ANNEX. SES/SRM Roles and Responsibilities

The following outlines key roles, responsibilities and accountability for SES implementation, corporate accountability, oversight and support functions across the organization. This is based on the proposed initial investment outlined in the SES Implementation Plan. The job descriptions/annual work plans for staff with key SES roles and responsibilities will be updated to reflect this accordingly.

Country Office

RR
- Ultimate accountability for adherence to SES in the programme
- Decision making on SES risks escalated to Programme level, including determining when risks need to be escalated further to RBx
- Engagement with country partners, RC, UNCT on politically sensitive issues
- Engagement with donors/funding partners as appropriate

DRR – CO SES/SRM Lead:
- Functional lead on SES/SRM in CO
- Engagement with country partners, UNCT
- Ensure SES applied across programme portfolio
- SES integral part of programme management, addressing risks that cut across portfolio of projects (e.g. risk assessments, M&E, capacities, trainings needed across programme)
- Identify technical support needs for the CO/programme and engage with RBx/GPN
- Ensure CO SRM established, receive SRM requests and review eligibility, together with corporate SRM Coordinator, identify opportunities for resolution, propose a response and support implementation, report on results

Programme Officers:
- Technical capacities in COs (e.g. environment, gender, human rights, etc)
- Provide SES advice in area of expertise across programme portfolio (e.g. in PAC processes)
- Ensure SES implementation in their programme of work/portfolio

M&E/RBM Officers:
- Assurance that SESPs being conducted and identified risks and management measures actively being tracked in Risk Register (for project and programme) and project Quality Assurance
- High Risk projects given extra attention to ensure effective risk management and monitoring
- Support and advice to integrate mitigation measures across projects for consistency and cost-efficiency in management
- Ensuring incorporation of SES documentation in the LPAC process
- Ensure SES is in line with the project design, activities and results framework
• Guide projects to develop project monitoring tools which incorporate possible mechanisms of onsite verifications and beneficiary feedback monitoring
• Monitoring to ensure grievance mechanisms are in place

**Project Teams:**

• Forefront of SES/SRM implementation (e.g. screening, assessment, risk identification and ongoing management, meaningful stakeholder engagement, project GRM, public disclosure, oversight of third parties, assurance, monitoring, reporting, project budget)
• May include dedicated SES project staff/consultants for higher risk projects or to address particular risks.

**Regional Bureaux**

**Director/Deputy:**

• Engage in political/sensitive cases that are escalated to RBx
• Decision-making and leadership for escalated cases, in consultation with BPPS senior management
• Ensure awareness and commitment across COs on importance and value of SES in programming
• Ensure cases escalated to Risk Committee when needed

**Country Oversight/Support Teams:**

• First line of oversight
• Liaison between COs and GPN to help identify and respond to CO SES/SRM support needs
• Liaison with RBx SES focal point to identify need for specialized SES oversight
• Ensure COs aware of SES guidance, tools, requirements
• Oversight to ensure SES being implemented throughout programme/project management cycle
• Coordination of SECU case responses with CO and HQ Units (as per SOPs)

**RBx SES Focal Point(s):**

• Appointed by RBx, ideally colleague(s) involved in PPM, risk management, and/or oversight & support.
• Coordinate with Corporate SES Policy Team, Regional SES Experts (LTAs), Regional Hub, and GPN SES experts to identify strategies for learning, capacity building, oversight and support across the region.
• Escalate issues within Bureau as needed to mobilize additional oversight and support for high risks and emerging issues
• In support of SES Implementation Plan, coordinate the development of a regional action plan and targets to strengthen SES implementation and capacities within the region.

**SES Regional Experts – SES LTAs Based in Regional Hubs**

• Specialized, dedicated SES oversight and support, focused on priority and high-risk projects
• Regional portfolio review to identify high-risk projects and need for in-depth support
• Support implementation and monitoring of regional action plan
• Quality assurance of SES related documentation for identified high risk and priority projects, in close coordination with RBx focal point/BPPS particularly for cases that require decision-making or escalation
• Reporting to track progress on regional SES quality targets and indicators
• Capture lessons learned and examples to be shared in SES Toolkit
• Regular coordination with other regional LTAs to ensure consistency in approach (facilitated by BPPS SES policy team, together with RBx SES focal points)

GPN (Regional Hubs)

GPN Specialized SES Oversight & Support:

• Risk Management support through trained internal experts
• Specialized SES support through trained internal experts
• Technical and advisory support for high risk, priority and escalated projects
• Support COs undergoing SECU/SRM cases
• Establish and maintain roster of consultants to provide CO support
• Natural Capital and Environment (NCE) Team – dedicated capacities for SES oversight and support in NCE portfolio and building capacities beyond (based in HQ)
• Work closely with SES expertise within GPN to ensure coordination, consistent interpretation of policies and shared learning

GPN (HQ)

BPPS Effectiveness Group, SES Policy Team:

• Policy/Procedures
• SES Toolkit, Guidance, public website
• Stakeholder Response Mechanism Coordination
• Advise on high risk, sensitive cases
• Learning Strategy, corporate trainings
• Corporate systems/reporting (e.g. online SESP tool, integration in Throughline, Corporate Planning System)
• Engagement with global partners, UN system, expert networks
• Legal advice, with LSO
• External relations and donor negotiations on SES, with BERA
• Support COs undergoing SECU/SRM cases
• Establish and maintain roster (SES and SRM)
• Work closely with SES expertise within GPN to ensure coordination, consistent interpretation of policies and shared learning

BERA (HQ)

• Engaging with donors and partners at HQ level, can escalate cases when needed
• Corporate communications on highly visible SECU cases