



UNOPS – Insert Office name

## Project Health and Safety Management

Plan – HS01

[Click here to enter a date.](#)

## Table of Contents

<b>1. Introduction.....</b>	<b>3</b>
1.1. Intro and scope of the Project H&S Management Plan.....	3
1.2. Project description and key dates.....	3
1.3. Roles and responsibilities.....	4
<b>2. Local laws, regulations and other compliance requirements.....</b>	<b>5</b>
<b>3. Operational planning (for multiple sites, detail all site-specific information).....</b>	<b>5</b>
3.1. Activity risk assessment planning .....	5
3.2. Hazard identification and activities risk assessment .....	5
3.3. Objectives and targets .....	6
3.4. Work permit system.....	8
3.5. Management of contractors and sub-contractors.....	8
<b>4. Health and safety management at project site.....</b>	<b>8</b>
4.1. Management of hazardous materials .....	8
4.2. Access and site security .....	9
4.3. Site Induction and Site Safety Rules.....	9
4.4. Workplace inspections.....	10
4.5. Site induction and training.....	10
4.6. Emergency and evacuation procedures.....	11
<b>5. Communication and information sharing .....</b>	<b>11</b>
5.1. Internal communication.....	11
5.2. External communication .....	11
5.3. Consultation with the workforce .....	12
5.4. Accident and incident reporting and investigation.....	12
5.5. H&S risks during operation .....	12
<b>6. Audit and monitoring.....</b>	<b>12</b>
6.1. Project files and records .....	12
6.2. Audit and monitoring.....	13
<b>7. Revisions of the Plan .....</b>	<b>13</b>
<b>8. Table of references to Templates and Guidance documents .....</b>	<b>14</b>

## 1. Introduction

### 1.1. Intro and scope of the Project H&S Management Plan

UNOPS endeavours, in all its projects and operations, to prevent personal injuries, ill health and damage to property.

This Project Health and Safety (H&S) Management Plan (hereafter “the Plan”) has been designed to assist the management of activities and support a risk-based approach to preventing dangerous acts that could lead to injuries or illnesses or serious incidents in the workplace.

*[DELETE PRIOR TO USE – Consideration needs to be taken as to whether UNOPS is delivering a typical management based project (assurance role) or direct implementation project. Roles and responsibilities may vary accordingly and must be defined at the inception of the Plan. Please note that the **Project Manager holds the overall responsibility** for the health and safety management in the project.]*

*[DELETE PRIOR TO USE – UNOPS operates with 3 Levels of performance in its Health and Safety Management standards. The Project Manager should refer to 3 Levels system guidance to ensure that the applicable processes and performance levels are complied with.]*

This Plan is a live document that will be reviewed on a regular basis and updated if necessary.

### 1.2. Project description and key dates

**Table 1 – Project details**

Project Title	
Project Location	
UNOPS Project No.	
Project Duration	
Project Health and Safety Management Level	<i>[Indicate if this is a Level 1 project (minimum requirements apply), Level 2 (recommended) or Level 3 (externally certified country office)]</i>
Project Overall Risk Score, and sub-scores for elements 2 and 3	<i>[Refer to design manual risk assessment]</i>
UNOPS Project Manager	
UNOPS Project H&S Manager/Coordinator	

### 1.3. Roles and responsibilities

While the Project Manager holds the overall responsibility for Health and Safety management in the Project, other roles may hold accountability, or need to be consulted and informed of various work packages (e.g. the Contractor, the Office Director, the Programme Manager, the Project Design Manager). Table 2 below outlines Roles and responsibilities for Infrastructure projects in the assurance set-up.

*[If any responsibilities deviate from the table below, indicate it here.]*

Table 2 - RACI Table

ACTIVITY	Director /Programme Manager	UNOPS Project Manager	Project Engineer*	Project Design Manager*	Contractor*
Ensure that local laws and regulations are understood and fully considered within the H&S Plan	A	R			
Ensure planned review dates for the H&S plan are monitored	A	R			
Convene Design Phase Start Up Meeting and assign H&S responsibilities	A	R		I	
Eliminate foreseeable health and safety risks through engineering design solutions and, where that is not possible, take steps to reduce or control those risks	A	R		R*	
Carry out hazardous materials assessment for materials within the design, and where appropriate inform key stakeholders/work package contractors.	A	R		C	
Ensure regular liaison between parties on site on health and safety matters	A	R	C		
Ensure consultation with the workforce & visitors	A	R	C		
Check that design changes that affect H&S are recognised and assessed during construction phase	A	R	C		R*
Ensure that works contractors are procured using the appropriate FIDIC based contract. (Defines responsibilities for H&S / insurance etc.)	A	R	I		
Ensure that contractor(s) employ effective H&S management techniques	A	R	C		
Ensure effective arrangements in place for site security/access	A	R	I		
Ensure arrangements in place for Site induction and safety briefings	A	R	I		R*
Ensure that suitable welfare facilities and first aid arrangements are in place	A	R	I		
Ensure that reporting of accidents / incidents structural failures are reported in line with their relevant OI	R	C	I		R*
Ensure work permit system is established and implemented	A	R	I		R*
Ensure that risk assessments and method statements are compiled and implemented in a timeous manner	A	R	I		R*
Ensure that Fire and evacuation procedures are established and tested	A	R	I		

A - Accountable (overall responsibility)

C - Consulted (supports, has the information or capability required)

I - Informed (notified but not consulted)

R - Responsible (gets the work done)

R\* - refers to Work Package Responsibility

## 2. Local laws, regulations and other compliance requirements

Health and Safety legislation and other relevant requirements in *[Insert name of country]* are described in the *[Local Office]* legal register using form HSE03. This should also include the relevant requirements of interested parties that have been identified by the local office using form HSE02. A check for legal compliance has been performed to ensure that this project is compliant with legal and other requirements, using form HSE04.

A copy of the legal register is available *[in the Annex, or other location]*. UNOPS Project Manager will review these laws and regulations every *[12 months]* to make sure that there are no changes which may affect this plan.

## 3. Operational planning (for multiple sites, detail all site-specific information)

### 3.1. Activity risk assessment planning

A staged approach to project/site hazard identification and risk control is a requirement of this plan.

Hazard identification and subsequent risk assessment will be an ongoing process throughout the life of the project (up to defects notification period, if part of the contract). The Contractor receives already during the tender phase a schedule of key risks/hazards identified during design (form HS07, Schedule of Key Tasks, can be used for this purpose). These tasks should be carefully considered during the development of detailed Risk Assessments.

### 3.2. Hazard identification and activities risk assessment

UNOPS Project Manager ensures that the risk assessments developed by the Contractor(s) are aligned with the requirements of form HS05, including as a minimum:

- Contractor(s) has identified all foreseeable hazards within the assessed activity
- Hazards have been prioritized by their magnitude (high, medium or low)
- Adequate control/mitigation measures have been documented for each hazard
- Both routine and non-routine conditions and special conditions have been taken into account.

The Contractor has developed Risk Assessments *[using Form HS05 / another form that was accepted by UNOPS as adequate]* that were reviewed by the UNOPS Project Manager and accepted prior to works commencing. The requirement to produce Risk Assessments applies to activities performed by sub-contractors as well.

The workforce shall be briefed on the contents of appropriate Risk Assessment(s) prior to works commencing; briefings are formally recorded using form HS06.

*[DELETE PRIOR TO USE – UNOPS can agree to the use of Contractor's H&S forms if these are deemed of acceptable quality. Should the capacity of the Contractor(s) be limited and they are unable to develop appropriate Risk Assessments, then UNOPS staff will assist in compiling these forms, and ensure these are properly explained to and owned by the Contractor.]*

The Risk Assessment(s) will be amended as necessary to ensure that the works progress in a safe manner. The Risk Assessment(s) for this Plan are attached as (Annex x).

All UNOPS personnel have the authority to stop any activity that has the potential to cause injury or damage property until such times as the works are managed in a safe manner.

### 3.3. Objectives and targets

The project will have the following Health and Safety objectives and targets:

*[DELETE PRIOR TO USE – these should consider the outcome of the risk assessments, as well as be aligned with UNOPS corporate Health and Safety management targets.]*

**Table 3 - Objectives and Targets**

#	Objective	Target (measurable where practicable)	Action/Program/Resources	Responsible	Target Date
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					

*[DELETE PRIOR TO USE – Project Health and Safety objectives and targets shall be set at the beginning of the project then reviewed every six months to ensure that UNOPS meets both local and corporate commitments.]*

### 3.4. Work permit system

*[DELETE PRIOR TO USE – A Permit to Work is a method of controlling the execution of high risk activities. The Permit is a document that provides an employee or a team the authority to execute high risk work. The authorizing person must ensure that they are satisfied that conditions for doing the work safely have been put in place.]*

The following activities at site will require the Contractor(s) to obtain a signed work permit from UNOPS *[Project Manager/Project Engineer]* before commencing these activities at site:

- *[Confined Space Entry, form HS08]*
- *[Hot Works, form HS09]*
- *[Excavation, form HS10]*
- *[Lifting, form HS11]*
- *[Working at heights, form HS12]*

*[DELETE PRIOR TO USE – Indicate which work permits will be used in this project, and add more if required.]*

### 3.5. Management of contractors and sub-contractors

- Bidders receive key documentation outlining the requirements of UNOPS Health and Safety Management Systems during the tender phase. The selected contractor shall comply with all UNOPS H&S requirements for the whole duration of the contract. These requirements equally apply to any subcontractors hired by the contractor. It is the contractor's responsibility to ensure that subcontractors comply and to demonstrate such compliance in submittals and during verification processes by UNOPS.
- If pre-bid meetings, site visits and/or contract commencement meetings are carried out, H&S requirements and submittals should be discussed, both for day-to-day work and for H&S critical stages/activities.
- *[Include any other requirements for suppliers and sub-suppliers under this project as relevant]*

## 4. **Health and safety management at project site**

*[DELETE PRIOR TO USE – In cases where the Contractor(s) capacity limits their ability to perform the required H&S activities at site, the UNOPS team should take the lead so that the project can fulfil UNOPS H&S requirements. The Contractor(s) should be involved in a capacity building process to build their capacity to implement H&S in the future.]*

### 4.1. Management of hazardous materials

*[DELETE PRIOR TO USE – Many construction materials contain hazardous substances. Products and materials specific to the project which may be hazardous should all be identified in the Risk Assessment, and be updated as new information become available. This section is meant to provide an overview of the Hazardous materials and relative controls.]*



Occupational diseases may occur as a result of exposure to hazardous substances in the form of inhaled particulates, ingested materials or skin contact with substances. Such possibilities have been identified in the Risk Assessment(s) and appropriate controls put in place. The main types of hazardous materials that have been identified are:

Table 4 - Hazardous materials

Hazardous material	Risk rating	Control method	Responsible person

Hazardous materials/chemicals used at the site shall have Material Safety Data Sheets (MSDS). The MSDS are obtained from the manufacturer/supplier of the materials and should be requested with each purchase of products.

Material Safety Data Sheets will be included in the Toolbox talks and risk assessment briefings. This information will be made available to any employee or sub-contractor or visitor who may interact with the materials/chemical substances on site.

#### 4.2. Access and site security

UNOPS Project Manager will ensure that the Contractor(s) have put in place all measures to establish the site according to UNOPS guidance ([GHS12](#)).

It is the Project Manager responsibility to ensure that all site security requirements identified in the Risk Assessment for this activity are fully implemented.

#### 4.3. Site Induction and Site Safety Rules

Site inductions will be carried out by the contractor. Arrangements for site inductions for this project shall be:

- Any new worker coming to the work site will be briefed on the site safety rules including the site logistics plan, hazards, evacuation procedures, emergency and first aid procedures, and the duties and responsibilities of all persons on site.
- A Site Induction briefing and Site Safety Rules has been developed in *[language, preferably the local language of workers]* and in English *[if available, attach in Annexes]*
- All attendees of the Site Induction briefing will be recorded and included in UNOPS Site Induction Register (form HSE07).
- Visitors will be given a brief site induction (based on an either oral or written Visitor's induction) and will be accompanied at all times during their visit to the site.

- UNOPS personnel at Site should ensure that workers carrying out safety critical tasks have the necessary induction, qualifications and/or on the job training/licensing for the tasks they carry out.

#### 4.4. Workplace inspections

*[DELETE PRIOR TO USE – The Contractor(s) should undertake the site-specific inspections at the frequency indicated by this Plan, and maintain its documentation. Should the capacity of the contractor be low, then these inspections and registers may need to be managed by UNOPS personnel to ensure that a safe working environment exists on site.]*

Inspections of the project site should be carried out weekly. Contractor(s) will undertake weekly inspections of the whole work site, and specifically of:

- *equipment*
- *small equipment (form HS15)*
- *scaffolds (form HS14)*
- *lifting devices (form HS16)*
- *electrical cables*
- *fire extinguishers*

Records of the inspections should be kept using form HSE05 and/or other dedicated forms, or the Contractor(s) forms where approved by UNOPS:

- *list them here, if any*

UNOPS personnel at site will be responsible to for the assurance of these inspections. UNOPS site team are responsible for ensuring that the inspection findings and recommendations are closed out in a timely manner.

#### 4.5. Site induction and training

Induction, training and awareness activities have been planned and consideration given to ensuring that personnel doing H&S critical activities are covered.

*[Add or remove training as necessary]*

Table 5 - Training

Planned training	Nominated staff	Frequency
[e.g.: IOSH Managing Safely Course; First Aid Training; Drivers Training, etc.]		

The HSE training matrix (form HSE18) can be used to keep detailed records of site inductions, toolbox talks and training.

*[Include additional details on training as relevant]*

#### 4.6. Emergency and evacuation procedures

Emergency and evacuation procedures will be tested through appropriate drills that will be held every *[specify frequency, according to contractor's plan]* and, where possible, may involve relevant interested parties *[UNOPS, Contractor's Personnel, and specify others]*.

As a minimum, the Emergency Plan and procedures shall include:

- emergency contact numbers available on notice and information boards over the project work areas and site offices
- emergency procedures, incorporated in the project site inductions briefing
- *[Other]*

Emergency procedures should be periodically reviewed to ensure continued relevance.

### 5. **Communication and information sharing**

#### 5.1. Internal communication

Internal communication for the Project will include as a minimum:

- H&S *[weekly or other recurrence]* meetings. They may be dedicated to H&S or H&S may be one part of the agenda. Additional H&S meetings will be organised when needed. Meeting minutes will be distributed to UNOPS, Contractor's team and sub-contractors.
- *[Weekly or other recurrence]* inspections (form HSE05); including Health and Safety items will be performed jointly by UNOPS team and the Contractor(s) team; the report will be prepared by UNOPS H&S Manager/Coordinator and shared with the Contractor(s) for necessary actions.
- Site H&S quarterly report (form HSE12); the quarterly report is a summary of the site weekly inspection report findings and corrective action. It is prepared by UNOPS site H&S Manager/Coordinator to be shared with the Contractor(s) and with UNOPS Senior Management in the country as well as with UNOPS HQ.
- Toolbox talks
- Information and guidance signage will be present at site in *[language, preferable local language as well]*.
- The Site Notice Board will be used to convey daily updates and information.
- *[Additional communication channels envisaged by the project]*

#### 5.2. External communication

Queries on health and safety management from local communities, journalists, business community, neighbours, local representatives, and any other external parties will be handled according to the following protocol:

*[DELETE PRIOR TO USE: Briefly outline how external communication will be handled, who is the focal point for incoming communication (the Project Manager or other), what type of information will be issued about the project activities, etc. If Public Consultation / Good neighbour consultation is required, outline how it will be undertaken.]*

### 5.3. Consultation with the workforce

Arrangements for consulting and coordinating with the workers at site will be as follows:

- An employee representative will participate in the regular and extraordinary meetings between UNOPS and the Contractor(s)
- All Contractor's and sub-contractor's employees will be encouraged to raise any suggestions and concerns on health and safety management of the project on an ongoing basis and during meetings, briefings, toolbox talks, etc.
- *Include elected employees representatives in H&S/HSE Committee*
- *[Add any other planned measures for facilitating consultation with the workforce]*

### 5.4. Accident and incident reporting and investigation

All significant accidents or incidents and high potential near misses shall be reported to UNOPS HQ using form HSE09.

They should be thoroughly investigated and action taken to prevent recurrence. For Class 1 incidents, the outcomes of the review shall be reported to UNOPS HQ using form HSE10. Lessons learned should be captured using HSE11.

UNOPS and Contractor's personnel have an obligation to report all incidents and near misses to the UNOPS Project Manager/H&S coordinator, and will receive proper induction in this sense. Significant incidents and near misses should be recorded in [Table 6](#):

**Table 6 - Incidents/near misses**

Incident/near miss description	Date	Corrective action taken

### 5.5. H&S risks during operation

To prevent/reduce risks at the use and maintenance phase or during the facility/structure operation, UNOPS will provide the project end user with an operation and maintenance manual, which explains how to operate and maintain the asset in a safe manner.

## 6. **Audit and monitoring**

### 6.1. Project files and records

UNOPS health and safety management electronic files will form the archived component of the records for this project, in line with the UNOPS Record Retention Policy and to facilitate internal and external audit and review. As a minimum they will consist of:

- A copy of *[Local Office]* legal register
- The Project Health and Safety management plan with its Annexes
- H&S meetings minutes
- Weekly site inspection reports
- Work Permits
- Quarterly HSE site reports
- Incidents investigation reports and near misses
- Emergency drill records
- Record of training and toolbox talks
- A copy of any H&S related correspondence in the project including any nonconformities notification for the Contractor(s)
- Internal and External Audits records
- Copy of the latest UNOPS HQ Management Review records

The UNOPS H&S system shall be formally documented to allow for control and accountability.

## 6.2. Audit and monitoring

Health and Safety performance at site will be regularly monitored through:

- Weekly site inspections
- Ad hoc site inspections
- Internal peer reviews if requested by UNOPS HQ
- External audit visit if requested by UNOPS HQ
- *[Other, for instance audit requirements from Donor or local authorities]*


## 7. Revisions of the Plan


Table 7 - Revisions

Revision date	Name and title	Description of main changes

## 8. Table of references to Templates and Guidance documents

Table 8 - References		
TOPICS	TEMPLATES	GUIDANCE
Legal review	HSE02 Register of interested parties HSE03 Legal register HSE04 Check for legal compliance	
Risk Assessment	HS05 Risk Assessment HS06 RA briefing register	
Work permits	HS08 Confined space permit HS09 Hot works permit HS10 Excavation permit HS11 Lifting permit HS12 Working at heights permit	GHS02 Lifting GHS04 Excavations GHS09 Work at height GHS11 Confined space
Site induction and training	HSE07 Site induction register HSE08 Visitor induction register HSE18 Training matrix	See catalogue of Toolbox talks
Site weekly inspections	HSE05 HSE inspection report – site HS13 Ladder inspection record HS14 Scaffold inspection checklist HS15 Small tools inspection record HS16 Lifting devices inspection record	GHS07 Scaffold
Management of contractors and sub-contractors		See guidance for Contractors working with UNOPS
Emergency and evacuation procedures	Site emergency and evacuation plan HS03 Emergency contact numbers HS04 Emergency drill record	GHS10 Accident response
Accident/incident reporting	HSE09 Incident report form HSE10 Incident review form HSE11 Incident highlight form	
Communication and reporting	HS12 Quarterly HSE report – site	
Audit and monitoring	HS16 Internal review (audit)	

 = UNOPS responsibility (usual set-up in assurance position)

 = Contractor responsibility (usual set-up in assurance position)



**UNOPS – Insert Office name**

## **Project Social and Environmental Management Plan – EM01**

*[Click here to enter a date.](#)*

## Table of Contents

<b>1. Introduction.....</b>	<b>3</b>
1.1. Intro and scope of the Project S&E Management Plan .....	3
1.2. Project description and key dates.....	3
1.3. Roles and responsibilities.....	3
<b>2. Local laws, regulations and other compliance requirements.....</b>	<b>4</b>
<b>3. Operational planning (for multiple sites, detail all site-specific information).....</b>	<b>5</b>
3.1. Social and environmental screening report.....	5
3.2. Identified social and environmental risks and opportunities .....	5
3.3. Objectives and targets .....	5
3.4. Management of contractors and sub-contractors.....	7
<b>4. Environmental and social management at project site .....</b>	<b>7</b>
4.1. Waste Management .....	7
4.2. Gender mainstreaming .....	7
4.3. Other key topics .....	7
4.4. Site inspections .....	8
4.5. Site induction and training.....	8
4.6. Emergency and evacuation procedures.....	8
<b>5. Communication and information sharing .....</b>	<b>9</b>
5.1. Internal communication.....	9
5.2. External communication .....	9
5.3. Consultation with the workforce .....	9
5.4. Accident and incident reporting and investigation.....	10
<b>6. Audit and monitoring.....</b>	<b>10</b>
6.1. Project files and records .....	10
6.2. Audit and monitoring.....	10
<b>7. Revisions of the Plan .....</b>	<b>11</b>
<b>8. Table of references to Templates and Guidance documents .....</b>	<b>12</b>



## 1. Introduction

### 1.1. Intro and scope of the Project S&E Management Plan

UNOPS recognizes its responsibility to protecting the environment and to promoting positive societal outcomes in the communities in which we work.

This Project Social and Environmental (S&E) Management Plan (hereafter “the Plan”) describes how UNOPS intends to manage environmental and social issues under the sphere of influence of this project. It identifies the procedures to be followed by all personnel working in the project.

*[DELETE PRIOR TO USE - Consideration needs to be taken as to whether UNOPS is delivering a typical management based project (assurance role) or direct implementation project. Roles and responsibilities may vary accordingly and must be defined at the inception of the Plan. Please note that the **Project Manager holds the overall responsibility** for the environmental and social management in the project.]*

*[DELETE PRIOR TO USE – UNOPS operates with 3 Levels of performance in its Social and Environmental Management standards. The Project Manager should refer to 3 Levels system guidance to ensure that the applicable processes and performance levels are complied with.]*

This Plan is a live document that will be reviewed on the regular basis and updated if necessary.

### 1.2. Project description and key dates

**Table 1 – Project details**

<b>Project Title</b>	
<b>Project Location</b>	
<b>UNOPS Project No.</b>	
<b>Project Duration</b>	
<b>Project Social and Environmental Management Level</b>	<i>[Indicate if this is a Level 1 project (minimum requirements apply), Level 2 (recommended) or Level 3 (externally certified country office)]</i>
<b>Project Overall Risk Score, and sub-scores for elements 2 and 3</b>	<i>[Refer to design manual risk assessment]</i>
<b>UNOPS Project Manager</b>	
<b>UNOPS Project S&amp;E Manager/Coordinator</b>	

### 1.3. Roles and responsibilities

While the Project Manager holds the overall responsibility for Social and Environmental Management in the Project, other roles may hold accountability, or need to be consulted and informed of various work packages (e.g. the Contractor, the Office Director, the Programme

Manager, the Project Design Manager). **Table 2** below outlines Roles and responsibilities for Infrastructure projects in the assurance set-up.

*[If any responsibilities deviate from the table below, indicate it here.]*

**Table 2 - RACI Table**

ACTIVITY	Director /Programme Manager	UNOPS PROJECT MANAGER	Project Engineer*	Project Design Manager*	Contractor*
Ensure that the Environmental and Social screening has been performed	A	R			
Ensure that the Environmental/Social Review and the ESIA have been performed (if applicable)	A	R			
Ensure that the risks and opportunities for the project over its life-cycle have been identified	A	R			
Draft the S&E Plan	A	R			
Eliminate foreseeable environmental and social risks through engineering design solutions	A	R		R*	
Transmit to procurement function the environmental/social requirements for contractors and suppliers	A	R			
Ensure regular liaison between parties on site on Environmental and Social matters (including regular meetings)	A	R	C		
Ensure Consultation with the workforce, visitors and affected stakeholders	A	R	C		
Ensure that Contractor(s) employ effective S&E Management techniques	A	R	C		
Ensure arrangements are in place for Site induction, training and briefings	A	R	I		R*
Ensure that Waste Management is performed according to plans	A	R	I		R*
Ensure that other environmental and social activities are performed according to plans	A	R	I		R*
Conduct site inspections according to stated frequency	A	R	C		
Compile quarterly reports of performance and report to HQ	A	R	C		
Ensure reporting of environmental accidents, incidents and high potential near-misses	R	C	I		R*
Review and update the Plan at the indicated frequency or when circumstances change	A	R			

A - Accountable (overall responsibility)

C - Consulted (supports, has the information or capability required)

I - Informed (notified but not consulted)

R - Responsible (gets the work done)

R\* - refers to Work Package Responsibility

## 2. Local laws, regulations and other compliance requirements

Environmental and social legislation and other relevant requirements in *[Insert name of country]* are described in the *[Local Office]* legal register using form HSE03. This should also include the relevant requirements of interested parties that have been identified by the local office using form HSE02. A

check for legal compliance has been performed to ensure that this project is compliant with legal and other requirements, using form HSE04.

A copy of the legal register is available *[in the Annex, or other location]*. UNOPS Project Manager will review these laws and regulations every *[12 months]* to make sure that there are no changes which may affect this plan.

### **3. Operational planning (for multiple sites, detail all site-specific information)**

#### **3.1. Social and environmental screening report**

At the pre-engagement stage of the project, the project developer completed the Environmental and Social screening report (form EM03); this document is attached to this Plan as *[Annex x]*.

*[DELETE PRIOR TO USE: All risk areas identified in the Report should be further discussed and analysed in the Register of social and environmental risks and opportunities, form EM04.]*

#### **3.2. Identified social and environmental risks and opportunities**

The main environmental and social aspects of the activities, products and services that are under the project's control and influence are identified and detailed using form EM04.

*[DELETE PRIOR TO USE: When completing this form, the Project Manager may make reference to the corporate register of environmental and social risks and opportunities. In addition, the Project Manager should consider impacts relevant at the locality of the project, considering a life cycle perspective. If an Environmental and Social Review, or a full Environmental and Social Impact Assessment have been performed, this should be included in the Annexes and used to inform this document.]*

The full Analysis of environmental and social aspects for the project is attached to this Plan as *[Annex x]*.

#### **3.3. Objectives and targets**

The project will have the following Environmental and Social objectives and targets:

*[DELETE PRIOR TO USE: These should be informed by the major risks and opportunities identified for the projects; and should also be aligned with UNOPS corporate Environmental and Social management targets.]*

Table 3 - Objectives and Targets

#	Objective	Target (measurable where practicable)	Action/Program/Resources	Responsible	Target Date
1					
2					
3					
4					
5					
6					
7					
8					
9					

*[DELETE PRIOR TO USE – Project Environmental and Social objectives and targets shall be set at the beginning of the project then reviewed every six months to ensure that UNOPS meets both local and corporate commitments.]*

### 3.4. Management of contractors and sub-contractors

- Bidders receive key documentation outlining the requirements of UNOPS Environmental and Social Management Systems during the tender phase. The selected contractor shall comply with all UNOPS S&E requirements for the whole duration of the contract. These requirements equally apply to any subcontractors hired by the contractor. It is the contractor's responsibility to ensure that subcontractors comply and to demonstrate such compliance in submittals and during verification processes by UNOPS.
- If pre-bid meetings, site visits and/or contract commencement meetings are carried out, S&E requirements and submittals should be discussed, both for day-to-day work and for S&E critical stages/activities.
- *[Include any other requirements for suppliers and sub-suppliers under this project as relevant]*

## 4. **Environmental and social management at project site**

*[DELETE PRIOR TO USE – In cases where the Contractor(s) capacity limits their ability to perform the required S&E activities at site, the UNOPS team should take the lead so that the project can fulfil UNOPS S&E requirements. The Contractor(s) should be involved in a capacity building process to build their capacity to implement S&E in the future.]*

### 4.1. Waste Management

A Waste management plan for the project has been developed using form EM06, and is available *[in the annex, or other location]*.

*[Briefly describe waste management practices, including main waste streams that the project is separating and the waste disposal strategy].*

The plan shall be monitored and updated *[Insert frequency]*.

### 4.2. Gender mainstreaming

The project has considered gender mainstreaming in its activities:

*[DELETE PRIOR TO USE – Add a paragraph describing what actions the projects has planned to take to mainstream gender considerations. It is highly recommended to make use of the Gender Action Plan template and include it as an Annex to this Plan. Where applicable to the project activities, the relevant Gender in Infrastructure Checklist should also be used.]*

### 4.3. Other key topics

*[DELETE PRIOR TO USE – Add a paragraph if the project has identified any additional Environmental and/or Social aspect on which is planning to take significant action. Examples of activities within the project's sphere of influence (including activities over which it has a formal control and also those where it has no formal authority but the ability to affect behaviours) that may be included in the Plan are:*

- *Human rights due diligence;*
- *Preventing discrimination towards vulnerable groups;*
- *Supporting and respecting fundamental rights at work;*
- *Promoting improvement of conditions of work and social protection;*

- Promoting social responsibility in the value chain;
- Conflict sensitivity;
- Community involvement and development.]

#### 4.4. Site inspections

UNOPS plans to implement *[insert frequency, e.g. weekly, depending on risk level]* environmental and social inspection on this project. Inspection will be carried out by UNOPS site representatives and Contractor(s) Project and Environmental/Social managers.

When carrying out the site weekly inspection, all aspects contained in the Health, Safety, Social and Environmental inspection site report (form HSE05) should be reviewed.

#### 4.5. Site induction and training

Site induction, training and briefings will be given in accordance with this training matrix:

Table 4 - Training

Planned Training	Nominated Staff	Frequency

The HSE training matrix (form HSE18) can be used to keep detailed records of site inductions, toolbox talks and training.

*[Include additional details on training as relevant]*

#### 4.6. Emergency and evacuation procedures

Emergency information details including the site location, neighbours, emergency contact details, location of the spill kits, high priority flora/fauna, culturally sensitive sites are provided within the Site emergency and evacuation plan.

Emergency Plan and procedures including the emergency contact numbers will be available on all notice and information boards all over the project work areas and site offices; also the emergency procedures will be incorporated in the project site inductions briefing. These documents are available in *[Annex xx]*.

Emergency and evacuation procedures will be tested through appropriate drills that will be held every *[Specify frequency, according to contractor's plan]* and, where possible, may involve relevant interested parties *[UNOPS, Contractor's Personnel, and specify others]*.

*[DELETE PRIOR TO USE – Environmental emergency drills can be planned in conjunction or alternatively to other drills, and follow the same procedures. If emergency plans already exist, it is sufficient to reference them here.]*

Emergency procedures should be periodically reviewed to ensure continued relevance.

## 5. Communication and information sharing

### 5.1. Internal communication

Internal communication for the Project will include as a minimum:

- S&E *[weekly or other recurrence]* meetings. They may be dedicated to S&E or S&E may be one part of the agenda. Additional S&E meetings will be organised when needed. Meeting minutes will be distributed to UNOPS, Contractor's team and sub-contractors.
- *[Weekly or other recurrence]* inspections (form HSE05); including Environmental and Social items will be performed jointly by UNOPS team and the Contractor(s) team; the report will be prepared by UNOPS S&E Manager/Coordinator and shared with the Contractor(s) for necessary actions.
- Site HSE quarterly report (form HSE12); the HSE quarterly report is a summary of the site weekly inspection report findings and corrective action. It is prepared by UNOPS site HSE Manager/Coordinator to be shared with the Contractor(s) and with UNOPS Senior Management in the country as well as with UNOPS HQ.
- Toolbox talks
- Information and guidance signage will be present at site in *[language, preferable local language as well]*.
- The Site Notice Board will be used to convey daily updates and information.
- *[Additional communication channels envisaged by the project]*

### 5.2. External communication

Queries on environmental and social management from local communities, journalists, business community, neighbours, local representatives, and any other external parties will be handled according to the following protocol:

*[DELETE PRIOR TO USE: Briefly outline how external communication will be handled, who is the focal point for incoming communication (the Project Manager or other), what type of information will be issued about the project activities, etc. If Public Consultation / Good neighbour consultation is required, outline how it will be undertaken.]*

### 5.3. Consultation with the workforce

Arrangements for consulting and coordinating with the workers at site will be as follows:

- An employee representative will participate in the regular and extraordinary meetings between UNOPS and the Contractor(s)
- All Contractor's and sub-contractor's employees will be encouraged to raise any suggestions and concerns on environmental and social management of the project on an ongoing basis and during meetings, briefings, toolbox talks, etc.
- *[Add any other planned measures for facilitating consultation with the workforce]*

#### 5.4. Accident and incident reporting and investigation

All significant accidents or incidents and high potential near misses shall be reported to UNOPS HQ using form HSE09.

They should be thoroughly investigated and action taken to prevent recurrence. For Class 1 incidents, the outcomes of the review shall be reported to UNOPS HQ using form HSE10. Lessons learned should be captured using HSE11.

UNOPS and Contractor's personnel have an obligation to report all incidents and near misses to the UNOPS Project Manager/ESM coordinator, and will receive proper induction in this sense. Main incidents and near misses should be recorded in [Table 5](#):

**Table 5 – Incidents/near misses**

Incident/near miss description	Date	Corrective action taken

### 6. Audit and monitoring

#### 6.1. Project files and records

UNOPS environmental and social management electronic files will form the archived component of the records for this project, in line with UNOPS Record Retention Policy and to facilitate internal and external audit and review. As a minimum they will consist of:

- A copy of [\[Local Office\]](#) legal register
- The Project Social and Environmental management plan with its Annexes
- Waste management plan and records
- S&E meetings minutes
- Weekly site inspection reports
- Quarterly HSE site reports
- Incidents investigation reports and near misses
- Emergency drill records
- Record of training and toolbox talks
- A copy of any S&E related correspondence in the project including any nonconformities notification for the Contractor(s)
- Internal and External Audits records
- Copy of the latest UNOPS HQ Management Review records

The UNOPS S&E system shall be formally documented to allow for control and accountability.

#### 6.2. Audit and monitoring

Environmental and social performance at site will be regularly monitored through:

- Weekly site inspections



- Ad hoc site inspections
- Internal peer reviews if requested by UNOPS HQ
- External audit visit if requested by UNOPS HQ
- *[Other, for instance audit requirements from Donor or local authorities]*

## 7. Revisions of the Plan


Table 6 - Revisions


Revision date	Name and title	Description of main changes

## 8. Table of references to Templates and Guidance documents

Table 7 - References

TOPICS	TEMPLATES	GUIDANCE
Legal review	HSE02 Register of interested parties HSE03 Legal register HSE04 Check for legal compliance	
Social and environmental screening	EM03 Environmental and social screening report	
Social and environmental assessment	EM05 Environmental review report TOR for EIA	
Analysis of environmental and social risks and opportunities	EM04 Register of environmental and social risks and opportunities	GEM01 Generic REI
Waste management	EM06 Waste management plan – site EM07 Waste management plan – office	GEM02 Waste management GEM07 Hazardous waste
Gender mainstreaming	Gender Action Plan template	Gender checklists
Other environmental management topics		GEM03 Protection of water GEM04 Wastewater management GEM05 Borrow pit management
Other social management topics		GEM06 Historical
Site induction and training	HSE07 Site induction register HSE08 Visitor induction register HSE18 Training matrix	See catalogue of Toolbox talks
Site weekly inspections	HSE05 HSE inspection report – site	
Management of contractors and sub-contractors		See guidance for Contractors working with UNOPS
Emergency and evacuation procedures	Site emergency and evacuation plan HS03 Emergency contact numbers HS04 Emergency drill record	
Accident/incident reporting	HSE08 Incident report form HSE10 Incident review form HSE11 Incident highlight form	
Communication and reporting	HSE12 Quarterly HSE report – site	
Audit and monitoring	HSE16 Internal review (audit)	

 = UNOPS responsibility (usual set-up in assurance position)

 = Contractor responsibility (usual set-up in assurance position)



**UNOPS - PRPC**

## **Quality Management Plan**

# 1. TABLE OF CONTENTS

<b>1. Table of Contents.....</b>	<b>1</b>
<b>2. Acronyms.....</b>	<b>2</b>
<b>3. Introduction .....</b>	<b>3</b>
<b>4. Approval, Distribution, Review and Audit .....</b>	<b>4</b>
4.1 Approval.....	4
4.2 Distribution of complete project quality management plan.....	4
4.3 Monitoring and review.....	4
4.4 Inspection and Audit .....	5
4.5 Record of Inspections, Audits and Reviews .....	6
<b>5. QMP Objectives and Description of the Project.....</b>	<b>7</b>
5.1 QMP Objectives.....	7
5.2 Description of the Project.....	7
5.2.1 4.1.1 Common Crossing Point at Merdarë/ Merdare.....	7
5.2.2 4.1.2 Crossing point at Mutivodë/ Mutivode .....	7
5.2.3 4.1.3 Crossing point at Bërnjak/ Brnjak .....	7
<b>6. Organisation and Responsibilities .....</b>	<b>8</b>
6.1 Project specific Quality Management Organization Chart.....	8
6.2 Quality Control responsibilities (UNOPS).....	9
6.3 Schedule of Key Activities .....	10
<b>7. Commitment and Competency .....</b>	<b>11</b>
7.1 Leadership and Commitment.....	11
7.2 Competency Awareness & Training .....	11
<b>8. Control of work processes.....</b>	<b>12</b>
8.1 Control of Works Plan Phasing.....	12
8.2 Inspection and Testing.....	12
8.2.1 Storage of Materials.....	13
8.3 Submittals .....	14
8.3.1 Shop Drawings.....	14
8.3.2 Material Submittal Schedule .....	14
8.3.3 Process, Review and Acceptance .....	15
8.3.4 Storage .....	16
<b>9. Construction Nonconformities/Deficiencies .....</b>	<b>16</b>
9.1.1 Non-conformance/Deficiency Identification and Notification .....	16
9.1.2 Non-conformance and Non-conformance Report (NCR) .....	16
9.1.3 Preventive Actions .....	16
<b>10. Documentation control.....</b>	<b>17</b>
10.1.1 Drawings records .....	17
10.1.2 Final Reporting.....	17
10.1.3 Defect Notification Period .....	17
<b>11. Appendixes.....</b>	<b>19</b>
11.1 Appendix 1 - Material Approval request .....	19
11.2 Appendix 2 - Non-Conformance Report .....	20
11.3 Appendix 3 - Non-Conformance Register.....	21
11.4 Appendix 4 - Defects Register .....	22
11.5 Appendix 5 - Defect Notification .....	23
11.6 Appendix 6 - Material Storage Checklist .....	24
11.7 Appendix 7 – Quality Policy .....	25

## **2. ACRONYMS**

- UNOPS-United Nations Office for Project Services
- QMS-Quality Management System
- QMP-Quality Management Plan
- PCM-Project Centre Manager
- PM-Project Manager
- DPM-Deputy Project Manager/Senior Engineer
- PE-Project Engineer
- QMR-Quality Management Representative
- SQMR-Senior Quality Management Representative
- QR-Quality Representative
- WP-Work Processes
- ITP-Inspection and Test Plan
- WIP-Work Inspection Procedures
- CL-Checklist
- NCR-Non Conformance Report

### **3. INTRODUCTION**

United Nations Office for Project Services (UNOPS) will perform the central role in managing Quality issues during the construction phase of the project. Our Site Management will ensure that the works are carried out to a high standard in compliance with client requirements, current legislation and guidance. This will be achieved by application of our Quality Control 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 IBM Kosovo Project contract. 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'<sup>1</sup>.

---

<sup>1</sup> *Legal Documentation provided prior to work commencing.*

## 4. APPROVAL, DISTRIBUTION, REVIEW AND AUDIT

Project Name: IBM Kosovo Project

Project Number: 97057

### 4.1 APPROVAL

	Date	Name and Signature
Approved by Head of Office*		
Approved by Project Manager*		
Reviewed by the Deputy PM*		
Reviewed by the Construction Manager*		

\* These signatures are required for the first issue only. Thereafter the Project Manager can approve changes which shall be recorded in the review section of the Plan.

### 4.2 DISTRIBUTION OF COMPLETE PROJECT QUALITY MANAGEMENT PLAN

No	Name	Role	Location
1			
2			
3			
4			
5			

### 4.3 MONITORING AND REVIEW

The Project Manager shall ensure that the Project Quality Management Plan is reviewed monthly to ensure that:

- The objectives and requirements of the Project Quality Management Plan are still valid, and are being met.
- Forthcoming activities are reviewed and any necessary amendments to the Project Quality Management Plan are put in place before the relevant work begins.
- QMP processes shall be reviewed to ensure continuing suitability and effectiveness.

The Project Manager is accountable for the development and implementation of the Quality Plan and delegates the responsibility for the development and implementation of this plan to the Quality Management Representative (QMR). The Quality Management Plan is issued with the authority of

the Project Manager. All changes to the Quality Management Plan will be reviewed and authorised by the Project Manager.

Everybody who works for UNOPS, whether as an employee or contractor, has a responsibility to fulfil UNOPS's quality policy and objectives, and is expected to work towards achieving these organizational objectives.

Finally the schedule in this section, which is maintained only in the Master Copy of the Project Quality Management Plan, shall be completed to confirm that the review has taken place.

On a weekly basis QMP performance and production matters shall be reviewed. Problems encountered in compliance with or achievement of the processes for direct work shall be recorded, e.g. in meeting minutes, Non-conformance Report, etc. Requirements for the coming week shall also be considered to include improvements gained from the review, and noted to staff for action.

Project Engineers are responsible for ongoing monitoring of QMP matters.

The site based Quality Representative is:

The site based Quality Management Representative (QMR) is responsible for monitoring quality matters and shall also conduct a phase based inspection. The information obtained from these inspections will be used by the 'QMR (Deputy PM) to produce the monthly quality report. This monthly report will be issued to the SQMR (Project Manager)'.

#### **4.4 INSPECTION AND AUDIT**

The DPM will conduct checks in accordance with Project Manager QMP Tours to confirm that processes are being carried out effectively. A record of these checks shall be noted in this section.

Inspections will be carried out on a regular basis by QMR with a written report being submitted to PM (SQMR) for review and action.

\*UNOPS personnel responsible for Quality Control for this project is UNOPS QR:

A UNOPS personnel responsible for Auditing Quality Management System for this project are: Construction Manager/DPM:

UNOPS personnel responsible for Senior Auditing Quality Management System for this project is:

Formal planned audits of the System shall be carried out by the UNOPS QMR and reports shall be submitted to Project Manager. These audits shall include assessments of the Organisation Management System operating on this contract. Additional Supply Chain and site audits shall be conducted upon request.

Audits carried out on the Project by external/client bodies shall be recorded in this section. Any reports issued by these parties to the site shall be copied to the QMP Department.



## 4.5 RECORD OF INSPECTIONS, AUDITS AND REVIEWS

[illegible]

**Q=Quality; QMR=Quality Management Representative;**

\*Include a copy of the tour report following this page.

## **5. QMP OBJECTIVES AND DESCRIPTION OF THE PROJECT**

### **5.1 QMP OBJECTIVES**

This Project Quality Management Plan is specific to this project.

The objective for this project is to carry out our work which will ensure that all conditions, activities and tasks, affecting Quality are planned, organized, executed, and controlled in accordance with the requirements of UNOPS statutory legislation and our clients EUoK & GoK.

### **5.2 DESCRIPTION OF THE PROJECT**

The IBM Kosovo project will provide three new/upgraded integrated border management (IBM) common crossing points (CCP), which are either adjacent to or located at existing crossings points of the Kosovo/Serbia land boundary. The locations of the CCP's are as follows:

- Merdarë/Merdare
- Mutivodë/Mutivoda
- Bërnjak/Brnjak

#### **5.2.1 4.1.1 Common Crossing Point at Merdarë/ Merdare**

The IBM Kosovo project crossing point (IBM CP) in Merdarë/ Merdare is located in the Municipality of Podujevo at an elevation of 645.0m above sea level on the main road between the Kosovo/Serbia boundary in the vicinity of the existing crossing. The new crossing point will be constructed across the layout of the existing smaller one.

#### **5.2.2 4.1.2 Crossing point at Mutivodë/ Mutivode**

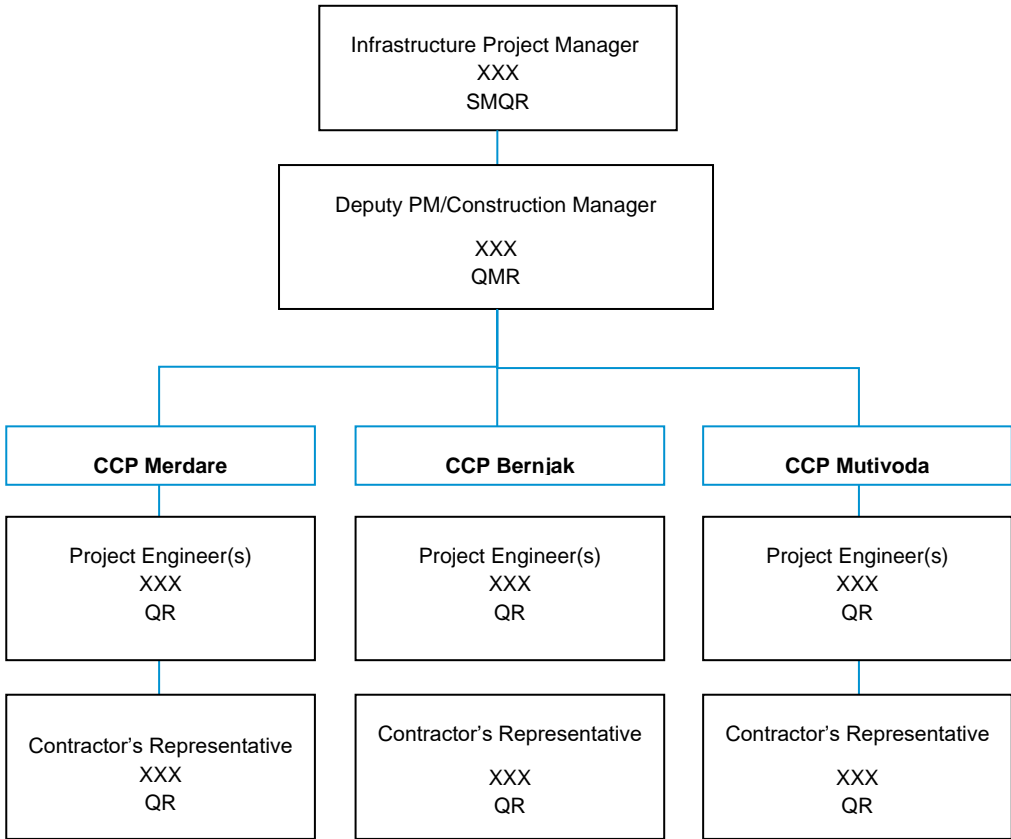
The IBM Kosovo crossing point in Mutivodë/ Mutivode is located in the region of Pristina Municipality at an elevation of 987m above sea level on the main road between Kosovo/Serbia boundary close to the existing crossing, the new crossing point will be constructed to the south east of the existing crossing point.

#### **5.2.3 4.1.3 Crossing point at Bërnjak/ Brnjak**

The IBM Kosovo project crossing point in Bërnjak/ Brnjak is located in the municipality of Zubin Potok it is located at an elevation 757.m above sea level on the main road on the boundary between Kosovo and Serbia. The new crossing point will be constructed in the location of the existing crossing.

## 6. ORGANISATION AND RESPONSIBILITIES

### 6.1 PROJECT SPECIFIC QUALITY MANAGEMENT ORGANIZATION CHART



## 6.2 QUALITY CONTROL RESPONSIBILITIES (UNOPS)

Senior Quality Management Representative	Quality Management Representatives	Quality Representatives
Area of Designated Responsibility	Area of Designated Responsibility	Area of Designated Responsibility
<ul style="list-style-type: none"> <li>• Reviewing and authorizing the project Quality Management Plan (QMP) and other project plans</li> <li>• Assigning quality responsibilities to all project personnel</li> <li>• Ensuring all project personnel are suitably trained, and possess the necessary skills, to undertake their designated quality responsibilities</li> <li>• Ensuring the provision of appropriate training in quality for all project personnel</li> <li>• Continually monitoring of quality performance to ensure compatibility and continued effectiveness with the UNOPS's policy, objectives and other requirements</li> <li>• Allocating resources to ensure the project quality objectives are achieved</li> <li>• Participating in the review of the quality system and other relevant quality meetings and programs</li> <li>• Liaising with the Client on Quality issues.</li> </ul>	<ul style="list-style-type: none"> <li>• Preparing Quality Management Plan</li> <li>• Ensuring procedures in the Quality Management Plan are followed</li> <li>• Ensuring the project QMP is correctly implemented to meet the requirements of the project</li> <li>• Allocating project staff to perform inspection duties Preparation of work Method Statements (MS), Work Procedures and Checklists (WIP and CL) and Inspection &amp; Test Plans (ITP's)</li> <li>• Reviewing prepared ITP's, WIP's and CL's.</li> <li>• Reviewing inspection reports and ensuring any actions required are initiated</li> <li>• Implement, verify and review the project's preventive and corrective action effectiveness</li> <li>• Ensuring and verifying that agreed rectification works and corrective action is taken when required for non-conforming work</li> <li>• Ensuring construction targets and programs are met</li> <li>• Attending meetings called to discuss quality issues</li> <li>• Identifying and reporting any quality management system issues</li> <li>• Auditing and assessment of contractor (report to SQMR).</li> </ul>	<ul style="list-style-type: none"> <li>• Assisting in preparation of QMP</li> <li>• Preparing Work Inspection Procedures and Checklists (WIP and CL) and Inspection &amp; Test Plans (ITP's)</li> <li>• Performing verifications and quality inspections as requested</li> <li>• Monitoring the implementation of manufacture/construction activities</li> <li>• Identifying and reporting material and/or workmanship non-conformity and notifying the SQMR and QMR of the suspected non-conformity</li> <li>• Rejecting defective workmanship and materials</li> <li>• Assisting with the maintenance of the project program</li> <li>• Performing verifications and quality inspections as requested by the SQMR and QMR</li> <li>• Completing a diary on a project daily report</li> <li>• Technical and logistic support to the SQMR and QMR</li> <li>• Supervision of construction activities</li> <li>• Identifying and reporting material deficiency and issuing to contractor Defect Notification Report</li> <li>• And every activity listed under 8.3 which is not included above.</li> </ul>
Designated Signature:	Designated Signature:	Designated Signature:

### 6.3 SCHEDULE OF KEY ACTIVITIES

#	ITP Name	Checklist Name	ITP No.	Check. No.	Date
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					

## **7. COMMITMENT AND COMPETENCY**

### **7.1 LEADERSHIP AND COMMITMENT**

It is UNOPS's intent that its managers and supervisors at all levels, by means of their actions and behaviour, provide visible and pro-active commitment to Quality Management.

Demonstrated proactive and visible leadership and commitment to Quality on this Project shall include carrying out activities such as:

- Setting clear quality objectives
- Project Management conducting site visits
- Senior management participating in audits
- Involving the workforce in addressing quality issues
- Encouraging open communication on quality issues
- Encouraging an environment of continual improvement
- Adhering to the Standards set by UNOPS Management System
- The recognition and reward of outstanding contributions to quality performance

### **7.2 COMPETENCY AWARENESS & TRAINING**

The competency needs of all personnel performing activities which affect the quality of manufacture/construction shall be identified by UNOPS SQMR and QMR. Personnel performing specified assigned tasks shall be appropriately qualified on the basis of training, skills and/or experience, which will be confirmed by UNOPS and /or the Contractors Project Management team as required.

The QMR shall be responsible for ensuring site personnel hold current and relevant qualifications for the work they are required to perform and maintain training records. Records of training and competencies (written confirmation by Contractors PM) will be kept and maintained in relevant project files.

Training needs for project personnel shall be identified giving consideration to: the knowledge and skills required from the position to fulfil the realization of the requirements within UNOPS Management System.

## 8. CONTROL OF WORK PROCESSES

Effective Quality Control 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:

- 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
- Construction Works will commence only after mutual understanding between UNOPS and Contractor has been achieved.

### 8.1 CONTROL OF WORKS PLAN PHASING

Control of Work Processes will comprise the following 3 phases:

- **Preparatory phase meetings:** WP meeting 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 understand 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. <sup>2</sup>

### 8.2 INSPECTION AND TESTING

The status of the constructed works will be identified by the progressive completion of Inspection and testing documentation which are Inspection & 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 &

---

<sup>2</sup> In all projects, there is work that is 'cut and cover', work that cannot be inspected "after the fact". This includes concrete where the size, number and location of reinforcing steel cannot be readily determined after the concrete is placed. Most of the underground utilities cannot be inspected after covering. Work of this nature shall be closely controlled and monitored. A disadvantage with the system arises from the fact that Contractor's personnel, are unlikely to readily take actions which will result in delay and expense to the contractor for the ask of quality. for example, if concrete is to be placed with a maximum slump of 6cm, it is unlikely that a load with 10cm or 12cm slump will be rejected. If roofing bituminous material is overheated, it is unlikely that it will be rejected. The deficiencies occasioned by these conditions may become latent defects revealed long after any possible contractor liability can be enforced.

Test Plan, Checklists.t.

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.

UNOPS QMR will monitor the preparation of ITP's<sup>3</sup>:

- 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.

\*Always keep a posted and marked up set of plans and specifications convenient for ready reference.

\*Make sure that construction contractor has this same information.

### **8.2.1 Storage of Materials**

UNOPS QR shall<sup>4</sup>:

- approve site organisation and management plan (location of material storage)
- ensure that adequate space is available for the contractor's operations and storage areas
- ensure that approval has been obtained for temporary sheds, buildings, etc. which the contractor proposes to install
- ensure that materials and equipment's are properly stored and protected
- ensure that safety requirements, especially in the storage of flammable or explosive materials, are adhered to
- ensure temporary structures are secured against wind damage
- ensure the necessary heating and ventilating systems are provided.

---

<sup>3</sup> See: Point 6.2 Quality Control Responsibilities.

<sup>4</sup> Appendix 7.



### **8.3 SUBMITTALS**

This section describes the procedures for submittals.

#### **8.3.1 Shop Drawings**

The QR shall:

- administer, control, and process submittals from the construction contractor(s)<sup>5</sup>
- review all contractor submittals, and related supporting documents, to ensure compliance with project specifications and drawings
- prepare submittal register for plans, and specifications
- check submittal register for inclusion of all shop drawings required including layouts of equipment, equipment rooms, etc.
- ensure that all data is registered and submitted to the QMR
- ensure that the submittal register is periodically updated
- make continual checks of the submittal register to avoid untimely and omitted submittals so as to avoid delay of constructions
- compare the shop drawings to the contract requirements and report apparent differences to the QMR and SQMR
- ensure each detail on the shop drawings is clearly understood by the constructions contract requirements
- ensure that the contractor makes note on his submittal of items which deviate from contract requirements
- check materials being installed against the approved shop drawing (if the contractor installs unapproved material, inform him in writing that the material, if not subsequently approved, will be removed at his expense).

\*The submittals disposition will be noted on the submittal, which will be signed, dated and recorded. If required, the QR will return the submittal to the contractor for revision, incorporating the comments. The contractor shall resubmit it for review and verification for compliance. Submittals will be logged and copies will be retained in the project files. Results shall be recorded and available for review.

#### **8.3.2 Material Submittal Schedule**

The construction contractor will prepare and submit a 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 QMR 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.<sup>6</sup>

---

<sup>5</sup> See: 8.3.3 Process Review and Acceptance.

<sup>6</sup> Appendix 1.

### 8.3.3 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 six actions that may be taken for each submittal are:
  - Approved – Submittal meets contract requirements. No additional copies will be required of the contractor.
  - 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.
  - Not Approved – Submittal is inadequate and does not meet contract requirements. Revise the complete submittal and resubmit for approval. No work will begin in the field until the revised submittal has been approved.
  - 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.

#### **8.3.4 Storage**

The QR will maintain all submittal files via a combination of a secure document filing and storage system. All submittal records will be provided to the UNOPS PM as part of the project closeout documentation.

### **9. CONSTRUCTION NONCONFORMITIES/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.

#### **9.1.1 Non-conformance/Deficiency Identification and Notification**

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.

#### **9.1.2 Non-conformance and Non-conformance Report (NCR)<sup>7</sup>**

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<sup>8</sup> and tracked through verification that the non-conformance has been corrected.

#### **9.1.3 Preventive Actions**

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.

---

<sup>7</sup> Appendix 2

<sup>8</sup> Appendix 3

## **10. DOCUMENTATION CONTROL**

Quality Documentation developed specifically for the project shall be controlled on site by the QR.

### **10.1.1 Drawings records**

- The contractor's record drawings shall be reviewed monthly by UNOPS
- Project and design office staff to ensure that they are correct
- Ensure that as soon as a change or addition is made in construction it is noted on the record drawing
- Draft final record drawings will be prepared and submitted by Contractor to UNOPS SQMR for review in order to prepare final drawings record (As built) based on UNOPS PM Comments.

### **10.1.2 Final Reporting**

The following quality related documents will be generated during implementation of the Project and will be submitted to the Quality Control file that will be handed over to the end user on project completion.

Work Completion Report:

- Record (as-built) drawings
- Operation and maintenance manuals; and

Results of the Start-up and Testing Plan and the Commissioning Plan implemented for each major piece of equipment or system before system turnover, in accordance with Technical Specification Contractor Quality Program Requirements.

### **10.1.3 Defect Notification Period**

Defect Notification Period means the period for notifying defects in the Works (as the case may be) under the clause 2-3) "Defect Liability", as stated in the "Measured Price Construction Contract", which is calculated from the date on which the Works is completed as certified under the clause 2-3) "Employer's Taking Over" within "Measured Price Construction Contract".

When material, performed work or installation is found to be deficient, the QR will assure deficiency correction is implemented. The QR shall ensure that the defected material, work or installation is identified and controlled to prevent unintended use or delivery.

UNOPS will instruct contractor to 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 operation of the product; 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. All activities undertaken with regards to defects shall be recorded in Defects Register.<sup>9</sup>

Any item of work found to be deficient will be identified by the PE and issued by Contractor on the Defect Notification as described in this section.

***FINALLY***

***It is essential that work is carried out in line with the contract requirements and the UNOPS systems. Therefore please follow instructions and if work appears to be carried out incorrectly, please inform your supervisor before you go too far and it is covered up. If in doubt please ask!***

---

<sup>9</sup> Appendix 4.

## 11. APPENDICES

### 11.1 APPENDIX 1 - MATERIAL APPROVAL REQUEST

<b>Project:</b>				<b>Request No:</b>	
<b>Contractor:</b>				<b>Date:</b>	
<b>Item Submitted:</b>					
Discipline :		Civil <input type="checkbox"/>	Building <input type="checkbox"/>	Mechanical <input type="checkbox"/>	Electrical <input type="checkbox"/>
Description:					
Supplier/Manufacture, including model number:					
BOQ Ref.:		Specification Ref.:			
Attachments:					
<input type="checkbox"/> Data Sheet		<input type="checkbox"/> Catalogue		<input type="checkbox"/> Sample	
<b>For Contractor</b>					
Discipline Engineer Name:			Signature:		
Project Manager Name:			Signature:		
<b>For UNOPS</b>					
Received Date:			Received Time:		
Received By:			Signature:		
UNOPS Action:					
<input type="checkbox"/> Approved			<input type="checkbox"/> Not Approved		
<input type="checkbox"/> Approved As Noted			<input type="checkbox"/> Others: .....		
Remarks: .....					
Action by:		Signature:		Date:	
<b>For UNOPS Project Manager Use:</b>					
.....					
Project Manager Name:		Signature:		Date:	
<b>Contractor Receive</b>					
Received Date:			Received Time:		
Received By:			Signature:		

## 11.2 APPENDIX 2 - NON-CONFORMANCE REPORT

<b>Project</b>			
<b>Contract No</b>			
<b>Contractor</b>			
<b>Trade/Activity</b>			
<b>Date</b>		<b>Non-conformance report number</b>	

**Details Of Non Conformance:**  
 (Note specifications, drawings, standards, procedures etc departed from, attach photos if applicable)

Type of Non Conformance:  
 Material Fault ☐ Workmanship ☐ Product Supply ☐ Safety ☐ Quality ☐ Environmental ☐

**Remedial Works Required:**

To be completed By Date: .....

Input and Approval required by Design Consultants: Yes ☐ No ☐ Approved: .....

**Corrective Action to Prevent Recurrence:**

Corrective Action confirmed and carried out Date: ..... By Contractor: .....

Close Out Confirmed Date: ..... By UNOPS: .....

### 11.3 APPENDIX 3 - NON-CONFORMANCE REGISTER

[illegible]



## 11.4 APPENDIX 4 - DEFECTS REGISTER

[illegible]

## 11.5 APPENDIX 5 - DEFECT NOTIFICATION

Project			
Contract No			
Contractor			
Trade/Activity			
Date		Defect notification number	
<b>Details of Defect:</b> (Note specifications, drawings, standards, procedures etc departed from, attach photos if applicable)			
<b>Type of Defect:</b> Material Fault <input type="checkbox"/> Civil <input type="checkbox"/> Mechanical <input type="checkbox"/> Electrical <input type="checkbox"/> Safety & Environmental <input type="checkbox"/> Other <input type="checkbox"/>			
<b>Defect Classification:</b> <input type="checkbox"/> Critical (creates direct risk to proper operation of the facility or safety – to be fixed ASAP) <input type="checkbox"/> Operational (no direct risk to operation of facility or safety – fix date to be agreed)			
<b>Remedial Works Required:</b>			
To be completed By Date: ..... Input and Approval required by Design Consultants: Yes <input type="checkbox"/> No <input type="checkbox"/>			
Signed by Contractor: .....		Date: .....	
Signed by UNOPS: .....		Date: .....	



## 11.7 APPENDIX 7 – QUALITY POLICY



### UNITED NATIONS OFFICE FOR PROJECT SERVICES

Headquarters, Copenhagen  
16 April 2010

#### ORGANIZATIONAL DIRECTIVE No.31

**Quality Management Policy:** *Continually improving operational excellence for results that matter*

##### 1. Introduction

- 1.1. The Executive Director hereby establishes a policy on Quality Management.
- 1.2. The United Nations Office for Project Services (UNOPS) recognizes that Quality Management stems from the definition of strategic client objectives derived from its business planning activities and the incorporation of these client objectives into its key business processes.
- 1.3. Client satisfaction with UNOPS's services will be frequently monitored and documented, and unsatisfactory results must be promptly reacted to.
- 1.4. Further, UNOPS approach to Quality Management will support its Management Practice structure particularly through the consistent application of business processes, instructions, guidance and tools.

##### 2. Purpose and Scope

- 2.1. This OD establishes the high-level objectives and key principles for UNOPS Quality Management Policy ("the policy").
- 2.2. The Policy and its underpinning processes aim to ensure that
  - (a) UNOPS consistently meets the needs of its clients.
  - (b) UNOPS consistently meets its statutory & regulatory requirements.
  - (c) UNOPS consistently improves the satisfaction of its clients.
  - (d) UNOPS consistently improves the effectiveness of its Quality Management System.

- (e) UNOPS Quality Management System meets the requirements of ISO 9001.

2.3. The Scope of UNOPS Quality Management System is the provision of management services that contribute significantly to United Nations peacebuilding, humanitarian and development operations.

### **3. Roles and Functions**

#### **3.1. Management**

- (a) The Executive Director (ED) has the overall responsibility for implementing the UNOPS Quality Policy and fulfills the role of 'Management Representative' as defined by ISO 9001.
- (b) The Executive Director will, at planned intervals, review the Quality Management System to ensure its continued suitability, adequacy and effectiveness.

3.2. The processes, knowledge and tools that come under the control of the Quality Management System are defined within the intranet-based *Practice and Quality Management System (PQMS)* and associated *Knowledge System*.

- (a) The overall responsibility for establishment, documentation, implementation, maintenance and continual improvement of these processes, knowledge and tools lies with the relevant Practice Leads.
- (b) Regional Directors and Deputy Regional Directors, supported by Practice Advisors, play a central role in the consultative process of informing and implementing the corporate improvement agenda.

3.3. UNOPS believes Knowledge Management to be a key success factor in the implementation of its Quality Management Policy. The *Knowledge System* is thus a key tool and Practice Leads ensure that the knowledge endorsed by their respective practices is captured and maintained within it and is codified according to the *UNOPS Knowledge Map*.

3.4. Processes, knowledge and tools under the control of the Quality Management System will, at planned intervals, be the subject of assessments both by peers from other practices and by external quality auditors.

3.5. As part of their responsibility to ensure consistent application of knowledge, processes and tools, Practice Leads will leverage the corporate Learning and Development policy to facilitate targeted training and certification of practitioners.

3.6. Practice Leads will ensure that the effectiveness of the Quality Management system is communicated throughout their respective Practices.



3.7. The quality of specific areas of service is coordinated by Implementation Support Practices working to deepen strategic partnerships and ensure that services meet client objectives. As such, Implementation Support Practice Leads are responsible for codifying UNOPS policy standards for their respective service areas and for ensuring that quality standards are met throughout implementation.

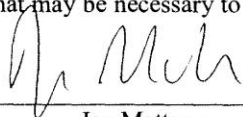
3.8. Personnel

- (a) All personnel working for or on behalf of UNOPS have a responsibility to ensure the effective operation of the Quality Management System, i.e.
- To follow process descriptions and instructions in order to create client value
  - To contribute to achieving targets
  - To suggest improvements
  - To take part in the continual improvement process

**4. Final provisions**

4.1. This OD is effective 16 April 2010.

4.2. The Director, Corporate Performance and Management Group is hereby authorized to issue such Administrative Instructions, guidance and/or tools that may be necessary to effect the implementation of this Policy.

  
\_\_\_\_\_  
Jan Mattsson  
Executive Director