



QUALITY MANAGEMENT PLAN

March 2024

23327 Uzbekistan COVID-19 Emergency Project

Funded by: Republic of Uzbekistan

A project by: Client

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Document Revision

Date	Name	Title	Contribution

1 INTRODUCTION

Quality Management for physical infrastructure projects is all about ensuring that they are fit for purpose. To guarantee that each infrastructure asset and/or system is completed to the specified level of quality, and when placed in operation, provides a safe, sustainable, reliable, easily maintainable facility that fulfills the intended function and meets applicable statutory and regulatory requirements.

The United Nations Office for Project Services (UNOPS) will perform the central role in managing Quality issues during the construction phase of the project.

The core purpose of this QMP is to detail how the quality processes for the project will be implemented to ensure that the project outputs meet the clear requirements and are delivered fit-for-purpose.

Our Site Management team will ensure that the work is carried out to a high standard in compliance with client requirements, current legislation, and guidance. This will be achieved by application of our Quality Assurance Management System. This information is available to all site personnel.

This Quality Management Plan forms one part of the overall Quality Management System that has been developed for the project: the modernisation of the healthcare framework, bolstering of infrastructure, fortification of the system's material and technical foundation, and improvement of both medical and non-medical staff's professional competencies. It provides a guide for personnel involved in the construction of this project on how the quality requirements of the specifications are addressed. It has been developed from the information detailed within the 'Contract Specification, Beneficiary Requirements and Agreement information.

2 PROJECT BACKGROUND

Under the auspices of the Republic of Uzbekistan's State Program, a comprehensive transformation of the healthcare system is currently underway. This initiative encompasses the modernisation of the healthcare framework, bolstering of infrastructure, fortification of the system's material and technical foundation, and improvement of both medical and non-medical staff's professional competencies. The collective aim is to elevate the quality, accessibility, and effectiveness of healthcare provision across the country.

The main objective of the Project is to increase Uzbekistan's resilience to the COVID-19 pandemic and other epidemics by equipping and refurbishing the national laboratory system, establishing an ICT-based national surveillance and monitoring system, and improving and expanding the COVID-19 treatment capacity.

UNOPS signed an agreement with SES on 23 December 2022 to implement activities under the loan agreement and support SES in strengthening Uzbekistan's public health standards by means of its project management, infrastructure and procurement expertise. Through its project management framework UNOPS dedicated teams of infrastructure, procurement, biomedical, ICT and public health experts, supports the implementation of the Project, including through the preparation of a Feasibility Study in the early stage of the project to further define the Project Activities and Outputs.

3 QUALITY MANAGEMENT APPROACH

The purpose of quality management is to ensure that quality is integrated and recognized throughout the project lifespan and that projects deliver outputs that are fit for purpose and satisfy the quality requirements of partners and beneficiaries. This approach identifies the quality management procedure, applicable techniques and standards, reporting and records requirements, the timing of quality activities and the roles and responsibilities for those with quality responsibilities.

3.1 Quality management procedure

The quality management procedure is composed of quality planning, quality assurance and quality control activities, which are identified based on the defined quality requirements at the project, work package and/or deliverable levels.

Quality planning: The activity of defining project outputs and the processes needed to achieve these outputs, with their respective acceptance criteria, the methods required for quality assurance and control and the relevant roles and responsibilities.

Quality assurance: The activity that provides confidence that project objectives will meet or exceed the expectations of key stakeholders, both internal and external to UNOPS engagements and their associated projects, and that the quality requirements will be met.

Quality Control: The activity that ensures that policies, standards and procedures are applied, that quality objectives and quality requirements are met and identifies and addresses unsatisfactory performance and corrective actions.

3.1.1 Quality Assurance

Aligned with the UNOPS [Project Management Manual \(PMM\)](#) this quality management plan shall guide quality planning, control and assurance activities during the implementation of project activities. The forms are one part of the overall Quality Management System of the project. It describes how quality will be managed throughout the lifecycle of the project and provides a guide for personnel involved in the implementation of the project on how the quality requirements of the specifications are addressed. It also includes the processes and procedures for ensuring quality planning, assurance, and control are all conducted. It has been developed from the information detailed within the Contract Specification, schedule of items, client's Requirements and Agreement information.

The plan also provides guidance and direction for project personnel and contractors to perform the necessary tasks to verify that the quality of the contractor's work complies with the condition of contracts, specifications, and drawings and that the works are documented clearly for traceability and future use.

The plan will establish the activities, processes, and procedures for ensuring a quality product upon the conclusion of the project. The purpose of the plan is to:

- Ensure quality is planned;
- Define how quality will be managed;
- Define the roles and responsibilities of relevant parties in the project;
- Define quality assurance activities;
- Define quality control activities;
- Define acceptable quality standards;

The plan will be reviewed monthly to ensure that:

- The objectives and requirements of the Project Q&A plan are still valid, and are being met;
- Forthcoming activities are reviewed and any necessary amendments to the plan are put in place before the relevant work begins;
- Q&A plan processes shall be reviewed to ensure continuing suitability and effectiveness;

3.1.2 Quality Control

The quality control approach will ensure the conduct of checks are in accordance with the QM Plan and to confirm that processes are being carried out effectively. A record of these checks shall be noted. Quality standards, measure of quality, inspections, use of templates and forms, definitions of types of quality methods and metrics to be employed in support of quality control.

To ensure the level of quality in its deliverables and work processes, the following key documents will be used as a basis to implement the quality management plan:

- *Conditions of Contract*: General conditions of contract issued for works contracts will be used.
- *Detailed Design Documentations (Technical Specification, Design/Drawings and Bill of Quantities)* The Technical Specifications shall be included in the set of Contract Document and will be used as a basis for the implementation of QMP; The Design/Drawings and BOQ for each Work Package will be used to implement the QMP whilst also complying with the client's requirements
- Use of *UNOPS Standard Templates* such as: Inspection Test Plans, [Monthly Site Progress meeting](#), Site instruction, [Approval of work/materials, Inspection and testing Report, Non conformance report](#), etc which can all be found in the corporates templates and in the project [folder on quality management](#).
- The [Quality Management Register](#) will be updated throughout to show 'actual' quality control (quality check) activity dates and the results;

3.1.3 Process Control Procedures

Control of Work Processes (WP) will comprise the following 3 phases:

- **Preparatory phase meetings**: Weekly progress meetings will be held before each definable feature of work to ensure that the documentation is complete, materials are on hand, and the people who are to perform the work understand what they need to know about the feature of work. Both the actual contract specifications and those referenced in the contract specifications shall be in the contractor's library and available to the control of WP inspections.
- **Initial Inspections**: Control of WP inspections shall be conducted in a timely manner at the beginning of a definable feature of work. A check of the preliminary work will determine whether or not the Contractor, through his craftsmen involved, thoroughly understands and is capable of accomplishing the work as specified.
- **Follow-up Inspections**: follow-up inspections also conducted by UNOPS and contractor's quality management personnel, occur daily when work is in progress and are for the purpose of assuring that the controls established in the earlier phases of inspection continue to provide work which conforms to the contract requirements.

3.2 Techniques and standards

The UNOPS quality management system (QMS) is the framework of all policies, standards, processes and guidance that supports the achievement of UNOPS quality objectives. All UNOPS projects are managed in compliance with this framework.

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This Quality Management Plan forms one part of the overall Quality Management System that has been developed for the Uzbekistan COVID-19 Emergency Project. It provides a guide for personnel involved in the construction of this project on how the quality requirements of the specifications are addressed. It has been developed from the information detailed within the 'Contract Specification, Beneficiary Requirements and Agreement information'.

All UNOPS Projects are managed within the framework of:

[OI on Project Management](#);

[OI on Quality Management OI.IPS.2021.02](#);

[Quality Management: Guidelines for Projects](#)

Construction Nonconformance/Deficiencies

This section provides procedures for tracking construction nonconformities/deficiencies from identification through acceptable corrective action. It defines the controls and related responsibilities and authorities for dealing with noncompliant products or services.

Non-conformance/deficiency occurs when a material, performed work, or installation does not meet the plans and/or specifications for the project. Any item of work found to be deficient will be identified by the inspector on the Non-conformance Report as described in this section.

[Non-Conformance and Non-conformance Report \(NCR\)](#)

Non-conformances are major deviations from the project specifications and the contract requirement and/or accepted standard of quality, which shall be formally documented for corrective action by UNOPS project staff or the third party testing group. Failure by a contractor to correct a minor deficiency after having been put on notice will also result in a non-conformance if it is not corrected within the instructed time in the notification. Non-conformances shall be formally documented on the example Non Conformance Report form. The Non-conformance report shall be distributed to the contractor and UNOPS SQMR and QMR.

The Non-Conformance Report (NCR) is a formal notification to the contractor that work does not meet the plans or the specifications for the project. Any item of work found to be deficient- out of conformance with the construction drawings and/or specifications - will be identified by the inspector on the non-conformance report as described in this section. Non-conformance reports will be included on the non-conformance register and tracked through verification that the non-conformance has been corrected.

Preventive actions are to be taken to eliminate the cause of a potential non-conformity. For example, defects that appear on the surface of concrete during construction or within a relatively short time after completion are usually caused by poor quality materials, improper mix design, lack of proper placing and curing procedures, or poor workmanship. UNOPS shall take preventive actions as necessary to eliminate the causes of potential deficiencies so as to prevent their occurrence.

Quality Control Deficiency Correction

When material, performed work or installation is found to be deficient and/or does not meet the project specifications, UNOPS Site Engineer will assure deficiency correction is implemented. UNOPS SE shall ensure that the non-conforming material, work or installation is identified and controlled to prevent unintended use or delivery. The non-conforming material or item shall be tagged and segregated by the construction contractor, when practical, from conforming material or items to preclude their inadvertent use. If segregation is impractical or impossible because of the physical characteristics of the item or other reasons, the non-conformance tag shall be displayed prominently to preclude inadvertent use. UNOPS SE is responsible for documenting the non-conformance in a NCR as specified in Section 10.3, Non-Conformance Report.

UNOPS will implement corrective actions to remedy work that is not in accordance with the drawings and specifications. The corrective actions will include removal and replacement of deficient work using methods approved by the UNOPS Project Manager. Removal shall be done in a manner that does not disturb work that meets Quality Control criteria; otherwise, the disturbed material shall also be removed and replaced. Replacement shall be done in accordance with the corresponding technical specifications. Replacement will be subjected to the same scope of Quality Control inspection and testing as the original work. If the replacement work is not in accordance with the drawings and specifications, the replacement work will be removed, replaced, re-inspected, and re-tested.

3.3 Records

Inspection and Testing Plans and Checklists

The status of the constructed works will be identified by the progressive completion of Inspection and testing documentation which are Inspection and Test Plans, Work Inspection Procedures and Checklists.

UNOPS team and contractors shall be responsible for the quality of the works. Checklists will be signed for each operation (earth work, concrete work, metal work, roofing work, finishes work, landscape work, etc. including mechanical, electrical and hydraulic works) to verify that works have been completed in accordance with requirements.

Independent inspections shall be carried out to verify that the self-certification process is being operated correctly. Requirements for independent inspections shall be identified on Inspection & Test Plan, Checklists and Independent inspections can be completed by appointed persons within the Project team. Non-conformances, defects or outstanding works shall be recorded as specific in UNOPS Procedures. Where an independent inspection is completed with all matters correct, this inspection can be recorded as "right first time" and used as a performance indicator.

Inspections and Test Plans define the inspection and testing requirements of the project including:

- Activity Description
- Inspection or Item Description
- Acceptance Criteria
- Inspection Frequency
- Inspection Test/Procedure
- Hold Point Identification
- Responsibility for carrying the inspection.

The material testing includes but not limited to:

- Field tests: The field tests are those which can be conducted on the site such as Field Density Test (FDT), soil moisture content test, concrete slump test, concrete air content, material temperature tests, and core tests, etc., as specified by the project technical specifications.
- Laboratory based Test: The laboratory test mainly includes the concrete mix design for various marks, concrete compressive tests, water quality test, etc., as specified by the project technical specifications.

UNOPS QMR will monitor the preparation of ITP's:

- Watch for omissions
- Watch for discrepancies between plans and specifications
- Check plans and specifications against requirements of which problems occurred on similar jobs
- Compare elevations, grades and details shown on plans as exiting, with those at the actual site
- Report all errors, omissions, discrepancies, and deficiencies to the SQMR.

Note: The UNOPS Quality Control Engineer will closely monitor the Contractor Quality Control program to assure that the 3-phase control system is being correctly performed and that the contractor is effectively controlling all operations/construction works. In the event that Contractor Quality Control personnel are not capable and/or are not inspecting properly, the Project Manager shall be notified immediately and shall correct performance by using one or more of the enforcement tools provided for in the construction contract. Records and reports will document all facts.

Detailed Construction Programme/Work Plan

Once the Contractors programme has been submitted, reviewed and approved in accordance with the Construction Contract conditions, regular review and monitoring of progress of the execution of the works next to the Contract programme is crucial. For project programme and planning it is critical that this review process is implemented and a set review cycle/time is agreed with the Contractor and included in the regular project meeting schedule.

The approved Contractors programme should identify the critical path time activities linked through the programme for the works. Establishing and identifying the work's critical path is crucial for assessing future impact of variations, delays and possible extension of time claims in terms of overall project duration.

Two Weekly programme/Work Plan

A detailed two weekly programme/work plan should be undertaken on all UNOPS projects. This detailed review and planning process ensures accurate monitoring by UNOPS site staff of the Contractors weekly progress and allows early identification of issues impeding the planned works. This review process requires a regular fortnightly meeting between the appropriate UNOPS site representative and the Contractor's personnel who is responsible for the programme delivery. At the fortnightly meeting UNOPS will review progress relating to the past two weeks of planned work versus what was actually achieved by the Contractor. The Contract will also present the planned work programme for the coming two weeks for discussion and review. It is critically important that the activities detailed within the two weekly programme/work plan correlate with the overall Contract programme.

Daily Record Keeping

Project documents will be managed through a combination of a secure document filing and storage system and a computerized document tracking system. Sufficient records shall be prepared and maintained as work is performed to furnish documentary evidence of the quality of construction and laboratory analysis and of activities affecting quality. The Engineer or his assigned representative shall maintain a daily log of all inspections performed for both contractor and subcontractor operations. The Daily Inspection and Daily Test reports shall be signed by Engineer or delegated authority. UNOPS ACE shall be provided at least one copy of each daily inspection and test report on the work day following the day of record.

Material Submittals

The construction contractor will prepare and submit a Material Submittal schedule to the QR, which will then be provided to UNOPS project manager, the schedule should be linked to the Contractor's approved programme of works. The schedule will be initially submitted within 2 weeks after the award of the contract and updated on a monthly basis. The QR shall work with the contractor to prioritize and sequence submittals so that the most critical submittals are received and processed first (preparation of submittal schedule). The submittal schedule will become the baseline against which receipt of all required submittals will be compared. The approved submittal schedule will be forwarded to the UNOPS PM for resource availability planning.

Process, Review and Acceptance

Submittals will be managed as follows:

- Contractors will number and certify the completeness of all submittals before submitting to the UNOPS Project Engineer;
- Contractors shall also complete submittal transmittal forms and submit '3 hard copies, plus 1 full copy in native language electronic format on CD' of all required submittals to the Project Engineer;
- Upon receiving the submittal, the UNOPS Project Engineer will register the submittal and provide a review to ascertain whether the package is complete. If the submittal is incomplete the submittal will be returned to the contractor.
- The original submittal transmittal and all copied attachments will be registered in the DT register.
- The UNOPS Project Engineer shall review the submittal for general conformance with contract design documents, will coordinate concurrent discipline reviews within the design team, and consolidate responses into a single coordinated action.
- The PE will return a copy of the submittal to the contractor with an original stamp of the action required.

The following actions that may be taken for each submittal are:

1. Approved – Submittal meets contract requirements. No additional copies will be required of the contractor.
2. Approved as Noted – Submittal meets contract requirements with minor corrections noted. Re-submittal is not required. Contractor shall incorporate the required corrections into the work in the field. No additional copies will be required of the contractor.
3. Not Approved – Submittal is inadequate and does not meet contract requirements. Revise the complete submission and resubmit for approval. No work will begin in the field until the revised submission has been approved.
4. Other – Submitted for information only; no response action required.

The QR is responsible for tracking the submittal package during the entire review process and advising all concerned of any schedule impacts to ensure that the review process timeframe is adhered to. The QR will retain copies of all submittal documents and revisions and ensure that an accurate file is available for ready retrieval during the life of the project. The QR will maintain all submittal files. These files will be filed by numeric sequence. Each submittal file will contain a complete submittal copy of the submittal before and after the review process.

Quality management records during the Taking Over and Handover phase

As the construction works near completion on the project various Taking Over requirements such as inspections, testing, defects management and submittals require processing and collation. The control documents in this section can be used to assist in ensuring the terms and conditions for Taking Over in accordance with the contract are verified as complete and have been executed to the required standard.

The Contractor in accordance with the form of Contract will notify UNOPS that the works are ready for inspection as part of the works completion process. The UNOPS team in coordination with the Design Consultant will conduct a final inspection of finished works recording any defects using the form of [punch list](#). The list of any defects will be issued to the contractor for the completion of the remedial works required.

Nearing completion of the works the Contractor is required to submit various technical documentation including as-built drawings, operational manuals, guarantees/warranties as detailed within the Contract Conditions.

With the completion of the works, the UNOPS will handover the infrastructure assets to the beneficiary using this [form](#). The defect notification period will be managed by UNOPS as per the agreement with the donor.

3.4 Schedule of activities

The schedule of key activities are listed as follows and can vary from site to site:

- Dismantling works
- Walls and Ceilings
- Electrical Works
- Building Finishes
- Mechanical Works
- Landscape Works

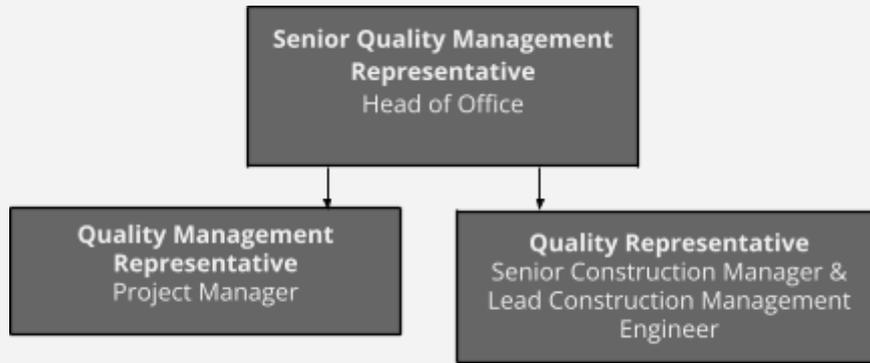
3.5 Roles and responsibilities

The project manager will manage quality throughout the project, ensuring that the quality of work packages and deliverables complies with the established quality requirements and the UNOPS project success criteria.

Under UNOPS Works Contracts, the Contractor(s) is (are) responsible for constructing the works in accordance with the requirements of the contract. The Contractors are responsible for establishing, implementing, and maintaining a quality control system to manage, control, document, and ensure that work complies with the requirements of the contract. The QC system must ensure the adequate control and assurance of quality for materials, equipment, workmanship, fabrication, and construction by the contractor and its subcontractors, suppliers, material testing laboratories, and consultants.

Independent of the Contractor, UNOPS supervision team will provide QA through routine monitoring and inspections to verify the effectiveness of the Contractor's approved QC and assure that the contract quality requirements are consistently met by the Contractor(s). Whilst contractually separated, the QA and QC tasks and systems are effectively linked together.

The QA activities carried out by the construction supervision team require a structured and consistent approach. The team should create and maintain a QAP aligned with the contract requirements at the outset. This will be the guiding baseline and procedure for the overall quality assurance activities carried out by the construction supervision team.



QM Team Organogram Chart

Name	Role	Responsibility (Quality management activity)
Brendan KEIRNAN	UNOPS Head of Office	<p>Senior Quality Management Representative</p> <ul style="list-style-type: none"> Reviewing and authorising the project Quality Management Plan (QMP) and other project plans Assigning quality responsibilities to all project personnel Ensuring all project personnel are suitably trained, and possess the necessary skills, to undertake their designated quality responsibilities Ensuring the provision of appropriate training in quality for all project personnel Continually monitoring of quality performance to ensure compatibility and continued effectiveness with the UNOPS's policy, objectives and other requirements. Allocating resources to ensure the project quality objectives are achieved. Participating in the review of the quality system and other relevant quality meetings and programs Liaising with the Client on Quality issues.
May-Britt EBERT	UNOPS Project Manager	<p>Quality Management Representatives</p> <ul style="list-style-type: none"> Preparing Quality Management Plan Ensuring procedures in the Quality Management Plan are followed Ensuring the project QMP is correctly implemented to meet the requirements of the project Allocating project staff to perform inspection duties Preparation of work Method Statements (MS), Work Procedures and Checklists (CL) and Inspection & Test Plans (ITP's) Reviewing prepared ITP's, CL's.

<p>Jerry MCCOOL Artem KULBASHNYI</p>	<p>UNOPS Senior Construction Operations Manager. UNOPS Lead Construction Management Engineer</p>	<ul style="list-style-type: none"> ● Reviewing inspection reports and ensuring any actions required are initiated ● Implement, verify and review the project's preventive and corrective action effectiveness ● Ensuring and verifying that agreed rectification works and corrective action is taken when required for non-conforming work ● Ensuring construction targets and programs are met ● Attending meetings called to discuss quality issues ● Identifying and reporting any quality management system issues ● Auditing and assessment of contractors <p>Quality Representatives</p> <ul style="list-style-type: none"> ● Assisting in preparation of QMP ● Preparing Work Inspection Procedures and Checklists (CL) and Inspection & Test Plans (ITP's) ● Performing verifications and quality inspections as requested ● Monitoring the implementation of manufacture/construction activities ● Identifying and reporting material and/or workmanship non-conformity and notifying the SQMR and QMR of the suspected non-conformity ● Rejecting defective workmanship and materials ● Assisting with the maintenance of the project program ● Performing verifications and quality inspections as requested by the SQMR and QMR ● Completing a diary on a project daily report ● Technical and logistic support to the SQMR and QMR ● Supervision of construction activities ● Identifying and reporting material deficiency and issuing to contractor Defect Notification Report ● And every activity listed
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3.6 PROJECT OUTPUTS DESCRIPTION

The United Nations Office for Project Services (UNOPS) has been requested by Sanitary and Epidemiological Welfare and Public Health Service of the Republic of Uzbekistan (SES) to implement a project aimed at increasing Uzbekistan's resilience to the COVID-19 pandemic and other epidemics by equipping and refurbishing the national laboratory system, establishing an ICT-based national surveillance and monitoring system, and improving and expanding the COVID-19 treatment capacity. In particular, the project objective shall be achieved through infrastructure condition assessments and feasibility surveys of needed infrastructure and utilities for the 249 health facilities across Uzbekistan. Activities will be implemented under the loan agreements with ADB and AIIB.

There are 249 healthcare facilities in total that need to be assessed, which are spread throughout the country in 14 districts (including Tashkent city). The facilities are comprised of the following types of institutions:

→ **38 medical facilities for feasibility survey, technical surveys, and conceptual design:**

- Sanitary and Epidemiological Welfare and Public Health Service of the Republic of Uzbekistan in Tashkent city;
- Regional branches of the Sanitary and Epidemiological Welfare and Public Health Service of the Republic of Uzbekistan, in all 12 districts + 1 in Tashkent oblast and 1 for Tashkent city;
- Republican AIDS Center in Tashkent;
- Regional branches of the Republican AIDS Center in 13 districts (Tashkent oblast included) and 1 in Tashkent;
- Republican Center for the Prevention of Plague, Quarantine and Especially Dangerous Infections in Tashkent;
- Regional branches of the Republican Center for the Prevention of Plague, Quarantine and Especially Dangerous Infections infections in Karakalpakstan, Kashkadarya and Fergana districts;

- Scientific Research Institute of Virology in Tashkent;
- Scientific Research Institute of Epidemiology, Microbiology and Infectious Diseases in Tashkent;
- Institute of Sanitary and Professional Diseases in Tashkent;
- Institute of Medical Parasitology named L.M. Isaeva in Samarkand city.

→ **211 medical facilities for feasibility survey and assessment reports:**

- Regional hospitals for infectious diseases in 13 districts (Tashkent oblast included) and 1 in Tashkent city;
- Republican treatment centers (Scientific Research Institute of Virology and Scientific Research Institute of Epidemiology, Microbiology and Infectious Diseases) both in Tashkent;
- District and city departments of the Sanitary and Epidemiological Welfare and Public Health Service of the Republic of Uzbekistan - 205 facilities throughout the country;
- Regional branches of the Republican Center for the Prevention of Plague, Quarantine and Especially Dangerous Infections - 3 in Karakalpakstan, 1 in Bukhara, 1 in Navoi, 1 in Surkhandarya.

4 ACCEPTANCE CRITERIA

The acceptance criteria or quality requirements are specific and measurable definitions of acceptable quality for project outputs. These criteria/requirements should be defined based on the specific attributes, characteristics and performance requirements, among others, of the project outputs.

The quality requirements/acceptance criteria for the project sites are identified in the detailed design documentation package such as technical specifications

5 PROJECT SUCCESS CRITERIA

The [Project Success Criteria](#) should be considered in conjunction with the acceptance criteria identified for each individual project and monitored throughout the project lifespan, as applicable.

6 QUALITY TOLERANCES

A quality tolerance is the “quantified description of acceptable variation for a quality requirement” (PMBOK® Guide, 2017). The inclusion of an acceptable range of variation when defining the acceptance criteria/quality requirements is needed to allow for the successful management and control of quality.

Effective Quality Assurance requires a serious and concentrated effort on the part of the supervisory and inspection personnel. Tools for the accomplishment of effective Quality Control are as follow:

1. Before start of construction, the UNOPS SQMR/QMR shall conduct a mutual understanding meeting with the contractor and discuss the contractor’s quality management system
2. Construction Works will commence only after mutual understanding between UNOPS and Contractor has been achieved.
3. The Contractor shall make sure that the quality control complies with International standards. Guidance from the following international standards shall be taken by the Contractor:
 - ISO 9000 Standards for the quality control and assurance – Guideline for selection and utilisation.
 - ISO 9001 Quality system - Model for the quality assurance in conception development, production, installation, and after-sales support.
 - ISO 9002 Quality system - Model for the quality assurance in production and installation.
 - ISO 9003 Quality system - Model for the quality assurance in controlling and final tests.
 - ISO 9004 Quality control and element of the quality system – Guidelines.
 - ISO 8402 Quality management and quality assurance - Vocabulary.

Furthermore, all works carried out shall be compliant to the Design and the Technical Specifications provided with the Contract.

MONTHLY/WEEKLY SITE PROGRESS MEETING

Project Title/ Work Title	Please write here				
Meeting No.	Please write here				
Contract No.	Please write here				
Employer	Please write here				
Contractor	Please write here				
Meeting Location	Please write here	Meeting Date	Please write here	Meeting Time	Please write here
Distribution	Please write here				
Minutes of the meeting prepared by	Please write here		Minutes of the meeting distribution date	Please write here	

1. Attendants – Key Personnel

UNOPS Key Personnel	Name/ Signature or apologies
Project Manager/Employer's Representative ¹	
Deputy Project Manager/Employer's Representative Assistant	
QA Team Leader	
HSSE Consultant/Coordinator	
Contracts Advisor/Manager/Procurement Official	
Project Support Officer	

Partner's Representative	Name/ Signature or apologies
Donor's focal person or Technical Advisor	
Client's Counterpart Engineer(s)	

¹ Text in grey are either information or guidance that can be maintained or changed to suite project conditions

Contractor's Key Personnel	Name/ Signature or apologies
Contractor's Representative	
Construction Manager	
Office/Planning Engineer	
QA/QC Engineer	
HSSE Expert	

2. Sample Meeting Agenda

- a. Minutes of Previous Meeting
 - Issues/problems/ endorsement
- b. Key visitors to site
 - Name, purpose and outcome of the visit including any follow up action required
 - Example: the donor's HSSE officer, Mrs..... Visited the site for two days and instructed to avail adequate PPE for the construction workforce before the next HSSE performance monitoring
- c. Matters arising
- d. Progress vs Contract Programme
 - Mobilization
 - Overall Progress and Challenges
 - Review on major Bill of Quantities items
- e. Quality management
 - Materials, workmanship, plant and equipment
 - Non-conformance
 - Inspection test plans
- f. Finance
 - Cash flow
 - Interim payment certificate
- g. Contractual issues - claims and disputes
 - Review current status of claims and disputes
- h. Technical matters
 - Drawings, instructions, etc.
- i. Possession of site and right of access
- j. Occupational health and safety
 - Health and safety management performance
 - Incidents
- k. Social and environmental matters
 - Social and Environmental management performance
 - Complaints and grievances
- l. Any other business
- m. Date, time and venue of next meeting

3. Minutes of Meeting

Item No	Agenda Discussed	Meeting Minutes	Proposed Action	Action by/ Due Date
1	Technical Matters	Delayed drawings for Variation Order no.XXX	Employer Rep to issue Drawings by...	Employer's representative
2	Health and Safety Matters	Noise pollution	Limit night work	Contractor

APPROVAL FOR WORK/MATERIALS (AFW/M)¹

Project Title/ Work Title	Please write here				
Contract No.	Please write here				
Employer	Please write here				
Contractor	Please write here				
Approval requested by	Please write here	Date	Please write here	AfW no	Please write here

Work Item	Material Production for use of structural back fill ²
Reference Contract Clause/Section/Drawing no./BOQ item no.	BOQ item 24.03, specification division and drawing no
Inspection and Testing Plan reference no.	ITP no.
Supporting Documents	Attached material inspection and test results, borrow pit management plan and possession of site
Location/Work Item	Borrow Pit no. 03 – BP No.03

Employer's Representative's Assistants' comments

Role/ Function	Comments	Signatures
QA Team Lead		
Surveyor	Topo is completed and the BP is demarcated	
Laboratory Technician	Necessary joint sampling and testing were conducted	
Material Inspector		
HSSE officer	The BPM is adequate and includes also photo of current features of the BP area for future ref to reinstate the BP	

¹ Relevant supporting documents shall be attached along with this AFW/M

² Texts in grey are examples

The work/ materials are:

	Approved
	Approved as noted
	Rejected

Approval or Rejection provided by employer's representative

Name	
Signature	
Date	

Approval or Rejection received contractor's representative

Name	
Signature	
Date	

Annex 1: Inspection and Test Results

Item No	Test Type	Test Results				Specification		Comments (Pass/ Fail/ Marginal)	Remarks
		Test 1	Test 2	Test 3	Average	Desirable	Absolute		
1									
2									

Annex 2: Borrow Pit Management Plan
Annex 3: Possession of site

INSPECTION AND TESTING REPORT (ITR)¹²

Project Title/ Work Title	Please write here				
Contract No.	Please write here				
Employer	Please write here				
Contractor	Please write here				
Date/ Time IT requested for	Please write here	ITR Issued	Please write here	ITR no.	Please write here

Work Item	Quality acceptance inspection and/or testing for Flooring			
Reference Contract Clause/Section/Drawing no./BOQ item no.	BOQ item 24.03 and Drawing no.XXX - Ceramic tile flooring			
Inspection and Testing Plan reference no.	ITP item no.			
Brief status of preceding work	The workmanship have been routinely inspected by the works inspector and the NC issued previously had been addressed and Closed out			
Location/Work Item	2nd floor – Columns @ Axis D-F,D-E			

¹ Request for Inspection and Testing should be submitted well ahead of the planned time for inspection/testing – typically 24 hours prior.

² This template serves or the same as the common Request for Inspection and Testing (RFIT) template.

Employer's Representative's Assistants' Inspection/Testing comments

Role/ Function	Comments	Signatures
QA Team Lead	The measurement and visual inspection satisfies the requirements. Measurement and inspection result attached herewith.	
Surveyor	The level satisfies the requirement	
Laboratory Technician	Minor corrections are needed at the finishing edge	
Material Inspector	Okay... approved material is used	
HSSE officer	Okay...adequate HSSE observance	

The work/ materials are:

<input type="checkbox"/>	Approved
<input type="checkbox"/>	Approved as noted
<input type="checkbox"/>	Rejected

(The inspection and testing conducted indicates satisfactory result)

Employer's Representative (or authorized Employer's Representative's Assistant) comments:

Name	
Signature	
Date	

The contractor's representative

Name	
Signature	
Date	

- [1] The quality activity ID provides a unique reference for every quality activity entered into the quality register.
- [2] Unique identifier for the output/deliverable to which the quality activity applies.
- [3] The name by which the output/deliverable is referenced in the Implementation Plan.
- [4] Name or description of the specific quality activity (e.g., reviews, reports, testing, inspections, design review, assurance and control activities, etc.).
- [5] This refers to the responsible member of the project team.
- [6] This refers to the individual responsible for reviewing the quality activity.
- [7] The record of this activity should be included in the shared drive linked in oneUNOPS Projects.

13 September 2022**Operational Instruction Ref. OI.IPS.2022.04****Project Management****1. Authority**

- 1.1. This Operational Instruction (OI) is promulgated by the Director of the Implementation Practices and Standards under the Operational Directive (OD) on the Management of UNOPS Partners and Resulting Agreements, on the basis of a delegation of authority from the Executive Director.

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 the OD on the Management of Partners and Resulting Agreements) and their related projects, as further detailed in the Project Management Manual (PMM).

3. Effective Date

- 3.1. This OI shall become effective **immediately**.

4. Consequential Changes

- 4.1. This OI shall supersede and abolish OI.IPMG.2019.01 - Project Management. This revision incorporates the revised UNOPS Project Success Criteria.

[signature redacted]

Nicholas O'Regan

Director, Implementation Practices and Standards

Operational Instruction Ref. OI.IPS.2022.04**Project Management**Table of Contents

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1. Introduction

- 1.1.** The purpose of this OI and the Project Management Manual (PMM) are to ensure that the delivery of all UNOPS engagements and their related projects are managed with consistent quality, efficiency and control.
- 1.2.** The PMM provides instructions and guidance on project management activities throughout each stage of the project lifespan. The PMM applies to all UNOPS engagements and their related projects, as defined in the OD on the Management of UNOPS Partners and Resulting Agreements. The PMM, Part I: Guidelines provides guidance and an understanding of relevant project management principles. The PMM, Part II: Requirements provides mandatory, recommended and optional requirements for the project lifespan.
- 1.3.** A project is defined as a temporary organization that creates one or more outputs. A project is contained within an engagement, as per the OI on the Acceptance of Engagement Agreements. Project outputs are achieved by completing work packages.
- 1.4.** UNOPS organizes 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, 2 or 3, as defined in the PMM, during the Opportunity Stage to facilitate their management in accordance with their risks. Categorization 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. All projects, whether categorized as Category 1, 2 or 3, shall comply with the mandatory requirements identified for each category, as outlined within the PMM, Part II: Requirements.
- 1.7.** The PMM also outlines recommended activities and outputs, based on industry best practices, which are not mandatory but highly recommended for effective 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:

2.1.1. All UNOPS engagements shall meet the highest standards of principled performance for delivering projects with consistency and integrity and removing uncertainties through well-defined standards and best practices. This shall be implemented by ensuring the following:

- i. Adequately resourced project teams that have clearly identified roles and responsibilities, with qualified personnel focused on directing, managing and delivering the project.
- ii. Adequate planning, monitoring and control and other quality management processes to reduce uncertainties and maximize opportunities related to UNOPS' legal obligations, as well as the expectations of UNOPS partners and other stakeholders;
- iii. That the [UNOPS Project Success Criteria](#) are consistently monitored and measured throughout the project lifespan, as applicable; and
- iv. Manage engagements and their related projects 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, the promotion of social (including gender and diversity), economic and environmental sustainability and improved efficiency throughout the project lifespan.

3. General Requirements

3.1. The Requirements identified in the PMM, Part II: Requirements set out mandatory requirements for all stages of the project lifespan.

3.2. Engagements and their related projects shall be categorized in accordance with the PMM to determine the level of project management effort and risk mitigation required and to ensure that the appropriate level of the 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 II: Requirements.

- 3.4. All engagements and their related projects shall at all times have UNOPS personnel assigned to direct them and manage them from the Opportunity Stage through the 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 in the PMM, as per its project categorization. This includes all mandatory project management documents required throughout the project lifespan, which shall be uploaded to the oneUNOPS engagement shared drive.
- 3.6. All engagements and their related projects shall complete quarterly assurance during the Implementation Stage.
- 3.7. All engagements and their related projects shall proactively identify, document and manage risks. 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 during all stages of the project lifespan.

4. Stage Requirements

4.1. Opportunity Stage

- 4.1.1. The purpose of the Opportunity Stage is to develop an opportunity into a potential project.
- 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 a risk assessment, for approval or cancellation.

4.2. Pre-engagement Stage

- 4.2.1. The purpose of the Pre-engagement Stage is to develop a potential project into a feasible project. The Pre-engagement Stage requires the definition of the scope, schedule, outputs and budget, risks and quality requirements, among others, to be defined in collaboration with partners.
- 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

creating the Project Initiation Documentation (PID) (draft), if applicable, and the 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 the 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 legally formalize and initiate one or more 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, the completion of the PID (as applicable), the Implementation Plan (draft, as applicable) and the signing of the Legal Agreement, in addition to the engagement risk assessment in oneUNOPS, 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 the appropriate DoA, for their approval once all required project documentation is final and the Reviewers have made recommendations.

4.4. Implementation Stage

- 4.4.1. The purpose of the Implementation Stage is to implement a project and complete the project outputs. 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 partners, 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 II: Requirements.
- 4.4.2. As per the 'Planning' activities in the PMM, the Implementation Plan and Sub-plans (as applicable) shall be completed and approved no later than during the first quarter of the Implementation Stage. The Implementation Plan and cash flow forecast for

each subsequent quarter shall be updated, and a Quarterly Plan created. The Quarterly Plan shall be approved on a quarterly basis.

4.4.3. As per the ‘Delivering’ activities in the PMM, 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 Control’ activities in the PMM, progress on work packages shall be monitored and controlled. Any changes to work packages, and consequent effects on the project and the engagement shall be controlled and Legal Agreement amendment request approvals or rejections shall be completed, as required.

4.5. Closure Stage

4.5.1. The Closure Stage is the last stage in the project lifespan. The purpose of the Closure Stage is to operationally and financially close a project, in accordance with the Closure Plan and, after all outputs have been handed over to partners, 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 the financial closure of projects is available on the [Project Closure Stage](#) intranet page.

5. Roles and Responsibilities

5.1. Projects within an engagement shall be managed by the Business Developer, the Project Manager and the Closure Manager, within the 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 shall not undertake a role on the Project Board as either the 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 Project/Programme Management Office (PMO) Manager (if applicable) shall be consulted in the development and implementation of projects within an engagement.
- 5.4. The Infrastructure and Project Management Group (IPMG) shall be responsible for the following:
 - 5.4.1. Facilitate the effective implementation of the PMM by providing necessary trainings and supporting guidance material, templates and other related documents for effective and efficient project management;
 - 5.4.2. Periodically reassess and update the requirements and activities in the PMM;
 - 5.4.3. Ensure the progressive integration of the PMM requirements and processes for UNOPS activities and facilities in one UNOPS and/or other related IT system components;
 - 5.4.4. Provide oversight of the effective implementation of mandatory requirements in this OI; and
 - 5.4.5. 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 IPS, or other personnel as authorized by the Director of IPS.
- 6.2. In the event of disagreement, such disagreement shall be referred to the Executive Office for resolution.

7. Maintaining the Project Management Manual

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

8. Authoritative Interpretation

- 8.1.** The authoritative interpretation of this OI and the PMM may be made by the Director of Implementation Practices and Standards (IPS), or other personnel as authorized by the Director of IPS, in order to provide clarification on the applicability or interpretation of the requirements stated herein.

Operational Instruction Ref. OI.IPS.2021.02**Quality Management****1. Authority**

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

2. Purpose

- 2.1. The purpose of this OI is to outline how the UNOPS approach to the management of services under Engagement Agreements, and their related projects, constitutes the UNOPS Quality Management System.

3. Effective Date

- 3.1. This OI shall become effective **immediately**.

4. Consequential Changes

- 4.1. This OI shall abolish and supersede OI.IPMG.2018.05 Quality Management. The purpose of this revision is to reflect the changes related to the UNOPS corporate structure from 14 August 2019 and to update this OI in accordance with the UNOPS decision not to renew its ISO Management System certifications.

[signature redacted]

Nicholas O'Regan

Director, Implementation Practices and Standards

Operational Instruction Ref. OI.IPS.2021.02

Quality Management

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1. Introduction

- 1.1. UNOPS works in diverse contextual settings and therefore, the nature of its engagements varies greatly in terms of size, operational complexity and risk profile.
- 1.2. Given the responsibilities UNOPS undertakes and the expectations of its partners, each of its engagements and their related projects presents a unique set of issues, risks, and opportunities. In order to effectively manage these challenges and deliver on the UNOPS mission to help people build better lives and countries achieve peace and sustainable development, UNOPS must enable project teams to operate efficiently, while fulfilling its commitment to quality and excellence.
- 1.3. Therefore, UNOPS has implemented a Quality Management System to ensure that it consistently delivers services that meet the needs of its partners, complies with the UNOPS legislative framework, addresses risks and opportunities and continually improves its performance.
- 1.4. UNOPS Quality Management System is an umbrella term for the collection of UNOPS processes that demonstrate the ability of UNOPS to provide services that meet key stakeholder expectations and any applicable regulatory requirements. It includes the analysis of the context in which UNOPS operates and the requirements of key stakeholders, the oversight of those operations, supporting processes and the measurement of the satisfaction of partners and key stakeholders.
- 1.5. The Quality Management System shall be used for all projects managed by UNOPS under Engagement Agreements, as defined in the OI on the Acceptance of Engagement Agreements.

2. General Principles

- 2.1. UNOPS quality objectives are, at the highest level, defined by the management goals and the contribution goals in the UNOPS strategic plan.
- 2.2. Project-level quality objectives shall be identified and established during the Pre-Engagement and Initiation Stages of the project lifespan, as defined in the OI on Project Management.

3. Components of the Quality Management System

- 3.1. In order to ensure that the Quality Management System supports the requirements of the organization, UNOPS shall determine the external and internal issues that are relevant to its purpose through its regular strategy development and review processes as per the OD on Strategy Setting.

- 3.2. Planning to address the particular requirements of partners and key stakeholders shall be done through the requirements defined in the OI on Project Management. These processes shall ensure that partner requirements are agreed, understood and documented.
- 3.3. Other processes required for the successful implementation of UNOPS Quality Management System include the following:
 - 3.3.1. **Project financial management** – delivering projects within agreed budgets;
 - 3.3.2. **People management** – the provision of people with the appropriate competencies;
 - 3.3.3. **Procurement** – the facilitation of externally provided products, services and works;
 - 3.3.4. **Internal audit and control** – assurance that the organization conforms to its own policies; and
 - 3.3.5. **Management review** – the review of the Quality Management System at planned intervals shall be documented in the UNOPS Legislative Framework.
- 3.4. Processes specific to the operation of the Quality Management System shall be documented in the Process and Quality Management System (PQMS).
- 3.5. The performance of the Quality Management System shall be evaluated at planned intervals and continual improvements shall be implemented.
- 4. Roles and Responsibilities**
 - 4.1. All personnel working for or on behalf of UNOPS shall be responsible to ensure the effective operation of the Quality Management System by following UNOPS policies, focussing on adding value for UNOPS partners, and contributing to the continual improvement of UNOPS performance.
- 5. Authoritative Interpretation**
 - 5.1. The authoritative interpretation of this OI may be made by the Director of Implementation Practices and Standards (IPS), or other personnel as authorized by the Director of IPS, in order to provide clarification on the applicability or interpretation of the requirements stated herein.

NON-CONFORMANCE REPORT (NCR)¹

Project Title/ Work Title	Please write here				
Contract No.	Please write here				
Employer	Please write here				
Contractor	Please write here				
Date/ Time NCR Raised	Please write here	NCR Raised by	Please write here	NCR no	Please write here
Work Category	Concrete				
Reference Docs	Spec division XXX				
Location/ Work Item	First floor slab				
Types of Non-Conformance:	x	Material	Workmanship	Plant/ Equipment	Others
		Product	H&Safety	S&Environment	
Category of Non-Conformance²:	Minor				
	Major				
Non-Conformance Conditions/ Description/ Details	(Refer and note specifications, drawings, standards, procedures etc. departed from, attach photos and/or drawings if applicable)				
Proposed Non-Conformance Actions/ Dispositions	Conditional Acceptance ³	Rework	Reject/ Scrap		

¹ The NCR should be communicated through formal letter/notices referring relevant contract clauses

² This requires professional judgment depending on the project context; however, as a rule of thumb the following can be used

Major- where the NC issue that resulted or could result health and safety incident or major deviation to the project performance targets;

Minor: NC issue that is not considered as an immediate threat to H&S

³ Describe the conditions of acceptance where the non-conformance can be technically accepted but with conditions - for example with payment reduction or others.

Feedback and/or Approval (If required)	Please write here
Design Consultant, Practitioner	the structural design will be re-analysed with the in-situ concrete strength achieved
QA Team Leader	Please write here
HSSE Manager	cordon-off the site till the result from the DP confirms it is safe to work on
Others	Please write here
Root causes of Non-Conformance	Inadequate quality control
Corrective Action to Prevent Recurrence	Please write here

Proposed Disposition Action Completed
For Contractor's Representative
For Employer's Representative

Comments	Please write here	<input checked="" type="checkbox"/> Acceptable
		<input type="checkbox"/> Not Acceptable
		Comments Please write here
Signature		Signature
NCR Verified and Closed Out Date	Please write here	
Employer's Representative	Please write here	

CONSTRUCTION PUNCH LIST¹

Project Title/ Work Title	Please write here
Contract No.	Please write here
Employer	Please write here
Contractor	Please write here
Punch List logged by	Please write here
Updated as at	Please write here

Punch ID	Location/ Chainage	Activity Group	Description of Defect/ incomplete work	Sketch and/ or photos	Possible causes/ category of defects	Proposed Corrective Measures	Remarks
001	Laboratory Building	Gr 05: Doors and Windows	cracked window sill		Use of damaged marble/material quality	Replace damaged sill	

Defects inspection completed and punch list walked through by:

	Name	Signature	Date
Employer	Please write here	Please write here	Please write here
Contractor	Please write here	Please write here	Please write here
Client	Please write here	Please write here	Please write here

¹ Punch list walk through by all the parties are crucial to agree the lists and plan for agreed corrections by the Contractor.

INFRASTRUCTURE ASSET HANDOVER DOCUMENT¹²

Project Title/ Work Title	88050 _Const
Description of the Project/Work Package (as per the name indicated the legal agreement)	Construction of Maternity Clinic and Provision and Installation of Furniture and Equipment
Project Location:	Country X, Province A, County B
Client (Beneficiary):	Ministry of Health
Funding Source:	Please write here.
Implementing Agency:	UNOPS
Contractor:	Please write here.
Purpose:	A record that all of the project's deliverables have been accepted as complete and states that the project is regarded as having achieved its overall goal.

Your Project Deliverables

S.N Deliverables

1	Two Maternity Clinic Blocks at (Project location) , coordinates (X,Y)
2	Provision and installation of Furnitures and Equipment

Related Handover Documents:

- Substantial/Final Completion Certificate
- AS-Built Drawings
- O & M Manuals
- Test on Completion Report
- Commissioning and/or Right to use certificate
- Asset inventory/checklist including photos (where appropriate)

¹ Consult IPAS Legal and IPM before issuing this handover document in case of any apparent back to back risks and liabilities.

² Attach any relevant document.

Handover Signoff**On behalf of the client (beneficiary)**

Name	
Signature	
Date	

On behalf of UNOPS

Name	
Signature	
Date	

PROJECT SUCCESS CRITERIA

Version 2.0 | September 2022





SUMMARY

The Project Success Criteria expand on the understanding of what a successful project looks like at UNOPS. These criteria identify three dimensions – project expectations, project management success and stakeholder satisfaction – that need to be monitored and measured to determine whether UNOPS is delivering successful projects for partners and beneficiaries.¹

Each dimension is broken down into enumerated criteria, as shown in the following tables. Each of the enumerated criteria include specific indicators and measures. The identified measures include both system and manual checks. The progressive development of the project quarterly assurance process in oneUNOPS Projects (oUP) will involve the inclusion of these measures, as appropriate.

Detailed guidance on the Project Success Criteria, including good practices to enable their recognition and use in UNOPS projects, is available in the [Quality Management: Guidelines](#).

¹ UNOPS, 'Project Management', OI.PS.2022.04, 13 September 2022, sect. 2.1.1.iii.



1. PROJECT EXPECTATIONS

CRITERIA	BSC*	INDICATORS	MEASURES
1.1 Time expectations	 Process	1.1.1 No significant deviations between the planned implementation end date and the actual implementation end date	Total months from the start date indicated in the Legal Agreement to the actual implementation end date divided by the length of implementation in the Legal Agreement (months), which provides a ratio of timeliness. System check (Ratio)
		1.1.2 No significant deviations between the planned closure date and the actual closure date	The total months planned for operational and financial closure divided by the total months from the implementation end date to the end of financial closure, which provides a ratio of timeliness. System check (Ratio)
1.2 Cost expectations	 Finance	1.2.1 No significant deviations between the planned budget and the actual cost	The project cost identified in the final financial statement divided by the budget identified in the Legal Agreement, which provides a ratio of budget planning. System check (Ratio)
1.3 Quality expectations	 Process	1.3.1 Acceptance criteria, with defined tolerances, are identified in the Legal Agreement	All acceptance criteria, with defined tolerances, have been identified within the Legal Agreement. Manual check (Yes/No)
1.4 Scope expectations	 Process	1.4.1 No significant deviations between the planned outputs and the actual outputs	All outputs are identified in the Legal Agreement and in oneUNOPS Projects (oUP) and are delivered by the implementation end date. System check (Ratio)
1.5 Link to outcomes	 Stakeholders	1.5.1 Targets on the number and type of beneficiaries are identified in the Legal Agreement	The Legal Agreement clearly articulates the number and type of beneficiaries (disaggregated by gender, age, and other socially inclusive metrics), along with associated targets. Manual check (Yes/No)
		1.5.2 Project outputs are linked to the Sustainable Development Goals in the Legal Agreement	There is a defined link between project outputs and the SDGs identified in the Legal Agreement. Manual check (Yes/No)
		1.5.3 Impacts that project outputs are intended to contribute to are identified in the Legal Agreement	The Legal Agreement articulates the intended impact contribution of the project, a recognition of the capacity of the beneficiaries to achieve the identified impacts and any intermediate impacts. Manual check (Yes/No)

* *Balanced Scorecard: people; finance; stakeholders; process*



2. PROJECT MANAGEMENT SUCCESS

CRITERIA	BSC*	INDICATOR	MEASURES
2.1 Governance	 Stakeholders	2.1.1 Key stakeholders are represented in the governance structure	The Project Board terms of reference (TORs) are in place and meetings are occurring and documented. The Communications Plan identifies the key stakeholders who should be included in the project governance structure.  Manual check (Yes/No)
2.2 Stakeholder management	 Stakeholders	2.2.1 The Communications Plan is identified and delivered as planned	An approved Communications Plan is identified in one UNOPS Projects (oUP) and is being monitored, controlled and delivered as planned.  Manual check (Yes/No)
2.3 Time management	 Process	2.3.1 The Procurement Plan is identified and delivered as planned	An approved Procurement Plan is identified and is being monitored, controlled and delivered as planned.  Manual check (Yes/No)
		2.3.2 The Human Resource Plan is identified and delivered as planned	An approved Human Resource Plan is identified and is being monitored, controlled and delivered as planned.  Manual check (Yes/No)
		2.3.3 Outputs and deliverables are identified and delivered as planned	Outputs and deliverables are being monitored, controlled and delivered as per the Implementation Plan.  Manual check (Yes/No)
2.4 Budget management	 Finance	2.4.1 The project maintained a positive cash balance throughout	There are no negative cash balances.  System check (Yes/No)
		2.4.2 Expenditure forecasting is identified and delivered as planned	Expenditure on a quarterly basis is consistent with the forecast.  System check (Ratio)
		2.4.3 There are no significant deviations from the planned budget lines	The number and magnitude of budget adjustments moving funds between budget lines.  System check (Quantity and %)
		2.4.4 There are no write-offs	The number and value of write-offs.  Manual check (Yes/No)
2.5 Quality management	 Process	2.5.1 The Quality Management Plan is identified and the quality requirements/acceptance criteria are achieved as planned	A Quality Management Plan is identified in oUP and is being monitored, controlled and delivered as planned.  Manual check (Yes/No)
2.6 Scope management	 Process	2.6.1 A work breakdown structure is identified	The project clearly articulates the work needed to deliver the outputs and deliverables.  Manual check (Yes/No)



<p>2.7 Change control</p>	 Process	<p>2.7.1 Change is documented and managed</p>	<p>Requests for changes to time, cost and/ or scope are documented and managed in a timely manner.</p> <p> Manual check (Yes/No)</p>
<p>2.8 Risk management</p>	 Process	<p>2.8.1 The risk and issue registers are managed during the project</p>	<p>Risks are escalated in oUP to relevant entities.</p> <p> System/Manual check (Yes/No)</p> <p>The number of risks and issues that are automatically escalated (for future implementation in the system).</p> <p> System check (Quantity)</p>
<p>2.9 HSSE and gender integration</p>	 Process	<p>2.9.1 The approved HSSE Plan is identified and managed</p>	<p>An approved HSSE Plan is identified in oUP and is being monitored, controlled and delivered as planned.</p> <p> System check (Yes/No)</p>
<p>2.10 Project personnel management</p>	 People	<p>2.10.1 The right people at the right time are identified in the Human Resource Plan</p>	<p>Project personnel have the right experience to deliver and are resourced adequately to avoid overloading personnel.</p> <p> Manual check (Yes/No)</p>
<p>2.11 Knowledge management</p>	 Process	<p>2.11.1 Risks, issues and lessons learned are identified in project planning</p>	<p>The Proposal and/or Project Initiation Documentation (PID) identify previous lessons learned for incorporation in the project.</p> <p> Manual check (Yes/No)</p>
		<p>2.11.2 The lessons learned register is managed during the project</p>	<p>The number of lessons learned identified and recorded in oUP.</p> <p> System check (Quantity)</p> <p>Documented lessons learned are structured in accordance with good practice considerations.</p> <p> Manual check (Yes/No)</p>

* Balanced Scorecard: people; finance; stakeholders; process



3. STAKEHOLDER SATISFACTION

CRITERIA	BSC*	INDICATORS	MEASURES
3.1 Government	 Stakeholders	3.1.1 Positive government feedback on the survey	Stakeholder surveys should record positive feedback.  Manual check (Yes/No)
3.2 Beneficiaries		3.2.1 Positive beneficiary feedback on the survey	Beneficiary sample surveys should record positive feedback.  Manual check (Yes/No)
3.3 Donor		3.3.1 Positive donor feedback on the survey	Stakeholder surveys should record positive feedback.  Manual check (Yes/No)
3.4 Portfolio entities		3.4.1 Positive feedback from portfolio entities	IPMG, regional and other portfolio entities should record positive feedback.  Manual check (Yes/No)

* *Balanced Scorecard: people; finance; stakeholders; process*