

## 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 "1<sup>st</sup> 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 "1<sup>st</sup> 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 "1<sup>st</sup> 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 "1<sup>st</sup> 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.

**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 "1<sup>st</sup> Stage Approval" workflow step.

**Step 5:** UNHCR Programme completes the "1<sup>st</sup> 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 “2<sup>nd</sup> 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 6:** UNHCR Project Control finalizes the PFR, as follows:

- i. Receive the workflow transmittal, open the “2<sup>nd</sup> 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 “2<sup>nd</sup> Stage Approval” workflow step as the replacement file.

**NB:** 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 “2<sup>nd</sup> 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.

**NB:** It is important to note a segregation of duties between the UNHCR PMC03 preparer and UNHCR Project Control who is responsible for the “2<sup>nd</sup> 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 “2<sup>nd</sup> Stage Approval” workflow step.

**Step 8:** UNHCR Project Control completes the “2<sup>nd</sup> 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 “3<sup>rd</sup> Stage Approval” step.

**NB:** 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 “3<sup>rd</sup> 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 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:** 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 “3<sup>rd</sup> 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.