

DG [Name]

Unit [Name]

Business Case

**<Project Name>**

Date: <Date>

Doc. Version: <Version>

Template Version: 3.0.1



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|  |  |
| --- | --- |
| **Settings** | **Value** |
| **Document Title:** | Business Case |
| **Project Title:** | <Project Name> |
| **Document Author:** | <Document Author> |
| **Project Owner:** | <Project Owner (PO)> |
| **Project Manager:** | <Project Manager (PM)> |
| **Doc. Version:** | <Version> |
| **Sensitivity:** | <Public, Basic, High> |
| **Date:** | <Date> |

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# Project Initiation Request Information

|  |  |  |  |
| --- | --- | --- | --- |
| **Project Title:** | *<Initial project title proposal.>* | | |
| **Initiator:** | *<Any person (usually from the business community) can define a project request.>* | **DG / Unit:** | *<DG / Unit requesting the project.>* |
| **Date of Request:** | *<Date that the project request form is completed.>* | **Target Delivery Date:** | *<Date that the project delivery is needed.>* |
| **Type of Delivery:** | In-house  Outsourced  Mix  Not-known | | |

# Context

## Situation Description and Urgency

<This section should detail the high-level situation description included in the Project Initiation Request, complemented by pertinent considerations regarding the urgency of addressing it.>

## Situation Impact

### Impact on Processes and the Organization

<This section should describe the organizational impact of the described situation. This impact can be detailed by describing:

* The impact in the organization's strategy;
* The impact on the business processes;
* The impact on the IT landscape.>

Although a detailed analysis of the Business Process may be documented at later stage of the project, this section should provide high-level answers to the following questions:

1. The impacted business processes belong to which of the following business process categories:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Process Category** | **Yes/No** |  | **Process Category** | **Yes/No** |
| Policy Lifecycle |  |  | Financial Management |  |
| Legislation Lifecycle |  |  | Procurement |  |
| Coordination |  |  | Document Management |  |
| Program Management |  |  | Asset Management |  |
| Grant Management |  |  | Audit |  |
| Communication and Dissemination (external) |  |  | Human Resources |  |
| Communication and Dissemination (internal) |  |  | IT |  |
| Strategic Management |  |  | Other |  |

1. What business processes are impacted by the situation?
2. What is the impact to the process owners and users (i.e. minor, moderate, and significant)?>

| **Process Category[[1]](#footnote-1)** | **Domain[[2]](#footnote-2)** | **Sub-domain[[3]](#footnote-3)** | **Macro Process**[[4]](#footnote-4) | **Process[[5]](#footnote-5)** | **Situation**  **Impact Description** | **Impact to Process Owners and Users** |
| --- | --- | --- | --- | --- | --- | --- |
| *Policy Lifecycle* | [*Accession Negotiations*](http://intragate.ec.europa.eu/govisp/govis/protected/processGlossary/detailDomain.govis?itemId=37002) | [*Negotiations & Benchmark Reports*](http://intragate.ec.europa.eu/govisp/govis/protected/processGlossary/detailDomain.govis?itemId=37020) | *Negotiations management & support* | *Negotiations strategy & co-ordination (NSC)* |  | *e.g.*  *minor, moderate, significant* |
| *Policy Lifecycle* | [*Accession Strategy & Country Relations*](http://intragate.ec.europa.eu/govisp/govis/protected/processGlossary/detailDomain.govis?itemId=37003) | [*Country Relations*](http://intragate.ec.europa.eu/govisp/govis/protected/processGlossary/detailDomain.govis?itemId=37024) | *Economic, trade matters & statistics (ETS)* | *Economic, trade matters & statistics - horizontal issues* |  |  |
| *Policy Lifecycle* | [*Accession Strategy & Country Relations*](http://intragate.ec.europa.eu/govisp/govis/protected/processGlossary/detailDomain.govis?itemId=37003) | [*Country Relations*](http://intragate.ec.europa.eu/govisp/govis/protected/processGlossary/detailDomain.govis?itemId=37024) | *Economic, trade matters & statistics (ETS)* | *Economic, trade matters & statistics related to a specific country* |  |  |

### Impact on Stakeholders and Users

<This section should describe the impact of the described situation from the stakeholders/users perspective (people perspective). In this context, the user is considered as the group of people that are affected by the current situation and will be affected by the proposed solution. Any required change management efforts will be described as part of the implementation plan of the proposed solution.

Note: In the case that the project includes Information System (IS), this section should also detail the working environment of the target users. Provide this information from a non-technical / end-user perspective. The technical interfaces (or interfaces non-visible to the end-users) are described in the Vision Document (in the Information System Perspective section).This is where extracts from the Business Model could be included to provide further contextual information. Here are some suggestions:

* User population (DG, COM, INST, EU&MS or ROW)? **[[6]](#footnote-6)**
* Which IT systems/platforms are in use today? Future platforms?
* What other IT systems do the users currently use for doing what they have to do? Does your IT system need to integrate with them?>

## Interrelations and Interdependencies

<This section should describe the interrelations and interdependencies of the current situation and therefore relating it to other problems, opportunities or needs. These interrelations and interdependencies can be found "inside" the organization and "outside" of the organization. This analysis is important as it places the current situation in the broader context of the organization and the interrelations with other environments outside the organization (e.g. external stakeholder groups).>

# Expected Outcomes

<This section should explain, from the business point of view, what are the desired outcomes in terms of organisation, human resources, assets, reputation, etc. Think of outcomes as the result of the change that the proposed solution will result in the organization. The high-level outcomes identified in the Project Initiation Request should be considered in this section.>

# Possible Alternatives

<This section should describe any known or potentially available alternative solutions to tackle the described situation. From the list of the potential alternatives, one of them should be clearly chosen. The chosen alternative is the one that is the best for this proposed solution and it should be detailed in the next section. Other alternatives may be useful to bear in mind later on for business continuity purposes.

As a minimum, it is expected to analyse 4 alternatives:

1. Do nothing;
2. Re-using an existing solution (IT only);
3. Development of a corporate or multi-DG solution;
4. Solution Title.

For each identified alternative, a general description, a SWOT analysis and a qualitative assessment should be provided. The SWOT analysis should provide the major Strengths, Weaknesses, Opportunities and Threats as perceived by the stakeholders considering the organisational impact, the financial impact, the timing impact and the associated risks.>

## Alternative A: Do nothing

<Provide the General Description, SWOT analysis and Quantitative Assessment.>

**General Description**

<Describe this alternative.>

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
|  |  |
| **Opportunities** | **Threats** |
|  |  |

**Qualitative Assessment**

<Describe how this alternative is viable (or not viable).>

## Alternative B:

<Provide the General Description, SWOT analysis and Quantitative Assessment.>

**General Description**

<Describe this alternative.>

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
|  |  |
| **Opportunities** | **Threats** |
|  |  |

**Qualitative Assessment**

<Describe how this alternative is viable (or not viable).>

## Alternative C:

<Provide the General Description, SWOT analysis and Quantitative Assessment>

**General Description**

<Describe this alternative.>

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
|  |  |
| **Opportunities** | **Threats** |
|  |  |

**Qualitative Assessment**

<Describe how this alternative is viable (or not viable).>

## Alternative D: *<Solution Title>*

<The recommended alternative should be clearly presented in this section after all alternatives have been discussed.>

**General Description**

<Describe this alternative.>

**SWOT Analysis**

|  |  |
| --- | --- |
| **Strengths** | **Weaknesses** |
|  |  |
| **Opportunities** | **Threats** |
|  |  |

**Qualitative Assessment**

<Describe how this alternative is viable (or not viable).>

To conclude, based on the above analysis of alternatives, the chosen solution is <name of the alternative>. <Provide a final summary justifying the selection of this solution vis-à-vis the other alternatives described.>

# Solution Description

## Legal Basis

<This section should describe the legal basis of the proposed solution.>

## Benefits

<This section should identify and describe the main benefits of the proposed solution (the results of the positive change and impact to the current situation). Think of benefits as the measurable improvement resulting from the previously described expected outcomes as they are perceived as an advantage by one or more stakeholders.>

## Success Criteria

<This section should describe the success criteria of the project. Think of success criteria as the criteria based on which the project as a whole can be deemed as a success or a failure.>

<Critical criteria for the project are those which in their absence the project cannot be considered a success. Try to distinguish any product success criteria from the overall project success criteria, in a way that the latter can relate to the project's expected outcomes.>

<Example: Conference project –"minimum of 150 conference attendants with representatives from at least 2/3 of Member States".>

## Scope

<This section should describe the high-level proposed solution scope. Is this a common solution with multiple DGs, Member States, or only for one DG?>

## Solution Impact

*<This section should describe how the proposed solution will address the identified impact for each of the affected process analysed in section 2.2.1 Impact on Processes and the Organization.>*

| **Process** | **Solution**  **Impact Description** |
| --- | --- |
| *Negotiations strategy & co-ordination (NSC)* |  |
| *Economic, trade matters & statistics - horizontal issues* |  |
| *Economic, trade matters & statistics related to a specific country* |  |

## Deliverables

<This section should describe the high-level deliverables of the proposed solution, e.g. a new process, an information system, a service, a platform, change management strategy, communication plan, etc.>

## Assumptions

<This section should describe any key assumptions of the proposed solution related to business, technology, resources, organisation environment, scope, expectations, or schedules.>

## Constraints

<This section should describe any key constraints of the proposed solution imposed in areas such as schedule, budget, resources, or products to be used or acquired.>

## Risks

<This section should describe the key risks of the proposed solution that have been initially identified with an associated high-level mitigation strategy if there is such.>

## Costs, Effort and Funding Source

<This section should demonstrate that the proposed investment increases overall organizational efficiency and effectiveness (e.g. does not just automate sub-optimal business procedures), or leads to substantial cost savings (ideally the efficiency gains and the costs savings should be expressed respectively in FTEs and k€).

This section should identify the Total Cost of Ownership (TCO) for the proposed solution over at least 5 years:

* In principle, this should include overall investments and costs (i.e. including IT and business side) for the whole life of the proposed solution until its final phase out.
* To establish a basis for comparison, TCO is currently defined as all the costs for delivering the solution as well as the costs of keeping the solution operational (e.g. maintenance, support, training, licencing, etc.) for the first 5 years of the proposed solution.
* These costs breakdown should distinguish between the "costs" of Commission staff (expressed in FTE) and the other costs in k€ (e.g. costs of intra-muros consultants, outsourcing, etc.)

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Solution Implementation Costs** | 20XX | 20XX | 20XX | 20XX | 20XX |
| Solution Development |  |  |  |  |  |
| Solution Maintenance |  |  |  |  |  |
| Support |  |  |  |  |  |
| Training |  |  |  |  |  |
| Infrastructure |  |  |  |  |  |
| **TOTAL** |  |  |  |  |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Business Implementation Costs** | 20XX | 20XX | 20XX | 20XX | 20XX |
| Change management |  |  |  |  |  |
| Start-up costs |  |  |  |  |  |
| Coordination |  |  |  |  |  |
| Training |  |  |  |  |  |
| **TOTAL** |  |  |  |  |  |

This section should also describe the funding source(s) for the proposed solution and indicate if operation budget, administrative or mix of the two will be used. If both operational and administrative budgets will be used, please estimate what the split between them is.>

## Roadmap

<This section should identify the expected start date and the expected delivery date of the project and the major milestones that break down the project in smaller management units.>

## Synergies and Interdependencies

<This section should describe the synergies and interdependencies of the proposed solution with other opportunities, needs, or initiatives addressing them. These synergies and interdependencies can be found both "inside" and "outside" the organization and could be identified by taking into account EC-wide or cross-DG processes, practices, services and infrastructure. This information is useful to ensure that the project is not about to deliver something that already exists elsewhere (e.g. another DG) and that it could be re-used.

Note: In the case that the proposed solution includes an Information System (IS), the synergies and interdependencies should be identified taking into account corporate systems (e.g. ABAC, Sysper2), other cross-DG systems (e.g. systems used in several DGs) and other common IT services or components. These should be briefly described here and include:

* The IT services and components already available which will be re-used.
* The request for corporate/common IT services and components which doesn't exist at the current time but which might reduce the cost and time of development. This request should come with a precise timing by which the IT service has to be provided.
* The IT services and components which will be made re-usable and shared inside the European Commission.

Consult GovIS to ensure that the project is not about to develop something that has already been developed elsewhere that could be re-used. Use GovIS to check whether or not the new or updated business processes touched by the project are of a common nature and hence could be automated by seeking synergies with other DGs/projects.

List the results of your GovIS investigations in this section.

Consider synergies with Open Source Observatory[[7]](#footnote-7) (OSOR) Repository and Forge, by reflecting on the following questions:

* Is there an open source project that delivers outputs related to the current project? Can the current project benefit from leveraging such open source outputs?
* Does this project contribute useful components for other projects? Is it worth considering delivering these components to OSOR or pursue a synergy with other OSOR projects?>

# Governance

## Project Owner (PO)

<As defined in the PM2 Projects Roles & Responsibilities.

The DG funding and being the main beneficiary of the project usually nominates a person as the owner of the project, namely the Project Owner (PO).>

## Solution Provider (SP)

<As defined in the PM2 Projects Roles & Responsibilities.

The DG that will execute the project will resume this accountability and will nominate a person to act as the supplier, namely the Solution Provider (SP). It is common practice to assign the role of the Solution Provider to a Business Analyst at this stage.>

## Approving Authority

<The appropriate decision maker as specified on the DG's governance structure (usually the chairman of a steering committee or the system owner).>

Signature of the approving authority …………………………… Date ………

Appendix 1: References and Related Documents

<Use this section to reference (or append if needed in a separate annex) any relevant or additional information. Specify each reference or related document by title, version (if applicable), date, and source (e.g. the location of the document or the publishing organisation).>

|  |  |  |
| --- | --- | --- |
| **ID** | **Reference or Related Document** | **Source or Link/Location** |
| 1 | *<Example of a related document>*  *<01.Project\_Initiation\_Request.XYZ.11-11-2013.V.1.0.docx>* | *<Example of a location>*  *< U:\METHODS\PM²@EC\Documents\>* |
| 2 | Project folder | *<Insert project folder location.>* |
| 3 | *<Example of a reference>*  *<"The Communication on Risk Management, SEC(2005)1327">* | *<Example of a source>*  *<20/10/2005, European Commission>* |

1. **Process Category** - The EC processes are classified in 14 process categories as follows: Asset Management, Audit, Communication & Dissemination, Coordination, Document Management, Financial Management, Grant Management, Human Resources, IT, Legislation Lifecycle, Policy Lifecycle, Procurement, Program Management, Strategic Planning [↑](#footnote-ref-1)
2. **Domain** - The domain is the cutting of the highest level of activities of the Commission. A DG has only a few areas of activities, sometimes only one. In some cases, a domain is shared by several DGs, and even by all DGs [↑](#footnote-ref-2)
3. **Sub-Domain** - A Sub-Domain is a subset of areas of activities that meets a set of common objectives and constraints [↑](#footnote-ref-3)
4. **Macro-process** -A macro-process is a set of processes related to a sub-domain. It corresponds to a grouping of activities according to a common business logic. Sometimes the consolidation process corresponds to the sequential execution of many processes [↑](#footnote-ref-4)
5. **Process** - The CEAF defines a process as an organised and repetitive sequence of actions involving resources which aims at producing a result to satisfy a client’s need [↑](#footnote-ref-5)
6. The user population may be DG (internal to the DG), COM (several DGs of the Commission), INST (internal to the Institutions), EU&MS (INST and the Member states) or ROW (particular or general public outside the Commission). It is assumed that these populations are nested, DG being the innermost and ROW being the most peripheral level. Indicate the outmost level. [↑](#footnote-ref-6)
7. For more info on OSOR please refer to [http://www.osor.eu/](http://www.osor.eu/)) [↑](#footnote-ref-7)