

Reference: Standard Operating Procedure for SGB Infrastructure related projects
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SOP No: 2022/0001

STANDARD OPERATING PROCEDURE (SOP) FOR SCHOOL GOVERNING BODY (SGB) INFRASTRUCTURE RELATED PROJECTS

1. PURPOSE

The purpose of this Standard Operating Procedure (SOP) is to describe the standard procedures to be followed for the management of infrastructure related projects at schools where the funding is derived from Infrastructure budget is transferred into the bank account of the school. Upon the transfer of the funds by the Western Cape Education Department (WCED) the SGB at the school will take full responsibility for the implementation of the project from start to finish. Although the project is regarded as an SGB project with the school principal identified as the accountable official, the WCED Physical Resources Team remains responsible as the budget holder to conduct an oversight role in terms of the use of the funds. School principals should understand their role and that disciplinary action may follow should the funds be mismanaged.

2. INTRODUCTION

The WCED is committed to providing quality education for every child, in every classroom, in every school in the province. To achieve this, it is imperative that the WCED improves school infrastructure.

3. TYPES OF SGB INFRASTRUCTURE PROJECTS FUNDED THROUGH WCED TRANSFERS:

3.1 Additional classroom space.

3.2 The upgrading and refurbishment of specialist classrooms (such as science laboratories and libraries).

- 3.3** The building of school halls.
- 3.4** The beautification and upgrade of school grounds and sport fields, including food gardens.
- 3.5** The building and refurbishment of technical workshops.
- 3.6** The construction of workshops and greenhouses for agricultural subjects.
- 3.7** Sustainability projects such as energy efficiency and smart water meter projects.
- 3.8** Fencing projects at schools.

4. MOTIVATION:

It is not always possible to implement projects timeously through the Department of Transport and Public Works (DTPW), hence WCED funded SGB Transfer Projects are provided to schools and donors who approach the WCED for assistance in this regard. The annual budget for infrastructure development makes provision for transfer projects.

Notwithstanding good practice, common expectations within the government sector, audit and other regulatory agencies dictate that procedures must be in place to ensure the accountability, traceability, and consistency of all processes with regard to the transfer of funds and the implementation of building projects at school level.

5. SCOPE

This SOP applies to all infrastructure related projects at schools where the WCED has accepted the role of 'Sponsor' and where budget is provided for these kinds of transfers to schools. This SOP will specify the criteria against which such projects will be implemented. Furthermore, the WCED, at the discretion of the Head of Education, may also consider donor funded projects whereby the WCED will subsidise on average 40% - 49% of the total costs of these projects. The donor will approach the school and the school will submit a letter of application for funding to the WCED. Applications for a percentage contribution will only be made and considered for qualifying schools on condition that the necessary funds are available, and the donor sign a Service Delivery Agreement with the WCED or school.

5.1 THE SCOPE OF THIS SOP INCLUDES:

- 5.1.1 the processing of the application for funding and the drafting of a submission to the Head of Education.
- 5.1.2 a letter to the school informing the school that the request was approved and the funding will be transferred to the school.
- 5.1.3 the school will submit the necessary documents to enable the WCED to transfer funds to the school, such as a legal agreement and a Service Delivery Agreement.
- 5.1.4 the school submission of a Circular 0031 of 2022 application for Ministerial and DTPW approval.
- 5.1.5 an Internal Memorandum sent to the Education District informing them about the project and transfer of funds to the school and a request that the School Finance Record Officer (SFRO) guide and monitor the financial management of the project.
- 5.1.6 The establishing of a Committee by the school who will manage the project and appoint a project manager, normally the Architect with the principal as the accountable officer.
- 5.1.7 The taking of responsibility by the committee for the administrative processes such as placing the project out to tender for procurement of professional service providers (PSP's)(Architect, Engineers, Quantity Surveyor, etc.), drafting a professional services contract between the school and the appointed PSP's, ensuring the PSP's have the necessary professional registrations and professional indemnity insurances, drafting a project plan, drafting a budget, cost breakdown, work-flow breakdown according to timeframes, drafting of building plans, submitting building plans to the local authority, placing the project out on tender, appointing a building contractor, drafting a building contract between the school and the appointed builder, drafting a work-flow schedule with timeframes, drafting costing and payment schedule according to timeframes, verifying requests for payment, making progress payments, taking responsibility for reporting on the work progress and any other activities involved during the implementation of the project.
- 5.1.8 WCED Directorate Infrastructure Delivery (DID) representatives will visit the projects on a regular basis and will provide regular reports on the work progress.

6. PROCEDURAL REQUIREMENTS

- 6.1 This SOP is to ensure that all processes are compliant with procedural requirements. A submission will be drafted, and this SOP will be submitted to the Head of Education for approval. According to Section 4.1 of **Circular 0031 of 2022** a submission must be routed to the Minister of Education (MEC) for approval for converting or altering immovable property of a school. The decision by the MEC must be in the best interest of the learners.
- 6.2 After the MEC approves the submission, DTPW is informed that the application by the school has been approved and that the project can proceed, subject to other statutory requirements. DTPW will evaluate the building plans and comment on the plans, before it is submitted to the local authority for approval. Please note that deviations are possible.
- 6.3 Important to note that the building plans must be drafted by a Professional Architect and his/ her registration number must be on the building plans. **Building Standards Act 103 of 1977** which governs the **National Building Regulations**. According to Section 3 of this Act the plans must be drafted by a professional Architect who must affix his/her name and address, profession and registration number to the plans. DTPW and WCED will inform the school that at the end of the project the following **compliance certificates** must be submitted:
- 6.3.1 Certificate of conformance for all glass & glazing. SAGGA.
 - 6.3.2 Certificate of compliance for all fire protection equipment Section 14(2A) of the Act 1977.
 - 6.3.3 Plumbing certificate.
 - 6.3.4 Electrical compliance certificates for electrical installation.
 - 6.3.5 Certificate for completion of the structural system & roof structure in terms of Section 14(2A) of the Act 1977.
 - 6.3.6 NEC ECC or ECSC signed contract document
 - 6.3.7 Letter of offer and acceptance
 - 6.3.8 Site Handover Certificate, Take Over Certificate and Completion Certificate
 - 6.3.9 A full set of approved drawings & approval letter from local council.
 - 6.3.10 A gas installation Certificate of Compliance.
 - 6.3.11 Final Account

7. ROLES AND RESPONSIBILITIES OF DIFFERENT STAKEHOLDERS IN THE DELIVERY OF SGB INFRASTRUCTURE PROJECTS

Stakeholders in the delivery of SGB managed infrastructure projects have different roles and responsibilities. An outline of these roles and responsibilities is presented below:

7.1.1 SCHOOL PRINCIPAL / DELEGATE AT THE SCHOOL

- 7.1.1 The principal must plan, ahead and timeously identify the need for infrastructure improvements at the school. Send a letter of application to the WCED after being approached by a donor or in such case where funding is needed for a specific project at the school.
- 7.1.2 The principal must keep fully completed records in an Infrastructure file and avails these for inspection on request. The file should also include copies of the following documents:
 - 7.1.2.1 WCED SOP on SGB Projects.
 - 7.1.2.2 Letter of application for the project.
 - 7.1.2.3 Completed and signed Legal Agreements and Memorandum of Agreement with the WCED.
 - 7.1.2.4 Minutes of the SGB meeting where the project has been approved.
 - 7.1.2.5 Letter of appointment of a Project Manager for the project.
 - 7.1.2.6 Contract between the school and the service providers (PSP's and contractor).
 - 7.1.2.7 Project proposal and building plans.
 - 7.1.2.8 Work-flow schedule.
 - 7.1.2.9 Costing schedule and schedule of transfer payments.
 - 7.1.2.10 Correspondence of DTPW and MEC for the approval of the project.
 - 7.1.2.11 Evidence that the building plans has been submitted and approved by the local authority.
 - 7.1.2.12 3-month bank statements.
 - 7.1.2.13 Banking details on a letterhead of the school.
 - 7.1.2.14 Any other relevant documentation.

7.1.3 The principal will attach to the letter a project proposal with a detailed budget for the project. The principal will ensure that all the original documents needed for the transfer of funds to the school will be submitted to the WCED. The principal will draft the project proposal and obtain the building plans and submit all documents to the WCED for the Circular 0031 of 2022 application. The principal and the SGB will form a project committee at the school and be the accountable officer at the school who will drive the project. The principal together with the SGB will ensure that the project is appropriately managed by the Project Manager on the Committee and ensure that the finances of the project is properly managed.

7.2. DIRECTORATE PHYSICAL RESOURCE PLANNING AND PROPERTY MANAGEMENT

- 7.2.1 Directorate Infrastructure Planning (DIP) will budget for SGB driven infrastructure projects.
- 7.2.2 DIP will receive and consider the applications from schools.
- 7.2.3 DIP will draft a submission for the approval of the project.
- 7.2.4 DIP will draft a submission for Ministerial approval for the project.
- 7.2.5 DIP will submit building plans to DTPW for approval
- 7.2.6 DIP will send a letter to the school informing the school that the project has been approved.
- 7.2.7 DIP will draft a legal agreement, Memorandum of Agreement and forward it to the school to sign and return to the WCED.
- 7.2.8 DIP will submit all the transfer documents to Infrastructure Delivery, for the finance section to do the transfer of funds to the school.
- 7.2.9 DIP will send an Internal Memo to all stakeholders in the Education District office and will highlight what is expected of them to execute the project successfully.
- 7.2.10 DIP will get a work-flow schedule and schedule for progress payments from the school.
- 7.2.11 After receiving invoices from the school for each stage of payment the WCED will send a letter of instruction to the school to effect payment to the service provider.
- 7.2.12 DIP will request the project manager at the school to provide a progress report according to the work-flow schedule.
- 7.2.13 DIP will request the Works Inspectors to do work-flow inspections and to submit reports.

- 7.2.14 DIP will draft programme-level progress reports which will be submitted to Senior Management.
- 7.2.15 DIP will request local authority certificate of occupancy and all compliance certificates from the school.
- 7.2.16 DIP will intervene in case of disputes between school and service providers.
- 7.2.17 DIP will arrange the handover ceremonies at the schools and will take responsibility for media coverage.

7.3 DIRECTORATE INFRASTRUCTURE DELIVERY MANAGEMENT

- 7.3.1 Directorate Infrastructure Delivery Management (DID) will appoint a representative as manager to inspect the progress of the infrastructure project. This could be an architect, chief works inspector or WCED: Management Contractor.
- 7.3.2 A DID representative will take responsibility for evaluating the invoices.
- 7.3.3 A DID representative will do the on-site inspections and submit progress reports.
- 7.3.4 A DID representative will give instruction that school can be informed to do payment to the service provider (PSP or Contractor).
- 7.3.5 A DID representative will see to it that all compliance certificates gets submitted.
- 7.3.6 A DID representative will submit final completion report and give permission for retention funds to be paid.

7.4 WCED's MANAGEMENT CONTRACTOR (MC)

In instances where the school governing body does not have the capacity to implement the project, the WCED may request one of the WCED Management Contractors to assist with the implementation of the project. In those instances, the WCED's MC, will assist the SGB with their roles in executing the project. Please refer to the role and responsibility of the SGB Project Committee.

Where one of the WCED: MC's is instructed via a Package Order under the Management Contract Framework between the Management Contractor and WCED, the school will be responsible to pay the WCED:MC as the implementing agent of the SGB Project.

In this instance the WCED DID requirements as stated in section 7.3 must be executed internally by WCED DID official and it cannot be delegated to any other party outside the employ of WCED DID.

7.5 EDUCATION DISTRICT

- 7.5.1 As a collaborative decision with the Education District all applications for assistance with projects from schools will be channelled through the districts from the desk of the Head: Management and Governance.
- 7.5.2 The Education District will submit the application to the Director Infrastructure Planning and Property Management.
- 7.5.3 The Education District will be informed via an internal memorandum should the project be approved.
- 7.5.4 The Head: Management and Governance will appoint a School Finance Records Officer (SFRO) who will visit the school and give guidance on the financial management and record keeping for audited purposes.
- 7.5.5 At the end the SFRO will submit a financial report on the project.
- 7.5.6 The Circuit Manager will supervise the principal for the successful execution of the project.

7.6 DEPARTMENT OF INFRASTRUCTURE

- 7.6.1 DTPW will evaluate the building plans.
- 7.6.2 DTPW will comment on or approve the building plans.
- 7.6.3 DTPW will provide feedback which must be submitted to the local authority with the building plans.

7.7 SCHOOL GOVERNING BODY (SGB) PROJECT COMMITTEE

7.7.1 ROLE OF THE SGB

The SGB appoints a Project Team to ensure the successful management and implementation of the project. This team will comprise of:

7.7.1.1 Project Manager

7.7.1.2 School Principal / Project Champion

7.7.1.3 Chairperson of the SGB

7.7.1.4 Treasurer of the SGB

7.7.1.5 School delegate responsible for school infrastructure (optional)

7.7.1.6 The SGB Project Committee will meet regularly with the Project Team and PSP's during the duration of the project.

7.7.2 PROJECT MANAGER

7.7.2.1 The Project Manager shall manage the processes from inception until the closing-out stage.

7.7.2.2 Duties shall include the appointment of additional professional team members with the approval of the SGB project committee.

7.7.2.3 In cases where the WCED appoints a Management Contractor, the Management Contractor will automatically be the Project Manager.

7.7.2.4 In cases where funders approach the WCED for partnership in a project, they will automatically be the Project Managers on the project team at the school.

7.7.2.5 The project manager will be the person to work closely with the WCED Building Works Inspectors who will regularly do site inspections and draft progress reports to be submitted to the Directorate Infrastructure Planning and Property Management.

7.7.3 PROFESSIONAL SERVICE PROVIDERS

7.7.3.1 The PSP Team shall design and prepare building plans for the facility and the final drawings shall be a comprehensive document for approval by the WCED, DTPW and the local authority.

7.7.3.2 The building plan shall be used as a working document during the building and construction phase.

7.7.3.3 The PSP Team must prepare a Schedule of Costs in detail to prove that the facility shall be procured within the budget.

7.7.3.4 The PSP Team shall submit the plan at the Local Authority to inform them of the project.

7.7.3.5 The PSP Team shall issue all documents to the Project Manager who shall administer the project until the close-out stage.

7.7.4 TREASURER

7.7.4.1 The treasurer will keep a record of the invoices and payments.

7.7.4.2 Guidance and monitoring will be provided by the School Finance Records Officers.

7.7.4.3 The treasurer will inform the SFRO about the special project and the money paid into the account of the school and request assistance and monitoring.

7.7.4.4 The treasurer and the SFRO will be responsible for a financial report on the project.

7.7.5 INVITATION TO QUOTE

7.7.5.1 All competitive quoting procedures must be on an open tender basis, with relevant quality criteria set for each request for quotations.

7.7.5.2 On approval of the project the process for initiation, to quote to prospective Professional Service Providers shall commence.

7.7.5.3 On approval of the building design by the SGB project committee, the process for invitations to quote to prospective contractors shall commence.

7.7.5.4 The Project Manager shall invite contractors to offer their services to construct the facility.

7.7.6 QUOTATION CONDITIONS

7.7.6.1 The tender/quotation process must be managed strictly with all relevant documents being kept on record and available for audits. This will include but is not limited to:

7.7.6.1.1 Submitted tenders/quotations – Tender evaluation conducted with the appointment recommendation

7.7.6.1.2 Compulsory clarification meeting minutes and attendance register

7.7.6.2 A compulsory clarification meeting must be held for each tender/quotation process.

7.7.6.3 Relevant quality criteria to be set for each tender.

7.7.6.4 This can include, but it not limited to:

- The service provider is to be adequately experienced and qualified in the construction of similar buildings. For contractors this can be represented as a GB rating and for PSP's

it can be by means of compulsory professional registration with relevant councils and perhaps a required number of years experienced in similar project.

- 7.7.6.5 Where the service provider indicates cost for VAT, it is required that the details for VAT registration at SARS be provided.
- 7.7.6.6 The Project Manager shall evaluate the quotations received and prepare a report and recommendation for the SGB (all members of the SGB must be present) to consider and appoint the successful contractor.

7.7.7 PROJECT CONSTRUCTION PHASE:

- 7.7.7.1 On receipt of the SGB decision, the Project Manager shall, in writing inform all contractors of the outcome of the process.
- 7.7.7.2 The Project Manager shall also inform the successful contractor and prepare the Agreement and arrange for site hand-over.
- 7.7.7.3 The construction work shall commence and continue until the close-out stage. During the construction period, regular site and project meetings, as deemed necessary, shall be held with the project team and SGB representative(s) present.
- 7.7.7.4 Regular reports shall be sent to the WCED representative. Payments shall be made In accordance with the contract.

7.7.8 THE FOLLOWING EXAMPLE SHALL APPLY TO THE INVITATION TO QUOTE

Trade (includes material and labour)	Cost
1. Preliminary and general cost	
2. Plant and site accommodation	
3. Setting out and preparatory work	
4. Excavations, earthworks and siteworks	
5. Foundation concrete	
6. Concrete floor slabs	
7. Doors and frames	
8. Window frames as per schedule installed and sealed	

9. Masonry work including beam filling	
10. Waterproofing	
11. Portal steel structure including Roofing, Insulation, Gutters and downpipes	
12. Carpentry, joinery and ironmongery	
13. Plaster and Screeds	
14. Ceilings over storage, toilets and office area	
15. Floor coverings	
16. Plumbing and sanitary work	
17. Electrical works	
18. Paint works	
19. Paving and surface storm water channels	
20. Paving and surface water storm water channels	
21. Other to complete the works	
Subtotal inclusive of all items above to complete the works	
Add Vat (15%)	
TOTAL	
Estimated start date	
Estimated completion date	

The contents of the SOP should be reviewed in conjunction with the procedures within the Education District and schools