

## 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 “1<sup>st</sup> 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 “1<sup>st</sup> 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 “1<sup>st</sup> 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 “1<sup>st</sup> Stage Approval” workflow step as the replacement file.
- iii. Complete the workflow step with the review outcome of “Agreed.” The workflow moves to the “2<sup>nd</sup> 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 “2<sup>nd</sup> 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) 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:** 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) UNHCR Programme Approval:** 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 “2<sup>nd</sup> 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.