**GEF RACI for NIM Projects**

**KEY**

**R**esponsible: person who leads the work; reaches out to consult and inform

**A**ccountable: person who is the final person to approve/clear the work; takes final decision; held to account

**C**onsulted: Input required before work is completed

**I**nformed: Not directly involved; made aware

|  | **TASK** | **Country Office** | **Regional Bureaux** | **BPPS** | **BMS** |
| --- | --- | --- | --- | --- | --- |
| **BPPS** | **Nature Climate Energy** |
| **Directorate** | **Technical** | **Finance** |
|  |  | **RR** | **DRR** | **Prog. Officer[[1]](#footnote-1)** | **M&E** | **Ops** | **Dir** | **Dep.Dir.** | **COSQA** | **Dir.** | **Effectiveness** | **Ex.C** | **EPS & PPS**(Policy) | **RTL** | **PTA** | **RBM** | **Safeguards & Gender** | **RTA** | **RPA** | **GPA** | **MPSU HQ** | **Reg. MPSA** | **R.Proc. Adv** | **Finance** |
| **Corporate** | **Corporate Services:** GEF policy support, portfolio management, outreach and knowledge, support to evaluations | **I** | - | - | - | - | - | I | - | I | I | **A** | **R** | C | C | C | C | C | C | C | C | C | C | C |
| **Origination** | PISC Package Preparation | **A** | **R** | C | C | C | - | - | I | - | - | - | - | C | C | - | - | C | C | - | - | C | - | - |
| PISC Package QA | - | - | - | - | - | - | - | - | - | - | - | - | **A** | C | - | C | **R** | **R** | - | - | **R** | - | - |
| PISC Recommendation | C | C | C | C | C | - | I | C | - | - | - | I | **A** | **R** | C | C | C | C | - | - | C | - | - |
| Approve/Reject PISC decision | I | I | I | I | I | I | I | I | - | - | **A** | I | **R** | **R** | - | - | I | I | I | - | I | - | - |
| **PIF Development** | Discussion on how to augment CO capacity needs given findings of results of the VF CO Capacity Needs Assessment and current status | **A** | **R** | **C** | C |  | - | I | C | - | - | I | I | I | I | - | I | C | C | - | I | C | C | - |
| Draft PIF, pre-SESP and other required documents (incl. addressing comments from PISC and QA); secure GEF OFP letter. | C | **A** | **R** | C | C | - | - | - | - | - | - | - | - | C | - | - | C | C | - | - | C | - | - |
| CO clearance of draft PIF package (confirming compliance with UNDP POPP/ alignment with VFs | **A** | **R** | C | C | C | - | - | I | - | - | - | - | I | I | - | - | C | I | - | - | I | I | - |
| Submit to NCE for VF QA | I | **A** | **R** | - | - | - | - | - | - | - | - | - | - | I | - | - | I | I | - | - | - | - | - |
| NCE Safeguards & Gender QA for VF compliance | - | I | C | - | - | - | - | - | - | - | - | - | - | I | **-** | **A** | **R** | I | - | - | - | - | - |
| NCE Technical & Financial QA for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | C | **R** | - | - |
| Completion of PIF package for submission to NCE, incorporating comments from UNDP QA, in line with deadlines agreed with NCE | **A** | **R** | **R** | - | - | - | - | - | - | - | - | - | - | C | - | - | C | - | - | - | - | - | - |
| Submission to GEF Sec, with UNDP QA | I | I | C | - | - | - | - | I | - | - | I | I | I | **A** | - | **-** | **R** | C | **R** | I | C | - | - |
| Respond to GEF Secretariat/STAP review comments | I | C | **R** | C | C | - | - | - | - | - | - | C | I | **A** | C | C | **R** | C | I | C | C | C | - |
| Advance PIF through GEF Sec review and negotiate/engage with GEF Sec to achieve approval by GEF Council (once approved, release by GEF Trustee of 20% GEF Fee to UNDP) | I | I | I | I | I | - | I | I | - | - | I | C | I | **A** | - | - | **R** | I | I | I | I | - | - |
| **PPG: Prepare PPG/ Initiation Plan** | Delegate authority for GEF PPG resources to CO (incl. NCE financial and technical clearances, DOA signed by RR, RBX and EC) | **R** | I | I | I | I | **R** | I | I | I | - | **A** | C | - | **R** | - | **-** | C | **R** | **R** | I | **R** | - | - |
| Draft, sign, implement PPG/ Initiation Plan (conduct due diligence, confirm impl. modality, supervise country consultations etc.).  | **A** | **R** | C | C | C | - | - | I | - | - | - | - | I | C | - | - | C | C | - | - | C | C | - |
| NCE technical QA of Initiation plan | **-** | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | C | **R** | - | - | - | - | - | - |
| NCE financial QA of initiation plan | - | I | I | - | - | - | - | - | - | - | - | - | - | - | - | - | C | C | I | **A** | **R** | - | - |
| If Gvmt requests for impl. support, negotiate with GEF Sec for exceptional request | C | C | C | C | C | - | I | I | - | - | - | C | C | **A** | - | - | **R** | I | - | - | I | - | - |
| Financial mgmt. and impl. of PPG/IP project in ATLAS in accordance with UNDP POPP requirements and VF requirements. | **A** | **R** | C | C | C | - | - | - | - | - | - | - | C | **-** | - | - | C | C | - | - | C | - | - |
| **PPG: Design, Prepare and Submit ProDoc for Endorsement** | Conduct the Partner Capacity Assessment (PCAT) and the HACT micro assessment (if required as per PCAT) and assess implications to the design of the project and risks that need to be managed | I | **A** | **R** | C | C | - | - | I | - | - | - | I | I | I | - | - | C | C | - | - | I | - | - |
| Draft GEF ProDoc and annexes (including procurement plan) (incl. addressing comments from QA) in compliance with UNDP POPP/ alignment with VFs | C | **A** | **R** | C | C | - | - | - | - | - | - | - | - | C | - | - | C | C | - | - | C | C | C |
| CO clearance of ProDoc (confirming compliance with UNDP POPP (incl. private sector due diligence, SES etc.) and submission within deadlines to BPPS NCE | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | I | - | - | I | I | - | - | I | - | - |
| Submit to NCE for VF QA; and share procurement plan with BMS/RPA  | I | **A** | **R** | - | - | - | - | - | - | - | - | - | - | I | - | - | I | I | - | - | - | - | - |
| Finalize the procurement plan of the ProDoc, in consultation with BMS procurement advisor\**for high risk projects (and other thresholds TBD)*  | - | **A** | **R** | - | C | - | **-** | - | - | - | - | - | - | I | - | - | C | I | - | - | - | C | - |
| NCE Safeguards & Gender QA for VF compliance  | - | I | C | - | - | - | - | - | - | - | - | - | - | I | **-** | **A** | **R** | I | - | - | - | - | - |
| NCE Financial QA for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | - | - | - | C | C | I | **A** | **R** | - | - |
| NCE Technical QA for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | - | - | - | - |
| Completion of ProDoc package for submission to NCE, incorporating comments from UNDP QA, in line with deadlines agreed with NCE | **A** | **R** | **R** | - | - | - | - | - | - | - | - | - | - | C | - | - | C | - | - | - | - | - | - |
| Submission to GEF Sec (within GEF cancellation deadlines or project is automatically cancelled by GEF) | I | I | I | - | - | - | - | I | - | - | I | I | I | **A** | - | **-** | **R** | C | **R** | I | I | - | - |
| Respond to GEF Sec/Council review | I | C | **R** | C | C | - | - | - | - | - | - | C | I | **A** | C | C | **R** | C | I | C | C | C | - |
| LPAC | **A** | **R** | - | C | C | - | - | I | - | - | - | - | - | - | - | - | C | I | - | - | C | - | - |
| Advance ProDoc through GEF Sec review and negotiate/ engage with GEF Sec to achieve CEO endorsement by GEF CEO | I | I | I | I | I | - | I | I | - | - | I | C | I | **A** | - | - | **R** | I | I | I | I | - | - |
| **Project Implementation** | Delegate authority for GEF project resources to CO (incl. NCE financial and technical clearances, DOA signed by RR, RBX and EC) | **R** | I | - | I | I | **R** | C | I | I | - | **A** | C | - | **R** | - | - | - | **R** |  | **R** | **R** | - | - |
| Project document signature by RR & IP | **A** | **R** | I | I | I | - | - | I | - | - | - | I | - | - | I | - | I | I | - | I | I | - | - |
| First disbursement of GEF funds(release by GEF Trustee of 50% of GEF Fee to UNDP) | **A** | **R** | **-** | C | C | - | - | I | - | - | - | - | - | - | - | - | I | C | - | I | I | - | - |
| Inception Workshop | C | **A** | **R** | C | C | - | - | I | - | - | - | - | I | - | - | C | C | C | - | - | C | - | - |
| AWP: Review at CO level | C | **A** | **R** | I | C | - | - | - | - | - | - | - | - | - | - | - | I | I | - | - | I | - | - |
| AWP: NCE technical quality assurance | - | I | I | I | I | - | - | I | - | - | - | - | C | C | - | - | **A** | **R** | - | I | I | - | - |
| AWP: NCE financial quality assurance | - | I | I | I | I | - | - | I | - | - | - | - | C | C | - | - | C | C | - | C | **A****R** (MPSA-NOA) | - | - |
| AWP: CO clearance/approval  | **A** | **R** | I | C | C | - | - | I | - | - | - | - | - | - | - | - | I | I | - | - | - | - | - |
| Regular CO oversight missions to validate, supervise and QA PMU/ IP and field work  | I | **A** | **R** | C | C | - | - | I | - | - | - | - | - | - | I | - | C | I | - | - | - | - | - |
| RTA supervision missions - troubleshooting to manage technical QA risks | I | C | I | C | C | - | C | I | - | - | - | - | **R** | **A** | - | C | **R** | C | - | - | C | - | - |
| Draft GEF PIR in consultation with Project Manager (incl. addressing comments from QA (if relevant) | **R** | **A** | **R** | C | C | **-** | - | I | - | - | - | - | - | - | - | - | C | C | I | - | C | C | - |
| GEF PIR QA (in particular risk management and escalate risks as needed); once finalized by CO and RTA, submission of final PIR to GEF | I | I | I | I | I | - | I | I | - | - | - | C | C | **C** | **A** | C | **R** | C | - | I | C | - | - |
| Risk management: Manage and escalate GEF project risks/critical issues as per UNDP ERM | **A** | **R** | **R** | C | C | - | I | I | - | - | - | I | I | I | I | I | I | I | - | I | I | I | C |
| Risk management oversight: risk-based second tier portfolio oversight and address escalated GEF project risks/critical issues (through Action Plan) - options for additional oversight/ suspension/ cancellation (signed by RR, RBX and EC) | **C** | I | I | - | - | **A** | **R** | C | I | - | **A** | C | **R** | **R** | C | C | C | C | - | C | C | - | C |
| MTR: in-country consultation process according to GEF deadlines and guidance; draft management response; timely upload of relevant documentation to UNDP ERC | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | C | - | C | I | - | - | C | - | - |
| Commissioning of MTRs \*for high risk, A shifts to NCE | **A\*** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | **A\*** | - | C | I |  | - | C | - | - |
| MTR: quality assurance, provide input to CO on MTR and management response, sign off on final MTR report with CO, and submission to GEF (release by GEF Trustee of 30% of GEF Fee to UNDP) | - | I | I | I | C | - | C | I | - | - | - | C | **R** | C | **A** | C | C | C | - | I | C | - | - |
| Mid-term GEF Core indicators: completion | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | - | - | C | I | - | - | - | - | - |
| Mid-term GEF Core indicators: QA and submission to GEF | - | - | - | - | - | - | - | - | - | - | - | - | I | C | **A** | - | **R** | I | - | - | - | - | - |
| Project revisions: Manage in-country consultations, prepare revision proposals (incl. addressing comments from QA) | **A** | **R** | **R** | C | - | - | - | I | - | - | - | - | - | C | - | - | C | C | - | - | - | - | - |
| Project revision: QA and submission for approval by GEF Sec/Council | - | I | I | I | I | - | C | I | - | - | - | C | - | **A** | C | C | **R** | C | **R** | C | **R** | C | - |
| Project unfunded extension: Manage in-country consultations, prepare documentation (incl. addressing comments from QA) | **A** | **R** | **R** | C | - | - | - | I | - | - | - | - | C | - | - | - | C | C | I | - | - | - | - |
| Project unfunded extension: QA, approval and report to GEF | C | I | C | I | I | I | R | C | - | - | **A** | **R** | C | **R** | - | - | **R** | C | I | C | **R** | C | - |
| TE: Manage contracting and in-country consultation process according to GEF deadlines and guidance; draft management response; upload relevant documentation to UNDP ERC | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | C | - | C | C | - | - | I | - | - |
| Commissioning of TEs \*for high risk, A shifts to NCE | **A\*** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | **A\*** | - | C | I |  | - | C | - | - |
| TE: quality assurance, provide input to CO on management response, sign off on TE report, and submission to UNDP IEO for review and then GEF IEO | I | I | I | I | C | - | I | I | - | - | - | C | C | C | **A** | - | C | **R** | - | - | I | - | - |
| Closure GEF Core indicators: completion | **A** | **R** | **R** | C | - | - | - | - | - | - | **-** | - | I | - | C | - | C | I | - | - | - | - | - |
| Closure GEF Core indicators: QA and submission to GEF | - | - | - | - | - | - | - | - | - | - | - | - | I | C | **A** | - | **R** | I |  | - | - | - | - |
| **Closure** | Operational and financial closure: undertake as per PPM requirements | **A** | **R** | C | C | C | **-** | - | - | - | - | - | - | - | **-** | - | - | **-** | C | - | I | C | - | C |
| Operational and financial closure: verification and reporting to GEF Secretariat and GEF trustee | - | - | C | I | C | - | - | I | - | - | - | - | - | **-** | - | - | C | C | - | **A** | **R** | - | C |

1. On nature, climate and energy related technical inputs, the programme officer will be supported by a NCE regional technical specialist (RTS) deployed by BPPS-NCE and reporting to the Regional Team Lead (RTL). [↑](#footnote-ref-1)