

Note: This guidance note is prepared by the Spotlight Secretariat and the Multi Partner Trust Fund and may be updated from time to time.

The Spotlight Initiative

Guidance note on Programme revision requirements

17 December 2019

OVERVIEW

The [Spotlight Initiative](#) (SI) guidance is provided by the SI Secretariat and the SI Administrative Agent (AA or MPTFO) based on the SI [Terms of Reference \(TOR\)](#), [Memorandum of Understanding \(MOU\)](#), signed between UN and MPTFO, as well as the [MOU](#) and [MOU Addendum for EU contribution](#) signed between the Recipient UN Organizations (RUNOs) and the AA. The SI Operations Manual (to be released in January 2020) compiles the rules and procedures and obligations and requirements of the key stakeholders of the SI Programmes (the EOSG, Secretariat, Resident Coordinators, and Recipient UN Organizations).

The SI Programmes (Phase I) should be implemented in lined with the SI Operational Steering Committee (OSC) approved Programme documents.

Regional Programmes: The initiation of a Programme Revision will be done by the UN Chair of the Regional Steering Committee and respective approvals made by the Regional Steering Committee.

The UN Resident Coordinator can initiate a Programme Revision (including the Country Programme Document and/or its Budget) under the following scenarios:

SCENARIO 1: REVISIONS BELOW 25% AND NOT SIGNIFICANT CHANGES

- 1.1. Budget revisions made between UNDG budget lines that cumulatively amount **to 25%* or less of the total approved Budget of Phase I per RUNO per country.**
- 1.2. Programmatic revisions that **do not** significantly change the scope, objectives, expected results, strategy or priorities, as determined by the RC.

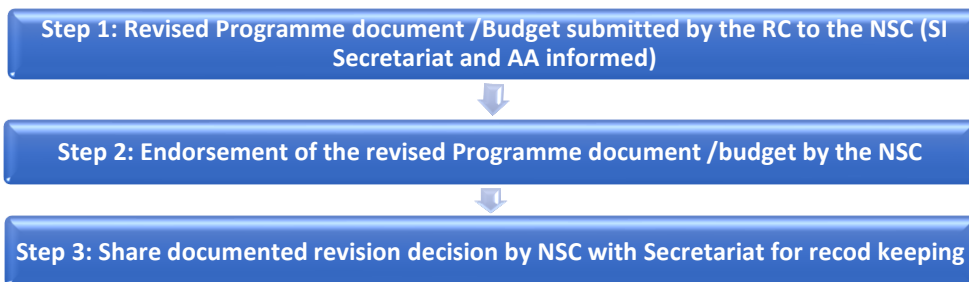
➔ PROCEDURE: Revisions will be presented **post-facto** in a cumulative way at the end of the year to the NSC for endorsement. The RC should submit the Programme Revisions, combining all RUNOs revisions, to the NSC with **copy to the SI Secretariat and the AA for information only.**

➔ In addition to the above it should be noted that:

- Throughout implementation, RUNOs have the responsibility to inform on programme adjustments that may affect the implementation by other RUNOs or the overall delivery of results through the **regular Spotlight coordination mechanisms** of the UN team.
- **RUNOs may request at any time that the RC provides a non-objection to a particular adjustment.**
- The **RC non-objection** process should be through a simple, expedited procedure that may be delegated to the most suitable party or mechanism, as proposed at country level.

* 25% calculation: If a RUNO has a total country budget of \$1million, then the sum of the changes between UNDG budget lines should not exceed \$250,000. Only budget increases will count towards the 25% threshold calculation (not the off-setting reductions). **Please see example in this note.**

SCENARIO 1:



SCENARIO 2: REVISIONS ABOVE 25% AND SIGNIFICANT CHANGES

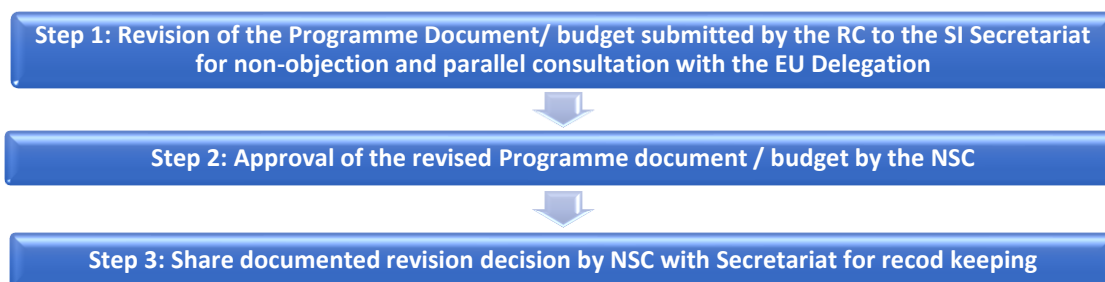
2.1. Revisions made between UNDG budget lines that **cumulatively exceed 25%* of the total approved Budget of Phase I per RUNO per country;**

2.2. Programmatic revisions that significantly change the scope, objectives, expected results, strategy or priorities as determined by the RC;

➔ PROCEDURE: As part of the Annual Work Plan process, the RC should submit the Programme Revision request, combining all RUNOs revisions, to:

- The Spotlight Secretariat for a non-objection (1 week turn around by email) in parallel to consulting with the EU Delegation
- Then, to the **NSC for final approval** with copy to the SI Secretariat and the AA for information only.

SCENARIO 2:



IMPORTANT: MAINTAINING KEY SPOTLIGHT PRINCIPLES

A non-objection by the RC is required to maintain key Spotlight principles:

- (a) changes in staffing (staff contract level only)
- (b) changes in major assets (increase in budget or units, especially vehicles)
- (c) changes in any of the budget requirements set in the CPD development guidance to RCs related to:
 - I. The proportion of funds delivered through CSOs (30% minimum)
 - II. The SRHR coverage (for Africa only, 40% minimum)
 - III. Programme management costs (18% maximum)
 - IV. Monitoring costs (2% minimum)
 - V. Communications costs (2% minimum)¹
 - VI. Evaluation costs (1% fixed for each)

* See note on 25% calculation above.

¹ Communications costs in the PMC section are the minimum requirement to cover overall programme communication and visibility. Country Programmes may also use appropriate funds from the outcome cost section of the budget for communication on specific activities and for “communication for development” purposes.

- ➔ PROCEDURE: Revisions related to the above key principles should be communicated, before fact, for **RC non-objection** through a simple, expedited procedure that may be delegated to the most suitable party or mechanism, as proposed at country level.
- ➔ The RC will safeguard the overall cumulative thresholds (I through VI) established by the Spotlight Initiative.

TIPS AND ACCELERATION MEASURES:

- It is recommended the revisions are presented at the NSC at the time of the Annual Work Plan review to streamline both processes together, but the RC may decide to present Revision requests at a different time if this facilitates implementation.
- Under Scenario 2, the RC should secure the endorsement of the Programme Revision request by the NSC prior to submission to the OSC.
- To avoid implementation delays, the RC may call for a virtual NSC decision on Programme Revision proposals.

IMPORTANT NOTES:

- **Rolling of funds** from one year to the next can be done through the regular AWP process at country level. Adjustments to the annual split of funds in the AWP are not considered a programme revision.
- **RUNO to RUNO: No transfer of SI funds between different RUNOs** can be made. Any budgetary or programmatic revision must follow the required procedures described above.
- In case budget revision implies **reallocation of funds between RUNOs**, such funds must be returned to the AA and recorded in the system. The AA will transfer reallocated funds back to all involved RUNOs based on the newly approved budget;
- All RUNOs shall monitor quarterly and anticipate deviations of expenditures against budget categories and the criteria set above to **inform the RC and RUNO's HQ in timely fashion**.

BUDGET REVISION TEMPLATES:

- ✓ SI Programme Revision Cover Page
- ✓ SI Budget Revision Template, incorporating the Annual Workplan template.
- ✓ In case of revision of the Programme Document, please highlight all changes.

EXAMPLE FOR 25 % THRESHOLD CALCULATION

Spotlight Budget Revision Example					
Country "X"					
UNDG BUDGET CATEGORIES	Agency A				
	Approved Spotlight Budget	Scenario <u>below</u> 25% Threshold		Scenario <u>above</u> 25% Threshold	
		Revised Budget	Budget Variations	Revised Budget	Budget Variations
1. Staff and other personnel	150,000	100,000	(50,000)	90,000	(60,000)
2. Supplies, Commodities, Materials	-	5,000	5,000	5,000	5,000
3. Equipment, Vehicles, and Furniture	56,420	70,000	13,580	70,000	13,580
4. Contractual services	335,849	300,000	(35,849)	480,000	144,151
5. Travel	290,000	295,000	5,000	80,000	(210,000)
6. Transfers and Grants to Counterparts	102,310	102,500	190	182,500	80,190
7. General Operating and other Direct Costs	-	62,079	62,079	27,079	27,079
Total Direct Costs	934,579	934,579		934,579	
8. Indirect Support Costs (Max. 7%)	65,421	65,421		65,421	
TOTAL Budget	1,000,000	1,000,000	85,849	1,000,000	270,000
25% Threshold (25% of 1,000,000)	250,000		85,849 < 250,000		270,000 > 250,000
Notes:					
1 - Total budget per RUNO after revisions should remain the same i.e. \$1,000,000					
2 - The Maximum possible value for the NSC approval is the value of + 25% of the total budget approved per Agency (i.e. + 250,000)					
3 - Any budget revisions exceeding the 25% threshold (a single-timer or all Minor Budget revisions cumulatively) must be submitted for the OSC approval via Secretariat i.e. (a)+250,001					

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