CBM Quick Process Reference Guide (QPRG)

for Partnership

Process description

1. Purpose of process

The purpose of the partnership process is to outline requirements applicable to all existing and prospective relationships between CBM and other organisations with whom CBM wishes to collaborate or formally partner. Different assessment options may apply to organisations depending on the role the organisation in the partnership with CBM and their type of registration.

2. Introduction and scope

The QPRG covers requirements for partner assessment, approval, management and exit. The QPRG applies to all existing/prospective partnerships and collaborations, including partnerships managed at the global level (e.g. World Health Organization). It also provides guidance to the partner cycle workflow in ProMIS. The partnership process does not apply to organisations providing funds to CBM, including as part of a project consortium set-up.

3. Key stakeholders in the process

The Country Office (CO) leads the partnership process for country-level partners. It ensures effective collaboration with the initiatives and resource mobilization teams. For global level partnerships, responsibilities are to be fulfilled by the relevant Initiative team and/or partnership manager/account manager. Partnerships are approved according to the authority matrix.

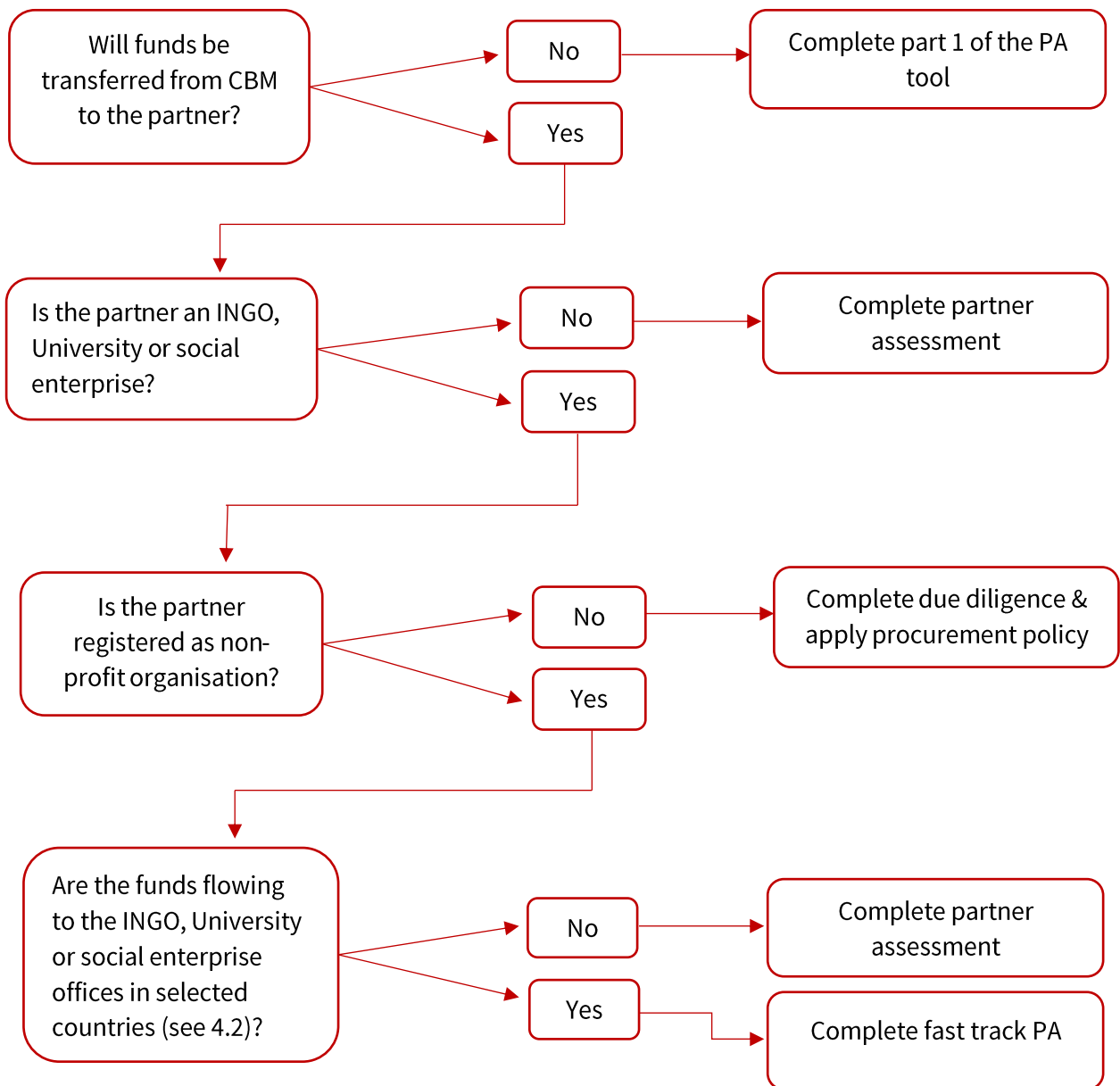### 4. Key process principles and considerations

4.1 The type of the organisation's registration should be discussed at an early stage of the partnership. CBM can only transfer funds to organisations registered as non-profit organisations. Alternative partnership set-ups for organisations not registered as non-profit need to be agreed before requesting partnership approval.

4.2 A Partner Assessment (PA) or applicable due diligence process will be conducted with all organisations receiving funds directly from CBM as follows:

- o Partner assessment: all organisations registered as non-profit organisations based in programme countries, including decentralized (local) offices/branches of INGOs.

- o Fast track partner assessment: INGOs, Universities or social enterprises based in the USA, Australia, Canada or European countries.

- o Due diligence: organisations not registered as non-profit organisations (see Procurement policy).

4.3 The PA is led by the CO. The fast track PA or due diligence process is conducted by the partner account manager. Support from FaOD can be provided, upon request. The PA or due diligence will be reviewed every 3 years, ideally in conjunction with the development of a new project.

4.4. A PA or due diligence review can be initiated ahead of 3 years' frequency, if critical issues arise during the partnership, there is a significant increase in funding provided to the partner, and/or a new project with stringent compliance requirements is developed.

4.5. The PA or applicable due diligence process provides partnership managers with an opportunity to make a considered judgement on the best way to develop the partnership.

4.6. A CO team made up of finance, programme and Initiative staff jointly conducts the PA and subsequent partner monitoring visits. If a technical assessment is needed, this will be conducted with the support of a CBM advisor.

4.7. The PA Minimum Criteria are the basis to determine eligibility to receive funding from CBM. A partnership can only be approved after the full PA has been completed.

4.8. If PA Minimum Criteria are not met, the Country Director will recommend how to develop the collaboration with the organisation without transfer of funds.

4.9. Any capacity development support will be planned on the basis of an assessment. CBM support will be provided in line with the objective & category of the partnership.

4.10. Sign-off of partnership continuation is subject to the implementation of the PA action plan.

4.11. Approvals of partnership will be based on the submission of a complete PA or due diligence in English. Versions of the PA tool in French and Spanish can be shared with partners to support the process, but it cannot be used to request approval of partnership.

4.12. If there are limitations to conduct a PA with Governments, Research Institutes, and Universities a desk review will be conducted. Outcomes will be documented in the PA tool.

4.13. A minimum of two certifications is required for the fast track PA to be accepted for approval. If only one certification is available, the fast track PA would be acceptable for submission of a concept note. However, a complete PA would need to be completed before full proposal submission.

4.14. A partner review will be conducted with partners using the fast track PA during Y1 of project implementation. The review will cover the short track PA questions in addition to programmatic and/or other relevant questions as defined by the partner account manager.

4.15. If the timeframe to submit a LCDF concept note does not allow a PA to be conducted, exceptionally a minimum criteria check will be performed and the partnership approved before submission to donor. A complete PA will be conducted before a full LCDF proposal is submitted.

4. 16. Emergency response projects will be implemented with CBM partners. If developed with a non-partner organisation, the PA minimum criteria will be fulfilled or it will be recommended how to collaborate with the organisation. If it is decided to work with the organisation after project completion, the complete partner assessment must be conducted and the partnership approved.

Type of assessment decision tree

```
┌─────────────────────┐
│ Will funds be        │ ──── No ────→  ┌──────────────────────┐
│ transferred from CBM │                │ Complete part 1 of    │
│ to the partner?      │ ──── Yes       │ the PA tool           │
└─────────────────────┘      │          └──────────────────────┘
                             ↓
┌─────────────────────┐
│ Is the partner an INGO, │ ── No ──→  ┌──────────────────────┐
│ University or social    │            │ Complete partner      │
│ enterprise?             │ ── Yes     │ assessment            │
└─────────────────────┘      │         └──────────────────────┘
                             ↓
┌─────────────────────┐
│ Is the partner          │ ── No ──→  ┌──────────────────────┐
│ registered as non-      │            │ Complete due diligence & │
│ profit organisation?    │ ── Yes     │ apply procurement policy │
└─────────────────────┘      │         └──────────────────────┘
                             ↓
┌─────────────────────┐
│ Are the funds flowing   │ ── No ──→  ┌──────────────────────┐
│ to the INGO, University │            │ Complete partner      │
│ or social enterprise    │            │ assessment            │
│ offices in selected     │            └──────────────────────┘
│ countries (see 4.2)?    │ ── Yes ──→ ┌──────────────────────┐
└─────────────────────┘                │ Complete fast track PA │
                                        └──────────────────────┘
```

5. Detailed process step and responsibilities for conducting the partner assessment

Key process/Phase	Detailed process steps	Who	Participant stakeholders	Tools/Reference	Time/when
I. Identification & categorization of partners	1. Proactive identification of (prospective) partner and response to partnership requests. Categorisation of (prospective) partnership, according to expected contribution to Country Plan.	CO	Initiatives, resource mobilisation	Guidance note	Throughout the year/during country planning
	2.Create partner page in ProMIS and complete Partner Overview page.	CO	Initiatives, Partner	ProMIS help text	Before PA
II. Partner Assessment & Approval	1. Complete partner assessment: ✓ Complete Part 1 for partnership with no flow of funds. • In case it is decided to further the collaboration and develop a project, the regular partnership approval process applies. ✓ If applicable, complete Part 1 and Part 2 minimum criteria to request • Exceptionally approve partnership before submission of LCDF concept note to donor. • Emergency response projects approval (developed with a non-partner organization). ✓ Complete full PA for partnerships with flow of funds • Complete a full Partner Assessment (Part 1, Part 2 and Part 3 of PA tool completed/ minimum criteria and criteria to attain) • If a technical assessment is required, this will be conducted with the support of a CBM advisor.	CO	Initiatives, resource mobilisation, partner	Partnership principles Guidance note QPRG contracts PA tool	Before request for project approval
	2. Outcomes of the PA discussed with the organisation and actions requiring CBM funding/technical support discussed with relevant teams. If capacity gaps exist, jointly develop with the partner an action plan.	CO	Initiatives, partner, resource mobilisation	Partnership principles Guidance note	Maximum 1 week after PA visit/meeting
	3. Update and upload information to ProMIS ✓ Upload final PA report in the Partner Assessment/Review folder in the Partner's document tab in ProMIS.	CO		ProMIS help text	Maximum 2 week after PA visit/meeting

	✓ Update Partner Assessment box on Partner Overview page in ProMIS. ✓ Capture Action Plans in ProMIS Action Plan tab for monitoring and tracking.				
	4. Based on PA findings, request approval of new/existing partnerships in line with the authority matrix. Request approval via approval workflow in the task/milestone template under partner workflow cycle tab.	CO		ProMIS help text	2 weeks after PA visit/meeting
	5. If partnership approved, signing of MOU/Collaboration Agreement in line with the Authority Matrix. ✓ MOU (Partner with flow of funds) ✓ Collaboration Agreement (Partner with no flow of funds - optional)	CO	Partner	MoU/collaboration agreement ProMIS help test	2 weeks after PA approval
	6. Upload the signed MoU/collaboration agreement (if applicable) onto the partner profile in agreement tab on ProMIS.	CO		ProMIS help text	2 weeks after PA approval
III. Monitoring, Support and Review	1. Monitoring and support of partnership. Log tab in ProMIS used to document any decision and learning from the monitoring visit. ✓ Partnerships with flow of funds: Follow-up conducted at least once every six months, ideally during project monitoring visits to support and follow up on the level of implementation of action plan. ✓ Partner with no flow of funds: Follow up is conducted as jointly agreed between CBM and the partner. Partner proactively encouraged to use CBM's feedback systems.	CO	Initiatives, partner, resource mobilisation	Partnership principles Guidance note Programme feedback & complaint policy ProMIS help text	At least once every six months
	2. Update action plan tab on Partner page in ProMIS (if applicable) to update progress made against action points. Update the action plan regularly based on follow up and discussion with partners.	CO		ProMIS help text	At least once every six months
	3. Review partnership. ✓ Complete a full PA (Part 1, Part 2 and Part 3 of PA tool completed/ minimum criteria and criteria to attain) ✓ Partner with no flow of funds will be reviewed as deemed needed	CO	Initiatives, partner, resource mobilisation	Partnership principles Guidance note PA tool ProMIS help text	At least once every 3 years for partnerships with funding

	In ProMIS, create task manually from template, add the YEAR of the PA at the end of the Task title (e.g. " Review of partnership 2023") and push it to the Monitoring, Support and Review phase of partner cycle workflow.				
	4. Outcomes of the PA review discussed with the organisation and actions requiring CBM funding/technical support discussed with relevant teams. If capacity gaps exist, jointly develop an action plan.	CO	Initiatives, partner, resource mobilisation	Partnership principles Guidance note	Maximum 1 week after visit/meeting
	5. Update and upload information to ProMIS ✓ Upload review PA report in the Partner Assessment/Review folder in the Partner's document tab in ProMIS. ✓ Update Partner Assessment box on Partner Overview page in ProMIS. ✓ Capture action from the review in ProMIS Action Plan tab	CO		ProMIS help text	Maximum 2 weeks after visit/meeting
	6. Based on the PA review findings, request approval of partnership continuation or partnership exit (see Phase IV for partnership exit) in line with the authority matrix. Approval of partnership is requested via approval workflow in the task created under Monitoring, Support and Review phase of Partner cycle (see Phase III, item 3).	CO		ProMIS help text	2 weeks after PA visit/meeting
	7. Renewal of the MoU/collaboration agreement, if applicable. Re-signing of MoU only needed if there are changes within the organisation or in its environment. Upload signed MoU/ collaboration agreement (if applicable) into the document folder in the partner page.	CO	Partner	MoU/collaboration agreement ProMIS help test	2 weeks after PA review approval
IV. Partnership Exit	1. If exit approved, exit plan of typically no less than 6 months developed. This does not apply to cases where immediate exit is required. Capture action in ProMIS Action Plan tab for monitoring and tracking.	CO	Partner	Guidance note	Maximum 4 weeks after decision
	2. Exit letter shared with the partner. Upload approval of exit and exit letter onto the document tab in the Partner page.	CO		ProMIS help text	Maximum 4 weeks after decision
	3. Update partner status in partner Page in ProMIS.	CO		ProMIS help text	Maximum 1 week after partnership exit

Process contact: Programme Standards & Quality (PSQ)

Approved by: Thorsten Schmidt, Director Finance and Operations Development

Date of approval: March 2023

Last revised: July 2024

Version: 1.5