

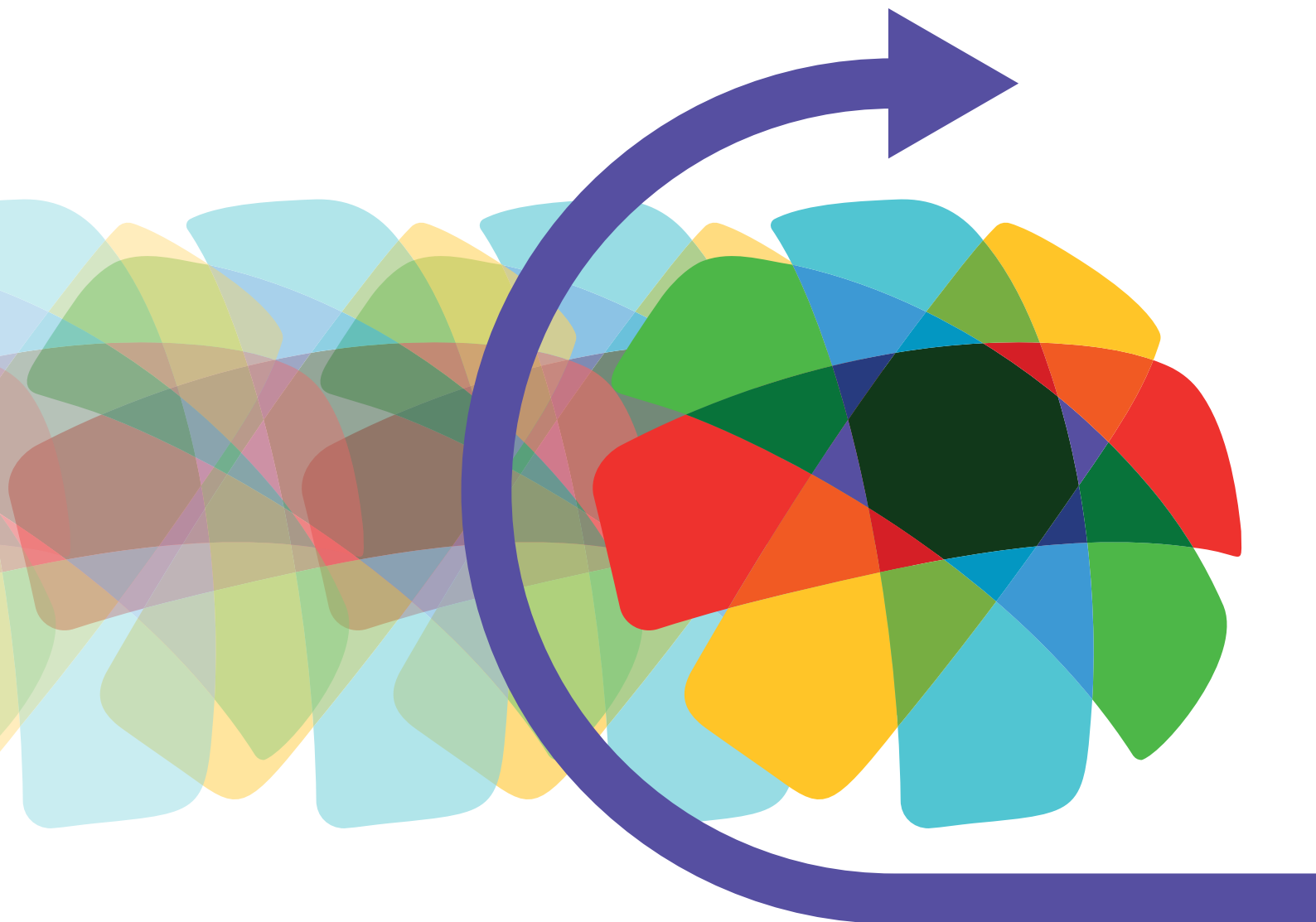


**The
Pandemic
Fund**

FOR A RESILIENT WORLD

THE PANDEMIC FUND:
POLICY DOCUMENT ON
POST-APPROVAL CHANGES
TO PROJECTS

June 11, 2024



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I. Introduction

1. At the 12th Governing Board Meeting of the Pandemic Fund, the Governing Board (“Board”) considered two approaches to post-approval changes of Pandemic Fund Projects. The Board expressed broad agreement on an approach whereby the Board approves major post-approval changes, while minor post-approval changes are reported to the Board but are approved by the Executive Head of the Secretariat. There was also broad agreement that both minor and major change approvals should be based on a technical opinion provided by the Technical Advisory Panel (TAP). The Board then tasked the Secretariat with drafting the full policy document in line with this approach, in consultation with Implementing Entities (IE), for approval at the 13th Governing Board Meeting in June 2024. The Pandemic Fund Governing Board approved this policy during the 13th Governing Board Meeting on June 10-11, 2024.

II. Purpose

2. This policy provides a framework for evaluating and approving requests for any changes to projects requested by the project team, following the approval of the grant by the Pandemic Fund Governing Board.

III. Applicability

3. This policy applies to all grant allocations by the Pandemic Fund, including grants awarded under the first Call for Proposals in July 2023, as well as grants that will be awarded in the future.
4. This policy is in effect as of June 11, 2024 and will be reviewed and revised, if needed, by the Governing Board within a period of two years. Following this initial period, this policy may undergo further reviews and revisions by the Governing Board on an as-needed basis upon request of the Secretariat, TAP or Governing Board.
5. In the case where this policy conflicts with the Financial Procedures Agreement (FPA), the FPA will prevail.

IV. Context

6. The Pandemic Fund provides flexibility to its projects to make adjustments or undertake revisions to address new or changing circumstances, as well as risks and opportunities that may emerge following the Board’s approval of the grant and prior to or during a project’s implementation. For example, changes could be requested due to: a) finalization of project plans with project partners following proposal submission; b) changes in government policies, strategies and priorities; c) a disease outbreak or pandemic requiring reallocation of resources; d) a major disruptive event occurring in the country or region such as a natural disaster, armed conflict or financial crisis; e) changes in project locations or target populations due to migration or demographic shifts; f) revised epidemiological data or disease burden estimates for the targeted areas; or g) other unanticipated situations that may arise over the course of the project. All requests for changes should be made with the intent of ensuring the successful implementation of a project.
7. While the Pandemic Fund recognizes that changing circumstances are sometimes unavoidable over the course of projects, it is strongly recommended that Beneficiaries¹ and Implementing Entities make every effort to adhere as closely as possible to the approved project scope, design, plans, budgets and timelines.

V. Types of Changes Allowed

8. During the 12th Governing Board Meeting, the Pandemic Fund Governing Board expressed broad agreement on a list of types of changes that may be requested. This list has been further refined following a period of consultations to include:
 - Change to outcome indicators (e.g. JEE; SPAR or PVS indicators) or targets²
 - Change to output level (activity-level or workplan) quantitative indicators or milestones/deliverables and their targets in the project-specific results framework³
 - Change to project scope or design⁴

1 Beneficiaries are defined in the PF Operations Manual as “any eligible country or any entity serving one or more eligible countries that benefits from the PPR FIF through FIF-funded projects or activities undertaken by an Implementing Entity to advance the objective of the PPR FIF.”

2 A change request would not be required to replace a JEE with its equivalent SPAR indicator or vice versa, based on most available baseline data. In instances where a project achieves a higher level of performance against an indicator than initially planned and proposed, this positive development should be duly documented and highlighted within the regular progress reports and final report for that project, rather than necessitating a formal change request.

3 For activities financed by the Pandemic Fund grant. Adding more activities that will not require a deviation from implementing the initially planned activities or a change in the timeline beyond the lifespan of the project would not require a change request.

4 Refinements to project implementation plans as part of the project preparation process with stakeholders would not be considered a change, including shifts in timelines for milestones or phasing of activities, as long as they remain within the original lifespan of the grant and aligned with the project’s scope and design.

- Addition or removal of project subcomponents⁵
 - Reallocations within the budget⁶
 - Change (addition, withdrawal or reassignment) of an Implementing Entity
 - Change in a Delivery Partner⁷
 - No-cost extension of the original closing date of the Pandemic Fund grant
 - Changes in risk management approach or framework
9. Requests to change the initial grant amount allocated for a project, including requests for additional funding will not be considered within this policy at this time.

VI. Definition of Changes

10. Changes requested for each category will be reviewed and assessed by the Secretariat as either being “minor” or “major”. The process followed by the Secretariat for minor changes is different than for major changes and is detailed in the next section.
11. Following a first request for change, any subsequent changes to: budgetary allocations of the overall grant, no cost extensions of the original closing date, or changes to the same indicator or target, will be considered cumulatively over the lifespan of the grant (e.g., if a first request is made to reallocate 15% of the budget and then a second request is made to reallocate 10% of the budget, the second request would be considered a major change despite it being beneath the 20% threshold).

5 Modifications at the activity level that might occur when finalizing workplans, as long as they do not have an impact on the targets / outcomes / output-level indicators, would not be considered a change.

6 Budgetary changes would include the reallocation of funds to a different project component; reallocation of funds from IE admin fee to/from Project costs; change in overall funds allocated to a specific Implementing Entity, etc. Budgetary modifications at the activity-level, as long as they stay within the same project component and do not affect the targets / outcomes / output-level indicators, would not be considered a change. In addition, modifications related to the timing of expenditures would not be considered a budgetary change as long as they fall within the timeframe of the Pandemic Fund grant (i.e. Activity X was supposed to be implemented in FY24 but will now be implemented in FY25). Changing the timing of expenditures beyond the approved project timeline, however, would require a change request for a no-cost extension.

7 If a Delivery Partner was not yet defined for a specific activity within the proposal, then it would not be considered as a change.

Table 1: Definition of changes

Type of Change			
Outcome indicators (e.g. JEE; SPAR or PVS indicators) or targets			
Minor	Example	Major	Example
Decrease in the target level of the outcome indicator to its baseline level (as long as there is still some type of improvement by the end-date of the grant) or removing, adding or changing JEE, SPAR or PVS outcome indicator to other indicators within the same components	<p>A. Project A was focusing on SPAR C5.2 Event management, with a target of Level 2 in 3 years, considering a baseline of Level 1. A more recent SPAR became available and promoted discussion among the project partners that achieving the Level 2 would require longer timeline as it includes several attributes to achieve. Thus, the project would wish to reduce the target to its baseline level of 1 and to supplement the quantitative levels with other qualitative reviews to show progress in capacity improvement.</p> <p>B. Project A was focusing on JEE D3.4 Workforce surge during a public health event, but during baseline data collection, it is decided focusing on JEE D3.3 Workforce training is a necessary first step.</p>	Decrease in the target level from the baseline or changing the JEE, SPAR or PVS indicators to indicators of different components	<p>A. Project A was focusing on SPAR C5.2 Event management, with a target of Level 3 in 3 years, considering a baseline of Level 2. A recent SPAR became available and showed reduction in the level from 2 to 1.</p> <p>B. Project A was focusing on JEE D3.4 Workforce surge during a public health event, but during baseline data collection, it is decided focusing on JEE P5.2. Response to zoonotic diseases is necessary due to a zoonotic disease outbreak in the country.</p>

Type of Change			
Output/activity level Indicators or targets in the Project-specific Results Framework			
Minor	Example	Major	Example
Reduction of less than 20% to an individual quantitative target in the project-specific results framework	Project B uses indicator “Percentage of districts reporting events per national guidelines” and selects the target of 90%, however the team realizes with the available funding, the target should be revised down to 80%.	Target reduction of 20% or more to an individual quantitative target, or any change to milestone/ deliverable targets in the project-specific results framework	Project B had intended to refurbish three (3) laboratories but now they will only be able to refurbish one (1) laboratory.
Project scope or design			
N/A	N/A	Change in project’s strategic goals; change in countries covered in a Multi-Country or Regional Entity project	<p>A. Project B’s proposal states that it will focus on improving surveillance systems in the country through the integration of animal and human health systems, but the project team would like to change the focus of the project to only focus on human health surveillance systems.</p> <p>B. Project C is a multi-country project that includes five countries. During the planning process, the project team decides that it will not be possible to implement the activities in two of the countries and would like to reduce the scope of implementation to three countries.</p>

Type of Change			
Addition, change or removal of project sub-components			
Minor	Example	Major	Example
Change of a project sub-component within the same component (irrespective of amount of budget reallocation)	Project D decides that it would like to change the sub-component of the project from “whole of government biosafety and biosecurity” to “Laboratory quality system” under the component of “Strengthening laboratory systems”	Removal of a project sub-component	Project D decides that it would like to remove the entire project sub-component dedicated to “whole of government biosafety and biosecurity” under the component of “Strengthening Laboratory Systems”
Budget reallocation			
Reallocation of the budget by less than 20% across components	Project E receives a total grant of \$10M and wishes to reallocate \$1.5M (15%) under the “Strengthening Laboratory Systems” component to the “Developing Healthcare Workforce Capacity” component	Reallocation of the budget by 20% or more across components; reallocation of any amount to/from “project funds” to/from “IE admin fee”	Project F receives a total grant of \$10M and wishes to reallocate \$3M (30%) under the “Strengthening Laboratory Systems” component to “Developing Healthcare Workforce Capacity” component
Implementing Entity			
N/A	N/A	Addition of an IE that was not part of the original proposal; removal of an IE that was part of the original proposal; change in IE responsible for an activity/component	Project G had originally listed IE (X) as the IE responsible for implementation of the “Strengthening Laboratory Systems” component of the project, but would now like IE (Y) to oversee its implementation and would like the funds assigned for this component transferred to IE (Y)

Type of Change			
Delivery Partner			
Minor	Example	Major	Example
Changes within the same category (local to local or international to international) of delivery partner used for execution of an activity / component	Project H had initially planned for a local NGO to run training sessions for community health workers but now would like a different local NGO or CSO to run the training sessions.	Change in the category of delivery partner ⁸ used for execution of an activity/ component	Project H had initially planned for a local NGO to run training sessions for community health workers but now would like an international organization to run the training sessions
No-cost extension			
Extension for less than 12 months of the Pandemic Fund grant	Project J had some delays in starting project implementation so instead of starting in Q1 2024, it started in Q3 2024. To ensure completion of the activities, the project is requesting a 6-month extension of its closing date.	Extension for 12 months or more of the Pandemic Fund grant	Project K began implementation, but due to a change in government, had to pause activities for a period of 18 months. Now it is able to restart activities but is nearing the end of the 3-year grant and would like to request a 24-month extension of its closing date.

⁸ Changes from one local NGO to an international NGO or from international NGO to a local NGO

Type of Change			
Risk Management approach or framework			
Minor	Example	Major	Example
Change in risk level (impact and/or likelihood) and mitigation of a risk, that was previously identified in the proposal stage; Addition of new risk rated as “Low” or “Medium” that requires mitigation	Project L had previously identified the risk of declining macro fiscal stability as “low”, but recent events in the country have led to a change in likelihood of the risk materializing to “medium”. Therefore, the project team would like to change its mitigation strategy with no potential impact on the project’s implementation	Change in the risk level (impact or likelihood) from “Medium” to “High” or “Very High”. New risk identified as “High” or “Very High” (impact or likelihood) that requires mitigation	Project M operates in a country that has seen strong environmental changes over the past decade. However, there has been a significant change in the vector’s competent environment in the last the year with possibility of zoonotic disease outbreaks that was not considered in the initial drafting of the proposal. A proper risk mitigation plan must be put in place, which may impact the overall project

- 12.** In addition, any changes in the project that are precipitated by an emergency situation in the country or region may be automatically considered as “major” changes at the discretion of the Secretariat and sent to the Governing Board for decision. It will also be the responsibility of the Secretariat to proactively contact project teams when emergency situations occur in a region or country where the Pandemic Fund has active grants.

VII. Process and responsibility for changes

- 13.** All stakeholders of the project (e.g. Country Governments, Regional Entities, Implementing Entities, Delivery Partners) should first discuss and agree on any potential changes together before bringing them forward to the Pandemic Fund Secretariat. Implementing Entities should also then ensure that any potential changes are feasible and in-line with their own internal policies and procedures.
- 14.** To begin the official change request process, the Project Leader should provide a written request of the change to the Pandemic Fund Secretariat at the _pandemic_fund@worldbank.org⁹ using the template provided in Annex A. All change requests should provide the following information:
- Description of the change(s) requested, including reason for the change, timeline and whether/how it will affect implementation of the project
 - Self-assessment of whether it should be considered a minor or major change, with supporting rationale
 - Signed letter of support from project partners for the change (see Annex B)
 - Updated proposal that includes the workplan, project-specific results framework, and/or budget (if applicable)
 - Updated risk matrix and safeguards taking into account the proposed changes
- 15.** Upon receiving a change request, the Secretariat will undertake an initial review to assess whether the requested change should be considered a minor or a major change. In cases where the change request involves multiple components (e.g. change in output target and budget reallocation), the components will be reviewed holistically, and if one component would be considered a major change, then the entire request would follow the major change procedure. The Secretariat would then share the change request, its initial assessment of the category of change and the original proposal with the TAP Leadership for their evaluation.

⁹ In the future, change requests may be submitted via the online Portfolio Management Portal, which is currently under development.

16. The TAP will review and evaluate the change request according to its Standard Operating Procedure (SOP) as follows:
- TAP Leadership to identify up to three TAP members, based on expressed interest and relevant expertise to review the change request and provide written feedback within one of week of receiving the request from the Secretariat.
 - The TAP may request additional information from the project team, which will be facilitated by the Secretariat within an additional week.
 - The TAP Leadership to review and consolidate feedback of the TAP members and submit a written opinion on the proposed changes to the Secretariat within one more week.
17. Then, depending on the category, the Secretariat would follow the process outlined below:
- **Minor change:** For minor changes, the Pandemic Fund Governing Board has delegated authority to the Executive Head to approve or reject changes proposed by project teams. The Executive Head will review the TAP's written opinion on the proposed changes and notify the project team and the Governing Board of the decision. The Secretariat and TAP will make all reasonable efforts to conclude the process and notify the project team of a decision within four weeks of receiving the change request.
 - **Major change:** The Secretariat will prepare a document that outlines the requested changes and the TAP's opinion and submit it to the Pandemic Fund Governing Board for decision under the standard no-objection procedure outlined in the Pandemic Fund Operations Manual. If no objections are received within the two-week period, the Pandemic Fund Secretariat will notify the project team that the requested change has been approved. If a question is raised during the two-week period, the Secretariat will facilitate a dialogue between the Governing Board and the project team. The Secretariat, TAP and Governing Board will make all reasonable efforts to conclude the process and notify the project team of a decision within six to eight weeks¹⁰ of receiving the change request.
18. In the case where a change request is rejected, by the Executive Head or the Board, as applicable, the Secretariat will notify the project team of the decision in writing and provide the rationale for the rejection. Based on the feedback received, the project team may submit a revised change request to the Secretariat for reconsideration

¹⁰ In an emergency situation, the Pandemic Fund will endeavor to implement a shortened timeline.

- 19.** Where a change request is accepted, by the Executive Head or the Board, as applicable, the Secretariat will notify the project team of the decision in writing. The project team, with the support of the Secretariat, will then be required to make any necessary updates within the portfolio management portal to reflect the change. For budgetary changes that require amendments to official documents (e.g. allocations across Implementing Entities), the Trustee will prepare an updated Letter of Commitment.
- 20.** The Secretariat and TAP will make every effort to process requests in an expeditious manner and within the stipulated timeframes. However, it is equally essential for project teams to respond promptly to requests for additional information to facilitate timely decision-making.

Annex A: Change Request Template

Instructions: This form should be submitted by the Project Leader. One form should be used for all requests.

1. Date	
2. Project ID	
3. Project Name	
4. Project Leader contact details	
5. Type(s) of change requested (check all that apply)	
	Change to outcome indicators (e.g. JEE; SPAR or PVS indicators) or targets
	Changes to output level quantitative indicators or milestones/deliverables and their targets in the project-specific results framework
	Change to project scope (what) or design (how)
	Reallocations within the budget
	Change of an Implementing Entity
	Change in a Delivery Partner
	No-cost extension of the original closing date of the
	Pandemic Fund grant
	Changes in risk management approach or framework

6. Description of the change(s) requested

7. Rationale, timeline and assessment of how/whether it will affect project implementation

8. Self-assessment of whether change is minor or major with supporting rationale
(If there are multiple, inter-connected changes, please provide an assessment based on all changes)

Minor	Major	Rationale:
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Change request template continued next page...

Change request template continued...

9. Is the change request due to an emergent emergency/conflict situation in the country/region?

10. Revised proposal, work plan, budget, and/or project-specific results framework (please feel free to attach documentation instead)

11. Letter of support from project partners for the change (please attach Annex B)

12. Updated risk matrix and safeguards taking into account the proposed changes (please attach)

ANNEX B: Letter of support

Instructions: Please have all project partners (Country Government(s), Regional Entity, Implementing Entity (-ies) provide a signature of support for all changes requested. If multiple changes are requested, you may submit one letter that summarizes all the changes requested.

Dear Pandemic Fund Secretariat,

We hereby confirm our support for the requested change(s) to [insert project name], which include:

Please describe changes below:

Sincerely,

Name		
Title		
Name		
Title		
Name		
Title		

ANNEX C: Glossary of Acronymns

CfP	Call for Proposals
FPA	Financial Procedures Agreement
JEE	Joint External Evaluation
IE	Implementing Entity
PVS	Performance of Veterinary Services
SPAR	States Parties Self-Assessment Annual Report
TAP	Technical Advisory Panel