

Operational Instruction Ref. OI.IPMG.2019.01**Project Management****1. Authority**

- 1.1. This Operational Instruction (OI) is promulgated by the Director of the Infrastructure and Project Management Group (IPMG) on the basis of a delegation of authority from the Deputy-Executive Director, under the authority of the Executive Director, under OD.EO.2017.02 on Management of UNOPS Partners and Resulting Agreements.

2. Purpose

- 2.1. The purpose of this OI is to outline the requirements for the management of UNOPS services under Engagement Agreements (as defined in OD.EO.2017.02) and their related projects, as further detailed in the Project Management Manual (PMM), and as the project management processes are progressively transferred into it, to the Process and Quality Management System (PQMS). Until then, in managing UNOPS engagements and their related projects, UNOPS personnel shall refer to the PMM.

3. Effective Date

- 3.1. This OI shall become effective as of **1 January 2019**.

4. Implementation Schedule

- 4.1. All new UNOPS engagements initiated as of 1 January 2019 shall comply with all mandatory requirements as outlined within the PMM.
- 4.2. All existing UNOPS engagements as of 1 January 2019 shall comply with all mandatory requirements as outlined within the PMM on the following basis:
 - 4.2.1 All projects shall have the defined roles of Project Executive, Business Developer, Project Manager or Closure Manager (relevant to the current stage of the respective project), identified in the oneUNOPS system by **1 January 2019**.
 - 4.2.2 All projects shall have their respective outputs and corresponding Category, in accordance with the relevant project management Category, identified in the oneUNOPS system by **1 April 2019**.
 - 4.2.3 All projects shall comply with PMM Requirements Section 0 and all requirements identified for their Category for their current project management stage (Opportunity

stage, Pre-Engagement stage, Initiation stage, Implementation stage, or Closure stage) as per the PMM from **1 January 2019** except as noted in 4.2.4 and 4.2.5.

- 4.2.4 All projects currently within Implementation Stage that are within 3 months of change of status to Closure Stage as at 1 January 2019, as defined by the Project Executive, shall not be required to comply with PMM Requirements 4.2-4.6 inclusive.
- 4.2.5 All infrastructure projects currently in Defects Notification Period as at 1 January 2019, as defined in oneUNOPS, shall not be required to comply with PMM Requirements 4.2-4.6 inclusive.
- 4.2.6 There shall be no requirement for retroactive compliance with requirements in previous project management stages that are already completed unless identified otherwise in 4.2.1, 4.2.2, 4.2.3.

5. Consequential Changes

- 5.1. This OI shall supersede and abolish OI.IPMG.2018.01 - Project Management as of **1 January 2019**.

_____ [signature redacted] _____

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Director, Infrastructure and Project Management Group

Operational Instruction Ref. OLIPMG.2019.01**Project Management**Table of Contents

1. Introduction	4
2. General Principles	5
3. General Requirements	5
4. Stage Requirements	6
4.1. Opportunity stage	6
4.2. Pre-Engagement stage	6
4.3. Initiation Stage	7
4.4. Implementation Stage	7
4.5. Closure Stage	8
5. Roles and Responsibilities	8
6. Exceptions	9
7. Maintaining the PMM	9
8. Authoritative Interpretation	9

1. Introduction

- 1.1. The purpose of the OI and the PMM is to ensure that the delivery of all engagement agreements and their related projects shall be managed with consistent quality, efficiency and control.
- 1.2. The PMM provides instructions and guidance on project management activities throughout each of the stages of the project lifespan. The PMM applies to all UNOPS engagement agreements and their related projects, as defined in OD.EO.2017.02 on Management of UNOPS Partners and Resulting Agreements. The PMM Part 1 provides guidance and an understanding of relevant project management principles. The PMM Part 2 provides mandatory, recommended and optional requirements for the project lifespan.
- 1.3. A project is defined as a temporary organisation that creates one or more outputs. A project is contained within an engagement, as per the OI on Opportunity and Engagement Acceptance. The project outputs are achieved by completing work packages.
- 1.4. UNOPS organises the management of engagements and their related projects into five stages: (i) Opportunity stage, (ii) Pre-Engagement stage, (iii) Initiation stage, (iv) Implementation stage, and (v) Closure stage. All five stages are mandatory, and are collectively referred to as the project lifespan.
- 1.5. Projects are identified as Category 1, Category 2 or Category 3 (as defined in the PMM), at the Opportunity stage in order to facilitate their management in accordance with their risks. Categorisation criteria are based on the regulatory level, their risks and the professional judgement level required resulting in the project management level of effort needed to deliver the project. A project shall inherit the highest Category of its related work packages.
- 1.6. For each stage of a project, there are mandatory requirements (inputs, activities and outputs) that are applicable for the duration of the project lifespan. All projects, whether categorised as Category 1, 2 or 3, shall comply with the mandatory requirements identified for each Category, as outlined within the PMM Part 2.
- 1.7. The PMM also outlines recommended activities and outputs, based on industry best practices, which are not mandatory but highly recommended for increased risk management.
- 1.8. The PMM also outlines optional activities and outputs, which are not mandatory, but may be considered on the basis of professional judgement.
- 1.9. The Project Executive may determine whether to add recommended or optional activities and outputs to a project.

2. General Principles

- 2.1. Engagements and their related projects shall be managed in accordance with the following general principles, namely:
 - 2.1.1. All UNOPS engagements shall meet the highest standards of principled performance for delivering projects with consistency, integrity and removing uncertainties through well-defined standards and best practices. This shall be implemented by:
 - i. Being adequately resourced by project teams that have clearly identified roles and responsibilities with qualified personnel focused on directing, managing and delivering the project.
 - ii. Having adequate planning, control and other quality management processes in the delivery of engagements, in order to reduce uncertainties and maximise opportunities related to UNOPS' legal obligations as well as the expectations of its partner(s) and other stakeholder(s); and,
 - iii. Being managed in a uniform manner that ensures a consistent approach to delivery.
 - 2.1.2. UNOPS shall strive to advance sustainable implementation practices in the management of all projects. This shall be reflected in the development of national capacity, promoting social (including gender and diversity), economic and environmental sustainability and improving efficiency at all stages throughout the project lifespan.

3. General Requirements

- 3.1. The Requirements identified in the PMM Part 2 set out mandatory compliance requirements for all stages of the project lifespan.
- 3.2. Engagements and their related projects shall be categorised according to the PMM to adapt the level of project management effort and risk mitigation required, in order to ensure that the appropriate level of project management methodology is applied.
- 3.3. The Engagement Authority authorizes the Project Executive to direct the project throughout its lifespan in accordance with the PMM Part 2.
- 3.4. All engagements and their related projects shall at all times have UNOPS contracted persons assigned to direct them and manage them from Opportunity stage to Closure stage. Any handover between or within these stages shall be carried out correctly and documented in oneUNOPS.
- 3.5. An engagement and its related projects, shall comply with the requirements as per its project categorisation. This includes all mandatory project management documents

required throughout the project lifespan, which are to be uploaded to the oneUNOPS document archive.

- 3.6. All engagements and their related projects shall be assured on a quarterly basis during the Implementation and Operational Closure Stages.
- 3.7. All engagements and their projects shall proactively identify, document and manage risk. All risks, issues and lessons learned shall be documented throughout the project lifespan.
- 3.8. Refer to the PMM for the mandatory general activities which apply at all stages of the project lifespan.

4. Stage Requirements

4.1. Opportunity stage

- 4.1.1. The purpose of the Opportunity stage is the identification and monitoring of potential engagements.
- 4.1.2. During this stage, a Project Executive and Business Developer shall be assigned, the opportunity developed, a Proposal prepared and the opportunity recorded in oneUNOPS , including risk assessment, for approval or cancellation.

4.2. Pre-Engagement stage

- 4.2.1. The purpose of the Pre-Engagement stage is to formulate and negotiate an engagement and its related projects. The Pre-Engagement stage requires the definition of the project's scope, schedule, outputs and budget among others, to be defined in collaboration with the partner(s).
- 4.2.2. In order for the Engagement Authority to be able to make a decision on whether or not UNOPS should proceed with the engagement and its related projects, the mandatory requirements of the pre-engagement stage shall be completed. This includes, but is not limited to, consulting lessons learned, approving the project management category, completing the social and environmental screening, and creation of the Project Initiation Documentation (PID) (draft), if applicable) and Legal Agreement (draft) in order to complete the pre-engagement stage in oneUNOPS for approval or rejection.
- 4.2.3. The Pre-Engagement stage shall only be submitted to the relevant Engagement Authority with appropriate Delegation of Authority (DOA) for their approval, once an acceptable level of project documentation has been created and the Reviewers have carried out an initial review.

4.3. Initiation Stage

- 4.3.1. The purpose of the Initiation stage is to formalise an engagement and mobilise primary resources for the implementation stage of its related projects.
- 4.3.2. In order for the Engagement Authority to complete the engagement approval, the mandatory requirements of the initiation stage shall be completed. This includes, but is not limited to, completion of the PID (as applicable), Implementation Plan (draft, as applicable) and signing of the legal agreement, in addition to the engagement risk assessment and mobilization activities for the Project Manager and budget approvals.
- 4.3.3. The Initiation stage shall only be submitted to the relevant Engagement Authority with appropriate Delegation of Authority (DOA) for their approval, once all required project documentation is in final state and the Reviewers have made recommendations.

4.4. Implementation Stage

- 4.4.1. The Implementation stage is the delivery of project outputs to the agreed scope, schedule, budget and quality requirements. The project will be continuously implemented, reported and managed through planning, delivering and monitoring and control activities. Implementation is to be as per the Legal Agreement between UNOPS and the partner(s), the PID if applicable, the approved Implementation Plan (baseline) if applicable, and the approved Quarterly Plans if applicable. All mandatory requirements and associated processes shall be as per the PMM Part 2.
- 4.4.2. As per the Planning activities, the Implementation Plan and sub-plans shall be completed and approved no later than during the first quarter. The Implementation Plan and cash flow forecast for each subsequent quarter are to be updated, and a Quarterly Plan created. The Quarterly Plan shall be approved prior to starting the next quarter.
- 4.4.3. As per the Delivering activities, the project shall be directed, managed and delivered on an ongoing basis. The project shall be assured on a quarterly basis. The work packages, their deliverables, and the project outputs shall be completed and handed over as per the Implementation Plan.
- 4.4.4. As per the monitoring and controlling activities, progress on work packages shall be monitored and controlled. Any changes to work packages, and consequent effects on project and engagements shall be controlled, and where required, Legal Agreement amendment request approvals or rejections be completed, as required.

4.5. Closure Stage

- 4.5.1. Closure is the last stage of the project lifespan where the engagement is to be operationally and financially closed in accordance with the Closure Plan, and after all outputs have been handed over to the partner(s) as per the Legal Agreement. A Closure Manager shall be assigned in order to manage both the operational and financial closure activities.

- 4.5.2. During the operational closure process, a Final Narrative Report shall be submitted and a No Objection letter obtained from the funding source if applicable.
- 4.5.3. During the financial closure process the Final Financial Report shall be submitted, and any refund or recovery process completed as applicable. Finally, the Closure Manager and Project Executive having completed their duties can be released.
- 4.5.4. Closure shall be in accordance with UNOPS Financial Rules and Regulations together with the PMM. Further guidance on financial closure of projects is available on the Finance Group intranet site.

5. Roles and Responsibilities

- 5.1. Projects within an engagement shall be managed by the Business Developer, the Project Manager and then the Closure Manager within their respective stages as defined in the PMM.
- 5.2. Projects within an engagement shall be directed by the Project Executive with the support of the Project Board, as applicable. The Project Manager cannot undertake a role on the Project Board as either Project Executive, Senior Supplier or Senior User.
- 5.3. In all situations, the Multi Country Office Directors, Country Directors, Country Managers (as relevant), the Head of Programme, the Head of Support Services and the PMO Manager (where they exist) shall be consulted in the development and implementation of projects within an engagement.
- 5.4. The Infrastructure and Project Management Group (IPMG) Director shall be responsible for the following:
 - i. Facilitate effective implementation of the PMM by providing necessary trainings and supporting guidance material, templates and other related documents for effective and efficient infrastructure and project management;
 - ii. Periodically reassess and update the requirements and activities;
 - iii. Ensure the progressive integration of the PMM requirements and processes for UNOPS activities and facilities in PQMS, oneUNOPS and/or other related IT system components;
 - iv. Oversight of the effective implementation of mandatory requirements in this OI; and,
 - v. Ensure that this OI is implemented consistently throughout the organization, and that it remains fit for purpose.

6. Exceptions

- 6.1. Requests for exceptions to mandatory requirements shall be submitted to the Head of Standards, IPMG, for written approval. If the request for an exception is not approved, it may be escalated to the respective Regional Director for joint determination with the Director of IPMG.
- 6.2. In the event of disagreement, such disagreement shall be referred to the Executive Office for resolution.

7. Maintaining the PMM

- 7.1. Amendments to this OI, the PMM requirements and recommended project management templates may be made on a regular basis to ensure relevancy and quality of UNOPS engagement management process and requirements. The current versions of the OI and the PMM are the versions available on the intranet.
- 7.2. Recommended templates and other supporting guidance are issued separate to the PMM by IPMG.

8. Authoritative Interpretation

- 8.1. Authoritative interpretation of this OI and the PMM may be made by the Director of IPMG, or other personnel as authorised by the Director of IPMG, in order to provide clarification on the applicability or interpretation of the requirements stated herein.