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'.

ACLE Aconex | ToT Environment | 🔍 Cr

📄 Documents ▾ | ✉ Mail | ⚠ Field | ⑨ Cost | 🔀 Workflows | 🖑 Directory

Search
Document Register
Drawings
Temporary Files

Actions
Add/Update Documents
Add/Update Placeholders
Bulk Processing
View Outstanding Print Requests
Specification Reader

My Organization's Searches
Financial Plan version

My Project's Searches
Audit Documents

Standard Searches
Approved
Drawings modified today
Issued for approval
Temporary files uploaded by me today

Since Project Fields are being used, new uploads have been enabled for all users on the p

Remark: UNHCR may enter some initial risks in the template, before uploading the risk register template to Aconex.

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

Drag and Drop
Select or drop files here.

+

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.

Type *	Risk Register
Document No *	-- Auto assigned --
Revision *	0
Title *	Risk Register for 32041Y23P184048
Partner Agreement / Contract *	32063Y23P184048
Implementer *	Arabian Medical Relief Society
Operational context # risks + opp *	0
Planning/programme/support # risks + opp *	0
Protection + solutions # risks + opp *	0
Delivering assistance # risks + opp *	0
People + culture # risks + opp *	0
ER + resource mobilization # risks + opp *	0
Data + information # risks + opp *	0
Status *	Not Started
Confidential	☐ Limit access to selected individuals
Revision Date *	20/10/2023
Created By	United Nations High Commissioner for Refugees
Integration Status	
Additional Notes	

3. UNHCR transmits the risk register template to the partner, using the "Risk Register" workflow template (1/2)

Search - Document Register   Document Activity   Tell us what you think

Document Register	
Drawings	
Temporary Files	

Search across all document fields including Document Number   **Search**

☐ Search file content   ☐ Show document history

Document No | Title

Revision | Integration Status
0 |

Partner Agreement / Contract | Implementer
Select values... | Select values...

Type | Status
Select values... | Select values...

> MORE FILTERS (24)

Standard Searches
☐ Approved
☐ Issued for approval
☐ Drawings modified to...
☐ Temporary files uploa...

nex   ToT Go Live ▼   🔍 Cross Project Search

📄 Documents ▾   ✉ Mail   ⚠ Field   💲 Cost   ✤ Workflows   👤 Directory

Search
Document Register
Drawings
Temporary Files

Standard Searches
Approved
Drawings modified today
Issued for approval
Temporary files uploaded by me today

Actions
Add/Update Documents
Add/Update Placeholders
Bulk Processing
View Outstanding Print Requests
Specification Reader

1 Select "Document Register"

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

3 Click on 'Search'.

			32063Y23P184048-RRG-
☑	⋯	📋	UNHCRTOT-32063Y23P184048-RRG-

Risk Register for 32041Y23P184048

4 Select the right document by checking this box.

Add/Update Documents ▾ | Transmit ▾ | Tools ▾ | Reports ▾

10 results (**1** selected)   Select A

☐	File	Documen...		ster
☐	📋	3636		

1-10 of 10 Documents (**1** selected)

Create a Transmittal
Auto Update Transmitted Documents
Create a Tender Transmittal
Auto Update Tender Transmitted Documents
Start a Workflow

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)

Start Workflow Wizard

1 Select Documents
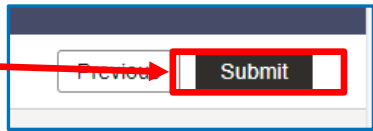
Template Name

☑ Show templates from my organization only

2 **Select Workflow Template** *

3 View and Edit Workflow Settings *

Submit

Template Name

○ Audit Recommendations
○ Detail Drawing Submittal
○ Detail Drawing Submittal (without UNHCR Engineer)
○ Formal Partner Review
○ Negotiation of Financial Plan
○ Negotiation of Indicators
○ Partner Proposed Change of Indicators
○ Partner Sub Workflow
○ PFA Report
○ Project Financial Report Submission
○ Project Handover to End Users
○ Representative Sub Workflow
◉ Risk Register
○ Site Meeting Minutes Review

6 From the Start Workflow Wizard, click on "Select Workflow Template"

7 Select "Risk Register", then click next.

12 Click 'Submit' from the top right corner of the screen

Previous | **Submit**

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

9 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.

11 Type the name, then delete the dummy user.

Transmittal Settings — Reason for Issue *
Issued for Review
These settings will be used in all transmittals

Duration   15 days
Due Date   08/11/202

Step Details ✕

Step Name
Partner Proposal

Participants

✈ Hadir Shady - United Nations High Commissioner for Refuge... 🗑

Cc

-- Enter search query here --

OK

1 Select Documents * ✓
2 Select Workflow Template * ✓
3 **View and Edit Workflow Settings** *

Submit

Workflow Name * — Risk Register

Workflow Note

Workflow Review Status Set   Review Status Set 2
Review statuses that will be available for reviewers

Review Status Labels
● Agreed
● Revise & Resubmit

Workflow Outcome Decided By   Final step outcome (lead reviewer)

Initiator Options   When starting a workflow:
☑ Initiator can edit step durations and participants

While workflow in progress:
☑ Initiator can edit step participants
☑ Initiator can skip steps

Transmittal Setting   Reason for Issue *
Issued for Review
These settings will be used in all transmittals generated by this workflow

Duration   15 days   5 days   Total: 20
Due Date   15/11/2023   Estimated End Date: 15/11/2023

Partner Proposal   UNHCR Agreement

10 Click on this small arrow.

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

Risk ID1:	Name (Event)	Category	Causes	Consequences	Likelihood	Impact	Rating
	[Free Text]	Operational Context	[Free Text]	[Free Text]	Medium	Insignificant	Low

Treatments	Action			Lead		Target Date	Status
Action 1	[Free Text]					1/1/2023	Not in place
Action 2	[Free Text]					1/1/2023	Work in Progress
Action n	[Free Text]					1/1/2023	Not in place
Insert row to add action							

Risk ID2:	Name (Event)	Category	Causes	Consequences	Likelihood	Impact	Rating
	[Free Text]	Operational Context	[Free Text]	[Free Text]	Medium	Minor	Low

Treatments	Action			Lead		Target Date	Status
Action 1	[Free Text]					1/1/2023	In place
Action 2	[Free Text]					1/1/2023	Work in Progress
Action n	[Free Text]					1/1/2023	Not in place
Insert row to add action							

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

Comments | | **Date Due** | ⇅ | **Markups**
| | 08/11/2023 | None | ⬆ ✎

1 Click here to upload a replacement file.

Attach a file ✕

From

Local Computer/Network | Temporary Files

Cancel

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

Date Due ⇅ | **Markups**
08/11/2023 | File replaced

3 Notice that the file is replaced.

Review Outcome * | **Comments**

Agreed
Revise & Resubmit

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

☐▾ | | **File** | **Document No**
✓ | ⋮ | ▦ | UNHCRTOT-32063Y23P184048-RRG-0014

5 Check the box next to the replaced document.

‹ | **Submit Selected Documents**

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

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

1 UNCHR receives an email notification of the workflow transmittal.

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

Comments	Date Due ⇅	Markups
	08/11/2023	None [⬆] [✎]

1 Click here to upload a replacement file.

Attach a file ✕

From

[Local Computer/Network] [Temporary Files]

[Cancel]

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

Date Due ⇅	Markups
08/11/2023	File replaced

3 Notice that the file is replaced.

Review Outcome * **Comments**

[▼]

Agreed
Revise & Resubmit

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.

☐▼		File	Document No
☑	⋮	▦	UNHCRTOT-32063Y23P184048-RRG-0014

5 Check the box next to the replaced document.

⟨ ⟩ **Submit Selected Documents**

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

Review Outcome * **Comments**

Agreed
Revise & Resubmit

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.

Documents for Review (1)   Supplementary Files (0)

Bulk Review   Bulk Publish   Start Subworkflow   Delegate   Zip Download   More Options ▾

1-1 of 1 document for review (0 selected)

☐▾		File	Document No	↑	Title
✓	⋮	🔲	UNHCRTOT-32063Y23P184048-RRG-0014		Risk Register for 32041Y23P184048

2
Click on "Start Sub workflow".

3
From the Start Workflow Wizard, click on "Select Workflow Template"

Start Workflow Wizard

1 Select Documents *   Template Name

2 Select Workflow Template *

3 View and Edit Workflow Settings *

Submit

☑ Show temp

Template Name
○ Audit Recommendations
○ Detail Drawing Submittal
○ Detail Drawing Submittal (without UNHCR Engineer)
○ Formal Partner Review
○ Negotiation of Financial Plan
○ Negotiation of Indicators
○ Partner Proposed Change of Indicators
⦿ Partner Sub Workflow
○ PFA Report
○ Project Financial Report Submission
○ Project Handover to End Users
○ Representative Sub Workflow
○ Risk Register
○ Site Meeting Minutes Review

4
Select "Partner Sub Workflow" then click next.

5
Type the name, then delete the dummy user.

Step Details

Step Name
Partner Review

Participants
Hadir Shady - United Nations High Commissioner for Refuge...

Cc
-- Enter search query here --

OK

6
Click 'Submit' from the top right corner of the screen

Previous   **Submit**

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.

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☑ ⋯	📋	UNHCRTOT- 32063Y23P184048-RRG-	Risk Register for 32041Y23P184048

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".

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"

Type *	Risk Register
Document No *	UNHCRTOT-32063Y23P184048-RRG-0002
	Current version: **Rev: 0, 671089138, created by United N**
Revision *	0
Title *	Risk Register for 32041Y23P184048
Partner Agreement / Contract *	32063Y23P184048
Implementer *	Arabian Medical Relief Society
Operational context # risks + opp *	1
Planning/programme/support # risks + opp *	1
Protection + solutions # risks + opp *	1
Delivering assistance # risks + opp *	1
People + culture # risks + opp *	1
ER + resource mobilization # risks + opp *	1
Data + information # risks + opp *	1
Status *	Final
Confidential	☐ Limit access to selected individuals
Revision Date *	10/10/2023
Created By	United Nations High Commissioner for Refugees

THANK YOU