

## 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.