

COMMON HUMANITARIAN FUND

Standard Operating Procedures

Project revisions

Note:

From May 2015, the revision of any project funded by the South Sudan Common Humanitarian Fund (CHF) will be processed through the on-line Grant Management System (GMS). This will help with the rigour and the consistency of the Project Revision process, and will allow for better tracking of the status of each funding allocation and any associated revisions. These Standard Operating Procedures (SOPs) will be revised periodically to incorporate ongoing development of the GMS, as well as any broader changes in policy vis-a-vis Project Revisions.

June, 2015

Republic of South Sudan

1. Purpose

1.1 The purpose of these SOPs¹ is to provide a common understanding of the procedure for the submission and processing of Project Revisions by:

- a) defining different types of Project Revision which may be admissible;
- b) setting out general rules in relation to the admissibility of any Project Revision;
- c) outlining underlying circumstances which may be acceptable or used to justify the need for a Project Revision;
- d) outlining procedures to be followed, clarifying roles and responsibilities for each stakeholder involved.

2. Scope

2.1 These SOPs will guide the submission and processing of Project Revisions requested by implementing partners receiving funding from the South Sudan CHF. They aim to set out in a clear and unambiguous manner the requirements and the conditions under which a request for a Project Revision may be admissible, submitted and considered for approval. They will help streamline workflows within the CHF TS and enhance the consistency of the overall process. Their primary audiences are implementing partner organisations (fund recipients), Cluster Coordinators / Co-coordinators, CHF TS staff (including M&R Specialists), OCHA Country Office Management and the Humanitarian Coordinator.

3. Requirement for Project Revisions

3.1 Changes for which prior approval is required through the submission of a Project Revision request include:

- a) changes in programmatic aspects (objectives, outputs, activities, geographical locations, target population);
- b) budget realignments, where the variation under any budget heading exceeds 20% of the originally allocated amount; and
- c) no-cost extensions.

3.2 Changes for which prior approval is not required, and therefore for which the submission of a Project Revision request is not applicable, include:

- a) budget realignments where the variation under any budget heading is not more than 20% of the originally allocated amount;
- b) non-substantive administrative issues such as the correction of the project title or its relationship to a project in the Humanitarian Response Plan.

3.3 Cost-extensions are not currently practiced.

¹ Referring to paragraph D of the South Sudan Common Humanitarian Fund (CHF) Allocation Process Guidelines approved on 27 January 2012. The Allocation Process Guidelines are expected to be updated later during 2015, and the

3.4 Where there may be any uncertainty about whether or not prior approval of a change is required through the submission of a Project Revision request, the onus lies with the implementing partner to seek clarification directly with the CHF TS. Changes made without the requisite prior approval may result in ineligibility of expenditures. They may also have a negative impact on the rating of the implementing partner in the CHF Partner Performance Index, and adversely affect prospects of receiving future CHF allocations².

4. Rules

General rules for all Project Revisions

4.1 Project Revisions will only be processed through the GMS. In order for the implementing partner to be able to submit a Project Revision request the CHF TS must first activate the work flow in the GMS. When the intended request is considered inadmissible, the CHF TS will not activate the work flow and it will not be possible for the implementing partner to submit the request.

4.2 Where a Project Revision request is considered admissible, it must be submitted through the GMS at least four weeks prior to the currently approved end date for implementation. Requests after that time are inadmissible, and will not be possible to submit on the GMS.

4.3 Project revision requests are inadmissible where the implementing partner organisation has not previously submitted satisfactory narrative and financial reports in accordance with normal reporting requirements and in line with previously agreed schedules. Depending on the nature and timing of the Project Revision, an additional narrative report may be required (see section 5 below).

Project revision requests involving no-cost extensions

4.4 Where the Project Revision request includes a no-cost extension, it will be admissible where the requested extension does not exceed three months from the originally agreed end date³. Requests to extend the implementation period beyond three months are inadmissible.

4.5 Where the Project Revision request includes a no-cost extension, it will be admissible only where a minimum of 30% of the total amount previously allocated is reported as spent. Where less than 30% of the allocated amount has been spent it will be presumed that the capacity of the implementing partner is insufficient and / or that circumstances on the ground do not allow for the successful execution of the planned activities. In such cases the no-cost extension will be inadmissible. Any funds unused at the end of the previously agreed implementation period will remain unspent and subsequently returned to the CHF.

Project revisions involving budget realignments

4.6 Budget realignments should not increase or decrease the total approved budget.

4.7 Where the required realignment does not involve variations under any budget heading in excess of 20% of the previously approved amount, a formal Project Revision is not required. However, the CHF TS and the

² The CHF Partner Performance Index rates partners based on historical performance in relation to a number of aspects related to the use of CHF funds. The rating is used to inform future funding allocations.

³ The maximum period of extension is cumulative. For example if a no-cost extension request of one month is approved, a subsequent request of up to two more months may be admissible.

respective Cluster Coordinator / Co-coordinator should be notified in writing (by e mail), including the justification and rationale for the change, and the realigned budget reflected in the GMS.

4.8 Where the required realignment does involve variations under any budget heading in excess of 20% of the previously approved amount, a formal Project Revision is required. The realignment should not involve diverting funding from direct costs to administrative and support costs unless there is a strong justification. The realignment should not eliminate or add a core project activity unless there is a strong justification.

5. Monitoring and Reporting

5.1 Where the Project Revision involves a no-cost extension narrative reporting requirements may be affected, depending on the previous and revised implementation period. Financial reporting requirements will remain unchanged. Such changes will be notified at the time of the approval of the Project Revision.

5.2 Whether or not an additional narrative will be required at the time of analysing the request for a Project Revision (see 4.3 above), the request itself using the templates provided in the GMS will include a clear overview of results achieved to date. The provision of monitoring and reporting documentation that can substantiate these results may be required. Approval of the Project Revision may be contingent upon a monitoring visit or may trigger a subsequent monitoring visit to review the progress achieved.

5.3 Where an approved Project Revision impacts the project design and results framework (activities, outputs and the contribution to the cluster objectives), these changes will be clearly reflected in any subsequent project reports.

6. Exceptions

6.1 Where an implementing partner would like to request an exception to the rules and stipulations above, prior endorsement to proceed with the Project Revision will be obtained from the Humanitarian Coordinator. This may take the form of e mail correspondence explaining the extraordinary circumstances that may justify the exception. Upon receiving endorsement from the Humanitarian Coordinator, the CHF TS will activate the work flow in the GMS and facilitate the Project Revision process.

Ends.

Annex 1: CHF Technical Secretariat contact details for Project Revisions

CHFsouthsudan@un.org or kizitoi@un.org

Annex 2: Type of Project Revision and Approval Levels

Type of project revision	CHF TS	Clusters	OCHA HoO	HC
Changes for which prior approval is required (Project Revision relevant)				
- No-cost extensions of more than two weeks	Clearance	Endorsement	Pre-approval	Approval
- No-cost extensions of up to two weeks	Clearance	Endorsement	Approval	Not applicable
- Changes in programmatic aspects	Clearance	Endorsement	Approval	Not applicable
- Budget realignments (variation exceeds 20%)	Clearance	Endorsement	Approval	Not applicable
Changes for which prior approval is not required (Project Revision not relevant)				
- Budget realignments (variation is not more than 20%)	Clearance	Not applicable	Not applicable	Not applicable
- Non-substantive administrative issues (correction of title, budget line headings, etc.)	Clearance	Not applicable	Not applicable	Not applicable

Annex 3: Classification of reasons for no-cost extensions

The following classifications have been established for the purpose of tracking and analysing the major reasons that may justify the need for no-cost extensions. As part of the Project Revision process using the GMS, the relevant reason(s) must be indicated.

- a) Insecurity
- b) Inaccessibility
- c) Staffing/recruitment delays
- d) Internal administrative delays
- e) Procurement delays
- f) Programmatic delays
- g) Delays in finalizing the PPA
- h) Delays in disbursement of funds
- i) Delays in organization's internal transfer of funds
- j) Delays in securing supplies from pipeline
- k) Other, please specify (*must be properly documented and justified*)

Annex 4: Process for submission, review and approval of Project Revisions

In the GMS, the Project Revision process is divided in two main parts: (1) Revision Request part to assess admissibility of the request and activate the revision process in the GMS, and (2) Project Revision part in which the revision is submitted, reviewed, and approved where the justification is considered satisfactory. The GMS will generate automatic e-mail notifications from no-reply@chfsouthsudan.org at each step of the process, informing stakeholders (implementing partners, Cluster Coordinators / Co-coordinators, CHF TS) of the actions required of them.

An implementing partner intending to secure approval of a Project Revision must go through the steps described below:

A4.1 Revision request

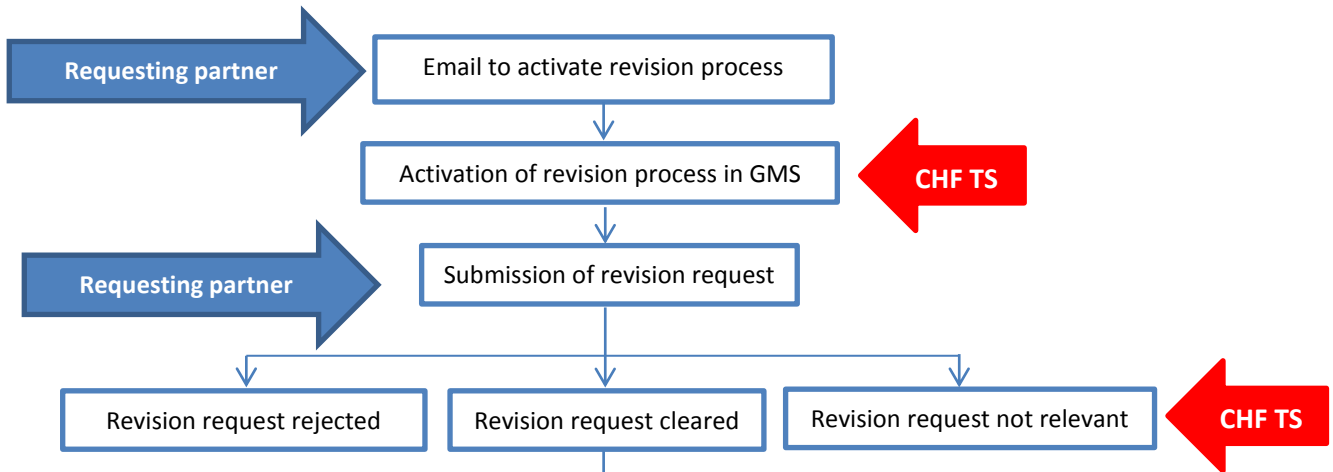
- a) Requesting partner must contact CHF Technical Secretariat by email to the following addresses (CHFsouthsudan@un.org, cc. kizitoi@un.org) copying respective cluster coordinators at least four weeks prior to the approved grant end date.*
- b) Make sure the subject of your email clearly refer to revision request in addition to the project code, the relevant cluster and the organization name, using following convention CHF[YY]Revision Request [allocation code] [cluster] [partner] e.g. CHF15 Revision Request 341 Health Nile Hope.*
- c) CHF Technical Secretariat will confirm receipt of the request within 2 working days. If requestor has not received confirmation e-mail, he/she should follow up with CHF Technical Secretariat.*
- d) Based on the justification provided in the email, the CHF Technical Secretariat will determine whether to activate the revision request feature in the GMS. And the related partner will be automatically notified.*
- e) Requesting partner must fill completely all sections of the revision request online form through the GMS and submit for review to the CHF Technical Secretariat.*
- f) Following the submission, the revision request will be either rejected (the revision request is not justified), not relevant (revision is not required) or cleared (formal revision is required).*
- g) As soon as the revision request is cleared, the project revision feature will be automatically activated and the relevant part of the project will be unlocked to allow the changes to be performed by the requesting partner.*

A4.2 Project revision

- a) Requesting partner must fill completely all relevant tabs the project revision online form through the GMS and submit for first review to the relevant cluster.*
- b) The relevant cluster will have 48 hours to review the project revision, provide review remarks and endorsed or not the project revision.*
- c) Under the second review, the CHF Technical Secretariat will have three options: either the project revision is send back to the respective partner for more information/clarification, rejected and cleared.*
- d) If the project revision is send back for more information/clarification, the respective partner will be allowed to resubmit a revision version to the CHF technical Secretariat within 2 working days.*
- e) Under the final review, the CHF Technical Secretariat will have two options: either the project revision is cleared or rejected. The rejection corresponds to the end of the process for the project revision.*
- f) If the project revision is cleared, then it will be submitted for pre-approval to the OCHA Head of Office and the final approval decision will be made by the Humanitarian.*
- g) CHF Technical Secretariat notifies the various stakeholders within 2 working days regarding the decision of the HC and OCHA Head of Office.*

A4.3 Revision process flow chart

REVISION REQUEST



PROJECT REVISION

