

UNDP Check list to be used for projects when submitted to the GEF for CEO endorsement/approval

Background:

Reference is made to the OAI Audit report in relation to UNDP's management of GEF-supported projects (issued on 1 December 2020). Any actions undertaken in relation to the project shall require strict adherence to all recommendations and associated management actions plans set out in the OAI report. Pursuant to the decisions of the GEF Council during the 59th GEF Council meeting, UNDP is required by GEF Council, at the time of seeking CEO Endorsement/approval, to demonstrate that this project design meets all of the 2020 OAI audit recommendations as a prerequisite for further consideration and review by the GEF Secretariat. The project proposal will also be subject to 2nd review and approval by Council as a condition for CEO endorsement/approval. Consequently (and contrary to earlier practices), please note that funding is not assured unless and until these preconditions have been met and duly confirmed and submitted to the GEF Secretariat.

Checklist: must be completed for all GEF projects pending GEF approval. This includes EAs, MSPs and FSPs and projects already submitted to GEF for endorsement/approval but have not yet been CEO endorsed/approved.

Project address all concerns raised in the OAI report, based on below assessment.			UNDP Assessment	
			YES	NO
			<i>check</i>	<i>check</i>
	Yes	No	Additional information <i>(please include a page reference in the PRODOC and/or a link to supporting documents)</i>	
Internal Control Framework (ICF)				
1. Please indicate when the Internal Control Framework of your Country Office has been validated by the Regional Bureau. Indicate when this will be reviewed again.	X		Date of ICF review by RBX: 21 January 2021 Future date of ICF review: April 2021	
Country Office (CO) Capacities				
2. Please clarify if the CO is equipped to provide proper implementation support and financial management of the project in line with UNDP rules and regulations and GEF policies?	X		<p>The Country Office is well equipped with all necessary tools, staff and equipment to implement such projects and it has well established system of checks and balances with clear division of roles and responsibilities and oversight control is well described in ICF and CO SOP. The SOP on project management (approved on 30 June 2020), identifies project monitoring and oversight functions and provides detailed explanation of steps, responsible party, template/guideline, and explanatory notes.</p> <p>To meet the GEF guideline on project and programme cycle policy GEF/C.59/Inf.03 July 2020, and the Rules and Guidelines for Agency Fees and Project Management Costs GEF/C.39/9, October 2010 – page 6, separate SOPs for GEF programming are being developed by CO Programme and Operations teams, in accordance with the corporately revised SOP.</p> <p>The UNDP CO has a professional team in HR, Finance, Resources Management, Procurement, ICT and Administration with experience with UNDP rules and regulations and GEF policies. The CO's business model positions the office well to provide project management and implementation support services, including</p>	

		<p>financial management as demanded by many of the projects. CO overachieved its annual programme delivery targets in last years (107% in 2018, 102% in 2019). In 2020, the delivery rate against target is 123%.</p> <p>Overall, from GEF-1 to GEF-6 cycles, UNDP Country Office in Uzbekistan has managed successful implementation of 21 national projects (amounting to USD 32 million) focused on the biodiversity conservation, land degradation and climate change mitigation amounted, as well as 9 regional projects. Currently, there are four GEF funded project under implementation on biodiversity, CC mitigation, and chemicals, which amount to USD 14.3 million.</p> <p>Separation of functions between individuals providing oversight services (including financial oversight) with those providing execution support has been assessed – please see more detailed explanation in the next sections.</p>
3. Please provide evidence of CO capacities including the list of subject matter experts to support oversight and provide execution support/procurement (when the latter has been approved by GEF).	X	<p>UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions.</p> <p>UNDP CO is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation. UNDP is responsible for the Project Assurance role of the Project Board/Steering Committee.</p> <p>Oversight from the CO will be exercised as follows:</p> <ol style="list-style-type: none"> 1. Matilda Dimovska, Resident Representative, Delegated Authority for oversight of the project by UNDP's Executive Coordinator for GEF Programming, in coordination with the Deputy Regional Bureau Director, Regional Bureau for Eastern and Central Europe 2. Doina Munteanu, Deputy Resident Representative 3. Bakhadur Paluanliyazov, Leader Environment and Climate Action Programme Cluster (ECAC) 4. Rano Baykhanova, Climate Change Specialist responsible for Climate Change project portfolio (ECAC) 5. Shavkat Muminov, Operations Manager 6. Liliya Zakharova, Head of Human Resources Unit/Talent Development Manager /Certification in Strategic HR Management from e-Cornell University 7. Azizbek Bustonov, Procurement Associate/Head of Procurement Unit, CIPS 4 Certification/Diploma in Strategic Public Procurement 8. Firuza Djalilova, Head of Admin services and Finance Unit, International Certified Accounting Practitioner, certification in International Public Financial Management from Chartered Institute of Public Finance and Accountancy (UK). 9. Kamila Alimdjanova, Resources Management Associate <p>Moreover, in addition to its oversight role, if approved by the GEF, UNDP will play a limited and specific role providing execution support to the Ministry of Transport (MoT) (Implementing Partner) in two targeted areas, namely (i) hiring two of the Project Management Unit (PMU) staff: the Admin and Financial Assistant, and the Driver; and (ii) providing capacity building trainings to PMU established under the Ministry of Transport to successfully manage the project.</p> <p>UNDP will not provide any additional execution support (as per Government Request in the Letter from GEF OFP enclosed on Appendix 1), except for the two areas detailed above. To ensure the strict independence required by the GEF and</p>

		<p>in accordance with the UNDP Internal Control Framework, these execution services are planned to be delivered independent from the GEF-specific oversight and quality assurance services (i.e. not done by same person to avoid conflict of interest). The basis for this arrangement is set out below.</p> <p>(i) Two staff (full-time for entire 6-year duration) of the Project Management Unit will be established under the Ministry of Transport (Implementing Partner), which are listed below will provide execution support covered under the Project Management Cost budget:</p> <p>1. Admin and Finance Assistant (indicated in the Project Document): Working for 52 weeks each year from year 1 to year 6 respectively. The Ministry of Transport (Implementing Partner) and UNDP agreed that having the Admin and Finance Assistant position on a UNDP contract will have several advantages, if approved by GEF, such as utilization of UNDP's ERP system Atlas, which has established modules for project monitoring, risk management, travel etc. (Name of the staff will be provided as soon the project is endorsed by GEF and operationally started, and h/she is recruited);</p> <p>2. Driver (indicated in the Project Document): Working for 52 weeks each year from year 1 to year 6 respectively. In Uzbekistan it is a common approach to hire drivers with private cars to the projects to provide transport services to project teams. This is to ensure secure transportation between offices and project localities, transferring goods and assets and for other purposes. Based on discussions with the Implementing Partner, it was decided to hire under UNDP contract, if approved by GEF, due to the contractual effectiveness. (Name of this staff will be provided as soon the project is endorsed by GEF and operationally started, and h/she is recruited).</p> <p>Both PMU staff are planned to report primarily to the Project Manager and secondarily to the following UNDP CO staff, responsible for the execution support:</p> <ul style="list-style-type: none"> • Anvar Umurzakov, Finance Associate • Abror Riksiev, Procurement Associate • Ulugbek Yusupov, Administrative/Logistics Assistant <p>(ii) Provision of capacity building trainings to Project Management Unit (PMU) under the Ministry of Transport (MoT) to manage the proposed project "Tashkent - Accelerating Investments in Low Emission Vehicles" (TAILEV)TAILEV successfully in the future:</p> <p>Considering that the findings of PCAT (25 March 2020) and micro assessment for HACT (13 May 2020) have identified some capacity gaps in the Ministry of Transport (Implementing Partner) and Tashkent City Public Transport Company (Responsible Party) in terms of technical and operational issues concerning execution of UNDP and GEF financed projects, UNDP will be providing training services to the implementing partner at the beginning of the project and also later during the project in limited areas, as per the needs arising. If approved by the GEF, associated UNDP staff costs and general operating expenses for the capacity building activities will include:</p> <p>1) <i>HR and procurement services</i>, including development of quality TORs, request for quotations, hiring procedures and competitive tenders for the procurement of services. To be clear, the national implementing partner will execute these HR and procurement functions (i.e., enter into contracts with vendors), with UNDP providing capacity building and training at its side. The capacity building through HR related trainings for PMU established under the Implementing Partner will be delivered by Ruslan Rakhmatullin, HR Assistant, HR Unit; and for procurement</p>
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			<p>related trainings by Abror Riksiev, Procurement Associate, Procurement Unit in the Country Office, UNDP Uzbekistan.</p> <p>2) <i>Results based project management and monitoring skills</i>, including preparation of annual work plans and budgets, budget revision procedures, development of procurement plans, preparation of Project Implementation Reports etc. The capacity building through Programming related trainings for PMU established under the Implementing Partner will be delivered for annual work plans and Project Implementation Reports by Bahtiyor Rajabov, Project Support Specialist, Inclusive Growth Cluster; for budgets and budget revision procedures by Jakhongir Juraev, Programme Support Assistant, Resource Management Unit; and for development of procurement plans by Abror Riksiev, Procurement Associate, Procurement Unit; in the Country Office, UNDP Uzbekistan.</p>
4. Has the CO put in place the necessary protocols to conduct annual field missions (monitoring visits) for project oversight support?	X		<p>Yes, in reference to CO SOP on project management updated on 30 June 2020, the Programme Officers (Cluster Leader and Programme climate Change Specialist), M&E focal point are responsible for conducting annual monitoring missions and prepare the reports (as per the Monitoring and Evaluation Plan and Budget indicated in the Project Document, p. 35).</p> <p>The annual field missions will be conducted twice a year, and their findings will be reported through BTORs, which will be shared with PMU under the Implementing Partner (Ministry of Transport) to undertake required management actions as per mission's recommendations as well as with all oversight team in CO. Also, BTORs of these site visits will be submitted to BPPS via the PIMS+ portal and will be retained for institutional memory, evaluations and audit.</p>
<p>5. Please indicate when the latest internal OAI audit of the Country Office took place? Were there any qualifications and are there any outstanding recommendations? Is there an Action Plan in place?</p> <p>Please indicate if any other audits (BOA, DIM audits, special audits, etc.) have taken place in relation to the CO during the last 3 years.</p>	X		<p>Date of the last OAI audit: 11 August 2020</p> <p>Link to Audit Report: https://audit-public-disclosure.undp.org/view_audit_rpt_2.cfm?audit_id=2191</p> <p>Qualification: Satisfactory</p> <p>List outstanding audit recommendations:</p> <p>Priority Medium (Important) Recommendation 1: The Office, with support of the Regional Bureau for Europe and the Commonwealth of Independent States, should agree with the Government on a mechanism and timetable to recover the Government Contribution to Local Office Costs cash targets.</p> <p>Management action plan: The Office will continue pro-active communication with the Government. GLOC follow-up was raised again during a recent meeting with the Government, agreeing for a detailed technical meeting to explain the methodology and the details of the calculation of the GLOC amounts. The Office will continue following up with the Government to recover the GLOC amount.</p> <p>Estimated completion date: April 2021.</p> <p>During the last 3 years: Country Office Audit was conducted on 11 August 2020 with "Fully Satisfactory" rating.</p> <p>The CO has one project that is under expanded oversight measures pending the conclusion of OAI's work. This project will not have any material impact on this newly developed project.</p>
6. Has Prodoc clearly outlined roles and responsibilities of UNDP Country Offices and implementing partners for the	X		YES

oversight of this project?			
7. Has Prodoc properly outlined roles and responsibilities of the project boards?	X		YES
Oversight and execution			
8. Where execution support services have been agreed with GEF Secretariat, Specify if the LOA with the Government to provide CO support has been duly completed, cleared by BPPS, and signed by the relevant parties and included as Annex to the UNDP-GEF project document before signature by the Implementing Partner, Government Coordinating Agency and UNDP. Please provide the link to the LOA. Also, please indicate what provisions have been taken to ensure that a proper separation of functions between staff providing oversight of the Implementing Partner executing the project and execution on behalf of the Implementing Partner is in place at the CO level.	X		<p>In addition to its oversight role, UNDP will play a limited and specific role providing execution support to the Ministry of Transport (Implementing Partner) in two targeted areas, subject to approval of GEF, namely (i) hiring two of the PMU staff (the Admin and Financial Assistant, and the Driver), and (ii) providing capacity building trainings to PMU under the Implementing Partner (Ministry of Transport) to manage the proposed project "Tashkent - Accelerating Investments in Low Emission Vehicles" (TAILEV) successfully. UNDP will not provide any additional execution support, except for those two areas.</p> <p>Execution support services have not been agreed yet with GEF Secretariat. The national OFP, to GEF in his Letter of 24 December 2020, is requesting UNDP to provide such execution support with an official letter sent to UNDP-GEF Executive Coordinator (Appendix 1). This request is now a part of the submitted package (ProDoc and CER) on 13 December 2020 and is subject to discussion and agreement with the GEF Secretariat. The letters states:</p> <p>Having the full responsibility and accountability for the effective use of GEF and UNDP resources and the delivery of outputs, as set forth in the project document, the execution services to be provided by the Ministry of Transport of the Republic of Uzbekistan, as Implementing Partner, are expected to include:</p> <ul style="list-style-type: none"> - Project planning, coordination, management, monitoring, evaluation, and reporting. This includes providing all required information and data necessary for timely, comprehensive, and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems; - Risk management as outlined in the project document; - Procurement of goods and services, including human resources; - Financial management, including overseeing financial expenditures against the project budgets; - Approving and signing the multiyear workplan; - Approving and signing the combined delivery report at the end of the year; and - Signing the financial report or the funding authorization and certificate of expenditures <p>The Project Manager will be hired by the Implementing Partner (Ministry of Transport) and will have the 1st approval authority in the context of Internal Control Framework as for the execution. The Project Manager will manage the project and project team's activities and will not report to the UNDP CO but rather will be the Ministry of Transport (Implementing Partner) staff member. This will itself sets a firewall between project execution and oversight (that will be exercised by UNDP professional staff under different service lines).</p> <p>The terms of references for all of the staff working for the project will make it very clear that there is a firewall and that the reporting requirements are that all staff</p>

			<p>providing execution support will directly work with and report to the Project Manager in compliance with UNDP rules and regulations (i.e. within the legal framework of UNDP).</p> <p>Specifically, the two staff that will be hired by UNDP, the Admin and Finance Assistant and the Driver, will be placed within the Project Management Unit to be established under the Ministry of Transport (please see ProDoc, Governance and Management Arrangements, item 72, pp.38-39). The primary supervisor for both staff will be the Project Manager. The secondary supervisor will be Anvar Umurzakov, Finance Associate, Finance Unit in the UNDP CO with a separate/ non-oversight reporting line as indicated in the 'Country Office (CO) Capacities' Section.</p> <p>The Implementing Partner (Ministry of Transport) will provide office space in their premises (as in-kind contribution) for the Project Management Unit (PMU), including the Admin and Financial Assistant and Driver (see Country Office (CO) Capacities' section). Project team members will not work from UNDP Country Office.</p> <p>The national OFP letter states that the services envisaged above are in line with the Project and Program Cycle Guidelines Annex 8 (Table B) GEF Agency for eligible execution functions and all costs associated with the UNDP support services will be covered by the co-financing of UNDP, not by GEF.</p>
9. Have governance structures, staffing and/or operational measures been put in place in this specific project to ensure proper oversight of this project and effective separation between oversight and execution?	X		<ul style="list-style-type: none"> • UNDP is accountable to the GEF for the implementation of this project. This includes oversight of project execution to ensure that the project is being carried out in accordance with agreed standards and provisions. • UNDP CO is responsible for delivering GEF project cycle management services comprising project approval and start-up, project supervision and oversight, and project completion and evaluation as well as for the Project Assurance role of the Project Board/Steering Committee. The UNDP CO RR assumes full responsibility and accountability to ensure the timely implementation of the project, as approved, and to ensure that the project complies with the GEF/UNDP policy frameworks (i.e. provide oversight and quality assurance of tasks undertaken by the Implementing Partner and/or Responsible Parties). In the Project Document, section Governance and Management Arrangements, the roles and responsibilities of the project's governance mechanism are clearly specified as related to the oversight. • In addition to the implementation oversight provided at the CO level (tier 1; details provided under Q3), UNDP exercise further oversight (tier 2) through the following mechanisms: <ul style="list-style-type: none"> ○ UNDP Regional Bureau for Europe and the CIS (RBEC) ensures that the CO implement the project in compliance with all UNDP rules and regulations. This oversight is carried out by Ozlem Altug, RBEC CO Solutions Specialist – desk officer for the CO. ○ The BPPS/NCE perform technical oversight at the project level to ensure execution compliance with GEF policies and procedures. This oversight is performed by Milou Beerepoot/RTA; Oliver Waissbein/PTA; and Laura Altinger/RTL.
Implementing Partner Capacities			
10. Please indicate the risk rating outlined in the Partner Capacity Assessment Tool (PCAT) and HACT/	X		<p>PCAT: 25 March 2020 year and Risk rating is LOW</p> <p>Will the PCAT be updated at mid-term review of this project? YES</p>

micro assessments. Indicate the year the HACT assessment was undertaken.			<p>HACT: 13 May 2020 year; Risk rating is “LOW”</p> <p>Given that the HACT micro assessment was conducted in 2020, the last year of the programme cycle (2016-2020) it is proposed to consider it for the ongoing programme cycle of 2021-2025. If significant changes to a Partner’s organizational management structure or processes and procedures with respect to the programme are observed, a new micro assessment will be conducted by UNDP. As soon as the proposed project will be endorsed by GEF Sec (provisionally in June 2021) and UNDP Country Office will receive DOA, within the project inception phase (3 months since its operational start) new HACT micro-assessment will be conducted to update/verify the status of the previous HACT micro-assessment conducted on 13 May 2020.</p>
11. Please indicate the date of the most recent HACT/NIM audits have been conducted of the selected Implementing Partner. What measures have been put in place to respond to the audit findings? When available, provide a link to the management response.	X		So far UNDP hasn’t carried out any HACT/NIM audit for the Ministry of Transport, selected Implementing Partner.
12. Are there any outstanding HACT/NIM recommendations that haven’t been addressed? What is the Net Financial Misstatement?	X		So far UNDP hasn’t carried out any HACT/NIM audit for the Ministry of Transport.
13. Please specify what capacities the office has in place to conduct periodic spot checks and monitoring of the IP’s capacities.	X		<p>The UNDP CO oversight team represented by the Programme and Operations staff will conduct periodic spot checks (at least 2 times a year – prior the mid and end-year timelines) and implement review and oversight missions as well as supervision missions (to be conducted annually prior to PIR) as an integrated part of the continuous monitoring (as per the Monitoring and Evaluation Plan and Budget indicated in the Project Document, p. 35) of the Implementing Partner’s capacity. Checks and missions can be do more frequent if any troubleshooting is needed.</p> <p>The costs of UNDP Country Office and UNDP-NCE Unit’s participation and time are charged to the GEF Agency Fee (indicated in the M&E Plan and Budget in the Project Document).</p>
14. Has the capacity assessment for implementing partners, including a strengthening of the			In the Project Document, section Governance and Management Arrangements (p. 38) documented that the micro assessment for HACT and PCAT findings of the Implementing Partner (Ministry of Transport) and Responsible Party (Tashkent City Public Transport Company) have identified some capacity gaps in the implementing partner and responsible party in terms of technical and operational issues. UNDP

focus within the capacity assessment tools of procurement capabilities, been done and documented in the ProDoc?			<p>Country Office will provide training services to the implementing partner, if approved by the GEF, at the beginning of the project and also later during the project, as per the needs arise. Some of the capacity building will include:</p> <ul style="list-style-type: none"> • HR and procurement services including development of quality TORs and technical specifications, request for quotations, hiring procedures and competitive tenders for the procurement of services and goods; Those capacity building trainings will be delivered by Ruslan Rakhmatullin, HR Assistant, HR Unit, who is reporting to Liliya Zakharova, Head of Human Resources Unit; by Abror Riksiev, Procurement Associate, Procurement Unit, who is reporting to Azizbek Bustonov, Procurement Associate/Head of Procurement Unit; and by Bahtiyor Rajabov, Project Support Specialist, Inclusive Growth Cluster, who is reporting to Diyora Kabulova, Programme Analyst/ Leader of Inclusive Growth Cluster; • Results based project management and monitoring skills including preparation of annual work plans and budgets, budget revision procedures, development of procurement plans, preparation of Project Implementation Reports etc. <p>Those capacity building trainings will be delivered by Bahtiyor Rajabov, Project Support Specialist, Inclusive Growth Cluster, who is reporting to Diyora Kabulova, Programme Analyst/Leader of Inclusive Growth Cluster; by Anvar Umurzakov, Finance Associate, Finance Unit, who is reporting to Firuza Djalilova, Head of Admin services and Finance Unit; and by Jakhongir Juraev, Programme Support Assistant, Resource Management Unit who is reporting to Kamila Alimdjanova, Resources Management Associate/Head of RMU.</p>
Procurement			
15. Has the procurement plan been elaborated and validated in coordination with the operation team/procurement unit? Please include the minutes of the validation meeting.	X		<p>Yes.</p> <p>The UNDP CO has an overall reporting system on the realization of the CO annual procurement plan across all project/programme and progress is reviewed through regular delivery meetings, held monthly. The <u>PROMPT platform</u> is available as UNDP Country Office procurement planning tool and to monitor progress of the procurement plans.</p> <p>The UNDP Procurement Unit is responsible for clearance of the project's procurement plan developed during the PPG period. The Unit will also oversee the work of the Project Management Unit under the Implementing Partner (Ministry of Transport) for the preparation of annual procurement plans as a part of CO SOP through the capacity building trainings will be delivered by Abror Riksiev, Procurement Associate, Procurement Unit (who will not perform the oversight role). The procurement action plan indicated in the Project Document has been developed by the Procurement Unit jointly with the Programme Cluster (Environment and Climate Action) and validated by UNDP Procurement Unit. Minutes of the validation meeting are enclosed in the Appendix 2 to the Check List.</p>
16. Does the UNDP office have an established protocol to identify and manage conflict of interest in general, and more specifically	X		<p>The CO relies on the following business processes to address issues of potential conflict of interest.</p> <p>HR processes are built on the following:</p>

<p>those arising in procurement decision-making processes at project level?</p>		<ul style="list-style-type: none"> • Conflict of interest and financial interest are verified at the stage of applications to vacancies announcement. • Onboarding Programme includes HR training related to UNDP Policy on 'Family Relationships' and 'Outside Activity'. • Family relationships verified at the longlisting stage. • Before signing a contract with UNDP, all personal documents of newly selected candidates verified to ensure he/she is not employed with any other organization. <p>To maintain transparent, fair and impartial procurement process is the main objective for the procurement. Conflict of Interest (Col) is regulated by the POPP of the UNDP, Section Procurement Ethics, Fraud and Corrupt Practices:</p> <ul style="list-style-type: none"> • Staff with a financial interest in an offeror are prohibited from any involvement in the procurement process; • Any procurement personnel maintaining a Col or potential conflict should immediately notify the RR; • Suppliers, contractors and consultants are excluded from tendering for procurement opportunities if they or their affiliates provided consulting services for the preparation and implementation of a project; • Vendors having common interest, common information and stakeholders are excluded from the tenders. <p>According to the findings of micro-assessment for HACT, the government has systems in place for conflict of interest for procurement as per the Law No. 472 "On Public Procurement" adopted by the President of the Republic of Uzbekistan on April 9th, 2018. The adopted Law ensures openness and transparency of state purchases, defines five types of procurement procedures, two of which completely exclude the human factor in decision-making on state procurement. In other procurement procedures, transparency is provided by publishing the necessary information on special information portal. Competitive bidding applies to all types of goods (works, services) that meet the established criteria.</p> <p>IP (Ministry of Transport) uses the procurement portal called the 'birge', which as per the Law is open to all citizens to view. Calls for tender are announced, documents are upload and access to the system is free. All tenders are made online. Written system authorizations (minimum 4 signature) of purchases is in place in IP, and all purchases are signed off at the Vice Minister level. Contracts include ethical clauses, the fair purchasing practices. IP has and apply formal guidelines and procedures to assist in identifying, monitoring and dealing with potential conflicts of interest with potential suppliers/procurement agents through the established legal procedures, including breaking contract, not paying retentions.</p> <p>At the project level the Implementing Partner (Ministry of Transport) represent the Project Executive. It is appointed by the Government and automatically falls under government instructions which include regulation on anti-corruption, fraud, whistle blowers etc. and ensures IP's commitments and ownership for project outcomes' sustainability, scaling-up and replicability beyond the project completion. IP's recruitment, employment and personnel practices clearly defined and followed, and embrace transparency and competition through governing the form of adverts, length of time a post is advertised, interview procedure, required documents.</p>
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Risk Management			
17. Has the CO conducted a proper risk analysis based on the project document? Does the risk register fully align with the risks outlined in the project document?	X		<p>The project risks identified in the project document (please see ProDoc Annex 9: UNDP Risk Register, pp.117-118) and the risk mitigation measures are fully aligned with the risks in the project document.</p> <p>Project risk registers were updated based on newly established risk dashboard in January 2021.</p> <p>In the Project Document, the Annex 8: UNDP Social and Environmental Screening Procedure (SESP) (pp. 106-116) identified a total of eight risks of which four have been assessed as moderate significance and four as low significance; hence overall SESP risk categorization rating is “moderate”.</p> <p>Annex 11: Environmental Social Management Framework (ESMF) (pp. 127-139) describes in detail the Environmental and Social Management Framework (ESMF), which was developed for the UNDP-supported, GEF-financed project “Tashkent - Accelerating Investments in Low Emission Vehicles (TAILEV)” in Uzbekistan. ESMF is a management tool to assist in managing potential adverse social and environmental impacts associated with activities of the project, in line with the requirements of UNDP’s SESP. The implementing partner of the project and the relevant members of the Project Management Unit will follow this ESMF from the outset of the project, to ensure the environmental and social risks and impacts are fully assessed and management measures are in place prior to the implementation of the relevant project activities.</p>
18. List the frequency the risks will be monitored, and by whom. Explain how risks are monitored by the CO.	X		<p>The Project Manager (hired by the IP) is responsible for entry and monitoring of the risks. UNDP Environment and Climate Action Cluster Leader and Climate Change Specialist will provide oversight for the addressing of the risks.</p> <p>The risk register will be regularly updated by the Project Management Unit (each quarter) and reviewed by the UNDP CO, in its oversight role and also reviewed by UNDP’s 2nd tier oversight at the regional level (by RTA) and regularly monitored by the CO Solutions Team in the Regional Bureau for Europe and the CIS. At the same time, the UNDP CO will provide oversight to monitor and work with Government to ensure that risks are addressed semi-annually, in consultation with the implementing partner and relevant stakeholders.</p> <p>Risk mitigation measures will be put into place to manage these risks via regular meetings and calls and reported on through the annual Project Implementation Review (PIR). In addition, the management response to the mid-term review and the final evaluation will also capture how the IP has successful or not, managed risks associated with this project. The risk register will also be reflected in project progress reports and ATLAS and it will be updated on a regular basis.</p> <p>When issues are identified as being high, they will be flagged with the UNDP CO management and with the Regional Bureau for Europe and the CIS (RBEC) and, where required, with UNDP HQ in New York. Risks will be captured in UNDP’s PIMS+ risk dashboard and will be reviewed by BPPS’ Vertical Fund management team.</p>
19. Has risk assessment and management been done with identified mitigating measures documented in the Prodoc?			<p>In the Project Document, the section Risk Management (pp. 53-55) is consistent with the Article III of the SBAA <i>[or the Supplemental Provisions to the Project Document]</i>, the responsibility for the safety and security of the Implementing Partner (Ministry of Transport), and its personnel and property, and of UNDP’s property in the Implementing Partner’s custody, rests with the Implementing Partner. To this end, the Implementing Partner shall:</p>

			<ul style="list-style-type: none"> • put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried, • assume all risks and liabilities related to the Implementing Partner's security, and the full implementation of the security plan. <p>Social and environmental sustainability will be enhanced through application of the UNDP Social and Environmental Standards (http://www.undp.org/ses) and related Accountability Mechanism (http://www.undp.org/secu-srm). The Implementing Partner shall:</p> <ul style="list-style-type: none"> • conduct project and programme-related activities in a manner consistent with the UNDP Social and Environmental Standards; • implement any management or mitigation plan prepared for the project or programme to comply with such standards; • engage in a constructive and timely manner to address any concerns and complaints raised through the Accountability Mechanism. UNDP will seek to ensure that communities and other project stakeholders are informed of and have access to the Accountability Mechanism.
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Cofinance

20. Please indicate how the CO will monitor and report back on the realization of co-financing included in the UNDP GEF Project Document.			<p>The Project Management Unit established under Implementing Partner (Ministry of Transport) will provide data on the co-financing which will be verified by the UNDP CO, in its oversight role. The UNDP CO will set up an online reporting mechanism (available to UNDP Country Office, Implementing Partner and Project Management Unit via PIMS+) to track and record annually the realized level of co-financing.</p> <p>These figures will be presented/shared during the Project Board meetings, in PIR (annually), Mid-term and Terminal Evaluation reports. Independent verification of co-financing will be requested, and co-financing partners will be requested to provide letters that outline the amount of co-financing that has been realized to ensure that accurate co-financing figures are obtained and reported for the project in each PIR as well as during mid-term review and terminal evaluation of the project. Deviations from the agreed co-financing will be reported to GEFSEC via PIRs so that the Council is informed and has the opportunity to take steps, as necessary.</p> <p>BPPS will include compliance with monitoring of GEF co-financing to the project objectives at mid-point and project closure in the updated delegation of authority agreement. This will clarify that accurate monitoring and reporting of co-financing will be a key performance and will clarify the implications of non-compliance.</p>
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Time tracking

21. Please specify if you currently have a system in place to trace time dedicated to providing oversight of this project and separately execution support.			<p>The UNDP CO has a workload study approach for tracing time of staff/personnel at all CO positions.</p> <p>The UNDP CO has a time sheet approach for tracing time of staff/personnel providing oversight and execution support services, reported quarterly. This time sheet tracking approach complies to be deployed for this project for tracing time dedicated to providing oversight of this project and separately execution support.</p> <p>The Country Office staff annually reports in the Project Information Management System (PIMS+) system's Timesheet Module, which is designed to facilitate CO annual reporting to the GEF on the time over the past reporting period providing</p>
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		<p>support to GEF project-related services. These services are the quality assurance and oversight services involved with:</p> <ul style="list-style-type: none"> • <u>Oversight of project preparation</u>: Oversight of the project identification, preparation of the project concept; Oversight of the project preparation of the Project Document (if not covered by PPG); Oversight of project approval and start-up. • <u>Oversight of project implementation and supervision</u>: Supervision missions, learning missions and other visits by GEF officials; Support to Project Board; Preparation of GEF PIRs, Mid-term Reviews, Terminal Evaluations. <p>The CO's will soon be transitioning to a time tracking system for Vertical Fund projects that will be rolled out globally in 2021. This time tracing tool will be used to track oversight functions carried out by the CO as well as, for those specific individuals involved in execution support, the time that they spend providing assistance to the project team based out of the Implementing Partner.</p>
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The checklist is cleared by: Matilda Dimovska Matilda Dimovska, Resident Representative, UNDP in Uzbekistan
 03-Mar-2021
 Date: _____

The following checklist's sections have been reviewed and cleared by RBEC:

- Internal Control Framework (ICF): #1
- Country Office (CO) Capacities: #2, 3, 5
- Oversight and execution: #9
- Implementing Partner Capacities: #11, 12, 13
- Procurement: #15, 16
- Time tracking: #21

Signature: Agi Veres Agi Veres, Deputy Regional Director, RBEC
 03-Mar-2021
 Date: _____

The checklist is cleared by: Pradeep Kurukulasuriya Pradeep Kurukulasuriya, UNDP GEF Executive Coordinator
 03-Mar-2021
 Date: _____

Appendix 1

Execution Support Letter from GEF OFF



THE STATE COMMITTEE OF THE REPUBLIC OF UZBEKISTAN FOR ECOLOGY AND ENVIRONMENT PROTECTION

Tuytepa str., 2A, 100047 Tashkent, Uzbekistan. Tel.: (+99871) 207-11-03, Fax: (+99871) 236-02-32
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“24” 12 2020

№ 02-01/8-3382

Tashkent

To: Pradeep Kurukulasuriya,
UNDP-GEF Executive Coordinator
304 East 45th Street, 9th Floor
New York, NY 10017, USA

Subject: Letter of Support to request GEF Agency Execution for “Promoting green urban development in Tashkent through accelerating investments in low emission vehicles” (GEF ID 10282)

In my capacity as GEF Operational Focal Point for Uzbekistan, I hereby request UNDP, the GEF implementing agency for the aforementioned project, to also carry out execution services for the above project/program, on an exceptional basis.

The limited execution services to be provided by UNDP, as GEF agency, to the implementing partner (IP), Ministry of Transport (MoT), will be associated with UNDP Country Office programme and operation related general expenses for the capacity building as following:¹

- (i) hiring two staff of the project management unit (PMU): Admin and Financial Assistant and Driver;

The MoT and UNDP agrees that having the Admin and Finance Assistant position in UNDP will have certain advantages such as utilization of UNDP's ERP system Atlas which has established modules for project monitoring, risk management, travel etc. Additionally, it is a common approach to hire drivers with private cars to provide transport services to project teams in Uzbekistan, in order to ensure secure transportation between offices and project localities, transferring goods and assets and for other purposes. Based on the agreement with the MoT, it was decided to hire this post under UNDP contract due to the contractual effectiveness. (Further details can be found in the project document, budget note 30 of Total Budget and Work Plan (TBWP) section)

- (ii) providing capacity building trainings to PMU staff under MoT to successfully manage and implement the project (TAILEV) and other similar projects in the future;

This is agreed as in line with the HACT Micro assessment and PCAT findings that identified some capacity gaps in the implementing partner (MoT) and the responsible party (TBC) in terms of technical and operational issues concerning execution of UNDP and GEF financed projects. UNDP Country Office will provide training services to the implementing partner at the beginning of the project and also later during the project, as per the needs arise. Associate staff costs and general operating expenses are given in the budget notes 31 and 32 of Total Budget and Work Plan (TBWP) section of the project document. Some of the capacity building themes can include the following:

¹ UNDP will be tasked to improve the Implementing Partner (Ministry of Transport) and Responsible Party (Tashkent Public Transport Company) capacities as a transition to full NIM arrangement. Please see paragraph 72 of the project document for details.

- *Human resource and procurement services including development of quality TORs, request for quotations, hiring procedures and competitive tenders for the procurement of services;*
- *Results based project management and monitoring skills including preparation of annual work plans and budgets, budget revision procedures, development of procurement plans, preparation of Project Implementation Reports etc.*

The services envisaged above are in line with the Project and Program Cycle Guidelines Annex 8 (Table B) GEF Agency for eligible execution functions and **all costs associated with the UNDP support services will be covered by the funding of UNDP TRAC, not by GEF Sec.**

Having the full responsibility and accountability for the effective use of GEF and UNDP resources and the delivery of outputs, as set forth in the project document, the execution services to be provided by the Ministry of Transport of the Republic of Uzbekistan, as Implementing Partner, are expected to include:

- Project planning, coordination, management, monitoring, evaluation and reporting. This includes providing all required information and data necessary for timely, comprehensive and evidence-based project reporting, including results and financial data, as necessary. The Implementing Partner will strive to ensure project-level M&E is undertaken by national institutes and is aligned with national systems so that the data used and generated by the project supports national systems;
- Risk management as outlined in the project document;
- Procurement of goods and services, including human resources;
- Financial management, including overseeing financial expenditures against the project budgets;
- Approving and signing the multiyear workplan;
- Approving and signing the combined delivery report at the end of the year; and
- Signing the financial report or the funding authorization and certificate of expenditures.

Execution activities, including those provided by UNDP, as GEF agency, will be described in detail in the GEF CEO Endorsement/Approval request and accompanying project/program documents, including the project/program budget. **All costs associated with the UNDP support services will be covered by the funding of UNDP TRAC, not by GEF Sec.**

Sincerely,



Narzullo Oblomurodov



Jakhongir Talipov

GEF Operational Focal Point
Head of the Department
The State Committee for Ecology
and Environmental Protection
Republic of Uzbekistan

First Deputy Chairman
The State Committee for Ecology
and Environmental Protection
Republic of Uzbekistan

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UNITED NATIONS DEVELOPMENT PROGRAMME
 UZBEKISTAN



MINUTES

of Procurement Plan Validation Meeting
 of the UNDP project proposal for Global Environment Facility (GEF)
 “Tashkent - Accelerating Investments in Low Emission Vehicles (TAILEV)”
 (based on full NIM)

Date and time: January 8, 2021; 15:00-16:00

Venue: virtual, through zoom platform

Participants: UNDP Country Office represented by:

Procurement Unit and Environment: Azizbek Bustonov, Procurement Associate/Head of Unit, and
 Abror Rikhsiev, Procurement Associate

Environment and Climate Action Cluster (ECAC): Bakhadur Paluanliyazov, Cluster Leader, and Rano
 Baykhanova, Climate Change Specialist

Validation meeting agenda is enclosed in the Annex 1

COURSE OF THE PROJECT BOARD MEETING:

Ms. Rano Baykhanova, Climate Change Specialist, Climate Action Cluster (ECAC), UNDP CO briefly informed the Validation meeting participants on the new project document “Tashkent - Accelerating Investments in Low Emission Vehicles (TAILEV) submitted for GEF Secretariat consideration on 13 December 2020 by UNDP-GEF Unit.

Mr. Azizbek Bustonov, Procurement Associate/Head of Procurement Unit, UNDP CO after reviewing the project document (see Annex 2), the followings are revealed by the Procurement Unit:

- 13.1. states that UNDP will pay the partial amount of the contracts which TBC is concluded. Please note that this is not a procurement process since the supplier is identified by the implementing partner.
- 13.3 states exact model (Automated hardware and software complex "PAK-8816") which should be procured. As per procedure, we must include “equivalent” model as well in order to maintain best value for money. Considering the amount, one stage RFQ with the “lowest technically responsive bid” can be used.
- For Table 13.1 – evaluation of offers should be updated as per procedures (1st and last lines). Line 3 should be reviewed.

Having discussed the comments, the meeting participants were agreeable with them.

Mr. Bakhadur Paluanliyazov, Climate Action Cluster Leader proposed introduction of systemic approach to supporting the Implementing Partner (PIU) with the relevant capacity building for

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development of annual Work Plan and Budget and development a comprehensive Procurement Plan based on SOP that stipulate all required procedures and standards adopted internationally.

Mr. Bustonov, who is familiar with the IFIs procedures for procurement practices, proposes to consider a special addendum to the Project Document will be signed by the Implementing Partner and UNDP, which prescribes all required procedures and standards to be met as well as commitments and responsibilities of the Parties.

Ms. Baykhanova suggested to indicate in SOP that involvement of the Procurement Unit colleagues shall be secured during the whole Project Preparatory phase, which will ensure development of a quality Procurement Plan and its endorsement at the project Validation Workshop as an integrated part of the Project Document.

THE MEETING DECISION:

Validate the Procurement Plan, which is a part of the project document "Tashkent - Accelerating Investments in Low Emission Vehicles (TAILEV) submitted for GEF funding on 13 December 2020 with consideration of the UNDP CO Procurement Unit comments and proposal from the Programme Unit (Environment and Climate Action Cluster).

Approved by:
Ms. Doina Munteanu
Deputy Resident Representative
UNDP Uzbekistan

Doina Munteanu 13-Jan-2021

signature date

Cleared by:
Mr. Azizbek Bustonov
Head of Procurement Unit
UNDP Uzbekistan

Azizbek Bustonov 12-Jan-2021

signature date

Cleared by:
Mr. Bakhadur Paluanliyazov
Leader of Environment and Climate Action Cluster
UNDP Uzbekistan

Bakhadur Paluanliyazov 12-Jan-2021

signature date

Prepared by:
Ms. Rano Baykhanova
Climate Change Specialist
UNDP Uzbekistan

Rano Baykhanova 12-Jan-2021

signature date

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Annex 1

AGENDA
of Procurement Plan Validation Meeting
of the UNDP project proposal for Global Environment Facility (GEF)
“Tashkent - Accelerating Investments in Low Emission Vehicles (TAILEV)”
(based on full NIM)

Date and time: January 8, 2021; 15:00-16:00

Venue: virtual, through zoom platform

Expected Participants: UNDP Country Office represented by:

Procurement Unit and Environment: Azizbek Bustonov, Procurement Associate/Head of Unit, and
Abror Riksiev, Procurement Associate

Environment and Climate Action Cluster (ECAC): Bakhadur Paluanliyazov, Cluster Leader, and Rano
Baykhanova, Climate Change Specialist

Operations Manager: Shavkat Muminov

UNDP DRR: Doina Munteanu

1. Brief presentation of the project goal and outcomes by Rano Baykhanova
2. Procurement Plan (attached), Annex 13 in Project Document
3. Comments provided by Procurement Unit (attached)
4. Discussion and conclusion.

Annex 2: Procurement Plan in the Project Document

- 13-1. Main procurement for TAILEV is within Output 2.3 consisting of partial payment for the electric buses that will operate along the pilot GUTC. Options for the utilization of the US\$1.4 million allocated for this purpose are as follows:
- The Project can assist TBC with a project-set rule of no more than 20% of the capital purchase cost of an electric bus or charging station. The current range of prices for a 40-seat electric bus is between US\$300,000 and US\$550,000. Assuming 10 electric buses are required for the pilot GUTC, a total of US\$100,000 can be allocated towards each of the 10 buses assuming the price is higher than US\$500,000. If the less costly bus of US\$300,000 is chosen, TAILEV resources can support the buydown of more than 10 electric buses;
 - TAILEV resources can also assist TBC with the procurement and setup of fast charging infrastructure for electric buses. Assuming the pilot GUTC requires fast-charging station priced at US\$1 million, up to US\$200,000 can be used from TAILEV resources for each of these charging stations. If the preferred technology is a depot-based slow charging station (based on findings from the study of Output 2.1), more TAILEV funds would be available for buy-downs of additional equipment related to the pilot e-bus fleet;
 - The TBC tenders and payment schedules for the e-buses will be performance-based. The tender can specify partial payments by TBC for the initial deposit, and other performance milestones such as delivery and installation of equipment, initial operation of the equipment, and a final payment pending the achievement of specific performance parameters (such as charging times and range traveled on one charge);
 - The payment by the Project can be the last payment assuming the delivered e-buses and charging equipment comply with specific performance conditions of the tender.
 - The total investment cost provided by GEF will not exceed \$1,400,000. Also, the project will task third-party experts to ensure the proposed e-bus and charging station costs are in line with the current market values. Moreover, the level of subsidy up to 20% will be analysed on a case-by-case basis, based on a financial analysis performed by a third-party expert: The experts will guide the project team on determining the level of subsidy/additionality based on comparison of life-time costs of the conventional buses versus electric buses.
- 13-2. Technical assistance is required for air quality and emissions monitoring in which two organizations are involved and responsible for: Goscomecology and Uzhydromet (in particular for GHG emissions). Both are doing monitoring based on the approved methodology and reporting but lack monitoring equipment stations. The current state and methods of monitoring the air environment, as well as the availability of automated control systems for determining the level of air pollution in Uzbekistan have been considered jointly by Goscomecology and Uzhydromet (as both are responsible and implement this activity). According to the data received, there are no automated control systems in the country. Air sampling in Tashkent is carried out at stationary observation posts 3 times a day using the instrumental method.
- 13-3. Along or nearby the route chosen for demonstration of GUTC with electric buses (from South Railway Station to North Railway Station) Uzhydromet does not have such observation posts. Currently, Uzhydromet is negotiating with several companies to equip the existing monitoring posts with modern automated control systems and they have provided contacts of those companies. In relation to TAILEV, cost of several automated stations for measuring air quality along the selected route have been selected and the most realistic in terms of measurement of GHG emissions could be: Automated hardware and software complex "PAK-8816" with the installation of gas analyzers for determining the level in the air along the selected route: pollutants (CO, NOx, SO₂, hydrogen sulfide (H₂S) and solid particles - PM₁₀ and PM_{2.5}); greenhouse gas (CO₂). The cost of this complex is about US\$ 90,000 (that includes delivery, installation and training of staff).
- 13-4. Given the fact that the range / coverage of all stations for measuring air pollution ranges from 350 to 500 meters, it is proposed to purchase 3 sets (stations) of such systems for installation at major intersections of the chosen route (the intersection of the former Frunze Shopping Center, circle of the hotel "Grand Mir Hotel", the intersection of the metro station "Oybek").

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Table 13-1: Draft Procurement Plan for Year 1

Project Name	Project Number	Type of Supply	Description of goods, services or works	Available Budget (USD)	Estimated Total Price (USD)	Estimated Completion of Activity* (dd/mm/yyyy)	Responsible Staff	Regulation Does** Ready		Solicitation Process				Issue of TOR and PN					Evaluation of Offers
								Date (dd/mm/yyyy)	By	Local or International	Issue Date (dd/mm/yyyy)	Deadline for Receipt (dd/mm/yyyy)	Duration (Days)	Date (dd/mm/yyyy)	UNDP Web	UNOM	Local Paper	Int. Paper /Media	
TAILEV Project	6402	Individual Contractor	Formal and informal stakeholder consultations with affected residents in the area of the GUTC	10,000.00	10,000.00	2021-11-15	PM	2021-02-06	PM and Procurement Unit	Local	2021-03-06	2021-03-16	10	2021-03-06	Yes	No	No	No	Two Stage with Combined Weights
TAILEV Project	6402	Individual Contractor	Preparation of public terror awareness campaign	15,000.00	15,000.00	2021-08-06	PM	2021-02-16	PM and Procurement Unit	Local	2021-03-16	2021-03-26	10	2021-03-16	Yes	Yes	Yes	Yes	Two Stage with Combined Weights
TAILEV Project	6402	Goods	Partial buy-down of e-buses and charging equipment	1,400,000.00	1,400,000.00	2021-10-06	PM, EBS, PTS	2021-03-16	PM and Procurement Unit	International	2021-04-06	2021-05-06	30	2021-04-06	Yes	Yes	Yes	Yes	Two Stage with Combined Weights
TAILEV Project	6402	Individual Contractor	Comprehensive baseline survey as defined in Output 3.1	50,000.00	50,000.00	2021-06-01	PM	2021-03-06	PM and Procurement Unit	Local	2021-04-06	2021-05-06	10	2021-04-06	Yes	No	No	No	Two Stage with Combined Weights
TAILEV Project	6402	Goods	For hardware, gas analyzers and software complex "PAK-6810" under Output 3.2	90,000.00	90,000.00	2021-05-06	PM	2020-02-16	PM and Procurement Unit	Local	2021-03-16	2021-03-26	10	2021-03-16	No	No	Yes	No	Two Stage with Combined Weights