**GCF 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-2)** | **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:**  GCF policy support, portfolio management, reporting, outreach and knowledge, support to evaluations | **I** | - | - | - | - | - | I | - | I | I | **A** | **R** | C | C | C | C | C | C | C | C | C | C | C |
| **Origination & Idea Note** | Secure official NDA request letter | C | **A** | **R** | - | - | - | - | I | - | - | - | - | I | I | - | - | I | I | - | - | - | - | - |
| Draft idea note (incl. revising the idea note to address comments from PISC and NCE QA) | C | **A** | **R** | C | C | - | - | - | - | - | - | - | - | C | - | - | C | C | - | - | C | - | - |
| CO clearance of draft idea note (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 Technical QA and clearance for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | - | **-** | - | - |
| Pre-PISC Package Preparation  *\*initial review (of idea note) to make a decision on investing resources for CN development (differs from the full PISC at CN stage)* | **A** | **R** | C | C | C | - | - | I | - | - | - | - | C | C | - | - | C | C | - | - | C | - | - |
| Initial Pre-PISC Package QA | - | - | - | - | - | - | - | - | - | - | - | - | **A** | C | - | C | **R** | **R** | - | - | **R** | - | - |
| Initial Pre-PISC Recommendation | C | C | C | C | C | - | I | C | - | - | - | I | **A** | **R** | C | C | C | C | - | - | C | - | - |
| Approve/Reject Initial Pre-PISC decision | I | I | I | I | I | I | I | I | - | - | **A** | I | **R** | **R** | - | - | I | I | I | - | I | - | - |
| NCE Technical clearance of final Idea note for CN development | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | - | - | - | - |
| **Concept Note** | 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 concept note (CN), pre-feasibility study, pre-SESP and other required documents (incl. revising documents to address comments from QA) | C | **A** | **R** | C | C | - | - | - | - | - | - | - | - | C | - | - | C | C | - | - | C | - | - |
| 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 | - | - |
| CO clearance of draft CN package (confirming compliance with UNDP POPP/ alignment with VFs) | **A** | **R** | C | C | C | - | - | I | - | - | - | - | I | I | - | - | C | I | - | - | I | I | - |
| NCE Technical QA for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | - | - | - | - |
| Full PISC Package Preparation as per PISC SOPs | **A** | **R** | **R** | C | C | - | - | I | - | - | - | - | C | C | - | - | C | C | - | - | C | - | - |
| Full PISC Package QA | - | - | - | - | - | - | - | - | - | - | - | - | **A** | C | - | C | **R** | **R** | - | - | **R** | - | - |
| Full 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 | - | - |
| Submit to NCE for VF QA | I | **A** | **R** | - | - | - | - | - | - | - | - | - | - | I | - | - | I | I | - | - | - | - | - |
| NCE Safeguards & Gender QA and clearance for VF compliance | - | I | C | - | - | - | - | - | - | - | - | - | - | I | **-** | **A** | **R** | I | - | - | - | - | - |
| NCE Financial QA and clearance for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | I | - | - | C | C | I | **A** | **R** | - | - |
| NCE Technical QA and clearance for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | - | - | - | - |
| Completion of CN package for submission to NCE, addressing comments from UNDP QA, in line with deadlines agreed with NCE | **A** | **R** | **R** | - | - | - | - | - | - | - | - | - | - | C | - | - | C | - | - | - | - | - | - |
| Submission to GCF Sec | I | I | C | - | - | - | - | I | - | - | I | I | I | **A** | - | **-** | C | C | **R** | I | C | - | - |
| Respond to GCF Sec review comments | I | C | **R** | C | C | - | - | - | - | - | - | C | I | **A** | C | C | **R** | C | I | C | C | C | - |
| Advance CN through GCF Sec review and negotiate/ engage with GCF Sec to achieve GCF CIC 2 clearance by GCF Sec | I | I | C | I | I | - | I | I | - | - | I | C | I | **A** | - | - | **R** | I | I | I | I | - | - |
| **Funding Proposal** | Draft funding proposal (FP) and annexes (including budget and procurement plan, safeguards and all co-financing commitment letters) (incl. revising documents to address 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 FP package (confirming compliance with UNDP POPP; incl. private sector due diligence, SES etc.) | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | I | - | - | I | I | - | - | I | - | - |
| Submit to NCE for VF QA in line with deadlines agreed with NCE; and share procurement plan with BMS/RPA | I | **A** | **R** | - | - | - | - | I | - | - | - | - | - | I | - | - | I | I | - | - | - | - | - |
| NCE Safeguards & Gender QA and clearance for VF compliance | - | I | C | - | - | - | - | - | - | - | - | - | - | I | **-** | **A** | **R** | I | - | - | - | - | - |
| Procurement plan QA and clearance by the BMS procurement advisor | - | C | C | - | C | - | **-** | - | - | - | - | - | - | I | - | - | C | I | - | - | - | **A & R** | - |
| NCE Financial QA and clearance for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | I | - | - | C | C | I | **A** | **R** | - | - |
| NCE Technical QA and clearance for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | - | - | - | - |
| Completion of FP package (incl. budget and procurement plan, safeguards and all co-financing commitment letters) for submission to NCE, incorporating comments from UNDP QA, in line with deadlines agreed with NCE | **A** | **R** | **R** | - | - | - | - | - | - | - | - | - | - | C | - | - | C | - | - | - | - | - | - |
| Submission to GCF Sec (within GCF submission deadline | I | I | I | - | - | - | - | I | - | - | I | I | I | **A** | - | **-** | C | C | **R** | I | I | - | - |
| Respond to GCF Sec/Board review | I | C | **R** | C | C | - | - | - | - | - | - | C | I | **A** | C | C | **R** | C | I | C | C | C | - |
| Negotiate and clear term sheet and draft FAA | I | C | C | I | I | - | - | - | - | - | I | **A** | I | C | - | C- | **R** | **R** | I | C | **R** | - | - |
| Advance the funding proposal package through GCF Sec review and negotiate/ engage with GCF Sec to achieve Board approval | I | C | C | I | I | - | I | I | - | - | I | C | I | **A** | - | - | **R** | I | I | I | I | - | - |
| **Implementation** | Execute the Funded Activity Agreement (FAA) | I | I | I | - | - | **-** | I | I | - | - | **A** | **R** | - | **R** | - | - | C | C | I | **R** | C | - | - |
| Draft the GCF ProDoc and annexes and co-financing letters (incl. revising documents to address 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, etc.)) | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | I | - | - | I | I | - | - | I | - | - |
| Submit to NCE for VF QA, within deadlines agreed with BPPS NCE | I | **A** | **R** | - | - | - | - | - | - | - | - | - | - | I | - | - | I | I | - | - | - | - | - |
| NCE Technical QA and clearance for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | C | **R** | C | I | - | - | - | - |
| NCE Financial QA and clearance for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | I | - | - | C | C | I | **A** | **R** | - | - |
| LPAC | **A** | **R** | - | C | C | - | - | I | - | - | - | - | - | - | - | - | C | I | - | - | C | - | - |
| Prepare the conditions for FAA effectiveness | **I** | **A** | **R** | - | - | - | - | - | - | - | - | - | - | C | - | - | C | C | - | - | - | - | - |
| NCE QA and clearance of the conditions for FAA effectiveness | - | I | I | - | - | - | - | - | - | - | - | **A** | - | I | - | - | **R** | **R** | I | - | I | - | - |
| Submit conditions for FAA effectiveness to the GCF Sec, within the legal deadline | - | I | I | - | - | - | - | - | - | I | - | I | - | **A** | - | - | I | C | **R** | I | 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 | - | - | - | - | - | - |
| NCE FAA Compliance QA and clearance of ProDoc | - | I | I | - | - | - | - | - | - | - | - | **A** | - | I | - | - | **R** | C | - | I | - | - | - |
| NCE Technical QA and clearance of ProDoc for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | - | **R** | C | I | - | - | - | - |
| NCE Financial QA and clearance of ProDoc for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | I | - | - | C | C | I | **A** | **R** | - | - |
| Delegate authority for GCF project resources to CO (DOA is signed by RR, RBX and EC) | **R** | I | - | I | I | **R** | C | I | I | - | **A** | C | - | C | - | - | C | C | I | C | C | - | - |
| Project document signature by RR & IP | **A** | **R** | I | I | I | - | - | I | - | - | - | I | - | - | I | - | I | I | - | I | I | - | - |
| Preparation of documentation (incl. all conditions precedent to disbursements) for first and subsequent disbursement requests for GCF funds and AE fee, in line with deadlines agreed with NCE | **A** | **R** | **-** | C | C | - | - | I | - | - | - | - | - | - | - | - | C | C | - | I | I | - | - |
| NCE QA and clearance of disbursement request package: FAA compliance & financial clearance and submission to GCF Sec, within the FAA deadlines | - | I | I | - | - | - | - | - | - | - | - | **R** | - | I | - | - | C | **R** | - | **A** | **R** | - | - |
| Inception Workshop | C | **A** | **R** | C | C | - | - | I | - | - | - | - | I | - | - | C | C | C | - | - | C | C | - |
| Preparation of inception report and baseline assessments (incl. addressing comments from QA) | C | **A** | **R** | C | C | - | - | - | - | - | - | - | - | C | - | - | C | C | - | - | - | - | - |
| CO clearance of inception report (confirming compliance with UNDP POPP and alignment with VFs) | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | I | - | - | I | I | - | - | I | - | - |
| Submit to NCE for VF QA, within deadlines agreed with BPPS NCE | I | **A** | **R** | - | - | - | - | - | - | - | - | - | - | I | - | - | I | I | - | - | - | - | - |
| NCE Technical QA and clearance of Inception Report for VF compliance | - | I | I | - | - | - | - | - | - | - | - | - | - | **A** | - | C | **R** | C | I | - | - | - | - |
| Submission of Inception Report to GCF Sec (within legal deadlines) | I | I | I | - | - | - | - | I | - | - | I | I | I | **A** | - | **-** | C | C | **R** | I | I | - | - |
| AWP: Review at CO level | C | **A** | **R** | I | C | - | - | - | - | - | - | - | - | - | - | - | C | 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-Junior) | - | - |
| 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 GCF APR (and prepare co-financing letters) in consultation with Project Manager (incl. addressing comments from QA) in line with quality requirements and deadlines | C | **A** | **R** | C | C | **-** | - | I | - | - | - | - | - | - | - | - | C | C | I | - | C | C | - |
| CO clearance of GCF APR (confirming compliance with UNDP POPP and alignment with VFs) | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | I | - | - | I | I | - | - | I | - | - |
| GCF APR QA by NCE (in particular risk management and escalate risks as needed)  *\*for high risk projects, PTA technical clearance is required* | I | I | I | I | I | - | I | I | - | - | - | C | - | **R\*** | **A** | C | **R** | **R** | - | C | **R** | - | - |
| Submission of final APR to GCF, within the legal deadlines | I | I | I | I | I | - | I | I | - | - | I | **A** | - | I | - | - | C | **R** | C | - | I | - | - |
| Risk management: Manage and escalate GCF 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 GCF 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 |
| FAA Conditions and Covenants: monitoring and ensuring compliance with FAA requirements | C | **A** | **R** | C | C | - | - | - | - | - | - | - | - | C | - | - | C | C | - | - | - | - | - |
| FAA Conditions and Covenants: preparation of documents, including addressing comments from UNDP QA and GCF, in line with deadlines agreed with NCE  (ex. operational manual, ESS assessments, etc.) | C | **A** | **R** | C | C | **-** | - | - | - | - | - | - | - | - | - | - | C | C | I | - | - | - | - |
| FAA Conditions and Covenants: CO clearance of documents (confirming compliance with UNDP POPP and alignment with VFs) | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | I | - | - | I | I | - | - | I | - | - |
| FAA Conditions and Covenants: NCE QA, clearance and submission to GCF Sec within legal deadlines | - | I | I | - | - | - | - | - | - | - | - | - | C | **A** | - | **R** | **R** | C | I | - | - | - | - |
| Interim Evaluation Report (IER): in-country consultation process according to GCF deadlines and guidance; review and comment on draft IER (incl. ensuring comments from QA are addressed; draft management response; timely upload of relevant documentation to UNDP ERC | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | C | - | C | C | - | - | C | - | - |
| Commissioning of IERs  \*for high risk, A shifts to NCE | **A\*** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | **A\*** | - | C | I |  | - | C | - | - |
| NCE QA of draft IER and management response, , and submission of final IER to GCF | I | I | I | I | C | - | I | I | - | - | - | C | C | **R** | **A** | C | **R** | C | C | I | C | - | - |
| Signing the IER after NCE QA and clearance | **A** | **R** | C | R | - | - | - | - | - | - | **I** | - | - | **R** | I | - | **R** | I | - | - | - | - | - |
| Responding to GCF comments on the IER and ensuring comments are addressed | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | C | - | C | I | - | - | C | - | - |
| Adaptive management 1 – minor changes: Manage in-country consultations, prepare Note to Files and other related documents as required (incl. addressing comments from QA and GCF) | **A** | **R** | **R** | C | - | - | - | I | - | - | - | - | - | C | - | - | C | C | - | - | - | - | - |
| NCE Technical QA and clearance of Note to File and related documents | - | I | I | I | I | - | C | I | - | - | - | ~~I~~ | - | **A** | C | C | **R** | C | **-** | C | **R** | C | - |
| NCE Compliance QA and clearance of Note to File and related documents | - | I | I | I | I | - | C | I | - | - | - | **R** | - | I | C | C | C | C | - |  |  |  |  |
| Adaptive management 2– major changes: Manage in-country consultations, prepare Restructuring proposal & annexes (incl. addressing comments from QA and GCF) | **A** | **R** | **R** | C | - | - | - | I | - | - | - | - | - | C | - | - | C | C | - | - | - | - | - |
| NCE Technical QA and clearance of the restructuring proposal and annexes | - | I | I | I | I | - | C | I | - | - | - | ~~I~~ | - | **A** | C | C | **R** | C | **-** | C | **R** | C | - |
| NCE Compliance QA and clearance of the restructuring proposal and annexes | - | I | I | I | I | - | C | I | - | - | - | **R** | - | I | C | C | C | C | - |  |  |  |  |
| Submission of the adaptive management documents to GCF Sec | I | I | I | - | - | - | - | I | - | - | I | I | I | **A** | - | **-** | C | C | **R** | I | I | - | - |
| Project unfunded extension: Manage in-country consultations, prepare documentation (incl. addressing comments from QA) in line with deadlines agreed with NCE | **A** | **R** | **R** | C | - | - | - | I | - | - | - | - | C | - | - | - | C | C | I | - | - | - | - |
| Project unfunded extension: QA and clearance | C | I | C | I | I | I | **R** | C | - | - | **A** | **R** | C | **R** | - | C | **R** | C | I | C | **R** | C | - |
| Project unfunded extension: submission to GCF within the deadline | I | I | I | I | I | - | I | I | - | - | I | **A** | - | I | - | - | C | **R** | C | - | I | - | - |
| Final Evaluation Report (FER): Manage contracting and in-country consultation process according to GCF deadlines and guidance; review FER and draft management response; (incl. ensuring comments from QA are addressed); timely upload relevant documentation to UNDP ERC | **A** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | C | - | C | C | - | - | C | - | - |
| Commissioning of FERs  \*for high risk, A shifts to NCE | **A\*** | **R** | C | C | C | - | - | - | - | - | - | - | I | - | **A\*** | - | C | I |  | - | C | - | - |
| NCE QA of draft FER and management response; submission of final FER to GCF | I | I | I | I | C | - | I | I | - | - | - | C | C | **R** | **A** | C | **R** | C | C | I | C | - | - |
| Signing the FER after NCE QA and clearance | **A** | **R** | C | R | - | - | - | - | - | - | **I** | - | - | **R** | I | - | **R** | I | - | - | - | - | - |
| Draft GCF Project Completion Report (PCR) in consultation with Project Manager (incl. addressing comments from QA) in line with quality requirements and deadlines | **R** | **A** | **R** | C | C | **-** | - | I | - | - | - | - | - | - | - | - | C | C | I | - | C | C | - |
| NCE QA of GCF PCR | I | I | I | I | I | - | I | I | - | - | - | C | - | C | **A** | C | **R** | **R** | - | C | **R** | - | - |
| Submission of final PCR to GCF | I | I | I | I | I | - | I | I | - | - | I | **A** | - | I | - | - | C | **R** | C | - | 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 GCF Secretariat and GCF 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-2)