Software tip: Aconex – Audit Recommendations

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

Step 1: 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 2: 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 3: 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.

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 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 2**.

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 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.