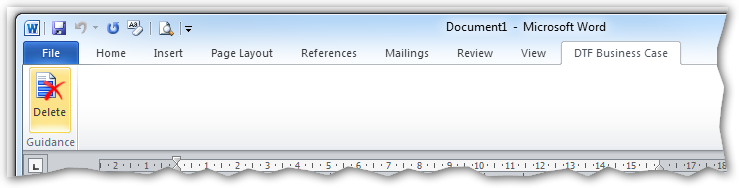
# Short form business case guidance

**Note: All business cases must be accompanied by a *Business case cover sheet* (refer to Attachment B)**

**Guidance notes**

Text in the shaded boxes is for guidance only. When the business case is complete, remove the guidance notes by clicking *Delete* on the *DTF Business Case* ribbon tab (please ensure that your macros are enabled).



**Use of this template**

* This template can be used for both asset and output proposals with modification as appropriate.
* It should be used for:
  1. – asset investments with a Total Estimated Investment under $10 million; and
  2. – small, non-complex output initiatives.
* The long form business case template should be used for:
  1. – asset initiatives over $10 million;
  2. – asset initiatives classified as high-value high-risk (HVHR); and
  3. – large or complex output initiatives.
* The level of detail should be scaled to the complexity of the proposal and some sections may not be relevant for all proposals.

**Changes to this template since *2017-18 Budget***

* Improvements to the clarity of instructions, guidance and references to assist users to complete the template.
* While there have been a number of editorial amendments in the guidance notes, the more significant changes and amendments are listed below:

| Details | | Why | Business case location(s) |
| --- | --- | --- | --- |
| General changes/amendments | | | |
| Some classification information (e.g. Ministerial ranking) has been moved to a separate Business Case Cover Sheet. | A cover sheet has been introduced to ensure summary information is presented consistently across both the short form and long form business cases. In addition this should assist data entry to SRIMS. | | *Business Case Cover Sheet (Attachment B)* |
| Summary description | This question has been disaggregated to seek more specific information and a summary statistics table has been introduced to highlight key facts. | | *1.1. Executive Summary*  *1.2. Summary Statistics* |
| Problem/service need and benefits | This question has been disaggregated to more clearly identify information on each element. | | *2. Problem*  *4. Benefits* |
| Scalability of the preferred solution | This question has been added to provide Government with options around the proposal. | | *3.3. Scalability of recommended solution* |
| Actual expenditure | This table has been added to provide details on historical expenditure. | | *5.2. Expenditure history* |
| Deliverability | This section has been added to more clearly identify risks, stakeholders, impact and readiness of the proposal. | | *7. Deliverability* |
| Staffing requirements | Additional information is sought on staffing by classifications - front office, back office and contractors as well as consultants. | | *8. Staffing requirements*  *8.2. Consultants* |

**List of guidance and where to find them**

|  |  |
| --- | --- |
| **1. DTF Information Requests**  <www.dtf.vic.gov.au/Government-Financial-Management/Budgeting/DTF-information-requests> | This secure website provides government departments, PNFC and PFC’s information on budget submission and deliberations process and reporting requirements, including copies of this template and other budget guidance attachments.  Victorian Government users can request a login by contacting your Departmental Relationship Manager or the site administrator at [dtfweb@dtf.vic.gov.au](mailto:dtfweb@dtf.vic.gov.au). |
| **2. Budget Operations Framework**  <www.dtf.vic.gov.au/Publications/Government-Financial-Management-publications/Planning-Budgeting-and-Financial-Reporting-Frameworks-publications> | This document assists departments to apply the financial and legislative framework that underpins budgeting and funding processes. Specific guidance is available on calculation of depreciation and capital assets charge. |
| **3. Performance Management Framework**  <www.dtf.vic.gov.au/Publications/Government-Financial-Management-publications/Planning-Budgeting-and-Financial-Reporting-Frameworks-publications> | This document sets out the mandatory requirements for performance management and contains further guidance on outputs, and performance measures. The document also sets out requirements for evaluation of lapsing programs. Note that for lapsing programs over $5 million, the scope and terms of reference for evaluations must be endorsed by DTF/DPC prior to commencing the evaluation. |

[Business case / Initiative title]

**[Subtitle** (i.e. the publication title for the initiative if it were to be funded in the budget process)**]**

**[Department title]**

* + 1. Overview
       1. Executive Summary

The executive summary should highlight the overall story and key points of the business case including the proposed outcomes that are to be achieved and the drivers for this funding request. It should specify:

* the problem or issue that the initiative will address;
* what the Government will be buying, over what timeframe and the benefits/outcomes of that investment;
* the merit of the proposal and how it delivers a critical need;
* why this is considered to be the most effective and efficient way to deliver the proposed benefits/outcomes; and
* any additional context (such as interface with other initiatives).

**Tips**

* The executive summary should be no longer than 1 page.
* Government needs to clearly understand what is being delivered for the requested investment. This should link to performance measures and outcomes. For example, ‘This investment will deliver an additional ‘x’ which will increase response time by ‘y’. This will meet current and forecast demand by ‘z’.
* Where a proposal faces considerable uncertainty, the executive summary and business case should convey options to flexibly deal with that uncertainty.
  + - 1. Summary Statistics

This section provides a high level overview of the key dimensions of the submission.

* Net output/asset funding sought should match Budget Impact tables, Section 6.3 and 6.4. Delete asset/output line if not applicable.
* Deliverables should specify the key output(s) to be delivered – for example, 100 scholarships for program ‘y’ in 20xx-xx to 20xx-xy, 1 000 additional enhanced maternal and child health services visits in 20xx-xx to 20xx xy.
* Performance measure(s) should specify the impact on performance measures from the proposed solution and should match the Estimated impact on output performance measures table in Section 4.3.
* If there are multiple deliverables and performance measures, please add additional rows as necessary.
* Staff impact should specify the staffing requirements of the proposed solution and match the subtotals in the Staffing requirements table, Section 8.1.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Description |  |  |  |  |  | 5-year total | Ongoing |
| Net output funding sought ($ million) | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Net asset funding sought ($ million) | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | TEI | Total beyond forward estimates |
| Deliverables – specify |  |  |  |  |  |  |  |
| Performance measure impact – specify |  |  |  |  |  | n/a | n/a |
| Total new VPS staff | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | n/a | 0.0 |
| Total existing VPS staff | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | n/a | 0.0 |
| Total non-VPS staff | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | n/a | 0.0 |

* + 1. Problem
       1. Background
* Describe the context and background to introduce the problem and benefits from addressing the problem.
* Outline the existing service related outputs, previous/current/future funding allocations, existing asset base and resource commitments (including lapsing status). This might include a discussion of current service funding, service distribution and levels, and underlying drivers of those services.
* This section may also introduce providers and stakeholders relevant to the problem.
* Provide details of how this service need is currently addressed:
  1. – who currently delivers similar or related services at the location where they are required (consider both government and non-government providers)?
  2. – how these services are currently provided?
     + 1. Definition and evidence of the problem
* Clearly state the problem(s)/service need(s) in terms of cause and effect.
* The focus should be on identifying the existing gap that is to be addressed by this proposal and include evidence of the cause (e.g. market failure, social need) and effect of the problem(s)/service need(s), including the extent and nature of demand and the need for investment.
* Describe what approaches have been taken to address this problem.

**Tips**

* In plain English, explain the problem(s) needing to be solved.
* Present the cause of each problem (e.g. who is affected, and how they are affected).
* Describe the nature of the problem (e.g. whether it is immediate, transitory, ongoing or escalating).
* Provide the evidence of both the cause and effect of the problem. Evidence might include:
  1. – demand forecasts with assumptions;
  2. – key performance indicators (KPIs) on current performance levels; and/or
  3. – facts/examples of the problem.
* Where the initiative significantly involves the Aboriginal community, clearly state if and how the community has been consulted on the definition of the problem. Frame the problem as it is defined by the community or the barriers to exercising community strength and self‑determination.
  + - 1. Timing considerations
* Describe why the problem needs to be addressed by government as part of this budget.
* Explain the implications of delaying a response to the defined problem such as:
  1. – reductions in the level of service (quality/quantity/timeliness) or rationing will be experienced;
  2. – failure to meet government commitments or legislative requirements;
  3. – requirement for urgent action at additional cost;
  4. – lead time for investment to become operational; and
  5. – any dependencies with related service requirements.
* Any connections to long-term planning documents / targets or commitments (e.g. policy statements, LFS).
* Explore whether the problem is suited to a staged response, and interface with other programs underway.
  + 1. Recommended solution
       1. Details of recommended solution
* Present the recommended solution, summarising the solution, alternatives considered and the rationale behind its selection.
* Include a clear statement of what will be purchased / delivered and who will provide the service including:
  1. – what will be delivered;
  2. – how many;
  3. – to whom;
  4. – by whom;
  5. – where; and
  6. – over what timeframe.
* How does the solution align to departmental objectives and other Government/Departmental outcomes frameworks, key strategic documents or policies?
* If the submission comprises multiple components, provide information for each component separately and ensure that each component is labelled.
* If the submission is a lapsing program, please indicate whether the proposal is just an extension of the existing program or whether it includes an expansion component.
* Clearly state your assumptions, costing inputs and supporting evidence (e.g. demand forecasts are based on ‘x’ sourced from ‘y’, this initiative seeks 10.5 FTE at level ‘x’ carrying an average caseload of ‘y’).
* Where the initiative significantly involves the Aboriginal community, provide information on if and how they were involved in the development of the recommended and alternative solutions, and their views on each of these.
  + - 1. Evidence of the proposed solution’s effectiveness

Provide evidence to support selection of the proposed solution and demonstrate that the recommended solution offers value for money and can achieve the benefits sought.

If the proposed solution extends an existing policy/program, please include data/evaluation on the program’s current performance; if this is a new program then advise why it was selected.

* + - 1. Scalability of the recommended solution

This section aims to provide Government with options around the proposal.

Describe how the recommended solution could be scaled and any potential risks.

This may include but is not limited to:

* presenting modular solutions with clear priorities;
* piloting;
* targeting specific cohorts and then expanding the service more broadly;
* adjusting frequency, quantity or level of service provision; and
* phasing options.

It is assumed that costings and performance measures can be scaled on a pro-rata basis unless otherwise advised.

* + - 1. Alternatives considered

Outline alternative options that would address the service need. This could include:

* different approaches to achieving the desired outcome;
* demand management options;
* different combinations of services; and
* alternative service providers or procurement options.

Outline the criteria used to compare these options, and the reason(s) why the preferred option was selected.

* + - 1. Evaluation strategy

Outline the proposed evaluation strategy for this initiative. A strategy should include the following:

* how the initiative will be evaluated to ensure it meets its objectives;
* at what stage of implementation the evaluation will be conducted;
* what information, data collection and evaluation methodology will be used;
* what mechanisms are/will be in place to collect the relevant data;
* how will the evaluation findings be reported to Government and used to inform the success of the initiative; and
* any potential issues with the evaluation that may skew results.
  + - 1. Why should Government be involved?

Outline the reasons why Government should be involved in addressing this problem/service need. You may include:

* why does this problem/service need to be addressed by a Government intervention;
* how does the proposed initiative align to the published objectives of the department;
* what benefits will flow to the Victorian community that warrant Government investment;
* are there currently mechanisms in place, or have there previously been, to address the problem/service need either partially or fully? If so, how will Government involvement improve on these mechanisms; and
* how the problem/service would be addressed through a market-based solution.
  + 1. Benefits
       1. Benefits of recommended solution

This section should clearly outline the benefits Government is receiving for the requested investment. This may include information on:

* impact this proposal will have on the existing service level or quality;
* improved outcomes;
* effectiveness; and
* key high-level economic and social and benefits.

**Tips**

* Use the ‘SMART’ test to confirm benefits (specific, measurable, attainable, relevant and time‑bound).
* Qualitative benefits can include (but not be limited to) links to Government policy commitments.
* Where the initiative significantly involves the Aboriginal community, provide information on if and how the benefits reflect the outcomes the community prioritises.
  + - 1. Historical output performance

Identify the historical performance of BP3 output performance measures that this initiative will contribute to in the future. Include all measures, regardless of whether the target will change as a result of this initiative.

Add table rows if there are multiple measures.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Performance measure  (as per BP3) | Unit of measure | 20xx-yy | 20xx-yy | 20xx-yy | 20xx-yy | 20xx-yy |
| Output: [insert output name] | | | | | | |
| Performance measure name - result |  |  |  |  |  |  |
| Performance measure name - target |  |  |  |  |  |  |

* + - 1. Estimated impact on output performance measures
* For both asset and output investments, it is a requirement to outline the expected impact on performance and services provided to Victorians.
* Please specify:
  1. – the impact on **existing** BP3 performance measures indicating both the changes relative to current levels and the timing of that impact; and/or
  2. – **new** BP3 measures indicating the measures and the timing of that impact.
* Measures not used in BP3 or proposed for inclusion should be clearly outlined below the table, alongside a proposed reporting mechanism to Government.
* Specify the source of performance data for all measures and whether data can be collected in a timely manner to enable reporting of benefit delivery.

**Tips**

* Define the measures and key performance indicators that will show whether the benefits have been delivered. Where a measure does not currently exist to adequately reflect the benefit of the requested investment, a new measure should be proposed.
* Please specify the change in target from the published target, e.g. if current target is 90 per cent and new target will be 92 per cent in and 95 per cent in , then include +2 in the column and +3 in the column. Refer to *Attachment E* of the DTFIR guidance for further examples.
* If the submission is comprised of multiple components provide performance information for each component separately and ensure that each component is clearly labelled.
* It is assumed that performance measures can be scaled on a pro-rata basis unless otherwise advised.

|  |  | Unit of | Baseline | Change in target if proposal is endorsed | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Performance measure | Existing/New | measure | 2017-18 | 2018-19 | 2019-20 | 2020-21 | 2021-22 |
| Output: [output title] | | | | | | | |
| Performance measure name – specify |  |  |  |  |  |  |  |
| Performance measure name – specify |  |  |  |  |  |  |  |
| Performance measure name – specify |  |  |  |  |  |  |  |

* + 1. Current Program Funding
       1. Funding history
* Provide details of the funding history for this or similar/related initiatives (e.g. if this is an existing program include the program’s base budget).
* This table should include all funding for an earlier stage in a multi-stage project, funding for a lapsing program, or funding for a related program that has broadly the same policy objective as this initiative.
* New budget funding items should contain the name of the initiative as published and source of funding (e.g. Initiative x, 20xx-xx Budget).

|  | ($ million) | | | | |
| --- | --- | --- | --- | --- | --- |
| Description of historical funding provided | 20xx-yy | 20xx-yy | 20xx-yy | 20xx-yy | 20xx-yy |
|  | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
|  | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
|  |  |  |  |  |  |

* + - 1. Expenditure history
* Provide details of how much was actually spent on this or similar/related initiatives.

|  | ($ million) | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| Description of expenditure | 2012-13 | 2013-14 | 2014-15 | 2015-16 | 2016-17 | 5 year totals |
|  | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |  |
|  | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |  |
| Total | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |  |

* + - 1. Existing funding base over forward estimates

Provide details of the existing funding base that has been provided for this or similar/related programs, including funding that is in the department’s base and for any related lapsing programs. Most submissions would be expected to have base funding over the forward estimates, unless it is a completely new program.

Include where this funding was approved (e.g. *20xx-xx Budget*).

| Description of funding | ($ million) | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| over forward estimates |  |  |  |  |  | 5-year total | Ongoing |
|  | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
|  | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |

* + 1. Funding sought
       1. Proposed funding sources and alternatives

Describe proposed funding sources and possible alternatives including:

* potential contributions from others (e.g. other levels of government, private sector);
* full or partial cost recovery options, revenue offsets or new revenue sources;
* loans (e.g. section 37 *Financial Management Act*);
* offsets; and
* other funds across Government (e.g. Growth Areas Infrastructure Charge, Victorian Property Fund, Community Support Fund, Sustainability Fund).

If you are nominating a funding source outside your department it is expected that you have consulted with the relevant entity to ensure that the initiative meets eligibility criteria and that there is available capacity.

* + - 1. Internal reprioritisation

If the initiative is proposed to be funded through some offsets/internal reprioritisation, provide details of the nature of the reprioritisation option nominated, including:

* a description of the offset/internal reprioritisation;
* the reason(s) why this offset/internal reprioritisation has been selected including the likelihood of this being achieved or how it has been calculated;
* how this internal reprioritisation is being achieved (i.e. what efficiencies are being introduced, what is being discontinued or reallocated and what is the impact on service delivery/outputs); and
* the impact of the offset/internal reprioritisation on performance measures and delivery of commitments.

If no offset/internal reprioritisation is proposed, describe how the initiative would be funded if reprioritisation was required.

* + - 1. Budget impact – output funding sought
* Departments should consult DTF and seek agreement on the financial implications of the initiative prior to submitting the business case for budget funding consideration.
* Indexed and non-indexed expense items are required to be separately listed.
* Indexation is not to be applied to VPS staffing costs (including on-costs).
* Standard costings for VPS staff are outlined in *Attachment E* and are required to be used to estimate the cost of any additional VPS staff. If existing VPS staff will be transferred to this initiative, the cost of these staff should only be included in the costings where it is not already in the Department’s forward estimates (e.g. where the staff are currently funded through a lapsing program ceasing before this initiative commences).
* Where an initiative relates to grants payments, the funding table must separately identify the value of grants to be provided and administration costs sought (if any) to manage the grants program.
* A detailed costings spreadsheet, including all cost assumptions for each component of the initiative, is required to be provided with this submission.
* If the submission comprises multiple components, please provide costs for each component separately and ensure that each component is clearly labelled.

|  | ($ million) | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Financial impact outputs |  |  |  |  |  | 5-year total | Ongoing |
| Component a | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Component b | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| **Subtotal gross output** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** |
| Offset from internal reprioritisation | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Offset from other sources (e.g. revenue, trust fund, Commonwealth) – specify each separately | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| **Subtotal offsets** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** |
| Net impact output | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |

* + - 1. Budget impact – capital funding
* A detailed costings spreadsheet, including all cost assumptions, is required to be attached to this submission.
* If the submission comprises multiple components, please provide information for each component separately and ensure that each component is clearly labelled.

|  | ($ million) | | | | | |
| --- | --- | --- | --- | --- | --- | --- |
| Financial impact (capital) |  |  |  |  |  | TEI |
| Component a | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Component b | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Risk allocation | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Contingency allocation | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| **Subtotal gross capital** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** | **0.000** |
| Offsets from other sources (e.g. proceeds from asset sales, trust accounts, Commonwealth funding) – specify | (0.000) | (0.000) | (0.000) | (0.000) | (0.000) | (0.000) |
| Net impact capital | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |

* + - * 1. Budget impact – CAC and depreciation equivalent revenue

Guidance on Capital Asset Charge (CAC) and depreciation can be found at sections 3.2 and 2.2 of the Budget and Financial Operations Framework (BOF). Typically CAC and depreciation should be calculated on the basis of it being incurred in the year following the project’s completion.

**Calculating CAC**

* CAC is calculated as 8% of the written-down value (Gross value less accumulated depreciation and impairment) of controlled non-current physical assets in the balance sheet.
* Therefore, if a department’s written-down value of its controlled non-current physical assets is $1 000 000 the CAC will be 8% of this or $80 000.
* CAC should not be escalated over the forward estimates.

**Calculating depreciation**

* Depreciation is calculated from the year that the asset is completed over the useful life of the asset. Depreciation will accumulate over this time as the asset is written down.

*Note*: depreciation funding may not apply to all entities.

|  | ($ million) | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Financial impact |  |  |  |  |  | Total | Ongoing |
| Capital asset charge | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Depreciation expense | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |

* + - 1. Revenue impacts
         1. Existing revenue

Indicate current revenue estimates related to this initiative.

|  | ($ million) | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Existing revenue financial impact |  |  |  |  |  | Total | Ongoing |
| Existing revenue in the forward estimate | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |

* + - * 1. New revenue
* New revenue should only be proposed if it is within the control of the portfolio.
* Policy endorsement of any proposed changes to revenue policy will be considered separately.

|  | ($ million) | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| New revenue financial impact |  |  |  |  |  | Total | Ongoing |
| New revenue initiative 1 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Impact on existing revenue increase/(decrease) | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |
| Net revenue impact | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 | 0.000 |

* + 1. Deliverability
       1. Assessment and management of risks and sensitivities

Provide a detailed risk assessment of the recommended solution, outlining key risks.

Describe how the risks will be mitigated, including management strategies.

The risks may highlight the need for a flexible approach to the investment, e.g. where the uncertainties may be resolved at a point in time (e.g. success or failure of a pilot study) and flexibility can be built in to allow an informed decision at this time (e.g. whether to proceed with the full investment).

Include an overview of proposed arrangements for ongoing risk monitoring and management.

Provide an overview of the likely impact on key stakeholders, and outline their position in relation to the project. This should include the relationship with other Ministerial portfolios and priorities if applicable. Describe how these stakeholders will be engaged and proposed communication / change management strategy.

Include any implementation risks ERSC should be aware of.

**Tips**

In identifying the key risks to consider, the following is a (non-exhaustive) list of risk categories: change in law/policy; commercial; completion; contractual; demand; economic; environmental; financial; implementation; management; organisational; political; private sector; regulatory; supply; technological and workforce.

* + - 1. Impacts

Outline the impacts and opportunities of the proposal and identify any significant issues, this could include (but not limited to):

* Social impacts;
* Economic impacts (e.g. workforce participation, unemployment);
* Climate change impacts;
* Regulatory impacts;
* Environmental impacts;
* Charter of Human Rights and Responsibilities;
* Legislative changes required;
* Local Government impact; and
* Regional impacts.
  + - 1. Readiness and implementation process

Provide an overview of the preferred solution’s readiness for implementation as planned, this may include:

* Definition of the scope of the preferred solution;
* Deliverability within the proposed project cost and phasings;
* The organisation’s capacity and skills to deliver this project and cope with the increased workload;
* Market conditions and capacity (e.g. workforce, skills shortage); and
* Other factors (e.g. legislative changes required).

Describe the proposed implementation process including managing:

* organisational change;
* stakeholders;
* risks and issues (e.g. timeliness, budget, knowledge management, governance);
* procurement;
* benefits; and
* any other factors that may constrain achieving full implementation within the proposed timeline.
  + - 1. Timelines and milestones
* Outline the timelines for this initiative, including details of key implementation components or project milestones. This should include both the forecast start and end dates.
* List the major milestones and deliverables and their delivery timelines including:
  1. – an outline of the high-level project schedule;
  2. – if the rollout is staged, specify the details (e.g. 30% of target cohort will receive the service by December 2018, 60% by December 2019); and
  3. – advice on public communication of project timelines (to be consistent with communications strategy).
* If this initiative has multiple components, insert additional rows and specify the timelines for each component separately.

**Asset proposals**

Dates are required for the following six milestones. All projects published in *Budget Paper No. 4: State Capital Program* are required to report against these milestones for inclusion in the Major Projects Performance Report to ERSC (refer to Major projects and capital program performance reporting guidance DTFIR for more details):

1. Business case completed – date the full business case is expected to be approved by the Minister or most senior authorising officer (this is required for business cases seeking funding for business case development).

2. Tender released – date for the request for tenders is expected to be released to market.

3. Contract signed – date the contract for both parties is expected to be signed.

4. Building commenced – date the contractor is due to commence construction.

5. Building completed – date construction is due to be completed and the site handed to the department.

6. Operations commenced – date the asset is due to commence delivery of services.

|  |  |
| --- | --- |
| Implementation component/key milestone | Timeline |
|  |  |
|  |  |
|  |  |

* + 1. Staffing requirements
       1. Staff/Contractors
* Estimate the number of staff that will be employed under this initiative, numbers entered should be full time equivalents (FTE) to one decimal place.
* If this initiative has multiple components, insert additional rows and specify the staffing for each component separately.
* Specify where staff will be located.
* *VPS staff* – please refer to the following for detailed information:
  1. The State of the Public Sector in Victoria 2015-2016 report (pages 36 to 37):
  2. vpsc.vic.gov.au/wp-content/uploads/2016/12/SOPSIV-2015-16-Final-Web-version-ISSN2204-9096.pdf
* *Non-VPS staff* – other workforce groups (e.g. doctors, police, firefighters, teachers).

**Tips**

* As a guide, staff are classified as follows:
  1. – *Front line* – client-facing roles (e.g. child protection practitioner (VPS), teacher (non-VPS));
  2. – *Back office* – non-client-facing roles; and
  3. – *Contractor* – individuals engaged to undertake work that would or could be regarded as normally undertaken by an employee.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| Functional category |  | 2017-18 | 2018-19 | 2019-20 | 2020-21 | 2021-22 | Ongoing |
| New VPS staff | Frontline | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
|  | Back office | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
|  | Contractor | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| **Subtotal** |  | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** |
| Existing VPS staff | Frontline | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
|  | Back office | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
|  | Contractor | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| **Subtotal** |  | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** |
| Non-VPS staff (specify category  e.g. nurse, teacher) | Frontline | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| Back office | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
|  | Contractor | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |
| **Subtotal** |  | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** | **0.0** |
| Total staff |  | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 |

* + - 1. Consultants
* Detail the number and type of consultants that will be used.
* A consultant is engaged primarily to perform a discrete task that facilitates decision making through provision of expert analysis and advice; and/or development of a written report or other output.
  + 1. Exit strategy
* Detail the exit strategy and the factors that would lead to wanting to exit either early, at term or if funding is not approved.
* Investments may be time limited or may involve pilot studies. This section allows for consideration of what termination rights are desirable at key review or decision points (e.g. lapsing programs).
  + 1. Other relevant information

Provide information on any factors not addressed elsewhere in this submission that may impact on the department’s ability to deliver the initiative as stated, or that should be considered by ERSC in making a funding decision.

* + 1. Attachments

Attach the following documents to the submission.

For all initiatives:

* Detailed costings of all components of the initiative, in Microsoft Excel;

For all lapsing programs, where further funding is requested:

* Evaluation of the program (must be accordance with the requirements outlined in the Government’s Performance Management Framework); and
* Benefit Management Plan (optional for outputs)

Other supporting documentation, as considered relevant to the initiative, such as   
(but not limited to):

* Investment Concept Brief;
* Investment Logic Map; and
* Strategic Assessment.

# Appendix A – Checklist and sign-off

| Initiative title: | | [Business case / Initiative title] | Yes |
| --- | --- | --- | --- |
| Department: | | [Department title] |
| 1. | Is the problem clearly defined? | |  |
| 2. | Is it clear what the Government is purchasing? | |  |
| 3. | Are the links to government policy(ies) and contributions explicit? | |  |
| 4. | Are impacts on performance measures specified? | |  |
| 5. | If the submission has multiple components, have these been described separately and is the impact of each component clearly articulated in the costings, staffing and performance measures sections? | |  |
| 6. | Have DTF/DPC been engaged on the development of the draft business case? | |  |
| 7. | Has a *Business case cover sheet* been completed to accompany this business case? | |  |
| 8. | Have costings been agreed with DTF? | |  |
| 9. | Have detailed costings been provided in Excel? | |  |