



Digital FTR process in the FAS - CHECKLIST

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INTRODUCTION

The FTR submission complies with MPTFO fund transfer policies. The preparation of the digital FTR is aligned with the MPTFO Operational Manual – 3.7 Perform Transfers.

The Fund Administration System (FAS) of the MPTFO Gateway allows the MPTF Office to receive the digital FTR form prepared by the Secretariat, which automatically linked to any project record created in the FMP.

With regards to the FTR creation, please refer to the FAS Help Guide 3.7 FAS – FTR Form

Once the FTR form is received in the FAS, The MPTFO Staff can:

- i. Review and return for adjustments the FTR form prepared by the Secretariat
- ii. Create the MPTFO internal Checklist from the MPTFO Portfolio Associate (PA) to the Finance Manager (FA) for approval
- iii. The MPTFO Portfolio Manager creates the Project ID (Quantum) and Budget from the FAS Checklist
- iv. The review steps at every stage for Portfolio and Finance Team includes both FTR and Checklist review and return ensuring consistency with MPTF Office policies regarding fund transfers.
- v. Recording payment voucher and GLJE in the checklist
- vi. Finalization of the FTR Review Checklist in the table marked “For Finance Use”, and submission to Finance Manager for approval

The following is an initial guideline on how to complete the Checklist form and its sections of a project for FMP Basic, which contains the instrumental information for the FTR. The same applies for FMP Plus

For all questions regarding using the platform, please contact the MPTFO Fund Portfolio Team.

USER ROLES FOR FTR Review CHECKLIST

User Type MPTFO User Group	Project/Programme Development Functions	Permissions
Portfolio Associate (PA)	Received the Digital FTR from the Secretariat User Create the Checklist and complete the required steps	Review and send back (when applicable for FTR fixes) Clear forwarding the process to PM
Portfolio Manager (PM)	Received the Digital FTR from and the Checklist from the PA Create the Project ID and Budget and the checklist Reject a project (if applicable)	Review and send back (when applicable for FTR fixes and Checklist fixes) Create Project Reject Project Clear forwarding

		the process to FA
Finance Associate (FA)	Received the Digital FTR from and the Checklist from the PM	Review and send back (when applicable for FTR fixes and Checklist fixes) Clear forwarding the process to FM
Finance Manager (FM)	Received the Digital FTR from and the Checklist from the FA Project Approval	Review and send back (when applicable for FTR fixes and Checklist fixes) Approve the project

Note: There are 2 Configurations in the system:

- **FAS Basic** – the Project approval process is done outside the platform
In this case the Secretariat will:
 - 1) **Create** the project record in the FMP
 - 2) **Fill in the General Information** of the project form for the FTR
 - 3) **Fill in the SDGs information** (data collection for SDGs dashboard)
 - 4) **Upload the approved ProDoc in the system,**
 - 5) **PREPARE THE DIGITAL FTR FORM** (See Help Guide here below)

- **FAS Plus** – the Project approval is fully digitalized
In this case the Secretariat will
 - 1) **Complete** the project approval process
 - 2) **PREPARE THE DIGITAL FTR FORM** (See Help Guide here below)

CHECKLIST Form

The CHECKLIST form is available on the FTR landing page of the FAS and it is created by the PA when the first FTR review is cleared

1. Finding CHECKLIST form in the FAS

MPTF Office Gateway **FAS** FMP Contacts Entities Admin ▾ Cristina Bertarelli (cristina.bertarelli@undp.org)

Create FTR

FTR Code	Status	Modified On	Modified By	
MPTF_00283_FTR_0009		16-Aug-2024 11:46:00 AM	cristina.bertarelli@undp.org	Details
	Project Id	Project ERP Reference	Thematic Area	Project Title
	MPTF_00283_00024	Quantum Project ID #	Child Code	
	Checklist Id			Status
	MPTF_00283_FTR_0009_CHKLST_0001			Approved

2. Fill in the CHECKLIST form in the FAS

The Portfolio Associate (PA) **Creates** the CHECKLIST form by clicking on a blue button available under the details of a cleared FTR submitted by the Secretariat User. To complete the form, it is mandatory to fill all fields included in the template below.

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Create FTR

FTR Code	Status	Modified On	Modified By	
MPTF_00283_FTR_0009	Cleared and ready for checklist creation	16-Aug-2024 11:46:00 AM	cristina.bertarelli@undp.org	Details
	Project Id	Project ERP Reference	Thematic Area	Project Title
	MPTF_00283_00024	Quantum Project ID #	Child Code	
	Checklist Id			Status
	MPTF_00283_FTR_0009_CHKLST_0001			Approved

Once the FTR form is cleared, then the PA starts filling in the CHECKLIST form in the FAS. The form includes the following sections: Information, Documents, Projects and Workflow.

** CHECKLIST Information

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Warning: This is staging enviroment.

Fund Name

General Information Partners Fund Dates Capitalization Staff Administration Fund Structure **Fund Transfer Requests** RBM
Configuration Projects

FTR Checklist [Printout](#)

FTR Forms **Information** Documents Projects Workflow

The Fund Name, CHECKLIST number, Status of the Workflow and the project being funded are automatically populated in the heading from the FTR digital form.

Several questions must be answered before completing the workflow. The questions are aligned with the procedures and responsibilities in the FTR review process indicated in the MPTFO Operational Manual (chapter 3.7)

Q1 (PA): Confirmation of % of Indirect Support Cost

Indirect support cost does not exceed 7% Yes No

Q2 (PA): Confirmation to evidence Approvals to proceed with the funds transfer

Approvals

Overall allocation signed and dated (as per approval authority)	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	<input type="text"/>
Country level approval signed and dated	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	<input type="text"/>
Secretariat clearance	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	<input type="text"/>
Signed MOU for each PUNO or NUNO agreement for each NUNO	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A	Not applicable
Confirm NUNO registration still valid where applicable	<input type="radio"/> Yes <input type="radio"/> No <input checked="" type="radio"/> N/A	Not applicable
Signed and dated fund transfer request/ submission form	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	<input type="text"/>

TIP: If you mark one of the options as “N/A” a comment must be indicated to clear the workflow

Q3 (PA): Review and confirmation supporting documentation

Programme/ Project documentation/ AWP (including budget)

Project document signed and dated	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	<input type="text"/>
Amount requested reconciles with approved allocation	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	<input type="text"/>

Q4 (PA): FTR Conformity to policies included in the Operational Manual



Fund transfer request		
Is this a revision in the budget allocation, if yes please provide detail in comments	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	
Amounts add up correctly on fund transfer form	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	
Available balance in Fund Account	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	
Total Transfer Request	This section is automatically populated from the FTR	
Is funding from earmarked contribution?	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A	
Budget finalized in Quantum	<input type="radio"/> Yes <input checked="" type="radio"/> No <input type="radio"/> N/A	
Request in line with fund structure (where applicable)	<input checked="" type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	

Q5 (PA): Key Dates

Dates		
Date of initial receipt of documents	15-Aug-2024	Calendar format
Date all documents are complete (Invoice date)	15-Aug-2024	

Q6 (PM): Validation of the PA entries

The PM should review and validate the work prepared so far by the PA. Every section should be check-marked and dated.

Reviewed and acknowledged by	Cristina Bertarelli	15-Aug-2024	<input checked="" type="checkbox"/>
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Once the PM has cleared the FTR and the CHECKLIST, the next step is to create the project ID and the project Budget in Quantum. [See section \(3\) of this Help Guide](#)

Q7 (FA): Review of the FTR and CHECKLIST and Finance Review

The last section of the CHECKLIST is filled in by the FA after the overall review of FTR and CHECKLIST completed so far (including all supporting documents)

Finance Review (Any payment request received after 3pm by Finance will be reviewed on the following working day)		
All supporting documents are complete as per PM checklist	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	
The requested amount on PM Checklist matches with approved amount	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	
Overall Funds availability (GL / KK Balances)	<input type="radio"/> Yes <input type="radio"/> No <input type="radio"/> N/A	

Q7 (FM): Validation of the FA entries

The FM should review and validate the work prepared so far by the FA. Every section should be check-marked and dated.



Reviewed and acknowledged by

Cristina Bertarelli

15-Aug-2024



** CHECKLIST Documents

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Fund Name

General Information Partners Fund Dates Capitalization Staff Administration Fund Structure **Fund Transfer Requests** RBM
Configuration Projects

FTR Checklist [Printout](#)

FTR Forms Information **Documents** Projects Workflow

All the supporting documents should be reviewed for completeness and accuracy. The documents uploaded in this section remain in the FTR CHECKLIST repository.

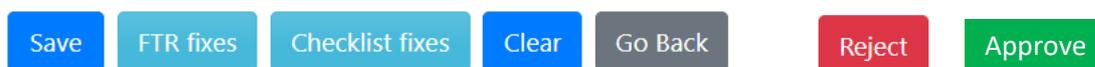
** CHECKLIST Workflow

Every step in the process should be confirmed by the workflow. Once the workflow is completed, meaning all the sections are filled in, the system allows to proceed further and CLEAR the status.

!! Good practice: always return and review the workflow before moving to the next step!!

At any point of the workflow the MPTFO User can send back either the FTR form or the CHECKLIST for quick fixes. Therefore, by the time the forms reach the approval stage the margin of inaccuracies is reduced to a minimum with great efficiency gains.

The CHECKLIST workflow includes the following steps:



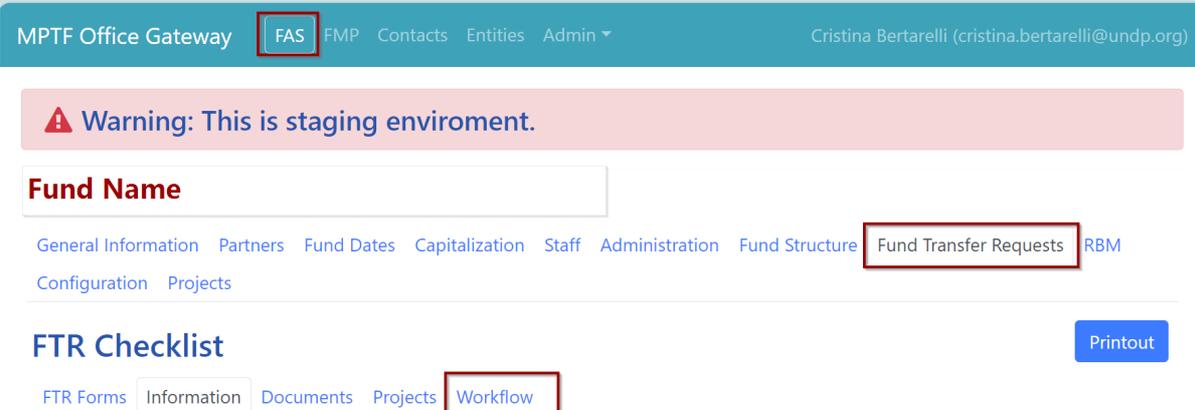
In detail:

- 1) **Save** – the work in progress can be saved and continued later
- 2) **FTR fixes** – Sending back the FTR to Secretariat for adjustments or corrections
- 3) **Checklist fixes** – sending back to MPTFO “previous” User for adjustments or corrections
- 4) **Clear** – when ready to move to the next stage (from PA to PM to FA to FM)
- 5) **Go Back** – to return to the previous page
- 6) **REJECT** button is available to PM only if the FTR is not accepted, returned to the Secretariat and not processed
- 7) **APPROVE** button is available to FM only to proceed forward with the funds transfer

!! IMPORTANT!!

Always include a Comment in the workflow.

Leaving a blank space may result in challenging review and make future reference difficult to identify.



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Fund Name

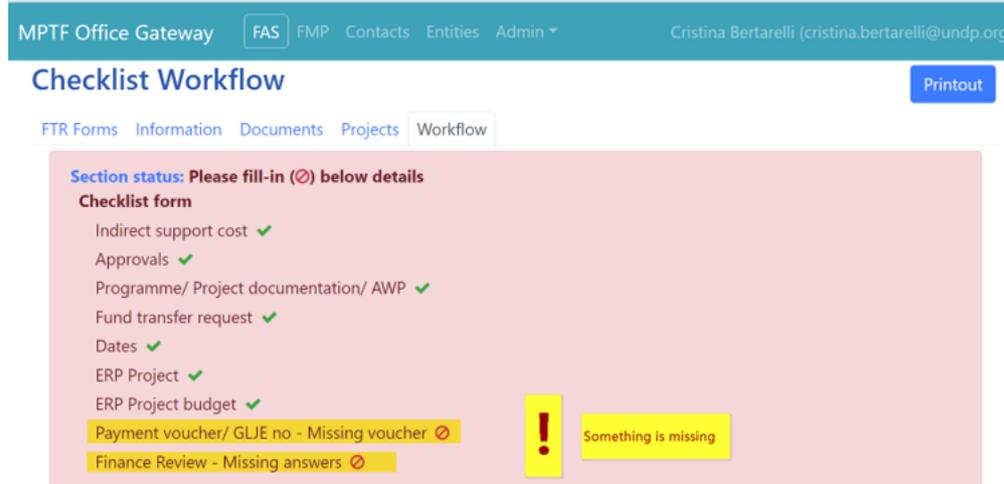
General Information Partners Fund Dates Capitalization Staff Administration Fund Structure **Fund Transfer Requests** RBM
Configuration Projects

FTR Checklist Printout

FTR Forms Information Documents Projects **Workflow**

!! If some sections of the checklist are missing the system will report a red flag !!

See screenshot where both PA and PM completed their part of the checklist, showing the missing answers from Finance Review



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Checklist Workflow Printout

FTR Forms Information Documents Projects **Workflow**

Section status: Please fill-in (🚫) below details

Checklist form

- Indirect support cost ✓
- Approvals ✓
- Programme/ Project documentation/ AWP ✓
- Fund transfer request ✓
- Dates ✓
- ERP Project ✓
- ERP Project budget ✓
- Payment voucher/ GLJE no - Missing voucher 🚫
- Finance Review - Missing answers 🚫

! Something is missing

The actual status of the checklist is always reported in the landing page of the FTR(s)

Checklist Id	Status
MPTF 00283_FTR_0007_CHKLIST_0001	Reviewed by PM and ready for FA

3. Creating the Project in QUANTUM via FTR CHECKLIST

As pre-requisite, it is not possible to make a transfer to a Participating Organization if a project budget is not set up in the ERP. Therefore, the Portfolio Manager (PM) is responsible to:

- 1) Create the Project ID in the ERP (Quantum) system
- 2) Create the Project Budget in the ERP (Quantum) system

To simplify the process, the FAS system is connected to the ERP system to allow the PM to perform this task directly from the checklist.

After the PM has completed the review and the validation of FTR from Secretariat and checklist prepared by the PA, the system requires the completion of ERP Project and Budget

in the Project tab.

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Fund Name

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Configuration Projects

FTR Checklist [Printout](#)

FTR Forms Information Documents **Projects** Workflow

Click on the Green button Create Project and Budget and complete the information from the system. Once the project is created, the system displays all the information needed to finalize the FTR process

Checklist Projects [Printout](#)

FTR Forms Information Documents **Projects** Workflow

From the FMP Project record

Project	ERP Reference Project Number	Start Date	End Date	Country / Global	Modified by	Modified on
Project title	00140696	30-Apr-2024	30-Dec-2025		naga.putta@undp.org	07-Aug-2024

[Set Budget](#)

Checklist Projects [Printout](#)

FTR Forms Information Documents **Projects** Workflow

Project	ERP Reference Project Number	Start Date	End Date	Country / Global	Modified by	Modified on
Project Title	00140700	15-Aug-2024	15-Feb-2026		cristina.bertarelli@undp.org	15-Aug-2024

Participating organization	Fund code	Approved budget	Previously transferred	Current transfer	Amount remaining	PO code	Payment voucher/ GLJE no
UNEP	child code	\$100,000.00	\$0.00	\$100,000.00	\$0.00	001993	
UNICEF	child code	\$200,000.00	\$0.00	\$200,000.00	\$0.00	001999	
Total		\$300,000.00	\$0.00	\$300,000.00	\$0.00		

4. CHECKLIST WORKFLOW tracking

When all the steps are completed the overall workflow tracking is available in the CHECKLIST menu. The dashboard includes two **Sections: Secretariat FTR input and MPTFO CHCKLIST progress** (in blue). Whereas Secretariat has visibility of the FTR process only, MPTFO users can see both workflows (FTR and CHECKLIST).

Checklist Workflow [Printout](#)

FTR Forms Information Documents **Projects** Workflow

Workflow Status	Comments	Action By	Action On (EST)
Approved	FM ready to approve the FTR and checklist for funds transfer	cristina.bertarelli@undp.org	16-Aug-2024
Approved	FM ready to approve the FTR and checklist for funds transfer	cristina.bertarelli@undp.org	16-Aug-2024
Reviewed by FA and ready for FM	Ready to submit to FMP for final approval	cristina.bertarelli@undp.org	16-Aug-2024
Reviewed by PM and ready for FA	PM clear the checklist for the FA	cristina.bertarelli@undp.org	16-Aug-2024
Submitted for review, project and budget creation	OK and ready to submit for Review	cristina.bertarelli@undp.org	16-Aug-2024
Cleared and ready for checklist creation	PA Clear the FTR enabling the creation of the checklist	cristina.bertarelli@undp.org	16-Aug-2024
Submitted to MPTFO for review	Creator Secretariat is ready for submission of the FTR to MPTFO	cristina.bertarelli@undp.org	16-Aug-2024
Signed and ready for approving authority	Secretariat approval authority to confirm that FTR is signed and ready	cristina.bertarelli@undp.org	16-Aug-2024
Submitted for review	Secretariat User - FTR Creator for Approval authority	cristina.bertarelli@undp.org	16-Aug-2024

Note: there are two "Approved" lines that look like a repetition.



In fact, they are not.

An approval message is sent to the Secretariat when the FTR process is finalized, and the workflow is updated for the Secretariat too.

5. PRINTOUT

The CHECKLIST form can be saved in PDF format via Printout that is accessible via FAS_CHECKLIST menu. See the screenshot.

The Printout can be used for management purposes, or any other query related to the CHECKLIST form.

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Fund Name

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Checklist Workflow Printout

FTR Forms Information Documents Projects Workflow