



## Defra Final Business Case Checklist

Consideration	Section & page reference in FBC
<b>C – COMPETITION &amp; VALUE FOR MONEY</b>	
Indication of level of support at the various procurement stages: <ul style="list-style-type: none"> <li>• OJEU</li> <li>• ITN</li> <li>• Selection of preferred bidder</li> </ul>	Value for Money Table 5.2 pg 53
Indication of market failure (i.e. where there was only the one bidder at any stage of the procurement process)	Not applicable
Any exceptional factors that led to the decision to proceed with the procurement	Not applicable
Reasons why the preferred bid was selected over other bids and traditional procurement: <ul style="list-style-type: none"> <li>• In quantitative terms</li> <li>• In qualitative terms</li> </ul>	3.5 pg 35
Indication that reserve bidder was kept through negotiations with preferred bidder	3.5 pg 35
Indication of a “no abuse” undertaking	Transmittal Letter Pg 1
Documentation of efforts made to keep procurement costs in check	Section 5
Demonstration of Value for Money on the whole	Section 5
<b>D – RISK ALLOCATION AND ACCOUNTING TREATMENT</b>	
Outline of the allocation of risk between the local authority (or Council or Partnership) and the private sector	Appendix K
Any adjustments made to the PFI price for any risk/costs/benefits	Appendix K
Any risks retained by the local authority (or Council or Partnership) that should be expected to be retained by the private sector.	Appendix K
Any transfer of inappropriate risks to the private sector	Appendix K

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List of risk assumptions	Appendix K
Background information on assessment of risk analysis and discounting of Unitary Payments	Section 6
Opinion on “Off balance sheet” treatment and any external review by the Authority’s auditors	Section 10.3
<b>E – CONTRACT AND PAYMENT MECHANISM</b>	
Confirmation that the project complies with SoPC4 and (where applicable) any sector specific contracts or agreements	Contract pg 67
Derogations or departures from SoPC4	Appendix E
Justifications for derogations or departures from SoPC4	Appendix E
Details of payments to be made before services are received	Appendix G Payment Mechanism
Measurable availability and performance elements of Payment Mechanism	Appendix G Payment Mechanism
Monetary penalties for below standard service provision in the Payment Mechanism	Appendix G Payment Mechanism
Annual charge of the Payment Mechanism	Appendix G Payment Mechanism
Indication of periodic market testing or benchmarking of services	Appendix G Payment Mechanism
<b>F – AFFORDABILITY &amp; COST REDUCTION</b>	
Evidence that the project is affordable	6.5 pg 72
Transfer of assets to the private sector	Schedule 12 to Project Agreement
Effects of any transfer of assets to the private sector	Schedule 12 to Project Agreement

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Third party income proposals	1.5, 8.4.2
Effect of third party income proposals on annual charge	1.5, 8.4.2
Any other DEFRA funding for the scheme apart from PFI to which the Council has applied and been successful	Not applicable
Capital receipt on account of land sales	Not applicable
Possible risk of delay of land sales	Not applicable
Any use of DEFRA funding for revenue purposes	Not applicable
Representation of Unitary Payments in Affordability model	Appendix J
Representation of PFI credits in Affordability model	Appendix J
<b>G – STATUTORY PROCESSES</b>	
Requirement for any statutory proposals and possible approval of same	9.1 pg 100
Applications for planning permission and any permissions granted	Not available however see 3.3.4 and Appendix L
Any other statutory issues involved with the project	Pg 100
Possible resolution of above issues	9.1 pg 100
<b>H – POST CONTRACT: MANAGEMENT &amp; MONITORING</b>	
Arrangements that the Local Authority has made for the management and monitoring of the contract	Contract Management and Monitoring pgs 104-110