

OPERATIONAL INSTRUCTION REF. OI.IPMG.2018.01

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 on **immediately**.

4. Implementation Schedule:

- 4.1. All existing and new UNOPS engagements classified as ‘lite’, ‘standard’ and ‘complex’ shall comply with all mandatory requirements as outlined within the PMM from 1 January 2019.
- 4.2. Compliance with mandatory requirements will be from the current project management stage (Opportunity stage, Pre-Engagement stage, Initiation stage, Implementation stage, or Closure stage) as per the date of implementation according to the classification as per section 4.1 above. There shall be no requirement for retroactive compliance with stages that are already completed.

5. Consequential Changes:

- 5.1. This OI shall supersede and abolish AI.PM.2010.01 on Management and Monitoring of Engagements and AI.PM.2009.02 on Closing Process for Engagements/Projects as of the effective date.

[signature redacted]

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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.
- 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 classified as ‘lite’, ‘standard’ or ‘complex’ (as defined in the PMM), at the pre-engagement stage in order to facilitate their management in accordance with their risks. Classification criteria is based on the regulatory level, in addition to the professional judgement level required. A project shall inherit the highest level of classification 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 classified as lite, standard or complex shall comply with the mandatory requirements, processes and guidance, as outlined within the PMM.
- 1.7. The PMM also outlines recommended activities, which are additional activities that are highly recommended, but not mandatory.

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 engagement;
 - 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 engagement delivery.

- 2.1.2 UNOPS shall strive to advance sustainable implementation practices in the management of all engagements and their related 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 General Requirements of the PMM sets out mandatory compliance requirements for all stages of the project lifespan.
- 3.2. Engagements and their related projects shall be classified 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. All engagements and their related projects shall at all times have a UNOPS contracted person assigned to manage them from Opportunity stage to Closure stage. Any handover between or within these stages shall be carried out correctly and documented in oneUNOPS.
- 3.4. An engagement and its related projects, shall comply with the requirements as per its level of project classification. This includes all mandatory project management documents required throughout the project lifespan, which are to be uploaded to the oneUNOPS document archive.
- 3.5. All engagements and their related projects shall be assured on a quarterly basis.
- 3.6. 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.
- 3.7. Refer to the PMM for the mandatory general requirements 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, an Engagement Developer shall be assigned, and the oneUNOPS opportunity shall be completed, 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, 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, assigning the Project Board Executive, completing the social and environmental screening, and creation of the Project Initiation

Documentation (PID) (draft) and Legal Agreement (draft) in order to complete the oneUNOPS pre-engagement stage 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 Engagement 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 plan for the implementation stage of its related projects.
- 4.3.2 In order for the Engagement Authority to complete the oneUNOPS engagement approval, the mandatory requirements of the initiation stage shall be completed. This includes, but is not limited to, completion of the PID and signing of the legal agreement, in addition to the oneUNOPS engagement risk assessment. All logs and registers shall be updated to ensure complete documentation at this stage in preparation for assigning of the Project Manager (PM) and oneUNOPS handover from the Developer to the PM.
- 4.3.3 In order for the Engagement Authority to be able to make a decision on whether to approve or reject the engagement, all mandatory requirements of the Initiation stage shall be completed.

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, and reported and managed on a quarter-by-quarter basis, through the following three process groups: plan, deliver and control. Implementation will need to be as per the Legal Agreement between UNOPS and the partner(s), the PID, the approved Project Plan (baseline) and the approved Quarterly Plans. All mandatory requirements for the three process groups, and associated processes and guidance, shall be as per the PMM.
- 4.4.2 As per the Plan process group, the project plan and sub-plans shall be completed and approved during the first quarter. The project plan and cash flow forecast for the current quarter are to be updated, and a quarterly plan created. The quarterly plan shall be approved or rejected. During the last quarter of a project, a closure stage plan shall be created and approved.
- 4.4.3 As per the Deliver process group, the work packages and their deliverables shall be completed and handed over. The project shall be managed on an ongoing basis, and directed on a quarterly basis. The project outputs shall be handed over as per the Project Plan.
- 4.4.4 All engagements and their associated projects shall be assured on a quarterly basis. Any changes to the project shall be controlled, and where required, oneUNOPS 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, after all outputs have been handed over to the partner(s) as per the Legal Agreement.

- 4.5.2 During the Closure Stage, a Final Narrative Report and a Final Financial Report shall be submitted where required, and a No Objection letter be obtained from the funding source. The oneUNOPS engagement quarterly assurance shall be completed. An Engagement Closure Manager shall be assigned in order to manage both the operational and financial closure activities.
- 4.5.3 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. All closure stages shall be completed through oneUNOPS.

5. Roles and Responsibilities:

- 5.1. Projects within an engagement shall be managed by the Engagement Developer, the Project Manager and then the Engagement Closure Manager within their respective stages as defined in the PMM.
- 5.2. Projects within an engagement shall be directed by the Project Board. The Project Manager cannot undertake a role on the Project Board as either Project Board Executive, Senior Supplier or Senior User.
- 5.3. In all situations, the Country Director, 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:
- a. 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;
 - b. Periodically reassess and update the mandatory requirements and recommended activities;
 - c. 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;
 - d. Oversight of the effective implementation of mandatory requirements in this OI; and,
 - e. 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. In the event of disagreement, such disagreement shall be referred to the Executive Office for resolution.
- 6.2. Requests for exceptions to the use of recommended templates shall be submitted to the responsible Engagement Authority, for written approval. Where approval is provided for use of alternative templates, the Engagement Authority shall ensure all fields from

the templates for reporting data are uploaded and/or retained within UNOPS systems. 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. In the event of further disagreement, such disagreement shall be referred to the Executive Office for resolution. Exceptions may warrant a review of the template and/or template library for edits or additions to ensure that the PMM and its associated documents are aligned with UNOPS operational requirements as per 7.1 below.

7. Maintaining the PMM:

- 7.1. Amendments to this OI, the PMM requirements and 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. Refer to the PQMS for the current templates and supporting guidance prior to implementation.

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.