



**REQUEST FOR PROPOSAL (RFP)**  
**(For Low-Valued Services)**

NAME & ADDRESS OF FIRM	DATE: October 10, 2012
	REFERENCE: RFP/005/12

Dear Sir / Madam:

We kindly request you to submit your Proposal for provision of services on sociological survey as per annexed Terms of Reference (Annex 3)

Please be guided by the form attached hereto as Annex 4, in preparing your Proposal.

Proposals may be submitted **on or before 18.00 local (Tashkent) time Wednesday, October 31, 2012** and via email, courier mail or fax to the address below:

**UNDP Uzbekistan**  
**100029, 4 Taras Shevchenko str., Tashkent, Uzbekistan**  
**Phone: (998-71) 120-34-50**  
**Fax: (998-71) 120-34-85**  
**E-mail: [bids.uz@undp.org](mailto:bids.uz@undp.org)**

Your Proposal must be expressed in Russian, Uzbek or English and valid for a minimum period of 60 (sixty) calendar days.

In the course of preparing your Proposal, it shall remain your responsibility to ensure that it reaches the address above on or before the deadline. Proposals that are received by UNDP after the deadline indicated above, for whatever reason, shall not be considered for evaluation. If you are submitting your Proposal by email, kindly ensure that they are signed and in the .pdf format, and free from any virus or corrupted files.

Services proposed shall be reviewed and evaluated based on completeness and compliance of the Proposal and responsiveness with the requirements of the RFP and all other annexes providing details of UNDP requirements.

The Proposal that complies with all of the requirements meets all the evaluation criteria and offers the best value for money shall be selected and awarded the contract. Any offer that does not meet the requirements shall be rejected.

Any discrepancy between the unit price and the total price shall be re-computed by UNDP, and the unit price shall prevail and the total price shall be corrected. If the Service Provider does not accept the final price based on UNDP's re-computation and correction of errors, its Proposal will be rejected.

No price variation due to escalation, inflation, fluctuation in exchange rates, or any other market factors shall be accepted by UNDP after it has received the Proposal. At the time of Award of Contract or Purchase Order, UNDP reserves the right to vary (increase or decrease) the quantity of services and/or goods, by up to a maximum twenty

five per cent (25%) of the total offer, without any change in the unit price or other terms and conditions.

Any Contract or Purchase Order that will be issued as a result of this RFP shall be subject to the General Terms and Conditions attached hereto. The mere act of submission of a Proposal implies that the Service Provider accepts without question the General Terms and Conditions of UNDP, herein attached as Annex 3.

Please be advised that UNDP is not bound to accept any Proposal, nor award a contract or Purchase Order, nor be responsible for any costs associated with a Service Providers preparation and submission of a Proposal, regardless of the outcome or the manner of conducting the selection process.

UNDP's vendor protest procedure is intended to afford an opportunity to appeal for persons or firms not awarded a Purchase Order or Contract in a competitive procurement process. In the event that you believe you have not been fairly treated, you can find detailed information about vendor protest procedures in the following link: <http://www.undp.org/procurement/protest.shtml>

UNDP encourages every prospective Service Provider to prevent and avoid conflicts of interest, by disclosing to UNDP if you, or any of your affiliates or personnel, were involved in the preparation of the requirements, design, cost estimates, and other information used in this RFP.

UNDP implements a zero tolerance on fraud and other proscribed practices, and is committed to preventing, identifying and addressing all such acts and practices against UNDP, as well as third parties involved in UNDP activities. UNDP expects its Service Providers to adhere to the UN Supplier Code of Conduct found in this link : [http://www.un.org/depts/ptd/pdf/conduct\\_english.pdf](http://www.un.org/depts/ptd/pdf/conduct_english.pdf)

Thank you and we look forward to receiving your Proposal.

Sincerely yours,

*Shavkat Muminov*  
*UNDP Operations Manager*

## Description of Requirements

Context of the Requirement	The Center for Economic Research in cooperation with the Chamber of Commerce and Industry of Uzbekistan and with technical support of UNDP is intending to implement a research project titled "Portrait of entrepreneur - 2012".											
Implementing Partner of UNDP	Center for Economic Research and Chamber of Commerce and Industry of Uzbekistan											
Brief Description of the Required Services	Conduction of sociological survey in the framework of the research project "Portrait of Entrepreneur – 2012": <ul style="list-style-type: none"><li>• 6 focus group discussions;</li><li>• 800 standardized interviews.</li></ul> Details are given in the TOR which is used as Annex 3 to the present RFP.											
List and Description of Expected Outputs to be Delivered	<ul style="list-style-type: none"><li>• Data analysis toolset;</li><li>• Transcription of audio files with translation into Russian, in MS Word format;</li><li>• Preliminary report on the results of a sociological survey, containing a preliminary analysis of the data collected;</li><li>• Analytical- final report containing results of the research, findings and recommendations.</li></ul>											
Person to Supervise the Work/Performance of the Service Provider	SRPU Project Senior Research Coordinator											
Frequency of Reporting	Monthly, during validity period of the contract (preliminary 7 calendar weeks)											
Progress Reporting Requirements	Printed (in Russian) and electronic versions of the report should be provided. The format and technical characteristic of the report will be further agreed with direct supervisor – SRPU Project Senior Research Coordinator.											
Location of work	All regions of the Republic of Uzbekistan. Sociological survey should be conducted in all regions (14 regions). The survey should include the enterprises in terms of geographical location, branches of the economy, form of property and size.											
Expected duration of work	7 calendar weeks											
Target start date	05.11.2012											
Latest completion date	22.12.2012											
Travels Expected	<table><tr><td>Destination/s</td><td>Estimated Duration</td><td>Brief Description of Purpose of the Travel</td><td>Target Date/s</td></tr><tr><td>All regions of the country</td><td>5 w.d. in each region</td><td>Conducting standardized interviews and focus group discussions</td><td>During validity of the contract</td></tr></table>				Destination/s	Estimated Duration	Brief Description of Purpose of the Travel	Target Date/s	All regions of the country	5 w.d. in each region	Conducting standardized interviews and focus group discussions	During validity of the contract
	Destination/s	Estimated Duration	Brief Description of Purpose of the Travel	Target Date/s								
All regions of the country	5 w.d. in each region	Conducting standardized interviews and focus group discussions	During validity of the contract									
Special Security Requirements	n/a											

Facilities to be Provided by UNDP (i.e., must be excluded from Price Proposal)	n/a																
Implementation Schedule indicating breakdown and timing of activities/sub-activities	Required																
Names and curriculum vitae of individuals who will be involved in completing the services	Required																
Currency of Proposal	<ul style="list-style-type: none"><li>• United States Dollars</li><li>• Local Currency</li></ul> UN exchange rate on the last day for Bids submission will be applied for currency conversion for evaluation purpose.																
Value Added Tax on Price Proposal	VAT and other applicable indirect taxes must be exclusive.  United Nations Development Programme in accordance with agreement between Government of Uzbekistan and UNDP is VAT exempt.																
Validity Period of Proposals	60 days from the last day of receipt of the offers.																
Partial Quotes	Not permitted																
Payment Terms	<p>Payment by UNDP will be made according to the following:</p> <p><b><u>For foreign vendors:</u></b></p> <ul style="list-style-type: none"><li>• The payment in the amount of 100% of the contract price will be made upon provision of services and signing by the Parties of the acts on the works performed.</li></ul> <p><b><u>For local vendors:</u></b></p> <ul style="list-style-type: none"><li>• 15% prepayment from the total contract price will be made within 10 (ten) banking days from the moment of its signing;</li><li>• The rest 85% amount of the total contract price will be made upon signing by the Parties of the acts on the works performed or according the below table:</li></ul> <table><tr><th>Outputs</th><th>Percentage</th><th>Timing/Condition for Payment Release</th></tr><tr><td>Data analysis toolset</td><td rowspan="2">15%</td><td rowspan="2">Within 10 (ten) banking days from the moment of signing by the Parties of the first Interim act on the works performed.</td></tr><tr><td>Transcription of audio files with translation into Russian, in MS Word format.</td></tr><tr><td>Preliminary report on the results of a sociological survey, containing a preliminary analysis of the data collected</td><td>20%</td><td>Within 10 (ten) banking days from the moment of signing by the Parties of the second Interim act on the works performed.</td></tr><tr><td>Analytical- final report containing results of the research, findings and recommendations</td><td>50%</td><td>Within 10 (ten) banking days from the moment of signing by the Parties of the final Act on the works performed</td></tr><tr><td>Итого</td><td>85%</td><td></td></tr></table>	Outputs	Percentage	Timing/Condition for Payment Release	Data analysis toolset	15%	Within 10 (ten) banking days from the moment of signing by the Parties of the first Interim act on the works performed.	Transcription of audio files with translation into Russian, in MS Word format.	Preliminary report on the results of a sociological survey, containing a preliminary analysis of the data collected	20%	Within 10 (ten) banking days from the moment of signing by the Parties of the second Interim act on the works performed.	Analytical- final report containing results of the research, findings and recommendations	50%	Within 10 (ten) banking days from the moment of signing by the Parties of the final Act on the works performed	Итого	85%	
Outputs	Percentage	Timing/Condition for Payment Release															
Data analysis toolset	15%	Within 10 (ten) banking days from the moment of signing by the Parties of the first Interim act on the works performed.															
Transcription of audio files with translation into Russian, in MS Word format.																	
Preliminary report on the results of a sociological survey, containing a preliminary analysis of the data collected	20%	Within 10 (ten) banking days from the moment of signing by the Parties of the second Interim act on the works performed.															
Analytical- final report containing results of the research, findings and recommendations	50%	Within 10 (ten) banking days from the moment of signing by the Parties of the final Act on the works performed															
Итого	85%																

Person(s) to review/inspect/ approve outputs/completed services and authorize the disbursement of payment	Senior Research Coordinator of the project “Support to Reform Process in Uzbekistan”.															
Type of Contract to be Signed	Contract for Professional Services															
Criteria for Contract Award	Highest Combined Score: <ul style="list-style-type: none"><li>• technical offer - 70%;</li><li>• financial offer - 30%.</li></ul>															
Criteria for the Assessment of Proposal	<p><b><u>Technical Proposal (70%)</u></b></p> <table><tr><th colspan="2">Резюме форм технической оценки предложения</th><th>Score</th></tr><tr><td>1</td><td>Expertise of the Firm</td><td>25</td></tr><tr><td>2</td><td>Qualification of Key Personnel</td><td>30</td></tr><tr><td>3</td><td>Proposed Methodology and Implementation Plan</td><td>15</td></tr><tr><td colspan="2">Total</td><td>70</td></tr></table> <p>Detail explanation in the Tables ##1-3.</p> <p><b><u>Financial Proposal (30%)</u></b></p> <p>To be computed as a ratio of the Proposal’s offer to the lowest price among the proposals received by UNDP.</p>	Резюме форм технической оценки предложения		Score	1	Expertise of the Firm	25	2	Qualification of Key Personnel	30	3	Proposed Methodology and Implementation Plan	15	Total		70
Резюме форм технической оценки предложения		Score														
1	Expertise of the Firm	25														
2	Qualification of Key Personnel	30														
3	Proposed Methodology and Implementation Plan	15														
Total		70														
UNDP will award the contract to:	One and only one Service Provider															
Annexes to this RFP	1. General Terms and Conditions / Special Conditions (Annex 2) <sup>1</sup> ; 2. Detailed TOR (Annex 3); 3. Form for Submission of Proposal (Annex 4).															
Contact Person for Inquiries (Written inquiries only)	<p>Procurement Unit <a href="mailto:pu.uz@undp.org">pu.uz@undp.org</a> Phone.: (+99871) 120 34 50 Fax: (+99871) 120 34 85</p> <p>Any delay in UNDP’s response shall be not used as a reason for extending the deadline for submission, unless UNDP determines that such an extension is necessary and communicates a new deadline to the Proposers.</p>															

<sup>1</sup> Service Providers are alerted that non-acceptance of the terms of the General Terms and Conditions (GTC) may be grounds for disqualification from this procurement process.

**Table 1. Expertise of firm / organization submitting proposal**

Description		Scores obtainable
1.1	General organizational characteristics that may probably have an impact on work progress (i.e. management of the company, size, strengths in management of the projects).	10
1.2	Experience: <ul style="list-style-type: none"> <li>- Experience in similar projects/social survey (focus group and depth interview). Information on implemented similar projects for the last three years should be provided;</li> <li>- Experience in regional level projects in Uzbekistan;</li> <li>- Experience in research projects of national and international level/scale;</li> <li>- Experience in collaboration with UNDP (short information on the project should be provided: name, works/services performed etc.).</li> </ul>	15
<b>TOTAL</b>		<b>25</b>

Table 2 of the Technical Proposal Evaluation		Scores obtainable
<b>Personnel:</b> Evaluation of the proposed personnel will be arranged as per the following breakdown. Information on each proposed personnel should be provided in the form of CV allowing to hold an evaluation.		
<b>1</b>	<b>Manager / Analytic</b>	<b>9</b>
	<i>General qualification: education (higher in the field of sociology, economics and other related fields), general experience.</i>	3
	<i>Experience in depth interviews (at least 4 years) as well as in the regions of Uzbekistan. Experience in working with international organizations is an asset.</i>	4
	<i>Language skills (Russian and Uzbek)</i>	2
<b>2</b>	<b>Specialist on quantitative survey (at least one person)</b>	<b>7</b>
	<i>General qualification: education (higher in the field of sociology, economics and other related fields), general experience.</i>	2
	<i>Experience in FGD (at least 3 years) as well as in the regions of Uzbekistan. Experience in working with international organizations is an asset.</i>	3
	<i>Language skills (Russian and Uzbek)</i>	2
<b>3</b>	<b>Specialist of FGD (at least one person)</b>	<b>7</b>
	<i>General qualification: education (higher in the field of sociology, economics and other related fields), general experience.</i>	2
	<i>Experience in FGD (at least 3 years) as well as in the regions of Uzbekistan. Experience in working with international organizations is an asset.</i>	3
	<i>Language skills (Russian and Uzbek)</i>	2
<b>4</b>	<b>Interview supervisors (at least six people)</b>	<b>7</b>
	<i>General qualification: education (higher in the field of sociology, economics and other related fields), general experience.</i>	2

	<i>Experience in interview/depth interviews (at least two years) as well as in the regions of Uzbekistan. Experience in working with international organizations is an asset.</i>	3
	<i>Language skills (Russian and Uzbek)</i>	2
<b>TOTAL</b>		<b>30</b>

<b>Table 3 of the Technical Proposal Evaluation</b>		<b>Scores obtainable</b>
<b>Proposed work plan and methodology</b>		
1	To what degree does the Offeror understand the task?	3
2	Are the different components of the project adequately weighted relative to one another?	2
3	Is the proposal based on the analysis of project environment and have such data properly taken into account when preparing the proposal?	3
4	Is the scope of task well defined and does it correspond to the TOR?	4
5	Is the presentation clear and is the sequence of activities and the planning logical, realistic and promise efficient implementation to the project?	3
<b>TOTAL</b>		<b>15</b>

*General Terms and Conditions for Services***1.0 LEGAL STATUS:**

The Contractor shall be considered as having the legal status of an independent contractor vis-à-vis the United Nations Development Programme (UNDP). The Contractor's personnel and sub-contractors shall not be considered in any respect as being the employees or agents of UNDP or the United Nations.

**2.0 SOURCE OF INSTRUCTIONS:**

The Contractor shall neither seek nor accept instructions from any authority external to UNDP in connection with the performance of its services under this Contract. The Contractor shall refrain from any action that may adversely affect UNDP or the United Nations and shall fulfill its commitments with the fullest regard to the interests of UNDP.

**3.0 CONTRACTOR'S RESPONSIBILITY FOR EMPLOYEES:**

The Contractor shall be responsible for the professional and technical competence of its employees and will select, for work under this Contract, reliable individuals who will perform effectively in the implementation of this Contract, respect the local customs, and conform to a high standard of moral and ethical conduct.

**4.0 ASSIGNMENT:**

The Contractor shall not assign, transfer, pledge or make other disposition of this Contract or any part thereof, or any of the Contractor's rights, claims or obligations under this Contract except with the prior written consent of UNDP.

**5.0 SUB-CONTRACTING:**

In the event the Contractor requires the services of sub-contractors, the Contractor shall obtain the prior written approval and clearance of UNDP for all sub-contractors. The approval of UNDP of a sub-contractor shall not relieve the Contractor of any of its obligations under this Contract. The terms of any sub-contract shall be subject to and conform to the provisions of this Contract.

**6.0 OFFICIALS NOT TO BENEFIT:**

The Contractor warrants that no official of UNDP or the United Nations has received or will be offered by the Contractor any direct or indirect benefit arising from this Contract or the award thereof. The Contractor agrees that breach of this provision is a breach of an essential term of this Contract.

**7.0 INDEMNIFICATION:**

The Contractor shall indemnify, hold and save harmless, and defend, at its own expense, UNDP, its officials, agents, servants and employees from and against all suits, claims, demands, and liability of any nature or kind, including their costs and expenses, arising out of acts or omissions of the Contractor, or the Contractor's employees, officers, agents or sub-contractors, in the performance of this Contract. This provision shall extend, inter alia, to claims and liability in the nature of workmen's compensation, products liability and liability arising out of the use of patented inventions or devices, copyrighted material or other intellectual property by the Contractor, its employees, officers, agents, servants or sub-contractors. The obligations under this Article do not lapse upon termination of this Contract.



## **8.0 INSURANCE AND LIABILITIES TO THIRD PARTIES:**

- 8.1** The Contractor shall provide and thereafter maintain insurance against all risks in respect of its property and any equipment used for the execution of this Contract.
- 8.2** The Contractor shall provide and thereafter maintain all appropriate workmen's compensation insurance, or the equivalent, with respect to its employees to cover claims for personal injury or death in connection with this Contract.
- 8.3** The Contractor shall also provide and thereafter maintain liability insurance in an adequate amount to cover third party claims for death or bodily injury, or loss of or damage to property, arising from or in connection with the provision of services under this Contract or the operation of any vehicles, boats, airplanes or other equipment owned or leased by the Contractor or its agents, servants, employees or sub-contractors performing work or services in connection with this Contract.
- 8.4** Except for the workmen's compensation insurance, the insurance policies under this Article shall:
  - 8.4.1** Name UNDP as additional insured;
  - 8.4.2** Include a waiver of subrogation of the Contractor's rights to the insurance carrier against the UNDP;
  - 8.4.3** Provide that the UNDP shall receive thirty (30) days written notice from the insurers prior to any cancellation or change of coverage.
- 8.5** The Contractor shall, upon request, provide the UNDP with satisfactory evidence of the insurance required under this Article.

## **9.0 ENCUMBRANCES/LIENS:**

The Contractor shall not cause or permit any lien, attachment or other encumbrance by any person to be placed on file or to remain on file in any public office or on file with the UNDP against any monies due or to become due for any work done or materials furnished under this Contract, or by reason of any other claim or demand against the Contractor.

## **10.0 TITLE TO EQUIPMENT:**

Title to any equipment and supplies that may be furnished by UNDP shall rest with UNDP and any such equipment shall be returned to UNDP at the conclusion of this Contract or when no longer needed by the Contractor. Such equipment, when returned to UNDP, shall be in the same condition as when delivered to the Contractor, subject to normal wear and tear. The Contractor shall be liable to compensate UNDP for equipment determined to be damaged or degraded beyond normal wear and tear.

## **11.0 COPYRIGHT, PATENTS AND OTHER PROPRIETARY RIGHTS:**

- 11.1** Except as is otherwise expressly provided in writing in the Contract, the UNDP shall be entitled to all intellectual property and other proprietary rights including, but not limited to, patents, copyrights, and trademarks, with regard to products, processes, inventions, ideas, know-how, or documents and other materials which the Contractor has developed for the UNDP under the Contract and which bear a direct relation to or are produced or prepared or collected in consequence of, or during the course of, the performance of the Contract, and the Contractor acknowledges and agrees that such products, documents and other materials constitute works made for hire for the UNDP.
- 11.2** To the extent that any such intellectual property or other proprietary rights consist of any intellectual property or other proprietary rights of the Contractor: (i) that pre-existed the

performance by the Contractor of its obligations under the Contract, or (ii) that the Contractor may develop or acquire, or may have developed or acquired, independently of the performance of its obligations under the Contract, the UNDP does not and shall not claim any ownership interest thereto, and the Contractor grants to the UNDP a perpetual license to use such intellectual property or other proprietary right solely for the purposes of and in accordance with the requirements of the Contract.

**11.3** At the request of the UNDP; the Contractor shall take all necessary steps, execute all necessary documents and generally assist in securing such proprietary rights and transferring or licensing them to the UNDP in compliance with the requirements of the applicable law and of the Contract.

**11.4** Subject to the foregoing provisions, all maps, drawings, photographs, mosaics, plans, reports, estimates, recommendations, documents, and all other data compiled by or received by the Contractor under the Contract shall be the property of the UNDP, shall be made available for use or inspection by the UNDP at reasonable times and in reasonable places, shall be treated as confidential, and shall be delivered only to UNDP authorized officials on completion of work under the Contract.

## **12.0 USE OF NAME, EMBLEM OR OFFICIAL SEAL OF UNDP OR THE UNITED NATIONS:**

The Contractor shall not advertise or otherwise make public the fact that it is a Contractor with UNDP, nor shall the Contractor, in any manner whatsoever use the name, emblem or official seal of UNDP or THE United Nations, or any abbreviation of the name of UNDP or United Nations in connection with its business or otherwise.

## **13.0 CONFIDENTIAL NATURE OF DOCUMENTS AND INFORMATION:**

Information and data that is considered proprietary by either Party and that is delivered or disclosed by one Party ("Discloser") to the other Party ("Recipient") during the course of performance of the Contract, and that is designated as confidential ("Information"), shall be held in confidence by that Party and shall be handled as follows:

**13.1** The recipient ("Recipient") of such information shall:

**13.1.1** use the same care and discretion to avoid disclosure, publication or dissemination of the Discloser's Information as it uses with its own similar information that it does not wish to disclose, publish or disseminate; and,

**13.1.2** use the Discloser's Information solely for the purpose for which it was disclosed.

**13.2** Provided that the Recipient has a written agreement with the following persons or entities requiring them to treat the Information confidential in accordance with the Contract and this Article 13, the Recipient may disclose Information to:

**13.2.1** any other party with the Discloser's prior written consent; and,

**13.2.2** the Recipient's employees, officials, representatives and agents who have a need to know such Information for purposes of performing obligations under the Contract, and employees officials, representatives and agents of any legal entity that it controls controls it, or with which it is under common control, who have a need to know such Information for purposes of performing obligations under the Contract, provided that, for these purposes a controlled legal entity means:

**13.2.2.1** a corporate entity in which the Party owns or otherwise controls, whether directly or indirectly, over fifty percent (50%) of voting shares thereof; or,

**13.2.2.2** any entity over which the Party exercises effective managerial control; or,

**13.2.2.3** for the UNDP, an affiliated Fund such as UNCDF, UNIFEM and UNV.

- 13.3** The Contractor may disclose Information to the extent required by law, provided that, subject to and without any waiver of the privileges and immunities of the United Nations, the Contractor will give the UNDP sufficient prior notice of a request for the disclosure of Information in order to allow the UNDP to have a reasonable opportunity to take protective measures or such other action as may be appropriate before any such disclosure is made.
- 13.4** The UNDP may disclose Information to the extent as required pursuant to the Charter of the UN, resolutions or regulations of the General Assembly, or rules promulgated by the Secretary-General.
- 13.5** The Recipient shall not be precluded from disclosing Information that is obtained by the Recipient from a third party without restriction, is disclosed by the Discloser to a third party without any obligation of confidentiality, is previously known by the Recipient, or at any time is developed by the Recipient completely independently of any disclosures hereunder.
- 13.6** These obligations and restrictions of confidentiality shall be effective during the term of the Contract, including any extension thereof, and, unless otherwise provided in the Contract, shall remain effective following any termination of the Contract.

#### **14.0 FORCE MAJEURE; OTHER CHANGES IN CONDITIONS**

- 14.1** In the event of and as soon as possible after the occurrence of any cause constituting force majeure, the Contractor shall give notice and full particulars in writing to the UNDP, of such occurrence or change if the Contractor is thereby rendered unable, wholly or in part, to perform its obligations and meet its responsibilities under this Contract. The Contractor shall also notify the UNDP of any other changes in conditions or the occurrence of any event that interferes or threatens to interfere with its performance of this Contract. On receipt of the notice required under this Article, the UNDP shall take such action as, in its sole discretion; it considers to be appropriate or necessary in the circumstances, including the granting to the Contractor of a reasonable extension of time in which to perform its obligations under this Contract.
- 14.2** If the Contractor is rendered permanently unable, wholly, or in part, by reason of force majeure to perform its obligations and meet its responsibilities under this Contract, the UNDP shall have the right to suspend or terminate this Contract on the same terms and conditions as are provided for in Article 15, "Termination", except that the period of notice shall be seven (7) days instead of thirty (30) days.
- 14.3** Force majeure as used in this Article means acts of God, war (whether declared or not), invasion, revolution, insurrection, or other acts of a similar nature or force.
- 14.4** The Contractor acknowledges and agrees that, with respect to any obligations under the Contract that the Contractor must perform in or for any areas in which the UNDP is engaged in, preparing to engage in, or disengaging from any peacekeeping, humanitarian or similar operations, any delays or failure to perform such obligations arising from or relating to harsh conditions within such areas or to any incidents of civil unrest occurring in such areas shall not, in and of itself, constitute force majeure under the Contract..

#### **15.0 TERMINATION**

- 15.1** Either party may terminate this Contract for cause, in whole or in part, upon thirty (30) days notice, in writing, to the other party. The initiation of arbitral proceedings in accordance with Article 16.2 ("Arbitration"), below, shall not be deemed a termination of this Contract.

- 15.2** UNDP reserves the right to terminate without cause this Contract at any time upon 15 days prior written notice to the Contractor, in which case UNDP shall reimburse the Contractor for all reasonable costs incurred by the Contractor prior to receipt of the notice of termination.
- 15.3** In the event of any termination by UNDP under this Article, no payment shall be due from UNDP to the Contractor except for work and services satisfactorily performed in conformity with the express terms of this Contract.
- 15.4** Should the Contractor be adjudged bankrupt, or be liquidated or become insolvent, or should the Contractor make an assignment for the benefit of its creditors, or should a Receiver be appointed on account of the insolvency of the Contractor, the UNDP may, without prejudice to any other right or remedy it may have under the terms of these conditions, terminate this Contract forthwith. The Contractor shall immediately inform the UNDP of the occurrence of any of the above events.

## **16.0 SETTLEMENT OF DISPUTES**

- 16.1 Amicable Settlement:** The Parties shall use their best efforts to settle amicably any dispute, controversy or claim arising out of this Contract or the breach, termination or invalidity thereof. Where the parties wish to seek such an amicable settlement through conciliation, the conciliation shall take place in accordance with the UNCITRAL Conciliation Rules then obtaining, or according to such other procedure as may be agreed between the parties.
- 16.2 Arbitration:** Any dispute, controversy, or claim between the Parties arising out of the Contract or the breach, termination, or invalidity thereof, unless settled amicably under Article 16.1, above, within sixty (60) days after receipt by one Party of the other Party's written request for such amicable settlement, shall be referred by either Party to arbitration in accordance with the UNCITRAL Arbitration Rules then obtaining. The decisions of the arbitral tribunal shall be based on general principles of international commercial law. For all evidentiary questions, the arbitral tribunal shall be guided by the Supplementary Rules Governing the Presentation and Reception of Evidence in International Commercial Arbitration of the International Bar Association, 28 May 1983 edition. The arbitral tribunal shall be empowered to order the return or destruction of goods or any property, whether tangible or intangible, or of any confidential information provided under the Contract, order the termination of the Contract, or order that any other protective measures be taken with respect to the goods, services or any other property, whether tangible or intangible, or of any confidential information provided under the Contract, as appropriate, all in accordance with the authority of the arbitral tribunal pursuant to Article 26 ("Interim Measures of Protection") and Article 32 ("Form and Effect of the Award") of the UNCITRAL Arbitration Rules. The arbitral tribunal shall have no authority to award punitive damages. In addition, unless otherwise expressly provided in the Contract, the arbitral tribunal shall have no authority to award interest in excess of the London Inter-Bank Offered Rate ("LIBOR") then prevailing, and any such interest shall be simple interest only. The Parties shall be bound by any arbitration award rendered as a result of such arbitration as the final adjudication of any such dispute, controversy, or claim.

## **17.0 PRIVILEGES AND IMMUNITIES:**

Nothing in or relating to this Contract shall be deemed a waiver, express or implied, of any of the privileges and immunities of the United Nations, including its subsidiary organs.

## **18.0 TAX EXEMPTION**

- 18.1** Section 7 of the Convention on the Privileges and Immunities of the United Nations provides, inter-alia that the United Nations, including its subsidiary organs, is exempt from all direct taxes, except charges for public utility services, and is exempt from customs duties and charges of a

similar nature in respect of articles imported or exported for its official use. In the event any governmental authority refuses to recognize the United Nations exemption from such taxes, duties or charges, the Contractor shall immediately consult with the UNDP to determine a mutually acceptable procedure.

- 18.2** Accordingly, the Contractor authorizes UNDP to deduct from the Contractor's invoice any amount representing such taxes, duties or charges, unless the Contractor has consulted with the UNDP before the payment thereof and the UNDP has, in each instance, specifically authorized the Contractor to pay such taxes, duties or charges under protest. In that event, the Contractor shall provide the UNDP with written evidence that payment of such taxes, duties or charges has been made and appropriately authorized.

## **19.0 CHILD LABOUR**

- 19.1** The Contractor represents and warrants that neither it, nor any of its suppliers is engaged in any practice inconsistent with the rights set forth in the Convention on the Rights of the Child, including Article 32 thereof, which, inter alia, requires that a child shall be protected from performing any work that is likely to be hazardous or to interfere with the child's education, or to be harmful to the child's health or physical mental, spiritual, moral or social development.
- 19.2** Any breach of this representation and warranty shall entitle UNDP to terminate this Contract immediately upon notice to the Contractor, at no cost to UNDP.

## **20.0 MINES:**

- 20.1** The Contractor represents and warrants that neither it nor any of its suppliers is actively and directly engaged in patent activities, development, assembly, production, trade or manufacture of mines or in such activities in respect of components primarily utilized in the manufacture of Mines. The term "Mines" means those devices defined in Article 2, Paragraphs 1, 4 and 5 of Protocol II annexed to the Convention on Prohibitions and Restrictions on the Use of Certain Conventional Weapons Which May Be Deemed to Be Excessively Injurious or to Have Indiscriminate Effects of 1980.
- 20.2** Any breach of this representation and warranty shall entitle UNDP to terminate this Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind of UNDP.

## **21.0 OBSERVANCE OF THE LAW:**

The Contractor shall comply with all laws, ordinances, rules, and regulations bearing upon the performance of its obligations under the terms of this Contract.

## **22.0 SEXUAL EXPLOITATION:**

- 22.1** The Contractor shall take all appropriate measures to prevent sexual exploitation or abuse of anyone by it or by any of its employees or any other persons who may be engaged by the Contractor to perform any services under the Contract. For these purposes, sexual activity with any person less than eighteen years of age, regardless of any laws relating to consent, shall constitute the sexual exploitation and abuse of such person. In addition, the Contractor shall refrain from, and shall take all appropriate measures to prohibit its employees or other persons engaged by it from, exchanging any money, goods, services, offers of employment or other things of value, for sexual favors or activities, or from engaging in any sexual activities that are exploitive or degrading to any person. The Contractor acknowledges and agrees that the provisions hereof constitute an essential term of the Contract and that any breach of this

representation and warranty shall entitle UNDP to terminate the Contract immediately upon notice to the Contractor, without any liability for termination charges or any other liability of any kind.

- 22.2** The UNDP shall not apply the foregoing standard relating to age in any case in which the Contractor's personnel or any other person who may be engaged by the Contractor to perform any services under the Contract is married to the person less than the age of eighteen years with whom sexual activity has occurred and in which such marriage is recognized as valid under the laws of the country of citizenship of such Contractor's personnel or such other person who may be engaged by the Contractor to perform any services under the Contract.

**23.0 AUTHORITY TO MODIFY:**

Pursuant to the Financial Regulations and Rules of UNDP, only the UNDP Authorized Official possesses the authority to agree on behalf of UNDP to any modification of or change in this Contract, to a waiver of any of its provisions or to any additional contractual relationship of any kind with the Contractor. Accordingly, no modification or change in this Contract shall be valid and enforceable against UNDP unless provided by an amendment to this Contract signed by the Contractor and jointly by the UNDP Authorized Official.

## Terms of Reference

### Field sociological survey in the framework of the research project “Portrait of Entrepreneur in Uzbekistan -2012. The role of private sector in economic, social and political transformation”

#### Introduction

The Center for Economic Research (CER) in cooperation with the Chamber of Commerce and Industry (CCI) of Uzbekistan and with the support of UNDP is implementing a research project "Portrait of entrepreneur – 2012. The role of private sector in economic, social and political transformation".

The first sociological survey on this topic was conducted in CER and CCI in 2006 in support of UNDP. This initiative was intended to evaluate the quality of the development of the national private sector, first of all, small businesses and private entrepreneurship, its investment opportunities, and plans to expand business, as well as relation to public-private partnerships. The survey was also aimed at identifying the "narrow" places of business development.

Over the last 6 years since the first survey had been conducted the segment of small business and private entrepreneurship, as well as the environment in which the private entrepreneurship lives and develops, have changed significantly. In the short term, a private business is considered as a target group of the reforms conducted in the country, and, most importantly, as a driving force in the transformation of the socio-economic and socio-political spheres.

#### Research objectives and methodology

The main objectives of the study are as follows.

- To determine the profile of entrepreneurs (portrait) on the basis of the methodology of research in 2006, to identify the most significant "shifts" and trends in development on a number of criteria in the economic, social, cultural, spatial, gender and other dimensions.
- To evaluate changes in the business environment compared with 2006, and to identify the main factors that led to these changes.
- To identify how current goals and objectives of government policy on the development of private entrepreneurship are supported by real growth potential in this sector, and to identify the models of business development, main trends and possible scenarios for the development of the business sector and determining their strength.
- To analyze the experience of private sector involvement in the schemes of industrial cooperation with a special focus on the problems and barriers, the development potential and the factors that will have a significant influence on the formation and expansion of value chains with participation of small, medium and large businesses.
- To assess the potential and direction for increasing the role of private sector in the socio-political processes, in terms of readiness of the business (its interests, values, resources, etc.) and readiness of political environment

The survey methodology will be conceptually similar to the one of 2006 to ensure comparability of the main indicators. For newly introduced properties a new tool will be elaborated (questions for questionnaires, guides of focus group discussions).

Sociological survey should be conducted in all regions (14 regions). The survey should include the enterprises in terms of geographical location, branches of the economy, form of property and size.

#### Task description

Under direct supervision of UNDP “Support to Reform Process in Uzbekistan” Project Senior Research Coordinator, the sociological company should conduct the following:

1. **Conduction of focus group discussions (at least 6):**
  - Development of guides for focus group discussions

- Translation of guides into Uzbek
- Recruiting of participants (at least 10 participants per FGD)
- Organization of coffee-breaks (water, tea for participants)
- Arrangement of venue and rent of necessary equipment
- Reimbursement of FGD participants' transport expenses
- Transcription of audio materials with translation into Russian
- Preparation of questionnaire for quantitative part of the research.

**2. Conduction of at least 800 interviews:**

- Development of questionnaires for in-depth interviews
- Translations of the questionnaires into Uzbek
- Transcription of audio materials with translation into Russian
- Preparation of analytical reports (in Russian)
- Development of the additional questions the next quantitative part of the research

**Main products:**

The main products of the study will be:

- Agreed toolset of the research;
- Transcript of audio materials with translation into Russian presented in MS Word format;
- a database based on the results of a sociological survey;
- Preliminary report containing brief results of the project;
- Final report containing recommendations, conclusions and recommendations.

The reports should be presented in hard copy and electronic version. The formats and technical characteristics will be further agreed with the direct supervisor – senior research coordinator.

**Project implementation period**

The sociological survey should be finished and the final analytical report should be presented during 7 weeks from the moment of contract signing by the Parties.



FORM FOR SUBMITTING SERVICE PROVIDER'S PROPOSAL<sup>2</sup>*(This Form must be submitted only using the Service Provider's Official Letterhead/Stationery<sup>3</sup>)*

[insert: Location].

[insert: Date]

To: [insert: Name and Address of UNDP focal point]

Dear Sir/Madam:

We, the undersigned, hereby offer to render the following services to UNDP in conformity with the requirements defined in the RFP dated [specify date] , and all of its attachments, as well as the provisions of the UNDP General Contract Terms and Conditions :

**A. Qualifications of the Service Provider**

*The Service Provider must describe and explain how and why they are the best entity that can deliver the requirements of UNDP by indicating the following :*

- a) Profile – describing the nature of business, field of expertise, licenses, certifications, accreditations;*
- b) Business Licenses – Registration Papers, Tax Payment Certification, etc.*
- c) Latest Audited Financial Statement – income statement and balance sheet to indicate its financial stability, liquidity, credit standing, and market reputation, etc. ;*
- d) Certificates and Accreditation – including Quality Certificates, Patent Registrations, Environmental Sustainability Certificates, etc.*
- e) Written Self-Declaration that the company is not in the UN Security Council 1267/1989 List, UN Procurement Division List or Other UN Ineligibility List.*
- f) Track Record – list of clients for similar services as those required by UNDP, indicating description of contract scope, contract duration, contract value, contract references;*
- g) Experience in similar sociological research projects (focus groups, deep interviews). Information on similar projects for the last three years should be presented.*
- h) Experience in regional level projects in Uzbekistan;*
- i) Experience in research projects of national and international level/scale;*

**B. Qualifications of Key Personnel**

*The Service Provider must provide :*

- a) Names and qualifications of the key personnel that will perform the services indicating who is Team Leader, who are supporting, etc.;*
- b) CVs demonstrating qualifications must be submitted. CVs should include the information requested in the Table 2.*
- c) Written confirmation from each personnel that they are available for the entire duration of the contract.*

**C. Proposed Methodology for the Completion of Services**

<sup>2</sup> This serves as a guide to the Service Provider in preparing the Proposal.

<sup>3</sup> Official Letterhead/Stationery must indicate contact details – addresses, email, phone and fax numbers – for verification purposes

*The Service Provider must describe how it will address/deliver the demands of the RFP; providing a detailed description of the essential performance characteristics, reporting conditions and quality assurance mechanisms that will be put in place, while demonstrating that the proposed methodology will be appropriate to the local conditions and context of the work.*

**D. Cost Breakdown per Deliverable\***

	<b>Deliverables</b> <i>[list them as referred to in the RFP]</i>	<b>Percentage of Total Price</b> <i>(Weight for payment)</i>	<b>Price</b> <i>(Lump Sum, All Inclusive)</i>
1	Data analysis toolset	15%	
2	Transcription of audio files with translation into Russian, in MS Word format.		
3	Preliminary report on the results of a sociological survey, containing a preliminary analysis of the data collected.	20%	
4	Analytical- final report containing results of the research, findings and recommendations.	50%	
	<b>Total</b>	<b>100%</b>	

*\*This shall be the basis of the payment tranches*

**E. Cost Breakdown by Cost Component [This is only an Example]:**

<b>Description of Activity</b>	<b>Remuneration per Unit of Time</b>	<b>Total Period of Engagement</b>	<b>No. of Personnel</b>	<b>Total Rate</b>
<b>I. Personnel Services</b>				
1. Services from Home Office				
a. Expertise 1				
b. Expertise 2				
2. Services from Field Offices				
a. Expertise 1				
b. Expertise 2				
3. Services from Overseas				
a. Expertise 1				
b. Expertise 2				
<b>II. Out of Pocket Expenses</b>				
1. Travel Costs				
2. Daily Allowance				
3. Communications				
4. Reproduction				
5. Equipment Lease				
6. Others				
<b>III. Other Related Costs</b>				

*[Name and Signature of the Service Provider's Authorized Person]*

*[Designation]*

*[Date]*