Risk Register

Workflow

Step by Step of System Process
Steps of Risk Register in Aconex

1. UNHCR uploads the risk register
2. UNHCR fills the information (metadata) for registering the document, which may be revised once completed
3. UNHCR transmits the risk register template to the partner, using the “Risk Register” workflow template
4. Partner receives the risk register through the workflow and downloads the document
5. Partner reviews and completes/edits the risk register
6. Partner reuploads the risk register, selects the ‘Agreed’ status, and submits the document
7. UNHCR receives the risk register back through the workflow, downloads and reviews it
8. If in agreement, UNHCR reuploads the risk register, selects ‘Agreed’ status, and submits the document
9. If not in agreement, UNHCR proposes changes, reuploads the document and shares it with the partner through a sub workflow
10. Once the risk register has been agreed by both parties, UNHCR edits the information (metadata) of the ‘Agreed’ document by entering the final number of risks and opportunities for each category
1. UNHCR uploads the risk register

1. Click on 'Documents'.

2. Click on 'Add/Update Documents'.

3. Drag and drop into this box, or click on the '+' to select a file to upload.

Remark: UNHCR may enter some initial risks in the template, before uploading the risk register template to Aconex.
2. UNHCR fills the information (metadata) for registering the document

1. Select “Risk Register” for Type.
2. Enter 0.
3. Enter the title of the document. Title should be written as: “Risk Register for ...........” replace the dots with the partnership code, as in the screenshot.
4. Select the Partner Agreement / Contract from the drop-down list.
5. Select the implementer from the drop-down list.
6. Enter zeros for the total number of risks and opportunities in the 7 categories. Note: UNHCR will update these fields after the risk register has been finalized and agreed with the partner, and the workflow has ended.
7. The status should be “Not started”.
8. Indicate the date of uploading the risk register template into Aconex.
3. UNHCR transmits the risk register template to the partner, using the “Risk Register” workflow template (1/2)

1. Select "Document Register"

2. Search for the document using the filtering options to narrow down the search.

3. Click on 'Search'.

4. Select the right document by checking this box.

5. Click ‘Transmit’, then select “Start a Workflow” to transmit the document to the partner.
3. UNHCR transmits the risk register template to the partner, using the “Risk Register” workflow template (2/2)

From the Start Workflow Wizard, click on “Select Workflow Template”

Select “Risk Register”, then click next.

Keep the default number of days for the workflows steps to be completed for both the partner and UNHCR, or change it as required.

Here we indicate the name of the person in the partner organization to whom this workflow will go, and the person in UNHCR who should receive it back.

Type the name, then delete the dummy user.

Click on this small arrow.

Click ‘Submit’ from the top right corner of the screen.
4. Partner receives the risk register through a workflow and downloads the document

1. The partner receives an email notification of the workflow transmittal.

2. From 'Tasks', go to "My Tasks".

3. Under "Awaiting your Review", you will find the document transmitted to you.

4. Click on the correct document, then it will open another window.

5. Click on the three vertical dots and select 'Download'.

6. Save the document on your computer without any changes to the 'document title/no'
5. Partner reviews and completes/edits the risk register

<table>
<thead>
<tr>
<th>Risk ID1:</th>
<th>Name (Event)</th>
<th>Category</th>
<th>Causes</th>
<th>Consequences</th>
<th>Likelihood</th>
<th>Impact</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>[Free Text]</td>
<td>Operational Context</td>
<td>[Free Text]</td>
<td>[Free Text]</td>
<td>Medium</td>
<td>Insignificant</td>
<td>Low</td>
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<table>
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<tr>
<th>Treatments</th>
<th>Action</th>
<th>Lead</th>
<th>Target Date</th>
<th>Status</th>
</tr>
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<tr>
<td>Action 1</td>
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<td>Lead</td>
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</tr>
<tr>
<td>Action 2</td>
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<td></td>
<td>1/1/2023</td>
<td>Work in Progress</td>
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<tr>
<td>Action n</td>
<td>[Free Text]</td>
<td></td>
<td>1/1/2023</td>
<td>Not in place</td>
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</table>

<table>
<thead>
<tr>
<th>Risk ID2:</th>
<th>Name (Event)</th>
<th>Category</th>
<th>Causes</th>
<th>Consequences</th>
<th>Likelihood</th>
<th>Impact</th>
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<tbody>
<tr>
<td></td>
<td>[Free Text]</td>
<td>Operational Context</td>
<td>[Free Text]</td>
<td>[Free Text]</td>
<td>Medium</td>
<td>Minor</td>
<td>Low</td>
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<tbody>
<tr>
<td>Action 1</td>
<td>[Free Text]</td>
<td>Lead</td>
<td>1/1/2023</td>
<td>In place</td>
</tr>
<tr>
<td>Action 2</td>
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<td>Action n</td>
<td>[Free Text]</td>
<td></td>
<td>1/1/2023</td>
<td>Not in place</td>
</tr>
</tbody>
</table>

1. Fill/review/modify in the file as appropriate, then save it on your computer.
6. Partner reuploads the risk register, selects the “Agreed” status, and submits the document

1. Click here to upload a replacement file.

2. Click on the “Local Computer/Network” to select the modified file.

3. Notice that the file is replaced.

4. Select the “agreed” status, and add comments, if needed.

5. Check the box next to the replaced document.

6. Click “Submit Selected Documents” on the top right of your screen to share the document with UNHCR.
7. UNHCR receives the risk register back through the workflow, downloads and reviews it

1. UNCHR receives an email notification of the workflow transmittal.

2. From ‘Tasks’, go to “My Tasks”.

3. Under “Awaiting your Review”, the document transmitted to you will be there.

4. Click on the correct document, then it will open another window.

5. Click on the three dots and select ‘Download’.

6. Review the partners’ input, and modify, if needed.

7. Save the document on your computer.
8. **If in agreement, UNHCR reuploads the risk register, selects 'Agreed' status, and submits the document**

1. Click here to upload a replacement file.
2. Click on the "Local Computer/Network" to select the modified file.
3. Notice that the file is replaced.
4. If in agreement and no further action is required from the partner, select the 'Agreed' status and add comments if needed. The document will be resubmitted to the partner, as the final version.
5. Check the box next to the replaced document.
6. Click "Submit Selected Documents" on the top right of your screen. The workflow ends and partner receives the agreed risk register.
9. **If not in agreement**, UNHCR proposes changes, reuploads the document and shares it with the partner through a sub workflow.

1. If not in agreement and the partner is required to review and amend, select “Revise & Resubmit” and start a sub-workflow, and add any comment if needed.

2. Click on “Start Sub workflow”.

3. From the Start Workflow Wizard, click on “Select Workflow Template”.

4. Select “Partner Sub Workflow” then click next.

5. Type the name, then delete the dummy user.

6. Click ‘Submit’ from the top right corner of the screen.

7. The document then goes to the partner for another review until there is a final agreement.
10. UNHCR edits the information (metadata) of the ‘Agreed’ document by entering the final number of risks and opportunities for each category.

1. The final agreed document is saved automatically in the Document Register.

2. Select the ‘Agreed’ Risk Register in the “Document Register” and click on the document. Then, another window will open.

3. Click on “Update Document”.

4. Update the total number of risks and opportunities in the 7 categories based on the final agreed on risk register.

5. Indicate the status “Final”.

The final agreed document is saved automatically in the Document Register.
THANK YOU