Software tip: Aconex – Profile Creation

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

Step 1: UNHCR checks whether the prospective partner is already registered in Aconex.
If the prospective partner is already registered, there is no need to progress to Step 2 and UNHCR can support the partner to create a lobby account, set up administration roles and create Aconex users etc.

Step 2: If the prospective partner is not already registered, it will receive an Outlook email notification with a link to the Aconex registration page.

Step 3: The prospective partner fills out the required fields on the registration page, ensuring to select "Europe (EU1)" as the Aconex 'instance' (i.e. project location). The prospective partner selects the checkbox "On behalf of my organization" and submits the registration application.

Step 4: The partner will receive a message confirming their successful registration. It can proceed to create a lobby account, set up administration roles and create Aconex users etc. Further guidance on these topics can be found here.

Software tip: Aconex – ICA Review

The Internal Control Assessment (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 follows:

i. Select "Add/Update Documents" from the "Documents" tab and then drag and drop the draft ICA report.
ii. Select "Assessment Report" for the document Type.
iii. Select "Internal Control Assessment" for the Assessment Report Type.
iv. Choose the overall risk rating from the drop-down menu.
v. Set the revision number to zero ("0") and select the status of "Not started".
vi. Click "Register" and the document is immediately stored in the Document Register.

Step 2: UNHCR sends the draft ICA report to the partner, as follows:

i. Select the draft ICA report from the Document Register and transmit it on a workflow by using the "Formal Partner Review" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign participants to the workflow steps and enter the step deadlines.
iii. Click "Submit" to initiate the workflow.

Step 3: The partner reviews the draft ICA report and sends it back to UNHCR, as follows:

i. Receive the workflow transmittal, open the "Partner Review" workflow step and download the draft ICA report.
ii. Enter any feedback and upload the modified file in the workflow step as the replacement file.
iii. Complete the workflow step by selecting either "Draft" or "Final" for the review outcome.

NB: It does not matter which review outcome the partner selects because the workflow will always proceed to the second step.

Step 4: UNHCR opens the "UNHCR Finalization" workflow step, downloads the draft ICA report and addresses the partner's feedback.

a) If no further consultation is required with the partner, UNHCR uploads the final agreed ICA report, selects the review outcome of "Final" 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 workflow 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 review outcome of "Draft". The workflow ends and UNHCR returns to **step 2**.

OR:

c) If consultations are required with the partner that can be achieved within the deadline of the "UNHCR Finalization" workflow step, UNHCR enters concerns in the downloaded file, uploads the modified ICA report in the workflow step and transmits it on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. 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.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the ICA report.
iii. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "UNHCR Finalization" workflow step that still needs to be completed [return to **step 4a)**].

NB: The sub workflow timing does not extend the review of the parent workflow step ("UNHCR Finalization") and falls within the deadline of this parent workflow step.

Software tip: Aconex – ICA Recommendations

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

Step 1: UNHCR uploads the ICA recommendations matrix in the Aconex Document Register as follows:

i. Select "Add/Update Documents" from the "Documents" tab and then drag and drop the ICA recommendations matrix.
ii. Select "Assessment Report" for the document Type.
iii. Select "Internal Control Assessment" for the Assessment Report Type.
iv. Choose the overall risk rating from the drop-down menu.
v. Set the revision number to zero ("0") and select the status of "Not started".
vi. Click "Register" and the document is immediately stored in the Document Register.

Step 2: UNHCR sends the ICA recommendations to the partner, as follows:

i. Select the ICA recommendations matrix from the Document Register (by checking the box in the left column) and transmit it on a workflow by using the "Formal Partner Review" workflow template.
ii. In the workflow wizard, edit the workflow name to replace "Formal Partner Review" with "ICA recommendations" and to insert the partnership agreement contract number. Add the relevant multi-functional team (MFT) members to be in copy for the first workflow step "Partner Review". Modify the number of days for each step duration to align with the desired timeline for receiving inputs/updates from the partner.
iii. Click "Submit" to initiate the workflow.

Step 3: The partner reviews the ICA recommendations and sends them back to UNHCR, as follows:

i. Receive the workflow transmittal, open the "Partner Review" workflow step and download the ICA recommendations.
   NB: All MFT members in copy also receive an email notification of the workflow transmittal and can download the ICA recommendations.
ii. Enter any edits/updates on the recommendations and upload the modified file in the workflow step as the replacement file.
iii. Complete the workflow step by selecting either "Draft" or "Final" for the review outcome.

NB: It does not matter which review outcome the partner selects because the workflow will always proceed to the second step.

Step 4: UNHCR opens the "UNHCR Finalization" workflow step, downloads the ICA recommendations and reviews the partner's feedback.

a) If no further consultations are required with the partner, UNHCR selects the review outcome of "Final" and completes the workflow step. The partner and all MFT members in copy from the first step receive the updated version of the ICA recommendations and the workflow ends.
NB: UNHCR may make modifications to the ICA recommendations without further feedback from the partner required and this modified file is uploaded into the workflow step before selecting the review outcome of "Final".

OR:

b) If not in agreement with the partner's feedback (major concerns) and the entire workflow review period needs to be reset, UNHCR enters concerns in the downloaded file, uploads the modified ICA recommendations in the workflow step and selects the review outcome of "Draft". The workflow ends and UNHCR returns to **step 2**.

OR:

c) If consultations are required with the partner that can be achieved within the deadline of the "UNHCR Finalization" workflow step, UNHCR enters concerns in the downloaded file, uploads the modified ICA recommendations in the workflow step and transmits it on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. 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.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the ICA recommendations.
iii. Once agreement is met with the partner, the use of the sub workflow process ends, and the final version of the file is automatically sent to the parent "UNHCR Finalization" workflow step that still needs to be completed [return to **step 4a)**].

NB: The sub workflow timing does not extend the review of the parent workflow step ("UNHCR Finalization") and falls within the deadline of this parent workflow step.

NOTE: This workflow can be initiated and completed more than once during implementation of the partnership agreement, at a frequency agreed between UNHCR and the partner, in order to track the progressive completion and closure of ICA recommendations.

Software tip: Aconex – Negotiation of Contracts

The partnership agreement contract templates are downloaded from the Cloud ERP contracts module. The content of all types of partnership agreement contracts can be negotiated and finalized with partners in Aconex utilizing the "Document" and "Workflow" modules. The final signed contracts are then uploaded to the Aconex Document Register, as outlined below.

Step 1: UNHCR uploads the draft contract (as a word document with the same file name, author and type that was downloaded from Cloud ERP) in the Document Register, as follows:

i. For a PFA, select the document Type "Agreement" and the Agreement Type "Partnership Framework Agreement".
ii. For a DPA, select the document Type "Agreement" and the Agreement Type "Other/miscellaneous".
iii. For a project workplan, select the document Type "Partner Agreement".
iv. For all contract types, set the revision number to zero ("0") and select the status of "Not started".
v. Click "Register" and the document is immediately stored in the Document Register.

Step 2: UNHCR sends the draft contract to the partner, as follows:

i. Select the draft contract from the Document Register and transmit it on a workflow using the "Formal Partner Review" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign participants to the workflow steps and enter the step deadlines.
iii. Click "Submit" to initiate the workflow.

Step 3: The partner populates the contract and sends it back to UNHCR, as follows:

i. Receive the workflow transmittal, open the "Partner Review" workflow step and download the draft contract.
ii. Insert new content/edits/feedback as required and upload the modified file in the workflow step as the replacement file.
iii. Complete the workflow step by selecting either "Draft" or "Final" for the review outcome.

NB: It does not matter which review outcome the partner selects because the workflow will always proceed to the second step.

Step 4: UNHCR opens the "UNHCR Finalization" workflow step, downloads the draft contract and incorporates the partner's inputs.

a) If no further consultation is required with the partner, UNHCR uploads the final agreed contract, selects the review outcome of "Final" and completes the

workflow step. The partner receives the final word version of the contract and the workflow ends.
OR:

b) If not in agreement with the partner's feedback (major concerns) and the entire workflow review period needs to be reset, UNHCR enters concerns in the downloaded file, uploads the modified contract in the workflow step and selects the review outcome of "Draft". The workflow ends and UNHCR returns to **step 2**.

OR:

c) If consultations are required with the partner that can be achieved within the deadline of the "UNHCR Finalization" workflow step, UNHCR enters concerns in the downloaded file, uploads the modified contract in the workflow step and transmits it on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. 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.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the content of the contract.
iii. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "UNHCR Finalization" workflow step that still needs to be completed [return to **step 4a)**].

NB: The sub workflow timing does not extend the review of the parent workflow step ("UNHCR Finalization") and falls within the deadline of this parent workflow step.

Step 5: Once the final word version of the contract is converted to PDF and signed by the agreement signatories, UNHCR uploads this PDF copy to the Document Register as a replacement file for the workflow-approved word document version. UNHCR leaves the revision number as zero and selects the status of "Final".

NB: Do not upload a new separate document to the Document Register for storing the signed PDF of the final approved contract. Please only 'update' the existing word document version. It is possible to refer back to the word document version in the document 'history' and download it (if required).

Note: The revision number for the first amendment to a contract would be one ("1") and it would be two ("2") for the second amendment (and so on).

Software tip: Aconex – Risk Register

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

Step 1: UNHCR uploads the risk register in the Aconex Document Register, as follows:

i. Download the risk register template from the intranet here (only applicable for first PW of the PFA) or upload previous year's final risk register as a new separate document (see 'Note' far below).
ii. Select "Add/Update Documents" from the "Documents" tab and then drag and drop the risk register template.
iii. Select "Risk Register" for the document type.
iv. Enter **zero** for the total number of risks and opportunities for each of the 7 categories listed in the form.
v. Set the revision number to zero ("0") and select the status of "Not started".
vi. Click "Register" and the document is immediately stored in the Document Register.

Step 2: UNHCR sends the risk register template to the partner, as follows:

i. Select the risk register template from the Document Register (by checking the box in the left column) and transmit it on a workflow using the "Risk Register" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign participants to the workflow steps and enter the step deadlines.
iii. Click "Submit" to initiate the workflow.

Step 3: The partner provides inputs to the risk register and sends it back to UNHCR, as follows:

i. Receive the workflow transmittal, open the "Partner Proposal" workflow step and download the risk register.
ii. Modify the file and upload the modified file in the workflow step as the replacement file.
iii. Complete the workflow step by selecting either "Agreed" or "Revise & resubmit" for the review outcome.

NB: It does not matter which review outcome the partner selects because the workflow will always proceed to the second step.

Step 4: UNHCR opens the "UNHCR Agreement" workflow step, downloads the risk register and reviews the partner's inputs.

a) If in agreement with the proposal, UNHCR selects the review outcome of "Agreed" and completes the workflow step. The partner receives the final agreed risk register and the workflow ends.

NB: UNHCR may or may not need to upload a replacement file before selecting "Agreed". It depends if UNHCR makes any final changes/tweaks to the version of the risk register that was sent by the partner on the workflow.

OR:

b) If not in agreement with the partner's inputs (major concerns) and the entire workflow 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 & resubmit" 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 deadline of the "UNHCR Agreement" workflow step, UNHCR enters concerns in the downloaded file, uploads the modified file in the workflow step and transmits it on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. 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.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the risk register. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "UNHCR Agreement" workflow step that still needs to be completed [return to **step 4a)**].

NB: The sub workflow timing does not extend the review of the parent workflow step ("UNHCR Agreement") and falls within the deadline of this parent workflow step.

Step 5: UNHCR updates the metadata of the completed risk register, as follows:

i. Select the "Agreed" risk register in the Document Register and select "Update document".
ii. Enter the correct total number of risks and opportunities for each of the 7 categories listed in the finalized form.
iii. Leave the revision number as zero and select the status of "Final".

This metadata will allow for analytical reporting of all risk registers in the project environment.

Note: For updating the risk register during project implementation, as risks evolve and the statuses of their respective treatment plans change over time, UNHCR and partners can use this process starting from **step 2** and completing until the end **(step 5)**. The same original risk register excel file that was finalized during the negotiations of the project workplan is used and updated – there is no need to upload separate versions of the risk register during implementation for one project workplan.

In addition, throughout the duration of a PFA, there is no need to download a new risk register template from the intranet when transitioning from one project workplan to the next. Instead, the risk register from the first completed project workplan is uploaded as a separate new document in the Document Register and registered with the second project workplan Cloud ERP contract ID number. This process continues from one project workplan risk register to the next within the PFA period, using the risk register content of the recently completed project workplan to serve as the baseline content for the following project workplan.

Software tip: Aconex - Negotiation of Financial Plan

The financial plan template is automatically registered in the Aconex Document Register via integration with information from COMPASS (budget envelope by output).

In the Document Register, the financial plan template will have a document status of "not started", a revision number of zero ("0") and a version number of one ("1"). **Please do not modify this metadata.**

Step 1: UNHCR Programme sends the financial plan template to the partner, as follows:

i. Select the financial plan template from the Document Register (by checking the box in the left column) and transmit it on a workflow by using the "Negotiation of Financial Plan" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign participants to the workflow steps and enter the step deadlines.
iii. Click "Submit" to initiate the workflow.

Step 2: The partner submits the proposed financial plan, as follows:

i. Receive the workflow transmittal, open the "Partner Financial Plan Proposal" workflow step and download the financial plan template.
ii. Enter their proposed budget per applicable account code, any comments and reference codes (if necessary).
iii. Upload the proposed financial plan in the workflow step as the replacement file, as well as any supporting documents as supplementary files (e.g. detailed budget breakdowns, if necessary, which would help later with financial verifications and audit).
iv. Complete the workflow step by selecting the appropriate review outcome.

NB: It does not matter which review outcome the partner selects because the workflow will always proceed to the second step.

Step 3: UNHCR Programme completes the financial plan, as follows:

i. Receive the workflow transmittal, open the "1st Stage Approval" workflow step and download the partner-proposed financial plan and the supplementary files (if applicable).
ii. Review the partner's inputs, populate the "UNHCR proposed value" column, add any comments and enter the approved first prepayment with its execution date (that should fall within the open accounting period).

NB: If not in agreement with the partner's proposal and the consultation can be achieved within the "1st Stage Approval" workflow step's deadline, UNHCR Programme transmits the financial plan, with their inputs, on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. 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 Programme.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the financial plan.
iii. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "1st Stage Approval" workflow step that still needs to be completed [proceed to **step 4b**].

Step 4: UNHCR Programme sends the financial plan to their Representative for approval, as follows:

i. Check that, once agreement on the budget values is met, the "verified financial plan" column is automatically populated with the partner's and UNHCR's identical values.
ii. Upload the partner-agreed financial plan in the "1st Stage Approval" workflow step as the replacement file.
iii. Complete the workflow step with the review outcome of "Agreed." The workflow moves to the "2nd Stage Approval" step.

Step 5 (outside workflow): The final step of the financial plan workflow requires that the project workplan contract is active in Cloud ERP and 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 and then, once signed, uploaded to the Document Register. The project workplan contract terms template is downloaded as a word document from the 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'. 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, titles and dates of the two signatories in the Cloud ERP contracts module so that the project workplan contract has a status of 'Active'.

Step 6: The UNHCR Representative opens the "2nd Stage Approval" workflow step, downloads the financial plan and supplementary files (if applicable), and reviews the content.

a) If in agreement with the financial plan, the UNHCR Representative approves it by completing the workflow step with the review outcome of "Agreed". The workflow ends and the financial plan has been approved.

OR:

b) If modifications are required, the Representative transmits the financial plan on a "Representative Sub Workflow", including their concerns for Programme in the 'workflow note" box in the workflow wizard when initiating the sub workflow. The "Representative Sub Workflow" comprises the following 3 steps:

(i) <u>UNHCR Programme Review</u>: UNHCR Programme downloads the financial plan, addresses the Representative's concerns outlined in the workflow note, uploads the modified financial plan in the sub workflow step and selects the review outcome of "Proceed".

(ii) <u>Partner Review</u>: The partner then receives the modified financial plan and, if accepts the changes, selects the review outcome of "Proceed". If the partner contests the changes, then they enter their comments in the financial plan, upload it in the sub workflow step and select the review outcome of "Revise & resubmit" instead.

(iii) <u>UNHCR Programme Approval</u>: UNHCR Programme reviews the partner's feedback on the financial plan and, if in agreement, finalizes the financial plan and uploads it in the sub workflow step, selecting the review outcome of "Proceed". The sub workflow ends and the final version is automatically sent to the parent "2nd Stage Approval" step for the Representative's approval [return to **step 6a)**]. If UNHCR Programme is not in agreement with the partner's comments, they start a "Partner Sub Workflow", and the process continues until both parties agree on the content (see above for details) and the financial plan returns to the "UNHCR Programme Approval" sub workflow step.

The Representative's approval of the financial plan will trigger, via integration, the following:
- updates in COMPASS;
- the creation of the purchase order and the first prepayment invoice in Cloud ERP;

- the generation of the first project financial report (PFR) template in Aconex;
- the PDF copy of the purchase order in Aconex (PUO); and
- once the first prepayment has been validated and released in Cloud ERP, the PDF certificate of instalment in Aconex (COI).

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 template in the Document Register does not correspond with the data that was sent from COMPASS in the partnership scope, a workflow should not be initiated, and the document status should be changed to "cancelled". The results plan document status should also be changed to "Cancelled" in order to reopen COMPASS and redo the partnership scope.

Software tip: Aconex – Negotiation of Results Plan

Implementors are assigned to outputs in COMPASS via the partnership scope. For each partnership, the indicators associated with the outputs that the partner has been assigned to are transferred via integration from COMPASS to Aconex in a results plan template which is automatically registered in the Aconex Document Register.

In the Document Register, the results plan template will have a document status of "not started", a revision number of zero ("0") and a version number of one ("1"). **Please do not modify this metadata.**

Step 1: UNHCR Programme sends the results plan template to the partner, as follows:

i. Select the results plan template from the Document Register (by checking the box in the left column) and transmit it on a workflow by using the "Negotiation of Indicators" workflow template.
i. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign participants to the workflow steps and enter the step deadlines.
ii. Click "Submit" to initiate the workflow.

Step 2: The partner submits the proposed results plan, as follows:

i. Receive the workflow transmittal, open the "Partner Output" workflow step and download the results plan template.
ii. Enter the indicator targets and propose additional indicators to the excel's separate "Additional indicators" sheet (if applicable).

iii. Upload the proposed results plan into the workflow step as the replacement file and complete the workflow step by selecting the appropriate review outcome.

NB: It does not matter which review outcome the partner selects, the workflow will proceed to the second and final step.

Step 3: UNHCR Programme opens the "UNHCR Output" workflow step, downloads the partner-proposed results plan and reviews the content.

a) In case an "additional indicator" is proposed by a partner, and the operation wishes to incorporate it within their COMPASS results chain, UNHCR Programme selects "Cancelled" for the review outcome of the workflow step, ending the workflow. COMPASS is unlocked once both the results plan and financial plan both have a document status of "Cancelled", allowing UNHCR to enter the extra indicator in COMPASS and resubmit the partnership scope. The results plan comes through to Aconex via integration again with a status of "Not started" (return to **step 1**).

OR:

b) UNHCR Programme enters the UNHCR proposed numerators and denominators in the results plan and within the excel's separate "Additional indicators" sheet (if applicable).

NB: If a revision of the proposed target values and/or additional indicators with the partner is required and can be achieved within the "UNHCR Output" workflow step's deadline, UNHCR Programme transmits the modified results plan on a "Partner Sub Workflow", as follows:

i. 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 Programme.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the results plan.
iii. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "UNHCR Output" workflow step that still needs to be completed [proceed to **step 4b**].

If it is foreseen that the revisions will not be completed within the deadline for the parent "UNHCR Output" workflow step, a new "Negotiation of Indicators" workflow needs to be initiated with the same results plan after UNHCR Programme selects the review outcome of "Action Required" for the "UNHCR Output" workflow step.

Step 4: UNHCR Programme consults the Results Manager and completes the results plan, as follows:

i. Check that, once agreement on the targets and additional indicators sheet (if applicable) is met, the "Agreed" columns for the indicator targets are automatically populated with the partner's and UNHCR's identical values.
ii. Upload the final agreed results plan into the "UNHCR Output" workflow step as the replacement file.
iii. Select the review outcome of "Agreed".

The workflow ends, the results plan is approved and has the document status of "Agreed" in Aconex. Once the financial plan also has the document status of "Agreed", both plans should commence integration.

Note: If, for some reason, the results plan template in the Document Register does not correspond with the data that was sent from COMPASS in the partnership scope, a workflow should not be initiated, and the document status should be changed to "Cancelled". The financial plan document status should also be changed to "Cancelled" in order to reopen COMPASS and redo the partnership scope.

Software tip: COMPASS, Cloud ERP + Aconex – UN to UN Agreement

The creation, negotiation and finalization of a UN to UN agreement entails a unique combination of steps across COMPASS, Cloud ERP and Aconex, considering there may not be a results plan and the UN partner may not have access to Aconex.

Step 1: In COMPASS, UNHCR Programme enters the budget for the UN partner at output level, associated with the cost centre and expenditure organization. UNHCR sends the partnership scope to Aconex and Cloud ERP.
NB: The output(s) selected may not need to be reported against and thus would not form a results plan since this is not a mandatory requirement for UN to UN agreements. It depends on the type of activities required in the agreement.

In Aconex, the financial plan and results plan templates are registered in the Document Register via integration with information from COMPASS.
The templates will have a document status of "Not started", a revision number of zero ("0") and a version number of one ("1"). **Please do not modify this metadata.**

If a **results plan is required** as part of the UN to UN agreement, **skip step 2** in this document and instead follow all the workflow steps outlined in the separate Aconex software tip Negotiation of Results plan.
NB: Once the applicable steps in the aforementioned Aconex software tip have been completed, return to this document and proceed to **step 3**.

If a **results plan is <u>not</u> required** as part of the UN to UN agreement, proceed to **step 2**.

Step 2: UNHCR Programme pushes the results plan through its workflow, as follows:

i. Select the results plan template from the Document Register and transmit it on a workflow by using the "Negotiation of Indicators" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign your name to both workflow steps and enter the step deadlines.
iii. Click "Submit" to initiate the workflow.
iv. Receive the workflow transmittal, open the "Partner Output" workflow step and download the results plan template.
v. Enter at least one target for one indicator in the results plan before uploading it as the replacement file and completing the first workflow step by selecting the review outcome of "Agreed".
   <u>NB:</u> The indicator(s) and target(s) recorded will not form part of the UN to UN Agreement and will not be reported against in COMPASS – the file needs to contain at least one target to pass through systems integrations.
vi. Open the "UNHCR Output" workflow step and select the review outcome of "Agreed". The workflow ends and the results plan has a document status of "Agreed" in the Document Register.

Step 3: UNHCR Programme initiates the financial plan workflow, as follows:

i. Select the financial plan template from the Document Register and transmit it on a workflow by using the "Negotiation of Financial Plan" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign participants to the workflow steps (UNHCR Programme enters their name for the participant in the "Partner Financial Plan Proposal" step if the UN partner does not have access to Aconex) and enter the step deadlines.

Step 4: The UN partner submits the proposed financial plan, as follows:

i. UN partner with Aconex access or UNHCR Programme receives the workflow transmittal, opens the "Partner Financial Plan Proposal" workflow step, downloads the financial plan template and enters the "partner proposed values" in consultation with the other party.
   <u>NB:</u> If the UN partner does not have access to Aconex, UNHCR Programme shares the financial plan template via Outlook email and the UN partner sends back their proposal via Outlook email.
ii. In the financial plan template, "UN(A)" or "UN(B)" is selected from the dropdown menu of choices for the *PTR – Partner – Indirect Support – IS* account (611120) so that 7 or 8% is applied to the indirect support costs.

iii. UN partner with Aconex access or UNHCR Programme uploads the partner's proposed financial plan in the "Partner Financial Plan Proposal" workflow step and completes the workflow step with the review outcome of "Agreed".

NB: It does not matter which review outcome is selected for this first workflow step, the workflow will proceed to the second step.

Step 5: UNHCR Programme completes the financial plan, as follows:

i. Receive the workflow transmittal, open the "1st Stage Approval" workflow step and download the UN partner-proposed financial plan.
ii. Enter the UNHCR proposed values (ensuring they are identical with the partner's proposed values), the approved first prepayment with its execution date (that should fall within the open accounting period) and any comments.

NB: If the UN partner has Aconex access, UNHCR Programme is not in agreement with their proposal and the review can be achieved within the "1st Stage Approval" workflow step's deadline, UNHCR Programme transmits the financial plan, with their inputs, on a "Partner Sub Workflow" to reach agreement with the UN partner, as follows:

i. Within the sub workflow, the UN partner selects either "Proceed", if in agreement with UNHCR's changes/requests, or "Revise & resubmit" if the UN partner does not agree with the proposal from UNHCR Programme.
ii. If the UN partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the financial plan.
iii. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "1st Stage Approval" workflow step that still needs to be completed [proceed to **step 6**].

Step 6: UNHCR Programme sends the financial plan to their Representative for approval, as follows:

i. Check that, once agreement on the budget values is met, the "verified financial plan" column is automatically populated with the UN partner's and UNHCR's identical values.
ii. Upload the UN partner-agreed financial plan in the "1st Stage Approval" workflow step as the replacement file.
iii. Complete the workflow step with the review outcome of "Agreed." The workflow moves to the "2nd Stage Approval" step.

Step 7 (outside workflow): **The final step of the financial plan workflow requires that the UN to UN agreement contract is active in Cloud ERP and signed by the partner and the UNHCR Representative, as follows:**

i. UNHCR Programme downloads the "UN Agreement" contract template from the Cloud ERP Contracts Module and fills out the required fields in consultation with the UN partner.

ii. UNHCR Programme uploads the UN to UN agreement contract content as a word document under the "Contract Terms" tab in Cloud ERP contracts module.
iii. UNHCR Programme converts the document into a PDF and obtains the signatures of the UN partner and the UNHCR Representative on the UN to UN agreement contract.
iv. UNHCR Programme uploads the signed PDF copy of the UN to UN agreement contract under "Contract Documents" in Cloud ERP contracts module.
v. UNHCR Programme submits the UN to UN agreement contract in Cloud ERP contracts module to the Approver.
vi. The Approver, as delegated by the Representative, approves the UN to UN agreement contract in Cloud ERP.
vii. UNHCR Programme adds the names and dates of signatories in Cloud ERP contracts module so that the UN to UN agreement contract has a status of 'Active'.

Step 8: The UNHCR Representative opens the "2nd Stage Approval" workflow step, 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 review outcome of "Agreed". The workflow ends and the financial plan has been approved.

OR:

b) If modifications are required, the Representative transmits the financial plan on a "Representative Sub Workflow", including their concerns for Programme in the 'workflow note" box in the workflow wizard when initiating the sub workflow. The Representative enters UNHCR Programme for the participant of the "Partner Review" if the UN partner does not have Aconex access. The "Representative Sub Workflow" comprises the following 3 steps:

(i) UNHCR Programme Review: UNHCR Programme downloads the financial plan, addresses the Representative's concerns outlined in the workflow note, uploads the modified financial plan in the sub workflow and selects the review outcome of "Proceed".

(ii) Partner Review:
If UN partner does not have Aconex access: UNHCR Programme negotiates the changes to the financial plan offline with the UN partner (e.g. via Outlook email). After reaching agreement with the UN partner, UNHCR Programme replaces the financial plan in the workflow step with the newly agreed plan and selects the review outcome of "Proceed".

OR if UN partner has Aconex access: The UN partner receives the modified financial plan and, if accepts the changes, selects the review outcome of

"Proceed". If the UN partner contests the changes, then they enter their comments in the financial plan, upload it in the sub workflow step and select the review outcome of "Revise & resubmit" instead.

(iii) UNHCR Programme Approval:
If UN partner does not have Aconex access: Since UNHCR Programme acted on behalf of the partner in the "Partner Review" step and has already uploaded the revised agreed financial plan, all that is required is to check that the financial plan on the workflow step is the correct and latest version.
If there are any discrepancies, UNHCR Programme enters the corrections and replaces the financial plan in the workflow step so that it reflects the final agreed financial plan. **OR:**
If everything is correct, the financial plan does not need to be replaced in the workflow step.
UNHCR Programme selects the review outcome of "Proceed", the sub-workflow ends and the final version of the file is automatically sent to the parent "2nd Stage Approval" step for the Representative's approval [return to **step 8a)**].

OR if UN partner has Aconex access: UNHCR Programme reviews the UN partner's feedback on the financial plan and, if in agreement, finalizes the financial plan and uploads it in the sub workflow step, selecting the review outcome of "Proceed". The sub workflow ends and the final version of the file is automatically sent to the parent "2nd Stage Approval" step for the Representative's approval [return to **step 8a)**]. If UNHCR Programme is not in agreement with the UN partner's comments, they start a "Partner Sub Workflow", and the process continues until both parties agree on the content (see above for details) and the financial plan returns to the "UNHCR Programme Approval" sub workflow step.

The Representative's approval of the financial plan, and the approval of the results plan on its separate workflow, will trigger, via integration, the following:

- updates in COMPASS;
- the creation of the purchase order and the first prepayment invoice in Cloud ERP;
- the generation of the first project financial report (PFR) template in Aconex;
- the PDF copy of the purchase order in Aconex (PUO); and
- once the prepayment has been validated and released in Cloud ERP, the PDF certificate of instalment in Aconex (COI).

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.

Software tip: Aconex – Implementation Monitoring Issues

During implementation monitoring, UNHCR or a partner (as an initiator) can raise a recommendation, or an appreciation using Field "Issues" and assign it to the other party for their follow-up/consideration (as an assignee).

Step 1: Initiator raises a recommendation or an appreciation, as follows:

i. Click "Issues" from the dropdown menu under the "Field" tab on the modules ribbon.
ii. Click "Add Issue" to create an Issue form.
iii. Select "Implementation Monitoring" for the 'Issue Type'.
iv. Fill out the required fields, including the "Issue Categorization" that corresponds to the category for the recommendation/appreciation.
v. Assign the Issue to the assignee, with a due date, for their follow-up and save the form.

Step 2: Assignee receives the "Issue", as follows:

i. Inspection Administrator of the assignee organization (UNHCR or the partner) receives a summary email notification at the end of the day with the Issue assigned to their organization.
ii. Inspector Administrator can reassign the Issue to the relevant colleague, as applicable or reviews it.

Step 3: Assignee reviews and updates the Issue, as follows:

i. Review the Issue details, edit data fields, attach documents and add notes (as required).
ii. Update the status of the Issue, as follows:
   - If not in agreement with the recommendation/appreciation, select the status option "Dispute Issue" and save the form. **NB:** Initiator can close the Issue before any action is taken.
   - If assignee has taken the required action(s), select the status option "Mark Ready to Inspect" and save the form.
iii. Reassign the Issue back to the initiator if further action from the initiator is required and select a due date (as applicable).

Step 4: Initiator reviews the assignee's feedback in the Issue, as follows:

i. Inspector Administrator of the initiator's organization receives a summary email notification at the end of the day that action has been taken for the Issue.
ii. Inspector Administrator can reassign the Issue to the initiator, as applicable.
iii. If initiator is satisfied and agrees with the action taken by the assignee (including if the assignee selected "Dispute Issue"), select "Close Issue" and the Issue is closed.
   OR:

If initiator does not agree with the action taken by the assignee, add comments, edit data fields (as applicable) and reassign the Issue back to the assignee (return to **Step 2**).

Note: After an Issue has been assigned once, when it is updated and saved in the Field module, the updated version is immediately visible to the other party, even when that said Issue has not been reassigned. The Issue does not need to be reassigned for the initiator or assignee to make further edits to the Issue. However, reassigning the Issue ensures the initiator/assignee can be notified of the follow-up action required by them, inclusive of the deadline (if a due date has been set).

Software tip: Aconex – PFR Submission

Please note that this workflow process is **not** just about the submission of the project financial report (PFR), despite the workflow template name. The workflow feeds into the process of documenting the partner's progress to-date, taking into consideration:

- reported progress against results,
- expenditure to date,
- action taken to follow-up on implementation monitoring recommendations,
- progress against a partner's PSEA CSIP,
- feedback from people with and for whom the partner/UNHCR works,
- progress against risk treatment plans and ICA/ICQ recommendations.

This workflow therefore encompasses partner reporting and UNHCR's verification processes, documenting UNHCR's implementation monitoring, and hence it is usually initiated by Programme with Project Control in copy from the start.

The process utilizes the "Document" and "Workflow" modules in Aconex as described in the steps below.
The PFR template is generated in the Aconex Document Register via integration with a status of "not started" and a version number of one ("1"). **Please do not modify this metadata.**

Step 1: UNHCR Programme sends the PFR template to the partner, as follows:

i. Select the PFR from the Document Register (by checking the box in the left column) and transmit it on a workflow by using the "Project Financial Report Submission" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number, assign participants to the workflow steps (with Project Control in copy for the first "Partner PFR Input" step) and enter the step deadlines.
iii. Click "Submit" to initiate the workflow.

Step 2: The partner submits the PFR, as follows:

i. Receive the workflow transmittal, open the "Partner PFR Input" workflow step and download the PFR template.
ii. Enter the reported expenditures, proposed reallocations/budget variations (if applicable) and the next proposed prepayment amount (if applicable).
iii. Upload the modified PFR in the workflow step as the replacement file, as well as any necessary supporting documents as supplementary files (e.g. general ledgers and a personnel list), if required.
iv. Complete the workflow step by selecting the review outcome of "Approved".

NB: It does not matter which review outcome the partner selects; the workflow will proceed to the second step.

Step 3: UNHCR Programme reviews the partner's PFR, as follows:

i. Receive the workflow transmittal, open the "1st Stage Approval" workflow step and download the PFR and the supplementary files (if applicable).

   NB: Project Control can open the partner's PFR from the workflow transmittal and access the supplementary files by searching for the workflow number in the Workflow module and then clicking the "Supplementary files" button.

ii. Review the partner's PFR and, if no major concerns are identified, do not upload a replacement PFR file in the workflow step.

NB: If UNHCR Programme identifies high-level concerns/errors with the partner's PFR and the consultation can be achieved within the "1st Stage Approval" workflow step's deadline, UNHCR Programme transmits the PFR, with their inputs, on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. 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 Programme.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the PFR.
iii. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "1st Stage Approval" workflow step that still needs to be completed [proceed to **step 4**].

Step 4: UNHCR Programme uploads the project performance verification (PMC02), as follows:

i. Once the PMC02 form is completed as a Field "Inspection" and signed by both parties, download the closed PMC02 form as a PDF.
ii. Upload the PDF in the "1st Stage Approval" workflow step as a supplementary file. See separate Aconex software tip on the Project Performance Verification for more details on the PMC02 process.

<u>**NB:**</u> It is good practice to commence a project performance verification during the month an operation expects to receive the partner's PFR. There is no need to await the PFR from a partner to initiate the performance verification.
Also, it is important to note a segregation of duties between the UNHCR PMC02 preparer and UNHCR Programme who is responsible for the "1st Stage Approval" workflow step.

Step 5: UNHCR Programme completes the "1st Stage Approval" workflow step, as follows:

i. If the partner's PFR has been revised since the partner sent it on the first workflow step, insert a review outcome comment to signal these changes to Project Control.
ii. Select the review outcome of "Agreed" and the workflow moves to the "2nd Stage Approval" step.

OR:

Under exceptional circumstances, if there is no need for UNHCR Programme to complete and upload the PMC02, and there are no concerns with the partner's PFR, complete the workflow step by selecting the review outcome of "Review not required."

<u>**NB:**</u> Do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

Step 6: UNHCR Project Control finalizes the PFR, as follows:

i. Receive the workflow transmittal, open the "2nd Stage Approval" workflow step and download the PFR, PMC02 and supplementary files (if applicable).
ii. Review the partner's PFR inputs, enter the verified expenditures, verified reallocations/budget variations (if applicable) and the approved next prepayment value (if applicable).
iii. Upload the completed PFR in the "2nd Stage Approval" workflow step as the replacement file.

<u>**NB:**</u> If not in agreement with the values entered in the PFR by the partner, and further inputs from the partner are required, refer to **step 3** above for the "Partner Sub Workflow" process for UNHCR Project Control to action.

Step 7: UNHCR Project Control uploads the project financial verification (PMC03), as follows:

i. Once the PMC03 form is completed as a Field "Inspection" and signed by both parties, download the closed PMC03 form as a PDF.
ii. Upload the PDF in the "2nd Stage Approval" workflow step as a supplementary file. See separate Aconex software tip on the Project Financial Verification for more details on the PMC03 process.

<u>**NB:**</u> It is important to note a segregation of duties between the UNHCR PMC03 preparer and UNHCR Project Control who is responsible for the "2nd Stage Approval" step. However, in small operations, this segregation of duties may not be feasible, and the two roles may be performed by the same person.
Under exceptional circumstances, if there is no need for UNHCR Project Control to complete and upload the PMC03, they would not add any supplementary files to the "2nd Stage Approval" workflow step.

Step 8: UNHCR Project Control completes the "2nd Stage Approval" workflow step, as follows:

i. Check the correct completed PFR, PMC02 and PMC03 PDFs and other supplementary files (as applicable) are uploaded in the workflow step.
ii. Select the review outcome of "Agreed" and the workflow moves to the "3rd Stage Approval" step.

<u>**NB:**</u> Please do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

Step 9: The UNHCR Representative opens the "3rd Stage Approval" workflow step, downloads the PFR, PMC02, PMC03 and other supplementary files (as applicable), and reviews the content.

a) If in agreement with the PFR, the Representative approves it by completing the workflow step with the review outcome of "Approved." The workflow ends and the PFR has been approved. This will trigger the following via integration:

- expenditures are updated in Cloud ERP and Aconex Connected Cost,
- the next prepayment invoice is created in Cloud ERP (if applicable),
- the next PFR template is generated in the Document Register,
- only if there are approved reallocations between outputs in the PFR, the output-level budget is updated in COMPASS and the purchase order is updated in Cloud ERP.

<u>**NB:**</u> Please do not select the review outcome of "cancelled" because this will trigger an amendment of the project workplan.

OR:

b) If modifications are required, the Representative transmits the PFR on a "Representative Sub Workflow", including their concerns for Project Control in the "workflow note" box in the workflow wizard when initiating the sub workflow. The "Representative Sub Workflow" comprises the following 3 steps:

(i) <u>UNHCR Programme Review</u>: UNHCR Project Control downloads the PFR, addresses the Representative's concerns outlined in the workflow note, uploads the modified PFR in the sub workflow step and selects the review outcome of "Proceed".

NB: Even though this first sub workflow step title includes "Programme", it would be completed by Project Control for the PFR review.

(ii) Partner Review: The partner then receives the modified PFR and, if accepts the changes, updates the PFR and selects the review outcome of "Proceed". If the partner contests the changes, then they enter their comments in the PFR, upload it in the sub workflow step and select the review outcome of "Revise & resubmit".

(iii) UNHCR Programme Approval: UNHCR Project Control reviews the PFR from the partner and, if in agreement, finalizes the PFR, uploads it in the sub workflow step and selects the review outcome of "Proceed". The sub workflow ends and the final version is automatically sent to the parent "3rd Stage Approval" step for the Representative's approval [return to **step 9a)**]. If UNHCR Project Control is not in agreement with the partner's comments, they start a "Partner Sub Workflow", and the process continues until both parties agree on the content (see above for details) and the PFR returns to the "UNHCR Programme Approval" sub workflow step.

NB: Even though this third sub workflow step title includes "Programme", it would be completed by Project Control for this PFR approval.

Software tip: Aconex – Project Performance Verification

The project performance verification (PMC02) utilizes an Inspection form in the "Field" module of Aconex.

Step 1: UNHCR PMC02 preparer (Programme or equivalent) initiates the PMC02, as follows:

i. Click "Inspections" from the dropdown menu under the "Field" tab on the modules ribbon.
ii. Click "New Inspection" and then select the template "Project Performance Verification Report (PMC02)".
iii. Rename the title of the PMC02 form to adhere to the following naming convention:
PMC02 + XX (number e.g. 01 for first PMC02 for that particular project workplan) + for + partnership agreement contract number.
E.g. "*PMC02 01 for 32061Y24P194726*"
iv. Download the report of implementation monitoring Issues awaiting action (i.e. "Ready to inspect", "Open" and "In dispute").
v. Gather evidence of results reported to-date (Activity Info; KOBO, excel sheet etc.) from the results manager.

Step 2: UNHCR PMC02 preparer fills out the PMC02 form, as follows:

i. Answer the questions and attach any supporting documents, such as the Issues report, results reports, feedback from the supported community etc.
ii. Raise a new Issue for a particular question and assign it to the partner.
iii. Add their name, title and signature to the form.
iv. Assign the completed PMC02 form to the partner for their review with a set due date.

NB: UNHCR PMC02 preparer does not add any notes to any of the questions – this option is left for the partner.

Step 3: The partner receives the PMC02 form, as follows:

i. The partner's Inspector Administrator receives a summary notification email at the end of the day with the assigned PMC02 from UNHCR.
ii. The partner's Inspector Administrator can reassign the PMC02 to the relevant colleague, as applicable.

Step 4: The partner reviews and acknowledges the PMC02 form, as follows:

i. Review the answers provided by UNHCR and the attachments.
ii. Add notes and attach other documents, as applicable.
iii. Raise a new Issue for a particular question and assign it to UNHCR (if required).
iv. If in agreement with the content of the PMC02 and no further input from UNHCR is required, select the acceptance status of "Accepted" or "Accepted with comments", enter their name, title and signature and reassign the PMC02 form to UNHCR.

    OR:

    If not in agreement with the content of the PMC02, select the acceptance status of "Not accepted", adding comments for explanation, and reassign the PMC02 to UNHCR.

Step 5: UNHCR PMC02 preparer finalizes the reviewed PMC02 from the partner, as follows:

i. UNHCR Inspector Administrator receives a summary email notification at the end of the day with the assigned PMC02 from the partner.
ii. UNHCR Inspector Administrator can reassign the Issue to the UNHCR PMC02 preparer (if desired).
iii. If the partner accepted and signed the form, close the Inspection, which completes the PMC02.

    OR:

If the partner did not accept the PMC02 and added comments, address the partner's comments and then reassign it back to the partner (return to **Step 3**).

Note: Once the PMC02 form is completed and signed by both parties, UNHCR Programme downloads the closed PMC02 form as a PDF and uploads it into the "1st Stage Approval" step of the PFR submission workflow as a supplementary file.

It is important to note a segregation of duties between the UNHCR PMC02 preparer and UNHCR Programme who is responsible for the "1st Stage Approval" step of the PFR submission workflow.

After an Inspection has been assigned once, when it is updated and saved in the Field module, the updated version is immediately visible to the other party, even when that said Inspection has not been reassigned. The Inspection does not need to be reassigned to UNHCR for further edits/finalization. However, reassigning the Inspection ensures either UNHCR or the partner can be notified of the follow-up action required by them, inclusive of the deadline (if a due date has been set).

Software tip: Aconex – Project Financial Verification

The project financial verification (PMC03) utilizes an Inspection form in the "Field" module of Aconex.

Step 1: UNHCR PMC03 preparer (Project Control or equivalent) initiates the PMC03, as follows:

i. Click "Inspections" from the dropdown menu under the "Field" tab on the modules ribbon.
ii. Click "New Inspection" and then select the template "Project Financial Verification Report – Long/Short Form (PMC03)".
iii. Rename the title of the PMC02 form to adhere to the following naming convention:
PMC03 + long/short + XX (number e.g. 01 for first PMC03 for that particular project workplan) + for + partnership agreement contract number.
E.g. "*PMC03 long 01 for 32061Y24P194726*"
iv. Conduct the financial verification with the partner.

Step 2: UNHCR PMC03 preparer fills out the PMC03 form, as follows:

i. Answer the questions and attach any supporting documents, such as a copy of a summary report for a verified sample of transactions and copies of bank reconciliations etc.
ii. Raise a new Issue for a particular question and assign it to the partner (if required – see separate Aconex software tip on Implementation Monitoring Issues for more details).
iii. Add their name, title and signature to the form.

iv. Assign the PMC03 form to the UNHCR PMC03 approver (most senior Project Control focal point in the operation) for their approval with a set due date.

NB: UNHCR PMC03 preparer does not add any notes to any of the questions (except for questions within the topic "Outcome of this verification and action plan") because this option is left for the partner.

Step 3: UNHCR PMC03 approver reviews and approves the PMC03, as follows:

i. Review the answers provided by the UNHCR PMC03 preparer and the attachments. Consult with UNHCR PMC03 preparer if any modifications are required.
ii. Add their name, title and signature to the form.
iii. Assign the completed PMC03 form to the partner for their review with a set due date.

Step 4: The partner receives the PMC03 form, as follows:

i. The partner's Inspector Administrator receives a summary notification email at the end of the day with the assigned PMC03 from UNHCR.
ii. The partner's Inspector Administrator can reassign the PMC03 to the relevant colleague, as applicable.

Step 5: The partner reviews and acknowledges the PMC03 form, as follows:

i. Review the answers provided by UNHCR and the attachments.
ii. Add notes and attach other documents, as applicable.
iii. Raise a new Issue for a particular question and assign it to UNHCR (if required).
iv. If in agreement with the content of the PMC03 and no further input from UNHCR is required, select the acceptance status of "Accepted" or "Accepted with comments", enter their name, title and signature and reassign the PMC03 form to UNHCR.

OR:

If not in agreement with the content of the PMC03, select the acceptance status of "Not accepted", adding comments for explanation, and reassign the PMC03 to UNHCR.

Step 6: UNHCR PMC03 preparer finalizes the reviewed PMC03 from the partner, as follows:

i. UNHCR Inspector Administrator receives a summary email notification at the end of the day with the assigned PMC03 from the partner.
ii. UNHCR Inspector Administrator can reassign the Issue to the UNHCR PMC03 preparer (if desired).
iii. If the partner accepted and signed the form, close the Inspection, which completes the PMC03.

OR:

If the partner did not accept the PMC03 and added comments, address the partner's comments and then reassign it back to the partner (return to **Step 4**).

NB: It is possible to close the PMC03 form with a "Not accepted" status from the partner. However, it is advised to have consultations with the partner and to document the outcome of such meeting(s) in the "Partner comments" question. Ideally, the partner's signature is added to the PMC03 form with the "Not accepted" status.
Note: Once the PMC03 form is completed and signed by both parties, UNHCR PMC03 approver downloads the closed PMC03 form as a PDF and uploads it into the "2nd Stage Approval" step of the PFR submission workflow as a supplementary file (see the separate Aconex software tip on the PFR submission for more details).

It is important to note a segregation of duties between the UNHCR PMC03 preparer and UNHCR PMC03 approver who is responsible for the "2nd Stage Approval" step of the PFR submission workflow. However, in small operations, this segregation of duties may not be feasible, and the two roles may be performed by the same person.

After an Inspection has been assigned once, when it is updated and saved in the Field module, the updated version is immediately visible to the other party, even when that said Inspection has not been reassigned. The Inspection does not need to be reassigned to UNHCR for further edits/finalization. However, reassigning the Inspection ensures either UNHCR or the partner can be notified of the follow-up action required by them, inclusive of the deadline (if a due date has been set).

Software tip: Aconex – Request for Extension

The process for the request for an extension of the liquidation and/or implementation period is conducted using the "Mail" module in Aconex.

Step 1: The partner submits the request for an extension of liquidation and/or implementation period, as follows:

i. Click "Blank Mail" from the dropdown menu under the "Mail" tab on the modules ribbon.
ii. Select the Mail type "Initial Request for Extension".
iii. Include the partnership agreement contract number in the "Subject".
iv. Fill out the required details in the data fields and upload any supporting documents (as applicable).
v. Select "Respond by" from the dropdown menu for the "Response Required" field and enter a desired date.

vi. Send Mail to the UNHCR Programme focal point with Project Control in copy (if known).

Step 2: UNHCR Programme focal point receives and reviews the request, as follows:

i. Receive an Outlook email notification of the Mail, open the Mail with an "Outstanding" status and download the supporting documents (as applicable).
ii. Review the details of the request and supporting documents with the concerned multi-functional team (MFT).
iii. If the request is deemed to be invalid, reply to the partner by selecting "Reply" and then choosing the Mail type "Request Cancellation". Explain the MFT decision in the free text 'Message' field.
NB: No further action is required and do not proceed to **step 3**.

OR:

If further information/supporting documentation and/or amendments to the details provided by the partner are required, reply to the partner by selecting "Reply" and then choosing the Mail type "Clarification". Select "Respond by" from the dropdown menu for the "Response Required" field and enter a desired deadline. Then, the Partner can reply with the required clarifications/supporting documents. This back-and-forth Mail exchange can continue until the UNHCR Programme focal point and the MFT are satisfied with the justification and supporting documents provided by the partner for the request. Proceed to **step 3**.

NB: For a comprehensive overview of all information required in order for the regional bureau to conduct an adequate review for approval or rejection, please refer to the Sample Summary of Request for Extension_for RB.

Step 3: UNHCR Programme focal point forwards the MFT-endorsed request to UNHCR Senior Programme, as follows:

i. Open the partner's first "Initial Request for Extension" Mail.
ii. Select "Forward" and then choose the Mail type "Request for Extension".
iii. Enter any additional text in the free text 'Message' field (e.g. justifications for MFT endorsement).
iv. Ensure the partnership agreement contract number is in the "Subject" line.
v. Select "Respond by" from the dropdown menu for the "Response Required" field and enter a desired date.
vi. Send Mail to UNHCR Senior Programme and copy Project Control.

Step 4: UNHCR Senior Programme receives and reviews the request, as follows:

i. Receive an Outlook email notification of the Mail, open the Mail with an "Outstanding" status and download the supporting documents (as applicable).

ii. If the request is deemed to be invalid, UNHCR Senior Programme or the Programme focal point replies to the partner from the partner's "Initial Request for Extension" Mail by selecting "Reply" and then choosing the Mail type "Request Cancellation".
NB: No further action is required and do not proceed to **step 5**.

OR:

If further information/supporting documentation and/or amendments to the details provided by the partner are required, please see **step 2. iii)** above before proceeding to **step 5** if the request is endorsed by Senior Programme.

Step 5: UNHCR Senior Programme shares all endorsed Mail requests with the regional bureau (RB) as a Summary Report, as follows:

i. From the 'Inbox' of the Aconex Mail, select "Request for Extension" from the "Saved Searches."
ii. Check the lefthand side boxes for the rows of the endorsed requests only.
iii. Select "Reports", choose "Export to Excel" and then select "Row per mail" from the pop-up window that appears.
iv. In the following pop-up window, select "Go to the Temporary Files List" to access the Excel file.
v. Download the Excel file and share it, as a Summary Report, with the RB focal point via Outlook email, attaching any supporting documents (as applicable), and copying the UNHCR Programme focal point.

Step 6: UNHCR RB focal point receives the requests and documents the final RB decisions, as follows:

i. Open the country operation's Summary Report and review the requests with their supporting documents in consultation with senior management.
ii. Download the Sample Summary of Request for Extension_for RB from the intranet to use as a reference template. Copy, from this intranet template, the four additional columns for RB feedback and insert them in the country operation's Summary Report.
iii. Insert the RB Director's decisions (whether to approve or reject the requests), along with the justification and relevant extension dates, in the respective four additional columns added to the Summary Report.
iv. Obtain the RB Director's signature on the final Summary Report and store it in the RB SharePoint for audit purposes.

Step 7: UNHCR RB sends the RB Director's approved decisions to the country operation, as follows:

i. Respond to UNHCR Senior Programme via Outlook email, attaching the signed final Summary Report and including the Programme focal point in copy.

NB: A copy of the signed final Summary Report is also shared with DSPR/IMAS (epartner@unhcr.org) in Headquarters by the RB.

Step 8: UNHCR Senior Programme or Programme focal point shares the final decision with the partner, as follows:

i. Receive the RB's response via Outlook email and open the signed final Summary Report to learn the decision.
ii. Open the "Request for Extension" Mail that was sent to the UNHCR Senior Programme and select "Reply" or "Reply to All".
iii. Choose the Mail type "Response to Extension Requestion".
iv. Address the Mail to the partner and copy Project Control.
v. Remove any internal communications between UNHCR personnel from the Mail thread (as applicable).
vi. Add the final decision under the 'Details' section to match what the RB has sent in the signed final Summary Report.
vii. Fill out the "Bureau/IMAS comments" and granted extension dates, as applicable.
viii. Send the Mail to the partner, without setting a deadline for a response.

Step 9: UNHCR Programme Focal Point concludes the Mail communications for the request, as follows:

i. Open the Mail chain and click on each Mail that was sent by UNHCR personnel about this request.
ii. Click "Mark as Closed-Out" for this Mail selection.

NB: It is not possible for UNHCR to mark as closed-out any Mails that have been sent by the partner.

Step 10: The partner receives the decision on the request, as follows:

i. Receive an Outlook email notification of the Mail and open the Mail to read the decision.
ii. Open the Mail chain and click on each Mail that was sent by partner personnel about this request.
iii. Click "Mark as Closed-Out" for this Mail selection.

NB: It is not possible for the partner to mark as closed-out any Mails that have been sent by UNHCR.

Software tip: Aconex – Annual Feedback

The annual feedback process utilizes an Inspection form in the Field module of Aconex.

Step 1: UNHCR initiates the annual feedback process, as follows:

i. Click "Inspections" from the dropdown menu under the "Field" tab on the modules ribbon.
ii. Click "New Inspection" and the select the template "Annual Feedback Form".
iii. Rename the title of the form to adhere to the following naming convention: Annual Feedback + for + partnership agreement contract number.
E.g. "*Annual Feedback for 32061Y24P194726*".

iv. Fill out the first two data fields ('Implementer' and 'Partner Agreement / Contract').
v. Save the form and then assign it to the partner, including a due date (if desired).

Step 2: The partner receives the annual feedback form, as follows:
i. The partner's Inspector Administrator receives a summary notification email at the end of the day with the assigned annual feedback form from UNHCR.
ii. Inspector Administrator can reassign the form to the relevant colleague, as applicable.

Step 3: The partner completes the annual feedback form, as follows:
i. Answer all mandatory questions (with a red asterisk).
ii. Add notes and attach documents, as applicable.
iii. Raise a new Issue for a particular question and assign it to UNHCR (if required – see separate Aconex software tip on Implementation Monitoring Issues for more details).
iv. Save the form and then reassign it back to UNHCR.

Step 4: UNHCR acknowledges the partner's annual feedback and closes the form, as follows:
i. UNHCR Inspector Administrator receives a summary email notification at the end of the day with the assigned annual feedback form from the partner.
ii. UNHCR Inspector Administrator can reassign the form to the relevant colleague (if desired).
iii. Review the partner's answers and any attachments, as well as address any raised Issues, as necessary.
iv. Change the status of the form from "In Progress" to "Closed".

Software tip: Aconex – End-Narrative Report + End-PFR Submission

The end-narrative report submission is part of the end-PFR submission. This reporting process utilizes the "Document" and "Workflows" modules in Aconex.

Step 1: UNHCR Programme uploads the end-narrative report template in the Aconex Document Register, as follows:
i. Download the end-narrative report template from the intranet.
ii. Select "Add/Update Documents" from the "Documents" tab and then drag and drop the report template.
iii. Select "Project Report" for the document type and "Annual" for the 'Project Report Type'.
iv. Set the revision number to zero ("0") and select the status of "Not started".

v. Click "Register" and the document is immediately stored in the Document Register.

Step 2: UNHCR Programme sends the end-PFR template and the end-narrative report template to the partner, as follows:

i. Select the end-PFR and the end-narrative report from the Document Register (by checking the boxes in the left column) and transmit them both on one workflow by using the "Project Financial Report Submission" workflow template.
ii. In the workflow wizard, edit the workflow name to include "end-PFR and end-narrative" and the partnership agreement contract number.
iii. Assign participants to the workflow steps (with Project Control in copy for the first "Partner PFR Input" step) and enter the step deadlines in alignment with the report deadline requirements.
iv. Click "Submit" to initiate the workflow.

Step 3: The partner submits the end-PFR and the end-narrative report, as follows:

i. Receive the workflow transmittal, open the "Partner PFR Input" workflow step, and download the end-PFR and end-narrative report templates.
ii. Enter the final reported expenditures and proposed reallocations/budget variations (if applicable) in the end-PFR and fill out the end-narrative report.
iii. Upload the modified end-PFR and end-narrative report in the workflow step as the replacement files, as well as any necessary supporting documents as supplementary files (e.g. general ledgers and a personnel list), if required.
iv. Complete the workflow step by selecting the review outcome of "Approved".

NB: It does not matter which review outcome the partner selects; the workflow will proceed to the second step.

Step 4: UNHCR Programme reviews the partner's end-PFR and end-narrative report, as follows:

i. Receive the workflow transmittal, open the "1st Stage Approval" workflow step and download the end-PFR, end-narrative report and supplementary files (if applicable).

   NB: Project Control can open the partner's end-PFR from the workflow transmittal and access the supplementary files by searching for the workflow number in the Workflow module and then clicking the "Supplementary files" button.
ii. Review the partner's end-PFR and, if no major concerns are identified, do not upload a replacement end-PFR file in the workflow step.
iii. Review the partner's end-narrative report and, if in agreement with the content, do not upload a replacement report file in the workflow step.

NB: If not in agreement with the partner's end-PFR and/or end-narrative report content, and the consultation can be achieved within the "1st Stage Approval" workflow step's deadline, UNHCR Programme transmits the file(s), with their inputs, on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. The end-PFR and end-narrative report concerns are outlined in the "workflow note" box in the workflow wizard when initiating the Partner Sub Workflow, while Programme can enter feedback on the report directly in the word file.
ii. 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 Programme.
iii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the end-PFR and/or end-narrative report.
iv. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file(s) is automatically sent to the parent "1st Stage Approval" workflow step that still needs to be completed [proceed to **step 5**].

Step 5: UNHCR Programme uploads the final project performance verification (PMC02), as follows:

i. Once the PMC02 form is completed as a Field "Inspection" and signed by both parties, download the closed PMC02 form as a PDF.
ii. Upload the PDF in the "1st Stage Approval" workflow step as a supplementary file.

NB: It is good practice to commence a project performance verification during the month an operation expects to receive the partner's PFR. There is no need to await the PFR from a partner to initiate the performance verification.
Also, it is important to note a segregation of duties between the UNHCR PMC02 preparer and UNHCR Programme who is responsible for the "1st Stage Approval" workflow step.

Step 6: UNHCR Programme completes the "1st Stage Approval" workflow step, as follows:

i. If the partner's end-PFR has been revised since the partner sent it on the first workflow step, insert a review outcome comment to signal these changes to Project Control.
ii. Select the review outcome of "Agreed" and the workflow moves to the "2nd Stage Approval" step.

OR:

Under exceptional circumstances, if there is no need for UNHCR Programme to complete and upload the PMC02, and there are no concerns with the partner's end-PFR or end-narrative report, complete the workflow step by selecting the review outcome of "Review not required."

NB: Do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

Step 7: UNHCR Project Control finalizes the end-PFR and reviews the end-narrative report, as follows:

i. Receive the workflow transmittal, open the "2nd Stage Approval" workflow step and download the end-PFR, end-narrative report, PMC02 and supplementary files (if applicable).
ii. Review the partner's end-PFR inputs, enter the verified expenditures and verified reallocations/budget variations (if applicable).
iii. Upload the completed end-PFR in the "2nd Stage Approval" workflow step as the replacement file.

NB: If not in agreement with the values entered in the end-PFR by the partner, and further inputs from the partner are required, refer to **step 4** above for the "Partner Sub Workflow" process for UNHCR Project Control to action.

Step 8: UNHCR Project Control uploads the final project financial verification (PMC03), as follows:

i. Once the PMC03 form is completed as a Field "Inspection" and signed by both parties, download the closed PMC03 form as a PDF.
ii. Upload the PDF in the "2nd Stage Approval" workflow step as a supplementary file.

NB: It is important to note a segregation of duties between the UNHCR PMC03 preparer and UNHCR Project Control who is responsible for the "2nd Stage Approval" step. However, in small operations, this segregation of duties may not be feasible, and the two roles may be performed by the same person.
Under exceptional circumstances, if there is no need for UNHCR Project Control to complete and upload the PMC03, they would not add any supplementary files to the "2nd Stage Approval" workflow step.

Step 9: UNHCR Project Control completes the "2nd Stage Approval" workflow step, as follows:

i. Check the correct completed end-PFR, end-narrative report, PMC02 and PMC03 PDFs and other supplementary files (as applicable) are uploaded in the workflow step.
ii. Select the review outcome of "Agreed" and the workflow moves to the "3rd Stage Approval" step.

NB: Please do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

Step 10: The UNHCR Representative opens the "3rd Stage Approval" workflow step, downloads the end-PFR, end-narrative report, PMC02, PMC03 and other supplementary files (as applicable), and reviews the content.

a) If in agreement with the end-PFR and end-narrative report, the Representative approves them by completing the workflow step with the review outcome of "Approved." The workflow ends and the end-PFR and end-narrative report are approved.

NB: Please do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

OR:

b) If modifications are required, the Representative transmits the end-PFR and/or end-narrative report on a "Representative Sub Workflow", including their concerns for Project Control and/or Programme in the "workflow note" box in the workflow wizard when initiating the Sub Workflow. If both files require revisions, the Representative can enter Programme and Project Control as equal participants in the two UNHCR sub workflow steps. The "Representative Sub Workflow" comprises the following 3 steps:

> **(i)** UNHCR Programme Review: UNHCR Project Control (for the end-PFR) or UNHCR Programme (for the end-narrative report) downloads the file, addresses the Representative's concerns outlined in the workflow note, uploads the modified file in the sub workflow step and selects the review outcome of "Proceed".
>
> **NB:** Even though this first sub workflow step title includes "Programme", it would be completed by Project Control for the end-PFR review.
>
> **(ii)** Partner Review: The partner then receives the modified file(s) and, if accepts the changes, updates the file(s) and selects the review outcome of "Proceed". If the partner contests the changes, then they enter their comments in the file(s), upload it/both in the sub workflow step and select the review outcome of "Revise & resubmit".
>
> **(iii)** UNHCR Programme Approval: UNHCR Project Control reviews the end-PFR from the partner and, if in agreement, finalizes the end-PFR and uploads it in the sub workflow step. If UNHCR Project Control is not in agreement with the partner's comments, they start a "Partner Sub Workflow" (see above for details).
>
> UNHCR Programme reviews the end-narrative report from the partner and, if in agreement, finalizes the end-narrative report and uploads it in the sub workflow step. If UNHCR Programme is not in agreement with the partner's comments, they start a "Partner Sub Workflow" (see above for details).

Programme or Project Control selects the review outcome of "Proceed". The sub workflow ends, and the final version(s) is/are automatically sent to the parent "3rd Stage Approval" step for the Representative's approval [return to **step 10a)**].

NB: Even though this third sub workflow step title includes "Programme", it would be completed by Project Control for the end-PFR approval.

Software tip: Aconex – Final Partnership Report + End-PFR Submission

The final partnership report submission is part of the end-PFR submission for the final year of the Partnership Framework agreement (PFA). This reporting process utilizes the "Document" and "Workflow" modules in Aconex.

Step 1: UNHCR Programme uploads the final report template in the Aconex Document Register, as follows:

i. Download the final partnership report template from the intranet.
ii. Select "Add/Update Documents" from the "Documents" tab and then drag and drop the report template.
iii. Select "Partnership Report" for the document type and "Final" for the 'Partnership Report Type'.
iv. Set the revision number to zero ("0") and select the status of "Not started".
v. Click "Register" and the document is immediately stored in the Document Register.

Step 2: UNHCR Programme sends the end-PFR template and the final report template to the partner, as follows:

i. Select the end-PFR and the final report from the Document Register (by checking the boxes in the left column) and transmit them both on one workflow by using the "Project Financial Report Submission" workflow template.
ii. In the workflow wizard, edit the workflow name to include "end-PFR and final partnership report" and the partnership agreement contract number.
iii. Assign participants to the workflow steps (with Project Control in copy for the first "Partner PFR Input" step) and enter the step deadlines in alignment with the report deadline requirements.
iv. Click "Submit" to initiate the workflow.

Step 3: The partner submits the end-PFR and the final report, as follows:

i. Receive the workflow transmittal, open the "Partner PFR Input" workflow step, and download the end-PFR and final report templates.
ii. Enter the final reported expenditures and proposed reallocations/budget variations (if applicable) in the end-PFR and fill out the final report.

iii. Upload the modified end-PFR and final report in the workflow step as the replacement files, as well as any necessary supporting documents as supplementary files (e.g. general ledgers and a personnel list), if required.
iv. Complete the workflow step by selecting the review outcome of "Approved".

NB: It does not matter which review outcome the partner selects; the workflow will proceed to the second step.

Step 4: UNHCR Programme reviews the partner's end-PFR and final report, as follows:

i. Receive the workflow transmittal, open the "1st Stage Approval" workflow step and download the end-PFR, final report and supplementary files (if applicable).

NB: Project Control can open the partner's end-PFR from the workflow transmittal and access the supplementary files by searching for the workflow number in the Workflow module and then clicking the "Supplementary files" button.

ii. Review the partner's end-PFR and, if no major concerns are identified, do not upload a replacement end-PFR file in the workflow step.
iii. Review the partner's final report and, if in agreement with the content, do not upload a replacement report file in the workflow step.

NB: If not in agreement with the partner's end-PFR and/or final report content, and the consultation can be achieved within the "1st Stage Approval" workflow step's deadline, UNHCR Programme transmits the file(s), with their inputs, on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. The end-PFR and final report concerns are outlined in the "workflow note" box in the workflow wizard when initiating the Partner Sub Workflow, while Programme can enter feedback on the final report directly in the word file.
ii. 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 Programme.
iii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the end-PFR and/or final report.
iv. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file(s) is automatically sent to the parent "1st Stage Approval" workflow step that still needs to be completed [proceed to **step 5**].

Step 5: UNHCR Programme uploads the final project performance verification (PMC02), as follows:

i. Once the PMC02 form is completed as a Field "Inspection" and signed by both parties, download the closed PMC02 form as a PDF.
ii. Upload the PDF in the "1st Stage Approval" workflow step as a supplementary file.

<u>NB:</u> It is good practice to commence a project performance verification during the month an operation expects to receive the partner's end-PFR. There is no need to await the end-PFR from a partner to initiate the performance verification.
Also, it is important to note a segregation of duties between the UNHCR PMC02 preparer and UNHCR Programme who is responsible for the "1st Stage Approval" workflow step.

Step 6: UNHCR Programme completes the "1st Stage Approval" workflow step, as follows:

i. If the partner's end-PFR has been revised since the partner sent it on the first workflow step, insert a review outcome comment to signal these changes to Project Control.
ii. Select the review outcome of "Agreed" and the workflow moves to the "2nd Stage Approval" step.

   OR:

   Under exceptional circumstances, if there is no need for UNHCR Programme to complete and upload the PMC02, and there are no concerns with the partner's end-PFR or end-narrative report, complete the workflow step by selecting the review outcome of "Review not required."

<u>NB:</u> Do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

Step 7: UNHCR Project Control finalizes the end-PFR and reviews the final report, as follows:

i. Receive the workflow transmittal, open the "2nd Stage Approval" workflow step and download the end-PFR, final report, PMC02 and supplementary files (if applicable).
ii. Review the partner's end-PFR inputs, enter the verified expenditures and verified reallocations/budget variations (if applicable).
iii. Upload the completed end-PFR in the "2nd Stage Approval" workflow step as the replacement file.

<u>NB:</u> If not in agreement with the values entered in the end-PFR by the partner, and further inputs from the partner are required, refer to **step 4** above for the "Partner Sub Workflow" process for UNHCR Project Control to action.

Step 8: UNHCR Project Control uploads the final project financial verification (PMC03), as follows:

i. Once the PMC03 form is completed as a Field "Inspection" and signed by both parties, download the closed PMC03 form as a PDF.
ii. Upload the PDF in the "2nd Stage Approval" workflow step as a supplementary file.

<u>NB:</u> It is important to note a segregation of duties between the UNHCR PMC03 preparer and UNHCR Project Control who is responsible for the "2nd Stage Approval" step. However, in small operations, this segregation of duties may not be feasible, and the two roles may be performed by the same person.
Under exceptional circumstances, if there is no need for UNHCR Project Control to complete and upload the PMC03, they would not add any supplementary files to the "2nd Stage Approval" workflow step.

Step 9: UNHCR Project Control completes the "2nd Stage Approval" workflow step, as follows:

i. Check the correct completed end-PFR, final report, PMC02 and PMC03 PDFs and other supplementary files (as applicable) are uploaded in the workflow step.
ii. Select the review outcome of "Agreed" and the workflow moves to the "3rd Stage Approval" step.

<u>NB:</u> Please do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

Step 10: The UNHCR Representative opens the "3rd Stage Approval" workflow step, downloads the end-PFR, final report, PMC02, PMC03 and other supplementary files (as applicable), and reviews the content.

a) If in agreement with the end-PFR and final report, the Representative approves them by completing the workflow step with the review outcome of "Approved." The workflow ends and the end-PFR and final partnership report are approved.
<u>NB:</u> Please do not select the review outcome of "Cancelled" because this will trigger an amendment of the project workplan.

OR:

b) If modifications are required, the Representative transmits the end-PFR and/or final report on a "Representative Sub Workflow", including their concerns for Project Control and/or Programme in the "workflow note" box in the workflow wizard when initiating the Sub Workflow. If both files require revisions, the Representative can enter Programme and Project Control as equal participants in the two UNHCR sub workflow steps. The "Representative Sub Workflow" comprises the following 3 steps:

(i) <u>UNHCR Programme Review</u>: UNHCR Project Control (for the end-PFR) or UNHCR Programme (for the final report) downloads the file, addresses the Representative's concerns outlined in the workflow note, uploads the modified file in the sub workflow step and selects the review outcome of "Proceed".
<u>NB:</u> Even though this first sub workflow step title includes "Programme", it would be completed by Project Control for the end-PFR review.

(ii) Partner Review: The partner then receives the modified file(s) and, if accepts the changes, updates the file(s) and selects the review outcome of "Proceed". If the partner contests the changes, then they enter their comments in the file(s), upload it/both in the sub workflow step and select the review outcome of "Revise & resubmit".

(iii) UNHCR Programme Approval: UNHCR Project Control reviews the end-PFR from the partner and, if in agreement, finalizes the end-PFR and uploads it in the sub workflow step. If UNHCR Project Control is not in agreement with the partner's comments, they start a "Partner Sub Workflow" (see above for details).

UNHCR Programme reviews the final partnership report from the partner and, if in agreement, finalizes the final report and uploads it in the sub workflow step. If UNHCR Programme is not in agreement with the partner's comments, they start a "Partner Sub Workflow" (see above for details).

Programme or Project Control selects the review outcome of "Proceed". The sub workflow ends, and the final version(s) is/are automatically sent to the parent "3rd Stage Approval" step for the Representative's approval [return to **step 10a)**].

NB: Even though this third sub workflow step title includes "Programme", it would be completed by Project Control for the end-PFR approval.

Software tip: Aconex – Audit Enquiry for Information

The audit enquiry for information process is led by the UNHCR project auditor and utilizes the "Mail" module in Aconex.

Step 1: UNHCR project auditor sends the partner an audit enquiry for information, as follows:

i. Click "Blank Mail" from the dropdown menu under the "Mail" tab on the modules ribbon.
ii. Select the Mail type "Enquiry for Information".
iii. Include the partnership agreement contract number in the "Subject".
iv. Fill out the mandatory fields, including under 'Details' and choose either "Transmittal Request" or "Information Request" for the 'Auditors Request'.

   NB: Transmittal Request is used when the auditor is requesting a document to be shared by the partner. Information Request is used when the auditor is requesting information that may not necessarily be shared in the form of a document.

v. Select "Respond by" from the dropdown menu for the "Response Required" field and enter a desired date.
vi. Send Mail to the audit focal point(s) in the partner organization.

Step 2: The partner receives and responds to the request, as follows:

i. Receive an Outlook email notification of the Mail, open the Mail with an "Outstanding" status and review the request.
ii. If it is a "Transmittal Request", select "Reply" and attach the required document(s), adding a free text 'Message' (as applicable). Send the Mail to the UNHCR project auditor.

OR:

If it is an "Information Request", select "Reply" and fill in the 'Response' field with the requested information, adding a free text 'Message' (as applicable). Send the Mail to the UNHCR project auditor.

Step 3: UNHCR project auditor receives and reviews the partner's response, as follows:

i. Receive an Outlook email notification of the Mail, open the Mail and download the attached documents (if it is a "Transmittal Request").
ii. Review the information/documentation provided by the partner.
iii. If the information is sufficient and complete, select the original "Enquiry for Information" Mail sent to the partner and click "Mark as Closed-Out", which completes the process.

OR:

If additional information is required, open the original "Enquiry for Information" Mail sent to the partner and forward it to the partner as a new "Enquiry for Information" Mail. The process is continued until the response is accepted by the UNHCR project auditor.

Software tip: Aconex – Audit Report Review

The audit report review process is led by the UNHCR project auditor and utilizes the "Document" and "Workflow" modules in Aconex, as outlined below.

Step 1: UNHCR project auditor uploads the draft audit report in the Aconex Document Register, as follows:

i. Select "Add/Update Documents" from the "Documents" tab and then drag and drop the draft audit report.
ii. Select "Audit" for the document type and "Audit Report" for the 'Audit Document Type'.

iii. Set the revision number to zero ("0") and select the status of "Not started".
iv. Enter the 'Title' using the following naming convention:
"Audit Report for partnership agreement contract number"
E.g. "*Audit Report for 31205Y24M482063*"
v. Select the 'Date Created' for the report.
vi. Click "Register" and the document is immediately stored in the Document Register.

Step 2: UNHCR project auditor sends the draft audit report to the partner, as follows:

i. Select the draft audit report from the Document Register (by checking the box in the left column) and transmit it to the partner using the "Formal Partner Review" workflow template.
ii. In the workflow wizard, edit the workflow name to read as "Audit Report Review for (contract number)".
E.g. "*Audit Report Review for 31205Y24M000349*"
iii. Assign participants to the workflow steps and enter the step deadlines (ensuring there are 7 days set for the partner's step).
iv. Click "Submit" to initiate the workflow.

Step 3: The partner reviews the draft audit report and sends feedback back to the UNHCR project auditor, as follows:

i. Receive the workflow transmittal, open the "Partner Review" workflow step and download the draft audit report.
ii. Enter any comments in the draft report and upload the modified file in the workflow step as the replacement file.
iii. Complete the workflow step by selecting either "Draft" or "Final" for the review outcome.

NB: It does not matter which review outcome the partner selects because the workflow will always proceed to the second step.
The partner has 7 days to complete this workflow step, in accordance with the UNHCR Procedures on Partnership Management.

Step 4: UNHCR project auditor reviews the draft audit report with the partner's feedback, as follows:

i. Receive the workflow transmittal, open the "UNHCR Finalization" workflow step and download the draft audit report.
ii. Review the partner's feedback in the report.
iii. If no further discussion is required with the partner, proceed to **Step 5**.

OR:

If not in agreement with the partner's feedback, add comments to the downloaded draft audit report, upload the modified file in the "UNHCR

Finalization" workflow step and transmit the modified file on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

a. In the workflow wizard, edit the sub workflow name to read as "Audit Report Review for (contract number)".
   E.g. "*Audit Report Review for 31205Y24M000349*"
b. Assign the partner as the single sub workflow step participant, enter the step deadline and click "Submit" to initiate the sub workflow.
c. Within the sub workflow, the partner selects either "Proceed", if in agreement with the UNHCR project auditor's requests, or "Revise & resubmit" if the partner does not agree with the proposal from the auditor.
d. If the partner selects "Revise & resubmit", the UNHCR project auditor can initiate another new "Partner Sub Workflow" until there is mutual agreement on the draft audit report.
e. Once agreement is met with the partner, the sub workflow(s) end and the final version of the file is automatically sent to the parent "UNHCR Finalization" workflow step that still needs to be completed [proceed to **step 5**].

NB: The sub workflow timing does not extend the review of the parent workflow step ("UNHCR Finalization") and falls within the deadline of this parent workflow step.

Step 5: UNHCR project auditor sends the partner-reviewed draft audit report to the UNHCR audit focal point, as follows:

i. In the "UNHCR Finalization" workflow step, transmit the partner-reviewed draft audit report to the UNHCR audit focal point on a "Partner Sub Workflow".
ii. See **a) – e)** under **step 4. iii)** above for the process and replace the partner with the UNHCR audit focal point as the single sub workflow step participant.
iii. Once the sub workflow(s) end with UNHCR, proceed to **step 6**.

Step 6: UNHCR project auditor finalizes the audit report, as follows:

i. Upload the final clean PDF version of the audit report as the replacement file in the "UNHCR Finalization" workflow step.
ii. Select the review outcome of "Final" and complete the workflow step. The partner receives the final audit report, and the workflow ends.

Software tip: Aconex – Audit Recommendations

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

Step 1: UNHCR downloads the audit recommendations matrix from the UNPP Integrity Assurance Module (IAM).

Step 2: UNHCR uploads the audit recommendations in the Aconex Document Register as follows:

i. Extract the audit recommendations matrix from the UNPP Integrity Assurance Module (IAM).
ii. Select "Add/Update Documents" from the "Documents" tab in Aconex and then drag and drop the draft audit report.
iii. Select "Audit" for the document Type.
iv. Select "Audit Recommendations" for the Audit Document Type.
v. Set the revision number to zero ("0") and select the status of "Not started".
vi. Click "Register" and the document is immediately stored in the Document Register.

Step 3: UNHCR sends the audit recommendations to the partner, as follows:

i. Select the audit recommendations matrix from the Document Register (by checking the box in the left column) and transmit it on a workflow by using the "Audit Recommendations" workflow template.
ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number.
iii. Assign participants to the workflow steps and enter the step deadlines, taking note of the time required for the partner to action the recommendations for their closure.
iv. Click "Submit" to initiate the workflow.

Step 4: The partner reviews the audit recommendations and sends them back to UNHCR, as follows:

i. Receive the workflow transmittal, open the "Partner Review" workflow step and download the audit recommendations.
ii. Review the recommendations, take any necessary actions to address them, add comments and upload the modified file in the workflow step as the replacement file.
iii. Complete the workflow step by selecting either "Final" or "In Progress" for the review outcome, depending on whether further action is required from UNHCR based on the comments.

<u>NB:</u> It does not matter which review outcome the partner selects because the workflow will always proceed to the second step.

Step 5: UNHCR opens the "UNHCR Finalization" workflow step, downloads the audit recommendations and reviews the partner's inputs.

a) If satisfied that all audit recommendations have been closed, select the review outcome of "Final" and complete 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 in agreement with the partner's feedback (major concerns) and the entire workflow review period needs to be reset, UNHCR enters concerns in the downloaded file, uploads the modified audit recommendations in the workflow step and selects the review outcome of "In Progress". The workflow ends and UNHCR returns to **step 3**.

OR:

c) If revisions to the partner's inputs are required that can be achieved within the deadline of the "UNHCR Finalization" workflow step, UNHCR enters the concerns in the downloaded file, uploads the modified audit recommendations in the workflow step and transmits it on a "Partner Sub Workflow" to reach agreement with the partner, as follows:

i. 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.
ii. If the partner selects "Revise & resubmit", UNHCR can initiate another new "Partner Sub Workflow" until there is mutual agreement on the content and closure of the audit recommendations.
iii. Once agreement is met with the partner, the use of the sub workflow process ends, and the final version of the file is automatically sent to the parent "UNHCR Finalization" workflow step that still needs to be completed [return to **step 5a)**].

NB: The sub workflow timing does not extend the review of the parent workflow step ("UNHCR Finalization") and falls within the deadline of this parent workflow step.