PROMS Tips

Software tip: PROMS 1

The process of creating a profile in Aconex is outlined below:

- UNHCR checks whether the prospective partner is already registered in Aconex.
- If not, the prospective partner receives an Outlook email notification with a link to the Aconex registration page.
- The prospective partner fills out the required fields on the registration page and submits the application.

Software tip: PROMS 2

The ICA review process utilizes the “Document” and “Workflow” modules in Aconex, as outlined below.

Step 1: UNHCR uploads the draft ICA report in the Document Register as an “Assessment Report” document type, selecting “Internal Control Assessment” for the “Assessment Report Type”. The overall risk rating is also selected from the dropdown menu. UNHCR transmits the draft ICA report via a workflow to the partner, using the “Formal Partner Review” workflow template.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow, downloads the draft ICA report, enters any feedback, reuploads the file in the workflow step and completes the workflow step by selecting either the “draft” or “final” status option (*NOTE: It does not matter which status option is selected*).

Step 3: UNHCR receives an email notification of the workflow transmittal. UNHCR opens the workflow, downloads the draft ICA report and addresses the partner’s feedback.

> **a)** If no further feedback/consultation is required, selects the “final” workflow status and completes the workflow step. The partner receives the final version of the ICA report, and the workflow ends.
> OR:
> **b)** If not in agreement with the partner’s feedback (major concerns) and the entire review period needs to be reset, UNHCR enters concerns in the downloaded file, uploads the modified ICA report in the workflow step and selects the “draft” status option. The workflow ends and UNHCR returns to step 1.

OR:
c) If consultations are required with the partner that can be achieved within the workflow review period, UNHCR enters concerns in the downloaded file and transmits the modified ICA report on a “Partner Sub Workflow” to reach agreement with the partner. Within the sub workflow, the partner selects either “proceed”, if in agreement with UNHCR’s changes/requests, or “revise & resubmit” if the partner does not agree with the proposal from UNHCR. UNHCR uses this sub workflow process until there is an agreement on the ICA report.
NOTE: *Please note that the sub workflow timing does not extend the review of the original workflow step (“UNHCR Finalization”).*
Once agreement is met with the partner, the sub workflow ends [return to step 3a)].

Software tip: PROMS 3

UNHCR can raise an ICA recommendation using Field “Issues” by selecting the “Issue” type “Implementation Monitoring”. It leads to the following steps:

- UNHCR selects the “Issue Categorization” that corresponds to the ICA theme for the recommendation (e.g. eligibility of expenses claimed) and assigns the Issue to the partner.
- The partner receives a notification in Aconex (via email) that a recommended action is assigned to their organization.
- The partner attaches documents, adds comments and updates the status to “work done” (ready to inspect) once the recommended action has been taken.
- UNHCR is notified via email that action has been taken. If UNHCR is satisfied with the action taken, they close the “Issue”.
- If the partner does not agree with the recommendation, they can assign it to become “in dispute”. In such circumstances UNHCR can close the Issue before any action is taken.

Software tip: PROMS 4

The risk register process utilizes the “Document” and “Workflow” modules in Aconex, as outlined below.

Step 1: UNHCR uploads the risk register in the Document Register as a “Risk Register” document type, entering **zero** for the total number of risks and opportunities for each of the 7 categories listed in the form and selecting the status “Not Started”. UNHCR transmits the risk register via a workflow to the partner, using the “Risk Register” workflow template.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow, downloads the risk register, modifies the file, reuploads the modified file in the workflow step and completes the workflow step by selecting the "agreed" status.

Step 3: UNHCR receives an email notification of the workflow transmittal. UNHCR opens the workflow, downloads the risk register and reviews the partner's inputs.

> **a)** If in agreement with the proposal, selects the "agreed" workflow status, completing the workflow step. The partner receives the agreed risk register and the workflow ends.
> OR:
> **b)** If not in agreement with the partner's inputs (major concerns) and the entire review period needs to be reset, UNHCR enters inputs in the downloaded file, uploads the modified risk register into the workflow step and selects the "revise and resubmit" status option. The workflow ends and UNHCR returns to step 1.
> OR:
> **c)** If modifications are required by the partner that can be achieved within the workflow review period, UNHCR transmits the risk register on a "Partner Sub Workflow" to reach agreement with the partner. Within the sub workflow, the partner selects either "proceed", if in agreement with UNHCR's changes/requests, or "revise & resubmit" if the partner does not agree with the proposal from UNHCR. UNHCR uses this sub workflow process until there is an agreement on the risk register.
> ***NOTE:*** *Please note that the sub workflow timing does not extend the review of the original workflow step ("UNHCR Agreement").*
> Once agreement is met with the partner, the sub workflow ends [return to step 3a)].

Step 4: UNHCR selects the "agreed" risk register in the Document Register and selects "update document" to enter the correct total number of risks and opportunities for each of the 7 categories listed in the finalized form. Ensure to select the status "final". This metadata will allow for analytical reporting of all risk registers in the project environment.

Software tip: PROMS 5

The project description is embedded within the project workplan contract and developed jointly with the partner in Aconex as part of the project workplan contract negotiation. **This tip therefore refers to the completion and signature of the project workplan contract**.

The project workplan contract shell is created in Cloud ERP Contracts Module once the partner has been assigned to outputs in COMPASS by UNHCR.

Step 1: UNHCR downloads the contract shell from Cloud ERP and UNHCR enters the following details:

- **Appropriate reference number**:
  - Cloud ERP reference number, i.e. 32063Y23P002534 (5-digit cost centre + Year + P or M + followed by the last six digits of the Supplier ID that the Partner has in Cloud ERP).
  - Aconex Document Registration number, i.e. JOR-32063Y23P002534-PWP-0001.

- **Project title**: as on UNPP under the relevant Call for Expression of Interest, where relevant.
- **Areas of Specialization**: click on as many areas as relevant to the project to ensure applicable standards apply to the project.
- **Project Location**: this could be a Country; a Province within a Country or a Populated Place (like a camp or settlement or urban area). In the Financial Plan a code is used for a location: The code convention, i.e. AFG-BAD-XXX-LCN-01. Country – Province – Populated place – Type of location – two-digit number can also be referenced, if preferred.
- **Risk Assessment and Essential Controls sections**: further DSPR/IMAS guidance is available surrounding calculations to determine essential controls.
- **Initial proposed reporting requirements**: aligned with the above controls.

Step 2: UNHCR uploads the populated project workplan contract in the Document Register as a "Partner Agreement" document type. UNHCR transmits the draft project workplan contract via a workflow to the partner, using the "Formal Partner Review" workflow template.

Step 3: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow, downloads the project workplan contract, reviews the details entered by UNHCR and enters additional proposed project details and other information. The partner reuploads the modified project workplan contract into the workflow step and completes the workflow step by selecting the appropriate status option.

Step 4: UNHCR receives an email notification of the workflow transmittal. UNHCR opens the workflow, reviews the content of the project workplan contract (including the project description) and ensures that the project description is shared internally and approved by the relevant Results Manager(s) offline.

a) If in agreement, UNHCR selects the "final" workflow status and completes the workflow step, ending the workflow. The project workplan contract has been agreed and UNHCR signs and uploads the finalized project workplan contract in Cloud ERP for the Representative's approval in Cloud ERP.

OR:

b) If not in agreement with the partner's inputs (major concerns) and the entire review period needs to be reset, UNHCR enters comments in the downloaded file, uploads the modified project workplan contract into the workflow step and selects the "draft" status option. The workflow ends and UNHCR returns to step 2.

OR:

c) If modifications are required by the partner that can be achieved within the workflow review period, UNHCR transmits the project workplan contract on a "Partner Sub Workflow" to reach agreement with the partner. Within the sub workflow, the partner selects either "proceed", if in agreement with UNHCR's changes, or "revise & resubmit" if the partner does not agree with the proposal from UNHCR. UNHCR uses this sub workflow process until there is an agreement on the project workplan contract.

NOTE: *Please note that the sub workflow timing does not extend the review of the original workflow step ("UNHCR Finalization").*

Once agreement is met with the partner, the sub workflow ends [return to step 4a)].

Software tip: PROMS 6

The results plan document is registered in the Aconex Document Register via integration with information from COMPASS.

Step 1: UNHCR Programme initiates a workflow using the "Negotiation of Indicators" workflow template and transmits the integrated results plan to the partner.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow, downloads the results plan and enters the indicators information, including the proposed numerator and denominator for targets, and any comments (if necessary). The partner uploads the proposed results plan in the "Partner Output Indicator Proposal" workflow step and completes the workflow step with the status 'Agreed.'

Step 3: UNHCR Programme receives an email notification of the workflow transmittal. UNHCR Programme opens the workflow, downloads the proposed results plan and reviews the content, enters the agreed numerator and denominator, and replaces the file in the workflow step, and the workflow is completed with 'Agreed' status.

NB: If a revision of the file is required, UNHCR Programme updates the proposed numerator and denominator and initiates a "Partner Sub-Workflow". The process continues until UNHCR, and the partner agree on the targets, and the workflow ends. The final document reflects an 'Agreed' status in the document register.

Software tip: PROMS 7

The financial plan document is registered in the Aconex Document Register via integration with information from COMPASS.

Step 1: UNHCR Programme initiates a workflow using the "Negotiation of Financial Plan" workflow template and transmits the integrated financial plan to the partner.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow, downloads the financial plan and enters their proposed costs, any comments and reference codes (if necessary). The partner uploads the proposed financial plan in the "Partner Financial Plan Proposal" workflow step, as well as any supplementary files as supporting documents (if necessary) and completes the workflow step with the status "agreed".

Step 3: UNHCR Programme receives an email notification of the workflow transmittal. UNHCR Programme opens the workflow, downloads the proposed financial plan and reviews the content. UNHCR Programme adds any "general agreement comments", populates the "UNHCR proposed value" column and enters the approved prepayment.
NB: UNHCR Programme may transmit the proposed financial plan on a "Partner Sub Workflow" to reach agreement with the partner. The partner selects either "proceed", if in agreement with UNHCR's changes, or "revise & resubmit" if the partner does not agree with the proposal from UNHCR Programme. UNHCR Programme uses this sub workflow process until there is an agreement on the financial plan – initiating a new "Partner Sub Workflow" each time the partner selects "revise & resubmit". Once agreement is met with the partner, the sub workflow(s) end [proceed to step 4].

Step 4: UNHCR Programme uploads the partner-agreed financial plan in the "1st Stage Approval" workflow step and completes the workflow step with the status "agreed." The workflow moves to the "2nd Stage Approval" step.

Step 5: The final step of the financial plan workflow requires that the project workplan contract is first signed by the partner and the UNHCR Representative. Therefore, Project Control reviews the final project workplan documents and completes the Quality Assurance Checklist, which is downloaded from the intranet. The project workplan contract template is downloaded as a word document from Cloud ERP contracts module, populated and reuploaded (still as a word document) in the “Contract terms” tab of the contract in the Cloud ERP contracts module. A copy of the signed PDF contract is uploaded into the Cloud ERP contract record under 'Documents' tab as a 'Contract Document', along with project control’s Quality Assurance Checklist. UNHCR Programme submits the project workplan contract in Cloud ERP contracts module to the Approver. The Approver, as delegated by the Representative, approves the project workplan contract. UNHCR Programme adds the names and dates of signatories in Cloud ERP contracts module so that the contract has a status of ‘Active’.

Step 6: The UNHCR Representative receives an email notification of the workflow transmittal from Step 4. The UNHCR Representative opens the workflow, downloads the financial plan and reviews the content.

> **a)** If in agreement with the financial plan, the UNHCR Representative approves it by completing the workflow step with the status “agreed”. The workflow ends and the financial plan has been approved.
> OR:
> **b)** If modifications are required, the Representative transmits the financial plan with their comments on a “Representative Sub Workflow” which comprises the following steps:
>
> > (i) UNHCR Programme Review: UNHCR Programme downloads the Representative’s comments, addresses the concerns, uploads the modified financial plan in the sub workflow and selects “proceed”.
> > (ii) Partner Review: The partner then receives the modified financial plan and, if accepts, updates the financial plan and selects “proceed”. If the partner contests the changes, then they enter their comments in the financial plan and select “revise and resubmit”.
> > (iii) UNHCR Programme Approval: UNHCR Programme reviews the financial plan from the partner and, if in agreement, finalizes the financial plan and selects “proceed” [the sub-workflow ends and the financial plan is then sent to the Representative for approval – return to step 6a)]. If UNHCR Programme is not in agreement with the partner’s comments, they start a “Partner Sub Workflow” (see above for details).

The Representative's approval of the financial plan will trigger the update in COMPASS, the generation of the first project financial report (PFR), the creation of the purchase order in Cloud ERP and the first prepayment release.

The financial plan is used to create the cost worksheet, contract and contract line items in the "Connected Cost". This information is populated in the "Connected Cost" via the integration.

Note: If for some reason the financial plan document in Aconex does not correspond with the data in COMPASS, a workflow should not be initiated, and the document status should be changed to "cancelled".

Software tip: PROMS 8

During the implementation monitoring, UNHCR or a partner (as an initiator) can raise a recommendation using Field "Issues" by selecting the "Issue" type "Implementation Monitoring". It leads to the following steps:

Step 1: The partner or UNHCR, as the assignee, receives a notification in Aconex (via email) that a recommended action is assigned to their organization.

Step 2: The assignee attaches documents, adds comments and updates the status to "work done" (ready to inspect) once the recommended action has been taken.

Step 3: The initiator is notified via email that action has been taken.

- **a)** If the initiator is satisfied with the action taken, they close the "Issue".
- **b)** If the assignee does not agree with the recommendation, they can assign it to become "in dispute". In such circumstances the initiator can close the Issue before any action is taken.

Software tip: PROMS 9

Please note that this workflow process is **not** just about the submission of the PFR (despite the template name). The workflow feeds into the process of documenting the partner's progress to-date, taking into consideration information available, including: reported results, expenditure, progress against risk treatment plans and capacity strengthening plans, and feedback from people with and for whom the partner/UNHCR works. This workflow therefore encompasses UNHCR's verification processes, documenting UNHCR's implementation monitoring, and hence it is initiated by Programme.

The process utilizes the “Document” and “Workflow” modules in Aconex as described in the steps below. See the PFR Standard Process Diagram for a visualization of these steps.

The PFR template is generated in Aconex via integration, and is based on the results of the financial plan negotiation.

Step 1: UNHCR Programme selects the PFR template from the Aconex Document Register and transmits it via a workflow to the partner, using the “Project Financial Report Submission” workflow template.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow, downloads the PFR template and enters expenditure, proposed reallocations (if applicable) and the next proposed instalment amount (if applicable). The partner reuploads the modified excel file in the workflow step and completes the workflow step by selecting the review outcome “approved”.

Step 3: UNHCR Programme receives an email notification of the workflow transmittal. UNHCR Programme opens the workflow in the “1st Stage Approval” step and downloads the partner-completed PFR.

Step 4: UNHCR Programme completes the PMC02 form with the partner (if applicable) via Field Inspections and obtains the partner’s signature (see separate PROMS software tip #3 in GET – Section 4 on the PMC02 process). Once the PMC02 is completed, UNHCR Programme downloads the closed PMC02 form as a PDF and uploads it into the “1st Stage Approval” step of the workflow as a supplementary file. UNHCR Programme completes the workflow step by selecting the status “approved”.
If there is no need for UNHCR Programme to complete and upload the PMC02, they can complete the workflow step by selecting the status “Review Not Required”.
Step 5: UNHCR Project Control receives an email notification of the workflow transmittal. UNHCR Project Control opens the workflow in the “2nd Stage Approval” step and downloads the partner-completed PFR.

Step 6: UNHCR Project Control completes the PMC03 form with the partner via Field Inspections, obtains the UNHCR approval signature and the partner’s signature (see separate PROMS software tip #4 in GET – Section 4 on the PMC03 process). Once the PMC03 is completed, UNHCR Project Control downloads the closed PMC03 form as a PDF and uploads it into the “2nd Stage Approval” step of the workflow as a supplementary file.

Step 7: UNHCR Project Control enters the verified expenditures, proposed reallocations (if applicable) and the proposed next instalment value (if applicable) into the partner-completed PFR to become the UNHCR-completed PFR.
NB: UNHCR Project Control may transmit the UNHCR-completed PFR on a "Partner Sub Workflow" to reach agreement with the partner. The partner selects either "proceed", if in agreement with UNHCR's changes, or "revise & resubmit" if the partner does not agree with the proposal from UNHCR Project Control. If the partner selects "revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is an agreement on the PFR. Once agreement is met with the partner, the use of the sub workflow process ends [proceed to step 8].

Step 8: UNHCR Project Control uploads the partner-agreed UNHCR-completed PFR in the "2nd Stage Approval" workflow step and completes the workflow step with the status "approved." The workflow moves to the "3rd Stage Approval" step.

Step 9: The UNHCR Representative (or delegated authority) receives an email notification of the workflow transmittal. The UNHCR Representative opens the workflow in the "3rd Stage Approval" step, downloads the PFR and reviews the content.

> **a)** If in agreement with the PFR, the UNHCR Representative approves it by completing the workflow step with the status "approved". The workflow ends, the PFR has been approved and the release of the next instalment is triggered in Cloud ERP (if applicable).
> OR:
> **b)** If modifications are required, the Representative transmits the PFR with their comments on a "Representative Sub Workflow" which comprises the following steps:
>
> > (i) UNHCR Programme Review: UNHCR Project Control downloads the PFR with the Representative's comments, addresses the concerns, uploads the modified PFR in the sub workflow and selects "proceed".
> > (ii) Partner Review: The partner then receives the modified PFR and, if accepts, updates the PFR and selects "proceed". If the partner contests the changes, then they enter their comments and select "revise and resubmit".
> > (iii) UNHCR Programme Approval: UNHCR Project Control reviews the PFR from the partner and, if in agreement, finalizes the PFR and selects "proceed" [the sub-workflow ends and the PFR is then sent to the UNHCR Representative for approval – return to step 9a)]. If UNHCR Project Control is not in agreement with the partner's comments, they start a "Partner Sub Workflow" (see above for details).

Software tip: PROMS 10

The project performance verification (PMC02) utilizes the Field module in Aconex. UNHCR completes the PMC02 and assigns it to the partner for review, comment, acceptance, or to be sent back to UNHCR following the steps below:

Step 1: UNHCR creates a new Field "Inspection" using the PMC02 template, downloads the "open" issues report and reviews the reported progress against the actuals.

Step 2: UNHCR answers the questions in the PMC02 form in the Field module and adds their signature.

NB: If required, UNHCR can create an "Issue" for a particular question and assign it to the partner (see the separate PROMS software tip #1 in GET Section 4 on Field "Issues"). The partner would then need to respond to the assigned Issues. Equally, the partner can also create an Issue for a particular question to assign to UNHCR.

Step 3: UNHCR assigns the completed PMC02 form to the partner for their review.

Step 4: The partner reviews the information in the PMC02 form.

a) If the partner doesn't agree to the verification, they can add comments and reassign the checklist to UNHCR. UNHCR Programme modifies the answers in the PMC02 form to reflect the partner's comments (return to Step 3).

OR:

b) If in agreement with the content of the PMC02 and no further input is required, the partner selects the "acceptance" status, enters their signature and reassigns the checklist to UNHCR.

Step 5: UNHCR closes the checklist, completing the PMC02.

Software tip: PROMS 11

The project financial verification (PMC03) utilizes the Field module in Aconex. UNHCR completes the PMC03 and assigns it to the partner for review, comment, acceptance, or to be sent back to UNHCR following the steps below:

Step 1: UNHCR creates a new Field "Inspection" using the PMC03 template and conducts the financial verification.

Step 2: UNHCR uploads the supporting documentation (as applicable) and answers the questions in the PMC03 form in the Field module.

NB: If required, UNHCR can create an "Issue" for a particular question and assign it to the partner (see the separate PROMS software tip #1 in GET Section 4 on Field "Issues"). The partner would then need to respond to the assigned Issues. Equally, the partner can also create an Issue for a particular question to assign to UNHCR.

Step 3: UNHCR signs the PMC03 form and assigns it internally to the UNHCR approver for their signature.

Step 4: The UNHCR approver reviews the PMC03 form and adds their signature for internal approval.

Step 5: UNHCR assigns the completed and signed PMC03 form to the partner for their review.

Step 6: The partner reviews the information in the PMC03 form.

> **a)** If the partner doesn't agree to the verification, they can add comments and reassign the checklist to UNHCR. UNHCR modifies the answers in the PMC03 form to reflect the partner's comments (return to Step 3).
> OR:
> **b)** If in agreement with the content of the PMC03 and no further input is required, the partner selects the "acceptance" status, enters their signature and reassigns the checklist to UNHCR.

Step 7: UNHCR closes the checklist, completing the PMC03.

Software tip: PROMS 12

The process for the request for extension of liquidation or implementation period is conducted using the "Mail Module" in Aconex.

Step 1: The partner creates a new blank mail in Aconex and selects the mail type "Initial Request for Extension". The partner fills out the required details in the data fields and sends it to UNHCR.

Step 2: UNHCR Programme opens the mail in Aconex and reviews the details of the request.

> **a)** If the request is deemed to be invalid, UNHCR replies to the partner with the mail type "Request Cancellation".

OR:
b) If further information or amendments to the details provided by the Partner are required, UNHCR replies to the partner with the mail type “Clarification”. Then the Partner can reply with clarifications.
OR:
c) If the details in the request are valid and complete, UNHCR replies to the “Initial Request for Extension” or “Clarification” mail with a “Request for Extension” mail. This mail contains the information which is to be included in the “Request for Extension Report”.

Step 3: UNHCR Programme downloads, filters and saves the report. When the report is ready, UNHCR creates a “Request for Approval of Extension” mail, attaches the report, and sends the mail to the UNHCR Regional Bureau.

Step 4: UNHCR Regional Bureau downloads the report, updates the required columns, saves the report & responds to the “Request for Approval of Extension”, attaching the updated report.

Step 5: UNHCR Programme receives the “Request for Extension” and replies to the partner with a “Response to Extension Request” mail, confirming the approval on the request.

NB: In case of HQ entities, UNHCR Programme sends the request (in step 3) to DSPR/IMAS for approval.

Software tip: PROMS 13

The end-PFR and end-narrative reporting process utilizes the “Document” and “Workflows” modules in Aconex, as outlined below.

Step 1: UNHCR Programme registers the end-narrative report as a “project report” document type with the status of “not started”. An Excel spreadsheet is registered in the Aconex Document Register via integration as the end-PFR. UNHCR transmits these two documents via a workflow to the partner using the “Project Financial Report Submission” workflow template.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow and downloads the final PFR and the end-narrative report. The partner modifies the “proposed value” column in the end-PFR and fills out the end-narrative report. The partner reuploads the modified files in the workflow step and completes the workflow step by selecting the appropriate status option.

Step 3: UNHCR 1st stage approver (Programme) receives an email notification of the workflow transmittal. UNHCR Programme opens the workflow and downloads the end-PFR and the end-narrative report.

Step 4: UNHCR Programme completes the PMC02 form via Field Inspections and obtains the partner's signature (if required – see separate PROMS software tip #3 in GET – Section 4 on the PMC02 process). Once the PMC02 is completed, UNHCR Programme downloads the closed PMC02 form as a PDF and uploads it into the "1st Stage Approval" step of the workflow as a supplementary file.

Step 5: UNHCR Programme reviews the end-narrative report.

a) If in agreement with the content, completes the workflow step as "approved".

OR:

b) If further inputs are required from the partner, UNHCR Programme provides comments in the end-narrative report and transmits the modified end-narrative report on a "Partner Sub Workflow" to reach agreement with the partner. The partner selects either "proceed", if in agreement with UNHCR's changes/requests, or "revise & resubmit" if the partner does not agree with the proposal from UNHCR. UNHCR uses this sub workflow process until there is an agreement on the end-narrative report. Once agreement is met with the partner, the sub workflow ends [return to step 5a)].

Step 6: The UNHCR 2nd stage approver (Project Control) receives an email notification of the workflow transmittal. UNHCR Project Control opens the workflow and downloads the end-PFR and the end-narrative report.

Step 7: UNHCR Project Control completes the PMC03 form via Field Inspections and obtains the partner's signature (see separate PROMS software tip #4 in GET – Section 4 on the PMC03 process). Once the PMC03 is completed, UNHCR Project Control downloads the closed PMC03 form as a PDF and uploads it into the "2nd Stage Approval" step of the workflow as a supplementary file.

Step 8: UNHCR Project Control enters the verified expenditures and proposed next instalment value (if applicable) into the partner-completed PFR to become the UNHCR-completed PFR.

NB: UNHCR Project Control may transmit the UNHCR-completed PFR on a "Partner Sub Workflow" to reach agreement with the partner. The partner selects either "proceed", if in agreement with UNHCR's changes, or "revise & resubmit" if the partner does not agree with the proposal from UNHCR Project Control.

UNHCR Project Control uses this sub workflow process until there is an agreement on the PFR. Once agreement is met with the partner, the sub workflow ends [proceed to step 9].

Step 9: UNHCR Project Control uploads the partner-agreed UNHCR-completed PFR in the “2nd Stage Approval” workflow step and completes the workflow step with the status “approved.” The workflow moves to the “3rd Stage Approval” step.

Step 10: The UNHCR Representative receives an email notification of the workflow transmittal. The UNHCR Representative opens the workflow in the “3rd Stage Approval” step, downloads the end-PFR and the end-narrative report and reviews the content.

a) If in agreement with the end-PFR and the end-narrative report, the UNHCR Representative approves it by completing the workflow step with the status “approved”. The workflow ends and the end-PFR and end-narrative report have been approved.

OR:

b) If modifications are required, the Representative transmits the end-PFR and/or the end-narrative report with their comments on a “Representative Sub Workflow” which comprises the following steps:

(i) UNHCR Programme Review: UNHCR Programme/Project Control downloads the file(s) with the Representative’s comments, addresses the concerns, uploads the modified end-PFR and/or end-narrative report in the sub workflow and selects “proceed”.

(ii) Partner Review: The partner then receives the modified end-PFR and/or end-narrative report and, if accepts, updates the file(s) and selects “proceed”. If the partner contests the changes, then they enter their comments and select “revise and resubmit”.

(iii) UNHCR Programme Approval: UNHCR Programme/Project Control reviews the end-PFR and/or end-narrative report from the partner and, if in agreement, finalizes the file(s) and selects “proceed” [the sub-workflow ends and the end-PFR and/or end-narrative report is then sent to the Representative for approval – return to step 10a)]. If UNHCR Programme/Project Control is not in agreement with the partner’s comments, they start a “Partner Sub Workflow” (see above for details).

Software tip: PROMS 14

The annual feedback process utilizes the Field module in Aconex. The partner completes the annual feedback form and assigns it to UNHCR for acceptance following the steps below:

Step 1: The partner creates a new Field "Inspection" using the annual feedback form template and answers the questions in the form.

Step 2: The partner assigns the annual feedback form to UNHCR.

Step 3: UNHCR takes note of the feedback and selects the "acceptance" status. The form is closed, completing the annual feedback process.

Software tip: PROMS 15

The PFA report process utilizes the "Document" and "Workflow" modules in Aconex, as outlined below.

Step 1: The partner uploads the draft PFA report in the Document Register as a "PFA Report" document type. The partner transmits the PFA report via a workflow to UNHCR, using the "PFA Report" workflow template.

Step 2: UNHCR receives an email notifying them of the workflow transmittal. UNHCR opens the workflow, downloads the draft report and reviews the content.

> **a)** If UNHCR has feedback, they upload the report with comments and complete the workflow step by selecting the "revise and resubmit" status option. The workflow ends and the partner can download the UNHCR-reviewed report to amend offline before starting at Step 1 with a revised version.
>
> OR:
>
> **b)** If UNHCR has no inputs to make, they select the "agreed" status option and the workflow ends. UNHCR and the partner receive the final PFA report in the workflow transmittal.

Software tip: PROMS 16

The audit enquiry for information process utilizes the "Mail" module in Aconex.

Step 1: The UNHCR project auditor submits an enquiry for information. The project auditor creates an "Enquiry for Information" mail, and it captures details such as the Partner Agreement / Contract Number, and "Description of Request" ("Transmittal Request" or "Information Request").

Step 2: The partner receives an email notifying them of the mail. The partner opens the "Enquiry for Information" mail and reviews the request. If the request is a "Transmittal Request" the partner registers the required documents. Once the documentation is registered, the partner opens the "Enquiry for Information" and replies with a Transmittal attaching the required documents. If the request is an

“Information Request” the partner opens the “Enquiry for Information” and replies with a “Response to the Enquiry for Information”.

Step 3: The auditor receives an email notification of the mail. The auditor opens the Transmittal or “Response to the Enquiry for Information” mail and reviews the information.

a) If the information is complete the auditor can select the original “Enquiry for Information” mail and mark the thread as “closed-out” which completes the process.

OR:

b) If additional information is required, the auditor can select the “Enquiry for Information” mail and forward it as a new “Enquiry for Information” mail. The process is continued until the response is accepted by the auditor.

Software tip: PROMS 17

The audit report review process utilizes the “Document” and “Workflow” modules in Aconex, as outlined below.

Step 1: The auditor uploads the draft audit report in the Document Register as an “Audit” document type, selecting “Audit Report” for the “Audit Document Type” and “draft” for the status. The auditor transmits the draft audit report via a workflow to the partner, using the “Formal Partner Review” workflow template.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner has 7 days to open the workflow, download the file, enter any feedback, reupload the revised file and complete the workflow step by selecting the appropriate status option.

Step 3: The auditor receives an email notification of the workflow transmittal. The auditor opens the workflow and reviews the partner’s feedback.

a) If no further feedback/consultation is required with the partner, the auditor selects the “final” workflow status and completes the workflow step. The partner receives the final version of the audit report and the workflow ends.

OR:

b) If not in agreement with the partner’s feedback (major concerns) and the entire review period needs to be reset, the auditor enters concerns in the downloaded file, uploads the modified audit report in the workflow step and selects the “draft” status option. The workflow ends and the auditor returns to **step 1**.

OR:

c) If consultations are required with the partner that can be achieved within the workflow review period, the auditor enters concerns in the downloaded file and transmits the modified audit report on a "Partner Sub Workflow" to reach agreement with the partner. Within the sub workflow, the partner selects either "proceed", if in agreement with the auditor's changes/requests, or "revise & resubmit" if the partner does not agree with the proposal from the auditor. The auditor uses this sub workflow process until there is an agreement on the audit report.

NOTE: *Please note that the sub workflow timing does not extend the review of the original workflow step ("UNHCR Finalization").*

Once agreement is met with the partner, the sub workflow ends [return to **step 3a**)].

Software tip: PROMS 18

The audit recommendations process utilizes the "Document" and "Workflow" modules in Aconex, as outlined below.

Step 1: UNHCR uploads the audit recommendations (as extracted from UNPP) in the Document Register as an "Audit" document type, selecting "Audit Recommendations" for the "Audit Document Type". UNHCR transmits the audit recommendations via a workflow to the partner, using the "Audit Recommendations" workflow template.

Step 2: The partner receives an email notifying them of the workflow transmittal. The partner opens the workflow, downloads the file, enters the outcomes for all the recommendations, reuploads the revised file and completes the workflow step by selecting the appropriate status option.

Step 3: UNHCR receives an email notification of the workflow transmittal. UNHCR opens the workflow and reviews the partner's inputs.

a) If satisfied that all recommendations have been closed, selects the "final" workflow status, completing the workflow step. The partner receives the final file recording the completed actions for the audit recommendations and the workflow ends.

OR:

b) If not all recommendations have been closed, UNHCR enters feedback in the file and selects the "in progress" status option. The workflow ends and UNHCR returns to **step 1.**

Software tip: PROMS 19

The recovery of funds process utilizes the "Mail" module in Aconex.

Step 1: UNHCR creates a “Request for Payment” using the Mail function in Aconex and captures the required details. This request is sent to the partner.

Step 2: The partner receives a notification that there is a “Request for Payment” awaiting a response. The partner opens the mail and reviews the details. The partner may not agree with the request, they may agree without having initiated the refund or they may agree and have initiated the refund. Either way, the partner replies with a “Response to Request for Payment” mail by completing the required fields and sending it back to UNHCR. Proceed to **step 4**.

If partner does not reply, proceed to **Step 3**.

Step 3: UNHCR issues a follow-up communication by opening the “Request for Payment” mail, completing the required fields, and forwards it as a “Payment Claim Correspondence” mail to the Partner. The process returns to Step 2 for the partner’s response.

Step 4: Under the following circumstances:

- The partner has completed a partial payment but there is an outstanding balance to be recovered.
- The partner has not provided any payment.
- The partner has completed a payment without providing a payment reference.

UNHCR opens the “Response to Request for Payment” mail, completes the required fields and replies to the partner’s “Response to Request for Payment” with a “Payment Claim Correspondence”. Return to Step 2.

If the partner has completed a full payment and provided the payment reference, a confirmation that the funds have been received is issued to the partner via a “Payment Claim Correspondence” mail. UNHCR then closes the Mail thread.

If the partner refuses to make the refund and UNHCR accepts, UNHCR closes the Mail thread.