

# Major Scheme Business Case checklist

The following is a checklist of items to be provided in a Major Scheme Business Case submitted for Programme Entry. Any omissions from this list should be agreed with the Department prior to submission.

Please indicate next to each item a reference to the location of the information in the Major Scheme Business Case document.

## Scheme Description

Item	Section/Page
A detailed physical description of the scheme, and the other appraised option(s), including maps, scale diagrams and a written commentary.	1-2 to 1-5 2-1 to 2-4

## Strategic Case

Item	Section/Page
The objectives of the scheme	6-26
A description of the process by which the scheme came to be identified as the preferred option for meeting those objectives	7-1 to 7-4 Appendix H
How the objectives of the scheme align with wider local objectives, particularly those of the relevant Local Transport Plan.	8-1 Appendix I
How the objectives of the scheme align with sub-regional and regional objectives, (except for schemes of predominantly local significance)	9-1 to 9-3 Appendix J
Written endorsement from regional bodies	Appendix E

## Value For Money

### Cost Benefit Analysis

Item	Section/Page
A clear explanation of the underlying assumptions used in the Cost Benefit Analysis.	3-1 to 3-5 4-1 to 4-3 10-4 13-1 to 13-9 16-1 to 16-4
Information on local factors used. For example the derivation of growth factors, M factors in COBA and annualisation factors in TUBA (to include full details of any calculations).	10-3 Appendix K
A diagram of the network (if COBA used).	n/a
Information on the number of junctions modelled (if COBA used), for	n/a

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both the do-minimum and the do-something.	
Details of assumptions about operating costs and commercial viability (e.g. public transport, park and ride, etc.).	4-1 to 4-3 16-2 17-4 to 17-6
Full appraisal inputs/outputs (when used, COBA and/or TUBA input and output files should be supplied).	Appendix K
Details of the maintenance delay costs/savings.	Appendix K (Appendix B)
Details of the delays during construction.	Appendix K (Appendix B)

### NATA Assessment

Item	Section/Page
Evidence of consultation with key stakeholders (including any NGOs consulted and responses).	1-2 to 1-5 22-1 to 22-2 Appendix D Appendix E
Assessment of Environmental impacts, to include an environmental constraints map.	11-1 to 11-10
Assessment of Safety impacts and the assumed accident rates presented (COBA output should be provided if an accident only COBA has been run).	12-1 to 12-3
Assessment of Economic impacts.	13-1 to 13-9
Assessment of Accessibility impacts.	14-1 to 14-2 Appendix L
Assessment of Integration impacts.	15-1 to 15-3 Appendix L
A comprehensive Appraisal Summary Table.	18-2 and 18-3
The following supporting analyses:	
Distribution and Equity.	17-1 to 17-4
Affordability and Financial Sustainability.	17-4 to 17-6
Practicality and Public Acceptability (Evidence of public consultation supplied).	17-6 to 17-7 22-1 Appendix D
Contribution to 10 year plan targets.	n/a
NATA worksheets.	Appendix L

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### Modelling

Item	Section/Page
An Existing Data and Traffic Surveys Report to include:	
Details of the sources, locations (illustrated on a map), methods of collection, dates, days of week, durations, sample factors, estimation of accuracy, etc.	Appendix K and its technical appendices
Details of any specialist surveys (e.g. stated preference).	N/A
Traffic and passenger flows; including daily, hourly and seasonal profiles, including details by vehicle class where appropriate.	Appendix K Section 4
Journey times by mode, including variability if appropriate.	Appendix K Section 3
Details of the pattern and scale of traffic delays and queues.	Appendix K
Desire line diagrams for important parts of the network.	Appendix K
Diagrams of existing traffic flows, both in the immediate corridor and other relevant corridors.	Appendix K
An Assignment Model Validation Report to include:	
Description of the road traffic and public transport passenger assignment model development, including model network and zone plans, details of treatment of congestion on the road system and crowding on the public transport system.	Appendix K
Description of the data used in model building and validation with a clear distinction made for any independent validation data.	Appendix K
Evidence of the validity of the networks employed, including range checks, link length checks, and route choice evidence.	Appendix K
Details of the segmentation used, including the rationale for that chosen.	Appendix K
Validation of the trip matrices, including estimation of measurement and sample errors.	Appendix K
Details of any 'matrix estimation' techniques used and evidence of the effect of the estimation process on the scale and pattern of the base travel matrices.	Appendix K
Validation of the trip assignment, including comparisons of flows (on links and across screenlines/cordons) and, for road traffic models, turning movements at key junctions.	Appendix K
Journey time validation, including, for road traffic models, checks on queue pattern and magnitudes of delays/queues.	Appendix K
Detail of the assignment convergence.	Appendix K
Present year validation if the model is more than 5 years old.	Appendix K
A diagram of modelled traffic flows, both in the immediate corridor and other relevant corridors.	Appendix K

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A Demand Model Report to include:		
Where no Variable Demand Model has been developed evidence should be provided to support this decision (e.g. follow guidance in WebTAG Unit 3.10.1 Variable Demand Modelling - Preliminary Assessment Procedures).		Appendix K
Description of the demand model.		Appendix K
Description of the data used in the model building and validation.		Appendix K
Details of the segmentation used, including the rationale for that chosen. This should include justification for any segments remaining fixed.		Appendix K
Evidence of model calibration and validation and details of any sensitivity tests.		Appendix K
Details of any imported model components and rationale for their use.		Appendix K
Validation of the supply model sensitivity in cases where the detailed assignment models do not iterate directly with the demand model.		Appendix K
Details of the realism testing, including outturn elasticities of demand with respect to fuel cost and public transport fares.		Appendix K
Details of the demand/supply convergence.		Appendix K
A Forecasting Report to include:		
Description of the methods used in forecasting future traffic demand.		Appendix K
Description of the future year demand assumptions (e.g. land use and economic growth - for the do minimum, core and variant scenarios).		Appendix K
Description of the future year transport supply assumptions (i.e. networks examined for the do minimum, core scenario and variant scenarios).		Appendix K
Description of the travel cost assumptions (e.g. fuel costs, PT fares, parking).		Appendix K
Comparison of the local forecast results to national forecasts, at an overall and sectoral level.		Appendix K
Presentation of the forecast travel demand and conditions for the core scenario and variant scenarios including a diagram of forecast flows for the do-minimum and the scheme options for affected corridors.		Appendix K
If the model includes very slow speeds or high junction delays evidence of their plausibility.		Appendix K
An explanation of any forecasts of flows above capacity, especially for the do-minimum, and an explanation of how these are accounted for in the modelling/appraisal.		Appendix K

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	Presentation of the sensitivity tests carried out (to include optimistic and pessimistic tests).	16-1 to 16-4 Appendix K
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### Delivery

<b>Item</b>		<b>Section/Page</b>
<b>Governance</b>		
	Named Senior Responsible Owner (SRO)	19-1
	Proposed Governance Structure	19-1 to 19-5
	Composition of Project Board	2-1 19-3 to 19-5
	Details of resourcing level for the scheme	19-2 to 19-5
<b>Project Planning</b>		
	Project Plan (e.g. in GANNT chart form)	20-1 to 20-2 Appendix O Appendix P
	List of key milestones and dates	20-1 to 20-2
	Clear critical path and dependencies	20-1 Appendix P
<b>Risk Management</b>		
	Risk Register with likelihood, probability and mitigation measures, including Quantified Risk Assessment.	5-1 21-2 to 22-3 Appendix B
	Description of proposed Risk Management process and escalation procedures.	21-1 to 21-3 25-2
<b>Stakeholder Management</b>		
	Identification and analysis of key stakeholders and their interests.	22-1 to 22-2 Appendix D
	Description of public consultation already carried out.	22-1 Appendix D
	Plans for future consultation and stakeholder management.	Appendix D
	Evidence of consultation with Statutory Bodies (Natural England, English Heritage and Environment Agency) and their responses.	Appendix D

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<b>Evaluation</b>		
	Statement of core evaluation objectives	6-25 to 6-26
<b>Assurance (schemes with gross cost of £50m or more)</b>		
	Confirmation of date Gateway Review carried out (or planned).	24-1 Appendix N Appendix O

## Commercial

<b>Item</b>	<b>Section/Page</b>
Preferred procurement route with rationale for choice	1-5 25-1 to 25-2
For ECI proposals, contract type and risk sharing arrangement	21-1 to 21-2 25-1 to 25-2
Details of proposed risk sharing approach (for other than traditional procurement)	21-1 to 21-3

## Financial

<b>Item</b>	<b>Section/Page</b>
Detailed cost breakdown	Appendix B 3-1 to 3-5
Evidence of how cost estimates have been derived	Appendix B
Independent surveyor's report verifying cost estimates	Appendix B
Details of and justification for inflation assumption used.	3-2 to 3-4 26-1 Appendix B
Costing for risk based on QRA	3-2 5-1 26-1 to 26-2 Appendix B
Estimate of eligible preparatory costs	26-1 to 26-2 27-1 to 27-2
Details of measures to secure necessary third party contributions, if applicable	25-1 27-1 to 27-2
Description and estimate of any ongoing revenue liability (other than routine maintenance) and proposals to meet it	17-5
Section 151 Officer sign-off for cost estimates	27-2