

CBM Quick Process Reference Guide (QPRG)

for Project Development and Approval

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Process description

1. Purpose and scope of process

Clarity on key process steps, roles and responsibilities for the development and CBM internal programmatic approval of new projects and programmes in CBM, including projects with LCDF¹

The process is managed in ProMIS in the Project IDEA and Project Workflows

This QPRG applies to all CBM development aid projects; it does not apply to sudden onset emergency response projects, nor to non-partner projects.

2. Key stakeholders in the process

Stakeholder	Responsibility
Country Office (CO)	<ul style="list-style-type: none"> • Manages relation with the partner and is responsible for the programmatic content of the project • generally, leads the Project Development and Approval Process (with involvement of IDP and Initiatives)
Initiatives	<ul style="list-style-type: none"> • Ensure technical quality, provide guidance and feedback on it • May lead the process if it is a theme in responsibility of the initiative (i.e. NTD, Humanitarian Aid, etc.), in multi-country projects, or in countries where is no CO
Institutional Donors and Philanthropy (IDP)	<ul style="list-style-type: none"> • In case of LCDF, manages relation with the donor and ensures donor standards, requirements, and timelines are obliged to (Institutional Donors) • May lead the process in case of large-scale multi-country projects, specifically in countries where there is no CO (Institutional Donors)

¹ Legally Contracted Designated Funding, usually from institutional donors such as EU, USAID, DfID or BMZ

	<ul style="list-style-type: none"> • In case of fundraising relevant projects, aligns ideas and project development with fundraising requirements (Philanthropy)
Individual Giving and Donor Management (IGDM)	<ul style="list-style-type: none"> • In case of free-funds projects, aligns ideas and project development with fundraising priorities
Regional Hub Directors (RHD) / Division Heads (DH), the Director Finance and Operations Development, (FaOD) and Chief Executive Officer Programmes(CEO Programmes)	<ul style="list-style-type: none"> • endorse and approve larger and more complex projects as per authority matrix

3. Key process principles and considerations

The programmatic approval consists of **two steps**: idea approval and final approval.

a) Idea approval

An IDEA approval is a documented strategic decision if or if not to proceed with development of a specific project plan. It is based on the high level information in the ProMIS Idea page. The IDEA approval takes place at a very early stage and involves the 3-way-working methodology (3WW) and is to be approved as per Authority Matrix. IDEA approval is to be requested via the respective ProMIS IDEA page workflow.

When is IDEA approval required:

- As soon as partner is known, and potential size, scope, and main activities can be estimated
- For all projects, before a full project plan is developed
- For LCDF projects, before a concept note is submitted to an external donor for funding

An IDEA should be send for approval as early as possible in order to be able to start with the planning timely. The IDEA page needs to be filled and the respective approval workflow started. For LCDF project proposals IDEA approval is mandatory before the project idea or Concept Note (CN) is submitted to the donor. Project ideas are to be aligned with IDP, for potential LCDF projects, or IGDM, for free funds, prior to the idea approval in order to ensure strategic fit with resource mobilisation.

Once an IDEA is approved, a respective project page will automatically be created in ProMIS.

b) Final approval

Final approval d is a documented decision that a full project plan has the quality to be implemented, provided funding is available. This alignment involves the 3WW and is to be approved as per Authority Matrix.

The final approval takes place in the project workflow on the Project Page in CBM ProMIS and is documented by the [Programmatic Project Approval \(PPA\) template uploaded in ProMIS.](#)

When is final approval required:

- For all projects after planning is completed and before the project contract is requested
- For LCDF projects, before the full project proposal is submitted to an external donor for funding

What information needs to be available for final approval:

PPA

- ☐ Budget Plan and Logframe
- ☐ Project Design Form (or respective LCDF donor format) for projects >EUR 50k
- ☐ Project Risk Register (filled in ProMIS)
- ☐ Activity Schedule (or respective LCDF donor format)
- ☐ Partner Assessment (not older than three years)
- ☐ **CBM own implementation:** additional information via [Approval Document CBM Own Implementation.docx](#)

[Own Implementation.docx](#)

Key reference documents:

- [CBM Programme Quality Framework](#)
- [QPRG Fundraising Requirement Management](#)
- [Guidance on Rolling Budget](#)
- [Guidance on own ImplementationQPRG Generic Institutional Donor Project Development \(GIDP\) Process](#)
- [QPRG on Construction Measures](#)

4. Specific situations

n/a

5. Detailed process step and responsibilities

Process Phase	Steps / Roles of key stakeholders	Who?	Where?	When?	Tools
1. Identification	<p>1. Participatory development of project idea in 3WW based on target country and target group needs and on fundraising parameters. Result: agreement on project planning, incl. process, timeline, team</p> <p><u>In case of LCDF:</u> ProMIS Idea page filled jointly by CO and IDP</p> <p>A Project Idea in ProMIS is to be set up.</p>	CO, Partner, IDP, IGDM or Initiatives		Anytime	QPRG GIDPD QPRG BMZ CSO-NGO QPRG BMZ TDA
	2. <u>In case the project contains construction measures</u> refer to the QPRG construction	CO, Partner, RM, IDP or Initiatives			QPRG Construction
	3. <u>In case of LCDF:</u> If applicable, start development of concept note (CN) and upload in ProMIS Funding Page	CO or Initiative	Upload in Funding Page	Prior to submission of Concept Note to the donor	Concept Note in donor format
	4. Review of project idea by using the review function: Manual selection of relevant reviewers from CO, RH, RM and Initiatives, and submission for review.	CO	Review in Project Idea Page		

	<p>5. Check valid partnership approval or compliance to minimum criteria in Partner Assessment (PA) for not yet approved partner The type of the organisation's registration should be checked at an early stage of the project development process/partnership.</p>	CO	Partner Page	Prior to start of planning phase	Partner Assessment Tool (PA)
	<p>6. Alignment of project idea with LCDF strategies, fundraising requirements or funding priorities (IDP or IGDM), and capacities of partner and responsible CBM entity, initial high-level assessment of risks related to capacities of partner and CBM, present portfolio and country context If ready for requesting IDEA approval: change status of IDEA page to "in progress".</p>	<p>CO or Initiative</p> <p>Alignment with IDP or IGDM</p>	Project Idea Page	Parallel to development of project idea	
Idea Approval	<p>1. Select approvers in the Approval section of the Project Idea Page according to CBM Authority Matrix</p> <p>For all projects with a budget of >EUR 500k, include programmatic.approval@cbm.org in the approval workflow for facilitation of idea approval of the Director FaOD and Executive Management</p> <p>The idea approval automatically creates a Project Number and a Project Page for the new Project</p>	<p>CO or Initiative</p> <p>PPSM</p> <p>Approving authority in line with valid Authority Matrix</p>	Approve in Project Idea Page in ProMIS	Before a project becomes available for fundraising Before a concept note is to be submitted to the donor Before the full planning process is to start.	Authority Matrix
	<p>2. <u>In case of LCDF</u>: Submit concept note to institutional donor and update funding status</p>	IDP	Funding Page		

2. Project planning	1. Filling Project Page on ProMIS	CO	Entry on Project Page	After Idea approval	
	2. Engage IDP (if applicable) and Initiative for detailed planning and consultation process. Please note: Project budgeting is to be done in <u>national local currency</u> , except LCDF donor requirements (e.g. BMZ, EU) and countries with unstable national local currency. (Refer to Guidance on Rolling Budget)	, CO, IDP and Initiatives		For LCDF as per donor timelines.	Guidance Note on Do-No-Harm Guidance on Rolling Budget
	3. Checking existence of valid partnership approval, or initiation of Partner Approval process based on full Partner Assessment Incorporation of recommendations from PA as part of the plan, and requirements to ensure responsible exit at the end of the project	CO IDP	Partner Page	Throughout planning process, finalisation of PA before project approval	PA
	4. Share reporting requirements with partner Please Note: The use of CBM Standard Indicators is mandatory for all projects				CBM Standard Indicators
	5. <u>In case of LCDF:</u> Sharing all relevant donor formats in the working language, provide guidance on the formats and active support to the planning process, provide feedback	IDP		After donor call is published	Donor proposal formats, guidelines, timelines
	6. <u>In case the project contains construction measures:</u> Refer to the QPRG construction for the Project Planning phase				QPRG Construction

	<p>7. Develop project plan, including risks and documentation.</p> <p>Selection of CBM Standard indicators is mandatory, project own or donor specific indicators are to be added as required. Partner to include baseline and target values into data collection tool and to report actuals every 6 months.</p>	Local partner, supported by CO	Project Page	2 – 3 months before submission of project to the budget process, finalization 3 weeks before approval deadline	Project Design Form ; In case of LCDF: donor proposal template CBM Project Financial Reporting (PFR) template (for detailed budget)
	8. Constant input and feedback on the design and ensuring technical standards and availability of resources for the planning process	IDP/ CO/ Initiatives		Along with development of project plan	
	<p>9. Upload of Project Design Form and its annexes on the Project Page document library</p> <p><u>For LCDF:</u> Work on donor proposal format in the Funding page</p> <p>Manually enter risks in Risks tab and logframe & indicators in Logframe tab in ProMIS</p>	CO	Upload and entry in Project Page		
	10. Review of project plan by using the review function: Manual selection of relevant re-viewers from CO, RH, RM and Initiatives, and submission for review.	CO, Initiative, RM			
	<p>11. Receive partnership approval before requesting project approval²</p> <p>Check and highlight major changes between pre-approved project idea and final project plan.</p>	CO		15 days before submission for final	PA + Partnership Framework Memorandum

² For the approval of partnerships refer to the QPRG "[Partnership](#)"

				programmatic approval request ³	Partner Page in ProMIS
	12. <u>In case of LCDF</u> : Finalise proposal for submission in Funding Page		Upload in Funding Page		
4. Final Project Approval	1. Final Approval of Project by selecting the Approvers and using the “Approval” function in ProMIS. Filled in PPA is to be uploaded in Project Page <u>Selection of approvers:</u> The approver are to be selected according to CBM authority matrix ; For projects with an amount requested from CBM higher than EUR 500k the user programmatic.approval@cbm.org is to be selected for further facilitation of the final approval of Director FaOD and Executive Management.	CO	Approval on Project Page	Within 15 days after finalising project planning Before a funding decision is taken	PPA Authority Matrix
	2. <u>In case of LCDF</u> : submission of proposal to the donor	IDP, CO, Initiative		After final programmatic approval	
	3. Manually enter - Project budget	CO	Entry on Project Page		
4. Signing contracts	1. <u>In case of LCDF</u> : Receive donor decision and upload to ProMIS	RM / IDP	Upload in Funding Page in	15 days of project planning completion ⁴ ,	
	2. <u>In case of LCDF</u> : Sign funding agreement with donor and upload to ProMIS	RM / IDP	Upload in		

³ According to the above mentioned QPRG, LCDF project only in exceptional cases are to be planned with new partners

⁴ See above

			Funding Page library		
	3. Check and update all partner-related information in ProMIS and request review in the respective task “Sign contract” in the Project Page	CO	Entry in Partner Page Request Review in Project Page	Before contract is prepared	Partner Page
	4. Review data and check for correctness, issue project contract, and get it signed as described in QPRG Contracts	CO, PPSM	Task in Project Page		QPRG Contracts
2. Allocation of funds	1. In case of LCDF: Manually enter funding plan in donor format and income schedule in CBM ProMIS	RM / IDP	Entry in Funding Page		
	2. Allocating funds to the project For free funds: Allocation by project officer PPSM For LCDF: Allocation by project manager PD in Finance Tab of Funding Page in ProMIS	PPSM PD	Entry in Funding Page in		

Approved by: Director FaOD -Thorsten Schmidt; Endorsed by Internal Audit

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