managed? What would be the impact on the Department if the risk materialised?
- Who has assessed risk? Are they an expert in the field? Do we need/have an independent view?
- Does the project have independent assurance in place?
- Is this project in the Government's Major Projects Portfolio? (The Major Projects Portfolio covers central Government projects that require Treasury financial approvals.) If not, should it be?

### ***Contents of the management case***

5. The following elements make up the minimum requirement for the management case. These should be easily identifiable in the business case in order to demonstrate that they have been covered.
6. The table below sets out how and when these minimum requirements should be **outlined** (initial findings), **completed** (a full assessment) and **updated** (past information is verified and new information incorporated) for each iteration of the business case. Blank/no colour indicates 'optional' where evidence should be provided if relevant.

Management Case		Strategic Outline	Outline	Full
Introduction	Outline the approach taken to assess if the proposal is deliverable.	C	U	U

*The Transport Business Case: Management Case*

Management Case		Strategic Outline	Outline	Full
Evidence of similar projects	If possible, provide evidence of similar projects that have been successful, to support the recommended project approach. If no similar projects are available for comparison, outline the basis of assumptions for delivery of this project e.g. comparison with industry averages for this kind of work.	C	U	U
Programme/project dependencies	Set out deliverables and decisions that are provided/received from other projects.	O	C	U
Governance, organisational structure & roles	Describe key roles, lines of accountability and how they are resourced.	C	U	U
Programme/project plan	Plan with key milestones and progress, including critical path.	O	C	U
Assurance & approvals plan	Plan with key assurance and approval milestones.	C	U	U
Communications and stakeholder management	Develop communications strategy for the project.	O	C	U
Programme/project reporting	Describe reporting arrangements.	O	C	U
Implementation of work streams	Summary of key work streams for executing the work.			
Key issues for implementation	Issues likely to affect delivery and implementation.			C
Contract management	Summarise outline arrangements. Confirm arrangements for continuity between those involved in developing the contract and those who will subsequently manage it.			C
Risk management strategy	Arrangements for risk management and its effectiveness so far.	O	C	U
Benefits realisation plan	Set out approach to managing realisation of benefits.		O	C
Monitoring and evaluation	Summarise outline arrangements for monitoring and evaluating the intervention.		O	C
Contingency plan	Summarise outline arrangements for contingency management such as fallback plans if service implementation is delayed.			C
Options	Summarise overall approach for project management at this stage of project.	O	C	U

## **Tools and Guidance**

7. Sources of further guidance can be found on the Department's website ([www.dft.gov.uk](http://www.dft.gov.uk)):

- **Treasury's Green Book**
- Government Social Research Unit's **Magenta Book** – guidance notes on policy evaluation and analysis to help 'intelligent customers' and 'intelligent providers' determine what constitutes high quality work in the field on policy evaluation and analysis.
- **WebTAG** – the Department's website for guidance on the conduct of transport studies.
- **Evaluation guidance available on the Department's website**, including guidance on designing evaluations.
- The Efficiency & Reform Group's **Gateway Review guidance**