

CBM Quick Process Reference Guide (QPRG)

for projects with construction measures

Process description

1. Purpose of process

To ensure quality during pre-planning, development and approval of partner projects that contain construction measures

The process is part of the Project Development and Approval Process and managed in ProMIS in the **Project Workflow**; for LCDF projects the Project Workflow and **Funding Workflow** of ProMIS are used simultaneously.

2. Introduction and scope

Larger construction measures (buildings or parts of building) funded by CBM or through LCDF require quality assurance during pre-planning, development, and approval of related partner projects. Otherwise, unacceptable risks of delay in construction or inadequate construction outcomes are taken that can damage the reputation of CBM and severely limit CBM's ability to raise future funds.

- a. Overall, projects with construction measures follow the same development and approval process as all other CBM partner projects.
- b. Most recent Authority Matrix and 3-way collaboration model apply.
- c. Compared to projects without construction measures additional supporting documentation, process features, and guidelines are required to provide adequate information basis for each decision step.

The process described in this document runs in parallel to the Project Development and Approval process and aligns with it at the decision points for Pre-approval and Final Approval. **The QPRG for Project Development and Approval remains valid also for projects containing construction measures and is supported by this QPRG.**

3. Key stakeholders in the process

Stakeholder	Responsibility
Institutional Donors and Philanthropy (IDP)	<ul style="list-style-type: none"> coordinates and communicates donor requirements and timelines to the stakeholders, prepares and submits project proposal to donor.
Country Office (CO)	<ul style="list-style-type: none"> involves all stakeholders acts as main contact to partner and local authorities,

	coordinates all local activities related to the process, communicates local requirements and guidelines, coordinates programmatic approval process
Programme Delivery / Regional Hub Office (PD)	<ul style="list-style-type: none"> • supports CO in their role, provides expertise, endorses planning and selection of service providers (consultants, Architect/Engineer), approval decision.
Partner Organization	<ul style="list-style-type: none"> • plans and implements the construction project
Local Authority	<ul style="list-style-type: none"> • rules local legal requirements, potentially grants approvals, provides local access to local data on specific planning information
Initiative	<ul style="list-style-type: none"> • approves design / drawings and contracting of Construction and Equipment Advisor (CEA - suggested new role – internal or external on a request base): provides guidance and expertise as per German DIN 276 and supporting documents or templates. The CEA also supports in developing documents and checklists for intermediate and final inspections for acceptance of work.

Key process principles and considerations

Projects with a foreseen construction measure usually require:

- a. Pre-investment for feasibility study. This includes force field analysis, analysis of interest groups, checking proprietorship and / or property title and building rights of land designated for the construction, obtaining of official commitment of relevant authorities, reliable assessment of required funding levels and anticipated running costs.
- b. Effective management of stakeholder and donor expectations with regards to expected time frames for all phases, involved risks and possible deviations.
- c. Appropriate time allocation and resources for pre-planning dependent on required level of detail and specific technical expertise required.
- d. Appropriate time allocation and resources for tendering processes and background checks of considered construction companies.
- e. Dedicated resources for ongoing expertise by a specialist with proven technical knowledge, monitoring and management during all phases of the construction from pre-planning to hand over.
- f. Available resources at partner level for operations and management post-handover, e.g., eligibility for operating license and concession, realistic business plans and multiyear management concepts.

4. Specific situations

[insert specific situations covered by the QPRG, if applicable]

5. Minimum requirements

[insert minimum requirements for the process, if applicable]

6. Detailed process step and responsibilities

Key process / Phase	Detailed process steps	Who	Participant stakeholders	Tool/Reference	Time / when
1. Pre-planning phase	<p>1.1 Project identification</p> <ul style="list-style-type: none"> a. Development of project idea based on situation analysis b. Check clarity on proprietorship and / or property title and building rights of land designated for the construction c. Entry and step-by-step development of project idea in the project idea pipeline d. CO together with RHO, Programme Delivery, RM agree on of roles & responsibilities for planning the project in question and define those in a ToR e. Check alignment with Initiative concepts f. Check valid approval of partnership g. Check alignment with country strategy and Initiative country concepts h. Check potential funding interest with Fundraising Team i. For construction measures >500k€: FaOD to assess impact on partner <ul style="list-style-type: none"> i. Check overall business plan of partner ii. Request and conduct specific organizational assessment <p>Initiation decision: Y/N to consider the intervention (documented via E-Mail based on shared PPA / Project Idea Form)</p>	<p>CO</p> <p>CO</p>	<p>CO</p> <p>RH</p> <p>SPPM, CO</p>	<p>PPA</p> <p>Project Idea Form in ProMIS</p> <p>Funding Page in ProMIS</p> <p>Partner Page in ProMIS</p> <p>Country Strategy / Initiative Country Concept</p> <p>Partner Assessment</p>	

	After the decision, a Project Idea Form and a Funding Page in ProMIS are to be opened.	al Donors, Initiative Director and CD/RHD, above >500k plus Director FaOD			
	<p>1.2 Rapid assessment</p> <p>a. Situation / (country) needs analysis and service projections as relevant</p> <p>b. Commitment of relevant authorities</p> <p>c. Site plan / relevant construction plans (if there is an existing building) / preliminary sketches</p> <p>j. Legal ownership and building rights</p> <p>k. New building / Annex to existing building / Renovation (check key parameters in case of extension to existing buildings (extension feasibility))</p> <p>l. Functional requirements of building / space</p> <p>m. Introduction of partner to contractual regulations for further use of future building</p> <p>n. Any other considerations or requirement?</p> <p>o. Projection of available funding / likely funding levels</p>	CEA (Constructi on and Equipment Advisor)	CO Regional technical Initiative advisor	<p>Project Summary (3 pages max) for the complete project including the construction</p> <p>Annex to construction contract for future use</p>	
Pre-Approval	<p>Decision point: Y/N before proceeding: Pre-approval Criteria</p> <ul style="list-style-type: none"> ✓ Sufficient capacities of partner and CO? ✓ Commitment of partner / relevant authorities? 	CO, Initiative, Signatories as per	RH endorses	PPA (Part 1, section a – f)	

	<p>2.2 Conduction of Feasibility study</p> <p>a. Analysis of legal frame, requirements, and country specific considerations:</p> <ul style="list-style-type: none"> i. Communal building plans and permissions ii. Design considerations iii. Functional requirements iv. Technical requirements v. Economic requirements (Business / service plan) vi. Energy, water / waste needs, supplies / disposal systems vii. Ecological implications, footprint, and offsetting <p>b. Drawings and sketches (variations and options)</p> <p>c. Cost outlook (include 40% +/- variations)</p> <p>d. Finance plan</p> <p>e. Findings</p> <p>f. Recommendations</p> <p>g. Upload of documents in ProMIS Project Idea Form</p>	<p>CEA (managing consultant)</p>	<p>CO, RM</p>		
	<p>2.3 Project planning</p> <ul style="list-style-type: none"> a. Planning process b. Contracting of consultant to support the partner c. Coordination of stakeholder involvement d. Incorporation of recommendations from partner approval e. Checking existence of valid approval of partnership, conduct Partner Assessment if required f. Include relevant statistics indicators in project design g. Developing project plan / donor proposal (if applicable) h. Input on the design / technical standards 	<p>Partner, CO</p>	<p>CEA, Initiative, RM (support planning)</p> <p>RH (accompanies and endorses planning)</p>	<p>QPRG Project Development and Approval</p> <p>Project Design Form</p> <p>DIN 276</p>	

	i. Ensuring technical quality j. High-level cost estimate (include +/- 30% variations)				
Final Project Approval	Decision point: Y/N before proceeding: Final Approval Criteria ✓ Positive feasibility study? ✓ Availability of funding? The final approval is granted according the QPRG Project Development and Approval in the contracts tab in Project Page in ProMIS. The PPA is to be uploaded in the document folder in Project Page.		RH endorses	PPA (Part I, Section g for Final-Approval) Project Page in ProMIS	
3. Project Contract	3.1 In case of LCDF: Conclusion of Donor Contract a. Receives confirmation from donor b. Legal check and facilitation of donor contract signature c. Upload of Donor Contract in Funding Page library. d. Communication to stakeholders	RM		Funding Page in ProMIS	
	3.2 Conclusion of Partner Contract a. Request of project number via pipeline b. Population of project card in Navision and manually enter summary <u>cost plan</u> in ProMIS Project Page c. Preparation of partner contract including	CO		Contract Format for construction	

	<ul style="list-style-type: none"> i. special annex for construction measures defining procedures for construction standards (rules for tenders, procurement, contracting, recruitment) ii. if applicable: Supplementary annex on future use of premises iii. reservation clause ruling conditional decision until final cost planning d. facilitation of signature by partner e. Upload of partner contract in the ProMIS Project Page 	Legal, SPPM		Annex on future use of premises	
	<p>3.3. Conclusion of Contract with Architect Engineer (A/E)</p> <ul style="list-style-type: none"> a. Definition of framework <ul style="list-style-type: none"> i. scope of work/services, ii. rights and responsibilities iii. technical standards b. Preparation and launch Advertisement for A/E c. Selection process as per donor requirements and local laws d. Contracting as per local regulations e. Upload of Contract in ProMIS Project Page library 	Partner	CO and RM / Programme Delivery, CEA RH to accompany and endorse selection	Project Page in ProMIS	
4. Project implementation	<p>4.1 Construction planning Meeting (involving all stakeholders)</p> <ul style="list-style-type: none"> a. Contracting local construction consultant (if not yet done in 2.2) 	CO			

	b. Definition of framework for construction workshop <ul style="list-style-type: none"> i. Planning procedure ii. Planning schedule 				
	4.2 Plan of Design <ul style="list-style-type: none"> a. Final spatial and function programme b. Execution of basic planning in scale 1: 100 c. Ascertainment approvability of building license with local authority regulations d. Alignment with local building regulations e. Cost calculation (include +/- 20% variation) f. Compilation of report as base for decision 	Consultant and A/E	Partner, initiative advisor and CEA	DIN 276 National building regulations	
	Decision point: Y/N before proceeding (documented in project file based on Plan of design) Criteria: <ul style="list-style-type: none"> ✓ Functionality of planned design still aligned with objective? ✓ Planned costs still in the scope for funding? If not: <ul style="list-style-type: none"> ✓ Revision of planning possible? If decision is negative: Abort of project If decision affirmative: Project release and forward projection	CO / RH, Programme Development, Initiative, CEA with Partner			
	4.3 Licence planning <ul style="list-style-type: none"> a. Submission of building application with local authorities b. Provision of answers and feedback on official requests c. Reception of official building permit (with conditions) 	A/E	CO and CEA		

	<p>4.4 Execution planning</p> <p>a. Specification of detailed plan, including</p> <ul style="list-style-type: none"> i. Construction (in different scales) ii. Building system engineering <p>b. Tendering of construction services (according to tender and procurement requirements of local authorities, donor and CBM)</p> <p>c. Cost estimate (include +/- 10% variation)</p>	A/E	CO and CEA		
	<p>Decision point: Y/N before proceeding (documented in project file based on Execution Plan)</p> <p>Criteria:</p> <ul style="list-style-type: none"> ✓ Planned costs still in the scope for funding? <p>If not:</p> <ul style="list-style-type: none"> ✓ Revision of planning possible? <p>If decision is negative: Abort of project</p> <p>If decision affirmative: Granting of building contracts</p>	CO / RHO, Programme Development, Initiative, CEA with Partner, local consultant (contracted in 2.2.b)			
	<p>4.5 Start of Construction Measure and Management of Construction Project</p> <p>a. Steering of planning process of</p> <ul style="list-style-type: none"> i. Construction schedule ii. Interior design iii. Medical equipment 	A/E, Partner	local consultant, CO, CEA, Initiative advisor	Checklist templates (i.e. provided by consultant)	

	b. Monitoring of completion of building structure, finishing, and fittings <ul style="list-style-type: none"> i. Schedule ii. Costs iii. Quality c. Scheduled updates to CO				
	4.6 Acceptance of work <ul style="list-style-type: none"> a. Inspection and statement of deficiencies b. Monitoring of rectification of deficiencies c. Commissioning of finished building d. Report on acceptance 	A/E, Partner, local consultant , CO		Template and checklist	
5. Final Documentation	Financial Report and settlement <ul style="list-style-type: none"> a. Documentation of <ul style="list-style-type: none"> i. Final plans and drawings ii. Plans of applications iii. Inventory plans iv. Final report from contractor(s) b. Handing over to partner for operation c. If applicable: financial report and final report to donor 	CO, Partner	CEA		
6. Evaluation	Final Evaluation of the project as per standard process	Partner	CO, RH, Programme Delivery, CEA, Initiative		

Associated documents, and rules (as applicable)

Description of standards re. construction measures (available with CEA or A/E):

- DIN 276 with annexes and templates
- DIN 13080
- DIN 277-1 (1 / 2016)
- DIN 276 (12 / 2018)
- HOAI (2013)

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