

PROMS SOFTWARE TIPS: WORKAROUNDS

The following step-by-step guides outline how to undertake key partnership management processes where the partner does not have any access to Aconex. All communications with the partner will be facilitated through Outlook email.

These workarounds are applicable for partnership agreements in 2024 and beyond.

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A) Generic workaround

The following partnership management processes will all utilize the generic workaround that is described further below:

- Internal Control Assessment (**ICA**) **Review**
- **ICA Recommendations**
- **Risk Register**
- **Audit Recommendations**

Step 1: UNHCR prepares the document, as follows:

- For the ICA report, download the ICA template (EN, FR, ES) from the intranet [here](#) and fill out the standard questionnaire.
- For the ICA and Audit recommendations, download the matrices from the UNPP Integrity and Assurance Module (IAM).
- For the risk register, download the template (EN, FR, ES) from the intranet [here](#) (only applicable for the first project workplan of the PFA) and fill out relevant fields.

Step 2: UNHCR sends the document as an attachment via Outlook email to the partner for their action (e.g. completing relevant fields and/or reviewing and endorsing the content provided by UNHCR). There is an Outlook email exchange until agreement is reached between both parties on the content of the document. The document may be converted to PDF and signed by both parties (if applicable).

Step 3: UNHCR uploads the final document in the Aconex Document Register, as follows:

- i. Select "Add/Update Documents" from the "Documents" tab and then drag and drop the document.
- ii. Select the correct document type and other mandatory metadata (as applicable).
- iii. Set the revision number to zero ("0") and select the status of "Final".
- iv. Click "Register" and the document is immediately stored in the Document Register.

NB: If there are modifications required to the document, UNHCR downloads the latest version from Aconex and then completes **step 2** outlined above. Once the document is finalized offline, it is uploaded to Aconex by superseding the version that is already saved in the Aconex Document Register.

B) No workarounds

The following partnership management processes do not require a workaround:

- **Annual Feedback** – download the offline form (EN, FR, ES) from the intranet [here](#) and send it to the partner via Outlook email for them to fill out.
- **Audit Enquiry for Information** - auditors can make requests via Outlook email to the partner.
- **Implementation Monitoring Issues** - continue using the monitoring channels already established within the operation for raising and tracking recommendations and appreciations – e.g. KOBO, ActivityINFO, reports sent via Outlook email etc.
- **Negotiation of Contracts** – share, finalize and sign the contract with the partner via Outlook email, before uploading the final word and signed PDF versions into Cloud ERP.

C) 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 initiates the internal workflow for the financial plan, 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.
- iii. Assign participants to the workflow steps, ensuring to insert their name for the participant in the “Partner Financial Plan Proposal” step.
- iv. Enter the step deadlines and click “Submit” to initiate the workflow.

Step 2: UNHCR Programme sends the financial plan template to the partner, as follows:

- i. Receive the workflow transmittal, open the “Partner Financial Plan Proposal” workflow step and download the financial plan template.
- ii. Send the financial plan template to the partner via Outlook email.

Step 3: The partner shares their proposed financial plan, as follows:

- i. Open the financial plan template from the Outlook email.
- ii. Enter their proposed budget per applicable account code, any comments and reference codes (if necessary).
- iii. Send the proposed financial plan, 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), back to UNHCR via Outlook email.

Step 4: UNHCR Programme submits the partner’s proposed financial plan, as follows:

- i. Upload the proposed financial plan in the “Partner Financial Plan Proposal” workflow step as the replacement file, as well as any supporting documents sent by the partner.
- ii. Complete the workflow step by selecting the appropriate review outcome.

NB: It does not matter which review outcome UNHCR Programme selects because the workflow will always 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 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 sends the financial plan, with their inputs, to the partner via Outlook email to reach agreement. There is a back-and-forth Outlook email exchange until the content of the financial plan is agreed between both parties.

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 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 7 (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 8: 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 and entering Programme's name in the participant for the "Partner Review" step, when initiating the sub workflow. 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 step and selects the review outcome of "Proceed".

(ii) Partner Review: UNHCR Programme downloads the modified financial plan from the workflow step and sends it to the partner via Outlook email. There is a back-and-forth Outlook email exchange until the content of the financial plan is agreed between both parties. UNHCR Programme uploads the final agreed financial plan in the sub workflow step and selects the review outcome of "proceed".

(iii) UNHCR Programme Approval: Since UNHCR Programme has already uploaded the final agreed financial plan in the previous "Partner Review" step, all that is required is double-checking that the correct final version of the financial plan is in the workflow step (there is no need necessarily to upload a replacement file). UNHCR Programme selects the review outcome of "proceed". The sub workflow ends and returns to the parent "2nd Stage Approval" step for the Representative's approval [return to **step 8a**].

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.

D) Negotiation of Results Plan

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 initiates the internal workflow for the results plan, 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 Results Plan” workflow template.
- ii. In the workflow wizard, edit the workflow name to include the partnership agreement contract number.
- iii. Assign themselves as the participant to both workflow steps and enter the step deadlines.
- iv. Click “Submit” to initiate the workflow.

Step 2: UNHCR Programme sends the results plan template to the partner, as follows:

- i. Receive the workflow transmittal, open the “Partner Output” workflow step and download the results plan template.
- ii. Send the results plan template to the partner via Outlook email.

Step 3: The partner shares their proposed results plan, as follows:

- i. Open the results plan template from the Outlook email.
- ii. Enter the indicator targets and propose additional indicators to the excel’s separate “Additional indicators” sheet (if applicable).
- iii. Send the proposed results plan back to UNHCR via Outlook email.

Step 4: UNHCR Programme submits the partner’s proposed results plan, as follows:

- i. Upload the proposed results plan in the “Partner Output” workflow step as the replacement file.
- ii. 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 5: 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, UNHCR Programme sends the results plan, with their inputs, to the partner via Outlook email to reach agreement. There is a back-and-forth Outlook email exchange until the content of the results plan is agreed between both parties.

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 6: 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.

E) 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 initiates the internal workflow for the PFR and verifications, as follows:

- i. Select the PFR template 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.
- iii. Assign participants to the workflow steps, ensuring to insert their name for the participant in the "Partner PFR Input" step with Project Control in copy.
- iv. Enter the step deadlines and click "Submit" to initiate the workflow.

Step 2: UNHCR Programme sends the PFR template to the partner, as follows:

- i. Receive the workflow transmittal, open the "Partner PFR Input" workflow step and download the PFR template.
- ii. Send the PFR template to the partner via Outlook email.

Step 3: The partner shares their proposed PFR, as follows:

- i. Open the PFR template from the Outlook email.
- ii. Enter the reported expenditures, proposed reallocations/budget variations (if applicable) and the next proposed prepayment amount (if applicable).
- iii. Send the proposed PFR back to UNHCR via Outlook email, alongside any necessary supporting documents (e.g. general ledgers and a personnel list), if required.

Step 4: UNHCR Programme submits the partner's proposed PFR, as follows:

- i. Upload the proposed PFR (sent by the partner via Outlook email) in the "Partner PFR Input" workflow step as the replacement file.

- ii. Attach all supporting documents, sent by the partner, as supplementary files to the workflow step (if applicable).
- iii. Complete the workflow step by selecting the review outcome of "Approved".

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

Step 5: 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, UNHCR Programme sends it and their feedback back to the partner via Outlook email to reach agreement. There is a back-and-forth Outlook email exchange until the partner's PFR is agreed between both parties. UNHCR Programme uploads the final version of the file to the "1st Stage Approval" workflow step.

Step 6: 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 [workaround tip below](#) for more details on the PMC02 process.

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 7: 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."

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

Step 8: 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.

NB: If not in agreement with the values entered in the PFR by the partner, UNHCR Project Control can consult with the partner via Outlook email/phone calls/meetings until agreement is met and the completed PFR can be uploaded into the workflow step.

Step 9: 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 [workaround tip below](#) for more details on the PMC03 process.

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 10: 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.

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

Step 11: 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.

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 PFR on a "Representative Sub Workflow", including their concerns for Project Control in the "workflow note" box in the workflow wizard and entering Project Control's name as the participant for the "Partner Review" step when initiating the sub workflow. The "Representative Sub Workflow" comprises the following 3 steps:

(i) UNHCR Programme Review: 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: UNHCR Project Control downloads the modified PFR excel from the workflow step and sends it to the partner via Outlook email. There is a back-and-forth Outlook email exchange until the content of the PFR excel is agreed between both parties. Once agreed, UNHCR Project Control converts the final PFR excel into a PDF and sends it to the partner via Outlook email for their signature. The partner adds their signature to the PDF of the final PFR and sends it back to UNHCR Project Control via Outlook email. UNHCR Project Control uploads the final PFR excel and signed PDF copy in the sub workflow step and selects the review outcome of "Proceed".

(iii) UNHCR Programme Approval: Since UNHCR Project Control has already uploaded the final PFR in the previous "Partner Review" step, all that is required is double-checking that the correct final versions of the PFR (excel and PDF) are in the workflow step (there is no need necessarily to upload a replacement file). UNHCR Project Control selects the review outcome of "proceed". The sub workflow ends and returns to the parent "3rd Stage Approval" step for the Representative's approval [return to **step 11a**].

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

F) Project Performance Verification

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

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. 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, add notes (as required) and attach any supporting documents, such as the results reports, feedback from the supported community etc.
- ii. Create a workaround offline "Issue" for a particular question by using the monitoring channels already established within the operation or by inserting it in the Implementation Monitoring Tracking Sheet Template to later share with the partner via Outlook email (once all Issues for the one PMC02 form have been included in the tracking excel).
- iii. Add their name, title and signature to the form.
- iv. Download the PMC02 as a PDF.
- v. Send the PMC02 PDF to the partner via Outlook email for their review, along with the Implementation Monitoring tracking sheet (if applicable), setting a due date for their feedback. Within this email, ask the partner to respond with the choice of their acceptance status ("Accepted", "Accepted with comments" or "Not accepted") and corresponding comments in the body of their email.

Step 3: The partner reviews and acknowledges the PMC02 form, as follows:

- i. Open the PMC02 PDF and the Implementation Monitoring tracking sheet (as applicable) from the Outlook email.
- ii. Review the answers provided by UNHCR and add new recommendations/appreciations to the Implementation Monitoring Tracking Sheet if necessary.
- iii. If in agreement with the content of the PMC02 and no further input is required, respond to UNHCR PMC02 preparer via Outlook email, providing their acceptance status of "Accepted" (or "Accepted with comments") and corresponding comments in the body of their email. The partner can provide inputs to the Implementation Monitoring Tracking Sheet and share it back with UNHCR in the same Outlook email (if applicable).

OR:

If not in agreement with the content of the PMC02, respond to UNHCR PMC02 preparer via Outlook email with the acceptance status of "Not accepted" and include comments for explanation in the body of the email. UNHCR PMC02 preparer may choose to modify

the answers in the PMC02 form in Aconex "Field" Inspections to reflect the partner's comments (return to **Step 2**).

Step 4: UNHCR PMC02 preparer finalizes the partner-reviewed PMC02, as follows:

- i. Click "Inspections" from the dropdown menu under the "Field" tab on the modules ribbon in Aconex.
- ii. Search for the PMC02 form and click "Edit".
- iii. Select the partner's chosen acceptance status from the dropdown menu and copy and paste the partner's comments into the form (from Outlook email sent by the partner).
- iv. Upload, as an attachment, the revised Implementation Monitoring Tracking Sheet (as applicable) to the form.
- v. Leave the name, title and signature questions blank for the partner's section.
- vi. Close the Inspection form.

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

Step 5: UNHCR PMC02 preparer downloads the completed PMC02 form as a new PDF (now reflecting the partner's acceptance status and corresponding comments) and sends it to the partner for their signature via Outlook email. The partner sends back the signed PDF to the UNHCR PMC02 preparer, who then shares it with UNHCR Programme.

Note: Once the PMC03 form is completed and signed by both parties, UNHCR Programme uploads the final signed PDF of the PMC02 into the "1st Stage Approval" step of the PFR submission workflow as a supplementary file (see separate [workaround tip above](#) on the PFR process).

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.

G) Project Financial Verification (PMC03)

The project financial verification (PMC03) utilizes an Inspection form in the “Field” module of Aconex and Outlook email.

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, add notes (as required) 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. Create a workaround offline “Issue” for a particular question by inserting it in the [PMC03 Workarounds Issues excel template](#), to later share with the partner via Outlook email (once all Issues for the one PMC03 form have been included in the excel).
- 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.

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 back to the UNHCR PMC03 preparer or inform the PMC03 preparer that internal approval has been granted.

Step 4: UNHCR PMC03 preparer downloads the completed and signed PMC03 form as a PDF and sends it to the partner via Outlook email, along with the [PMC03 Workarounds Issue excel](#) (if applicable), for their review, setting a due date for the partner. Within this email, UNHCR PMC03 preparer asks the partner to respond with the choice of their acceptance status (“Accepted”, “Accepted with comments” or “Not accepted”) and corresponding comments in the body of their email.

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

- i. Open the PMC03 PDF and the [PMC03 Workarounds Issues excel](#) (as applicable) from the Outlook email.

- ii. Review the answers provided by UNHCR and add new recommendations/appreciations to the PMC03 Workarounds Issues excel, if necessary.
- iii. If in agreement with the content of the PMC03 and no further input is required, respond to UNHCR PMC03 preparer via Outlook email, providing their acceptance status of "Accepted" (or "Accepted with comments") and corresponding comments in the body of the email. The partner can provide inputs to the [PMC03 Workarounds Issue excel](#) and share it back with UNHCR in the same Outlook email (if applicable).

OR:

If not in agreement with the content of the PMC03, respond to UNHCR PMC03 preparer via Outlook email with the acceptance status of "Not accepted" and include comments for explanation in the body of their email. UNHCR PMC03 preparer may choose to modify the answers in the PMC03 form in Aconex "Field" Inspections to reflect the partner's comments and then assign it to the UNHCR PMC03 approver (return to **Step 3**).

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

- i. Click "Inspections" from the dropdown menu under the "Field" tab on the modules ribbon in Aconex.
- ii. Search for the PMC03 form and click "Edit".
- iii. Select the partner's chosen acceptance status from the dropdown menu and copy and paste the partner's comments into the form (from Outlook email sent by the partner).
- iv. Upload, as an attachment, the revised [PMC03 Workarounds Issue excel](#) (as applicable) to the form.
- v. Leave the name, title and signature questions blank for the partner's section.
- vi. Close the Inspection form.

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 PDF with the "Not accepted" status.

Step 7: UNHCR PMC03 preparer downloads the PMC03 form as a new PDF (now reflecting the partner's acceptance status and corresponding comments) and sends it to the partner for their signature via Outlook email. The partner sends back the signed PDF to the UNHCR PMC03 preparer, who then shares it with the UNHCR PMC03 approver.

Note: Once the PMC03 form is completed and signed by both parties, UNHCR PMC03 approver uploads the final signed PDF of the PMC03 into the "2nd Stage Approval" step of the PFR submission workflow as a supplementary file (see separate [workaround tip above](#) on the PFR process).

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 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.

H) End-Narrative Report + End-PFR Submission

The end-narrative report submission is part of the end-PFR submission. This reporting process utilizes Outlook email and 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 initiates the internal workflow for the end-PFR and end-narrative report, 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, ensuring to insert their name for the participant in the "Partner PFR Input" step with Project Control in copy.
- iv. Enter the step deadlines in alignment with the report deadline requirements.
- v. Click "Submit" to initiate the workflow.

Step 3: UNHCR Programme sends the end-PFR and end-narrative report templates to the partner, as follows:

- i. Receive the workflow transmittal, open the "Partner PFR Input" workflow step and download the templates.
- ii. Send the end-PFR and end-narrative report templates to the partner via Outlook email.

Step 4: The partner shares their proposed end-PFR and end-narrative report, as follows:

- i. Open the templates from the Outlook email.
- 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. Send the proposed end-PFR and end-narrative report back to UNHCR via Outlook email, alongside any necessary supporting documents (e.g. general ledgers and a personnel list), if required.

Step 5: UNHCR Programme submits the partner's proposed end-PFR and end-narrative report, as follows:

- i. Upload the proposed end-PFR and end-narrative report (sent by the partner via Outlook email) in the "Partner PFR Input" workflow step as the replacement files.
- ii. Attach all supporting documents, sent by the partner, as supplementary files to the workflow step (if applicable).
- iii. Complete the workflow step by selecting the review outcome of "Approved".

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

Step 6: 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, UNHCR Programme sends the file(s) and their feedback to the partner via Outlook email to reach agreement. There is a back-and-forth Outlook email exchange until the end-narrative report and/or end-PFR are agreed between both parties. Once agreement is met with the partner offline, UNHCR Programme uploads the agreed partner-completed end-PFR and end-narrative report to the parent "1st Stage Approval" workflow step.

Step 7: 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 the partner offline, upload the PDF in the "1st Stage Approval" workflow step as a supplementary file. See separate [workaround tip above](#) for more details on the PMC02 process.

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

- i. If the partner's end-PFR has been revised since it was uploaded in 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 9: 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, UNHCR Project Control can consult with the partner via Outlook email/phone calls/meetings until agreement is met and the completed end-PFR can be uploaded into the workflow step.

Step 10: 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 the partner offline, upload the PDF in the "2nd Stage Approval" workflow step as a supplementary file. See separate [workaround tip above](#) for more details on the PMC03 process.

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 11: 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 12: 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 and entering Project Control and/or Programme’s name as the participant for the “Partner Review” step, when initiating the sub workflow. 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: UNHCR Programme and/or Project Control download the modified end-PFR excel and/or end-narrative report from the workflow step and send it/them to the partner via Outlook email. There is a back-and-forth Outlook email exchange until the content of the end-PFR and/or end-narrative report is agreed between both parties. Once agreed, UNHCR Project Control converts the final end-PFR excel into a PDF and sends it to the partner via Outlook email for their signature. The partner adds their signature to the PDF of the final end-PFR and sends it back to UNHCR Project Control via Outlook email. UNHCR Programme and/or Project Control upload the final end-PFR excel and signed PDF copy and/or end-narrative report in the sub workflow step and select the review outcome of “Proceed”.

(iii) UNHCR Programme Approval: Since UNHCR Programme and/or Project Control have already uploaded the final agreed end-PFR (excel and PDF) and/or end-narrative report in the previous “Partner Review” step, all that is required is double-checking that the correct final file version(s) are in the workflow step (there is no need necessarily to upload a replacement file). UNHCR Programme and/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 12a**]).

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

I) 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 Outlook email and the "Document" and "Workflows" 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 initiates the internal workflow for the end-PFR and final partnership report, 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, ensuring to insert their name for the participant in the "Partner PFR Input" step with Project Control in copy.
- iv. Enter the step deadlines in alignment with the report deadline requirements.
- v. Click "Submit" to initiate the workflow.

Step 3: UNHCR Programme sends the end-PFR and final partnership report templates to the partner, as follows:

- i. Receive the workflow transmittal, open the "Partner PFR Input" workflow step and download the templates.
- ii. Send the end-PFR and final report templates to the partner via Outlook email.

Step 4: The partner shares their proposed end-PFR and final partnership report, as follows:

- i. Open the templates from the Outlook email.
- ii. Enter the final reported expenditures and proposed reallocations/budget variations (if applicable) in the end-PFR and fill out the final partnership report.
- iii. Send the proposed end-PFR and final report back to UNHCR via Outlook email, alongside any necessary supporting documents (e.g. general ledgers and a personnel list), if required.

Step 5: UNHCR Programme submits the partner's proposed end-PFR and final partnership report, as follows:

- i. Upload the proposed end-PFR and final partnership report (sent by the partner via Outlook email) in the "Partner PFR Input" workflow step as the replacement files.

- ii. Attach all supporting documents, sent by the partner, as supplementary files to the workflow step (if applicable).
- iii. Complete the workflow step by selecting the review outcome of "Approved".

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

Step 6: UNHCR Programme reviews the partner's end-PFR and final partnership 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 partnership 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 partnership report content, UNHCR Programme sends the file(s) and their feedback to the partner via Outlook email to reach agreement. There is a back-and-forth Outlook email exchange until the final report and/or end-PFR are agreed between both parties. Once agreement is met with the partner offline, UNHCR Programme uploads the agreed partner-completed end-PFR and final report to the parent "1st Stage Approval" workflow step.

Step 7: 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 the partner offline, upload the PDF in the "1st Stage Approval" workflow step as a supplementary file. See separate [workaround tip above](#) for more details on the PMC02 process.

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

- i. If the partner's end-PFR has been revised since it was uploaded in 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 final partnership 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 9: UNHCR Project Control finalizes the end-PFR and reviews the final partnership 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.

NB: If not in agreement with the values entered in the end-PFR by the partner, UNHCR Project Control can consult with the partner via Outlook email/phone calls/meetings until agreement is met and the completed end-PFR can be uploaded into the workflow step.

Step 10: 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 the partner offline, upload the PDF in the "2nd Stage Approval" workflow step as a supplementary file. See separate [workaround tip above](#) for more details on the PMC03 process.

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

- i. Check the correct completed end-PFR, final partnership 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 12: The UNHCR Representative opens the “3rd Stage Approval” workflow step, downloads the end-PFR, final partnership report, PMC02, PMC03 and other supplementary files (as applicable), and reviews the content.

a) If in agreement with the end-PFR and final partnership 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.

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 final partnership report on a “Representative Sub Workflow”, including their concerns for Project Control and/or Programme in the “workflow note” box in the workflow wizard and entering Project Control and/or Programme’s name as the participant for the “Partner Review” step, when initiating the sub workflow. 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 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”.

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: UNHCR Programme and/or Project Control download the modified end-PFR excel and/or final partnership report from the workflow step and send it/them to the partner via Outlook email. There is a back-and-forth Outlook email exchange until the content of the end-PFR and/or final report is agreed between both parties. Once agreed, UNHCR Project Control converts the final end-PFR excel into a PDF and sends it to the partner via Outlook email for their signature. The partner adds their signature to the PDF of the final end-PFR and sends it back to UNHCR Project Control via Outlook email. UNHCR Programme and/or Project Control upload the final end-PFR excel and signed PDF copy and/or final report in the sub workflow step and select the review outcome of “Proceed”.

(iii) UNHCR Programme Approval: Since UNHCR Programme and/or Project Control have already uploaded the final agreed end-PFR (excel and PDF) and/or final partnership report in the previous “Partner Review” step, all that is required is double-checking that the correct final file version(s) are in the workflow step (there is no need necessarily to upload a replacement file). UNHCR Programme and/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 12a**].

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

J) Request for Extension

The process for the request for an extension of the liquidation and/or implementation period is conducted using Outlook email only.

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

- i. Create an Outlook email.
- ii. Use the following naming convention for the subject line of the email: "Request for Liquidation / Implementation Period Extension for [partnership agreement contract number]".
E.g. "*Request for Implementation Period Extension for 32061Y24M194726*".
- iii. Send email 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. Review the details of the Outlook email request and supporting documents with the concerned multi-functional team (MFT).
- ii. If the request is deemed to be invalid, reply to the partner via Outlook email with an explanation of the MFT's rejection decision.

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 via Outlook email with the request for clarifications/information. Then, the Partner can reply with the required clarifications/supporting documents. This back-and-forth Outlook email 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 via Outlook email, with Project Control in copy and attaching any supporting documents (as applicable).

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

- i. Review the details of the forwarded Outlook email request and supporting documents.
- ii. If the request is deemed to be invalid, UNHCR Senior Programme or the Programme focal point replies to the partner via Outlook email with an explanation of the rejection decision.

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 senior-management endorsed partner extension requests with the regional bureau (RB) as a Summary Report, as follows:

- i. Download the [Sample Summary of Request for Extension for RB](#) from the intranet and use it to fill out the required information for endorsed partner extension requests.
- ii. Create an Outlook email and attach the Summary Report, as well as any supporting documents (as applicable).
- iii. Use the following naming convention for the subject line of the email: "Request for Approval of Extensions".
- iv. Send email to the RB with the Programme focal point in copy (if known).

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. Insert the RB Director's decisions (whether to approve or reject the requests), along with the justification and relevant extension dates, in the last four columns reserved for RB use in the Summary Report.
- iii. 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. Reply to the partner's Outlook email with the details of the final decision.

Note: All email correspondence on the request for extension with the partner and the country operation, as well as the signed Excel file, is stored by the country operation on their SharePoint for audit purposes.

K) Audit Report Review

The audit report review process is led by the UNHCR project auditor and utilizes Outlook email and 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 initiates the workflow for the audit report, as follows:

- i. Select the draft audit report from the Document Register (by checking the box in the left column) and transmit it on a workflow 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, ensuring to insert their name for the participant in the "Partner Review" step.
- iv. Enter the step deadlines and click "Submit" to initiate the workflow.

Step 3: UNHCR project auditor sends the draft audit report to the partner, as follows:

- i. Receive the workflow transmittal, open the "Partner Review" workflow step and download the draft audit report.
- ii. Send the draft audit report to the partner via Outlook email, allowing them 7 days to respond with feedback.

Step 4: The partner reviews the draft audit report and sends feedback back to the UNHCR project auditor, as follows:

- i. Open the draft audit report from the Outlook email.
- ii. Review the content and add any comments in the draft report (if necessary).
- iii. Send the modified (or unaltered) draft audit report via Outlook email back to the UNHCR project auditor within 7 days of receipt of the auditor's email.

Step 5: UNHCR project auditor submits the partner-reviewed draft audit report, as follows:

- i. Upload the partner-reviewed draft audit report in the "Partner Review" workflow step as the replacement file.
- ii. Complete the workflow step by selecting either "Draft" or "Final" for the review outcome.

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

Step 6: 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 7**.

OR:

If not in agreement with the partner's feedback, add comments to the downloaded draft audit report and send it to the partner via Outlook email. There is a back-and-forth Outlook email exchange until the content of the audit report is agreed between both parties and the modified file is uploaded in the "UNHCR Finalization" workflow step as the replacement file.

Step 7: 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. 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"*
- iii. Assign the UNHCR audit focal point as the single sub workflow step participant, enter the step deadline and click "Submit" to initiate the sub workflow.
- iv. Within the sub workflow, UNHCR audit focal point selects either "Proceed", if in agreement with the UNHCR project auditor's requests, or "Revise & resubmit" if the UNHCR audit focal point does not agree with the proposal from the auditor.
- v. If the UNHCR audit focal point selects "Revise & resubmit", the UNHCR project auditor can initiate another new "Partner Sub Workflow" until there is mutual agreement on the draft audit report.
- vi. Once agreement is met with the UNHCR audit focal point, 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 8**].

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 8: 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.

K) Recovery of Funds

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