



INDIVIDUAL CONSULTANT PROCUREMENT NOTICE

AUDIT CONSULTANT

UN Women Audit Unit (UNWAU), Office of Audit and Investigations (OAI)

Date: 16 March 2017

Country: United States

Description of the assignment: Audit Consultants to assist the OAI UN Women Audit Unit in conducting an audit of Resource Mobilization in UN Women.

Period of assignment/services: 45 days from September 5 to November 3, 2017 plus one additional day, approximately 24 November, 2017.

Interested applicants should submit the required documents to UNDP job-site:

https://jobs-admin.undp.org/cj_view_job.cfm?job_id=71241

Proposals to be provided on or before 17:00 EST, 5 April, 2017.

1. BACKGROUND

The UNDP Office of Audit and Investigations (OAI) is responsible for provision of internal audit and investigations services to UNDP and its affiliated entities. The core mandate of OAI is to provide independent, objective assurance on the effectiveness of risk management and the effectiveness and adequacy of internal controls, and advisory services designed to add value and improve the operations of UNDP and its affiliated entities.

The UNDP Office of Audit and Investigations (OAI) provides the internal audit functions for the United Nations Entity for Gender Equality (UN Women) under a two-year service level agreement executed in December 2015. The internal audit role is carried out by a dedicated OAI unit, the UN Women Audit Unit (UNWAU, which is based in the UN Women Headquarters in New York, NY.

UNWAU has responsibility for the audit of UN Women headquarters and field offices, functions, programmes and operations. Audits are intended to support UN Women in accomplishing its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes. Audits of UN Women headquarters functions and field offices are carried out in accordance with the International Standards for the Professional Practice of Internal Auditing and the Code of Ethics established by the Institute of Internal Auditors. The Unit's annual work plans, are developed using

comprehensive risk assessments. The audit process generally includes three phases – planning, field execution, and reporting.

OAI UNWAWU needs to engage 2 auditors with experience in performance auditing, on an individual contract basis, to assist in the conduct of an audit of Resource Mobilization in UN Women.

2. SCOPE OF WORK, RESPONSIBILITIES AND DESCRIPTION OF THE PROPOSED ANALYTICAL WORK

Scope of Work:

To assess whether the Resource Mobilization function in UN Women is meeting the resource mobilization objectives, and stakeholder and user needs in an effective and efficient manner.

For the upcoming audit of the Resource Mobilization function in UN Women, the consultants will primarily be entrusted with one or more of the following audit areas, but might be tasked where necessary with any other audit areas identified during the audit planning process.

A. Governance

To assess whether:

- The organizational structure and the corresponding responsibilities, expectations, communication and reporting lines related to Resource Mobilization are clearly defined and communicated;
- A clear and complete strategy is in place and if so, is it supported by detailed plans to operationalize each outcome discussed in the strategy;
- Policies and processes are in place to ensure on-going monitoring, reporting and review of the implementation status of plans and to support appropriate and timely response to material deviations from plans;
- The information and analysis necessary to implement the plans exists, is it complete, regularly updated, relevant and readily accessible to the appropriate personnel;
- The tools, systems and processes exist to support implementation, monitoring and reporting in an effective and efficient manner, and if so are they consistently used;
- Adequate capacity exists at all levels and functions to support achievement of objectives, and adequate guidance and training are provided;
- Defined processes are in place to assess resource needs and establish priorities for the allocation of Core resources.

B. Donor Engagement

To assess whether the UN Women donor engagement structure supports coordinated, effective and efficient engagement with existing and potential partners/donors, for partnership development and maintenance and for protecting and increasing funding, while avoiding competition and providing adequate protection to UN Women.

- Are a clear structure and defined policies and protocols for internal and external communications in place, to ensure all communication with existing or potential partners/donors is consistent, coordinated and competing requests are avoided;
- Are processes in place for due diligence and on-going monitoring of partners/donors to ensure adequate protections for UN Women;
- Does a clear process exist for aligning the UN Women Strategic Note and staffing and work plans (FPI's, etc.) to analysis of resource mobilization potential by partner/donor (interest, contribution

potential and trends, and is it reviewed at the office, theme and aggregate corporate level for reasonableness and to inform approach;

- Do adequate systems and tools exist to support the gathering, analysis and sharing of current, complete and relevant donor intelligence, vertically and horizontally;
- Have user's partner/donor information needs been solicited, is the identified information consistently available and is it complete, accurate and regularly updated;
- Are the mechanisms in place to formally solicit, document, evaluate, timely respond to and incorporate feedback from partners/donors;

C. Contribution Management:

- Are the structure, systems, and processes in place to effectively and efficiently manage donor contributions;
- Are effective oversight and review processes and systems in place for all donor agreements, amendments and extensions to ensure document consistency, organizational ability to comply, that adequate due diligence has been performed and all corporate protections are included;
- Are the necessary systems, processes and oversight, to ensure compliance with all donor requirements including reporting and visibility requirements in place, and are they adequately monitored, consistently used, efficient and effective;
- Are systems and processes for the timely receipt and allocation of contribution installments in place, consistently used, efficient and effective;
- Are systems and processes for follow up on, and action related to expired contribution agreements in place and consistently working;
- Has analysis of the root causes for non-compliance or delayed compliance with donor/partner agreement requirements been performed and appropriate remedial measures formally implemented.

Consultant tasks:

Participate as a member of the audit team. The UNWAU requires the services of two audit consultants, to participate as members of the audit team, each consultant will be assigned specific tasks within the audit plan for the audit engagement. The main functions of the consultants engaged for the resource mobilization audit include:

- **Assist in the Planning, scoping and development of the audit program:** using identified best practices in resource mobilization and donor relationship management within and external to the UN system, audit reports relating to the resource mobilization function within UN system agencies; programme and financial information available in the ERP and other systems, and information solicited from the headquarters, or field offices (including the conduct of internal and external stakeholder interviews and/or surveys), to assess risk factors.
- **For assigned areas of Fieldwork:**
 - Conducting interviews, surveys and tests as necessary, in accordance with accepted auditing standards, to draw conclusions on the adequacy of internal controls, the operational effectiveness and efficiency, and the remedial action(s) that may be required to correct any identified deficiencies. In certain areas, in depth substantive testing may have to be undertaken.
 - Liaising with staff, personnel and stakeholders at all levels and various locations.
 - Document all work performed, the results and conclusions. Discuss findings with audit team lead prior to discussion and confirmation with the auditee. Upload all documentation to OAI's audit documentation repository SHAPE.
 - Document any best practices encountered in assigned areas.
 - Prepare draft exit meeting notes of audit issues, for review and clearance by the audit team lead, prior to discussion with management at the end of the audit fieldwork.
 - Participate in the Exit Meeting, presenting background, findings and recommendations for assigned audit areas.

- **Prepare and Finalize the working papers and draft audit report:** in accordance with standard UN Women Audit Unit operating procedures, taking into account and incorporating as appropriate, comments received from the auditee and/or management during the exit meeting.
 - Working papers need to be completed and submitted for review prior to finalization of the draft report and per the schedule communicated by the audit team leader.
- **Perform any other task** for the timely completion of the audit, as required.

Expected outputs:

Both audit consultants will provide the following outputs:

- Written inputs to the Audit Planning Memo;
- Complete set of work papers for each area assigned;
- Draft Exit Meeting Notes detailing the findings regarding the audit areas assigned;
- Participation in the Exit Meeting and presentation of any findings and recommendations for assigned audit areas;
- Draft report for management comments covering the audit sections assigned; and
- A final internal audit report.

Table 1: summarized deliverables and deadlines

Deliverables/ Outputs	Estimated Duration to Complete	Target Due Dates	Duty station	Work Location of consultants	Review and Approvals Required
1. Planning phase					
Inputs to the Audit Planning Memo	6 days	12 September 2017	UN Women Headquarters, New York	Work from consultants home	UNWAU, Team Lead
2. Field execution phase					
Complete set of work papers for each area assigned to the consultant(s)	1 day	26 October 2017	UN Women Headquarters, New York	UN Women Headquarters New York	UNWAU, Team Lead
Fieldwork	20 days	24 October 2017	UN Women Headquarters, New York	UN Women Headquarters New York	UNWAU, Team Lead
Fieldwork	10 days*	Estimated start 2 October	Field locations TBD	Field Location TBD	UNWAU, Team Lead
Draft Exit Meeting Notes	1 day	25 October 2017	UN Women Headquarters, New York	UN Women Headquarters New York	UNWAU, Team Lead
Exit Meeting	1 day	27 October 2017	UN Women Headquarters, New York	UN Women Headquarters New York	UNWAU, Team Lead
3. Reporting phase					
Draft Audit report sections	5 days	3 November 2017	UN Women Headquarters, New York	Work from consultants home	UNWAU, Team Lead

Support to address management comments to audit report, as needed.	1 day	Estimated 24 November 2017	Home based	Work from consultants home	UNWAU, Team Lead
Total working days for each consultant	45 days				

*As and when travel to field offices is required, UNWAU will notify consultants and agree upon reimbursable travel costs including ticket, lodging, terminal fees and expenses as per UNDP policy relating to Individual Consultants.

3. REQUIREMENTS FOR EXPERIENCE AND QUALIFICATIONS

I. Minimum eligibility requirements:

- Advanced university degree in accounting, audit, business administration, commerce or a related field; or a first level degree combined with a professional accounting, auditing or related designation (CA, CPA, CIA, CISA, CFE, ACCA).
- A minimum of 7 years professional experience in audit, including a minimum 3 years of performance audit; or a minimum of 3 years of performance auditing experience combined with experience directly relevant to the Resource Mobilization function, or to the audit or evaluation of Resource Mobilization.
- Knowledge of general management practices and techniques, including management principles, governance and accountability, risk management, use of technology, behavioral science, project management research and analysis, quality assurance, and human resources management.
- Fluency in English is required.

II. Qualification to be evaluated during CV review:

- Knowledge and experience related to resource mobilization and donor relationship management practices and techniques, will be an advantage.
- Experience with not-for-profit organizations, Non-Governmental Organizations (NGO) or experience within the United Nations system, is highly desirable.
- Computer skills and knowledge of ERP applications.
- Must be willing to travel internationally, which may include areas with hazardous working conditions.
- Fluency in French or Spanish is desirable.

III. Competencies to be assessed during interview:

Core Values & Ethics:

- Demonstrates integrity and fairness.
- Display cultural sensitivity.
- Shows strong corporate commitment.
- Complies with UN, rules, and code of conduct.
- Team player with ability to work under pressure and within set deadlines.

Task Management Skills:

- Produces timely, quality outputs.
- Exercises sound judgment/analysis.
- Ability to handle multiple tasks.

Communications:

- Writes clearly and convincingly.
- Speaks clearly and convincingly.
- Has good presentation skills.
- Listens actively and responds effectively.

Professional:

Demonstrates ability to perform in accordance with the International Standards for the Professional Practice of Internal Auditing and the Code of Ethics established by the Institute of Internal Auditors.

Technical Competencies:

Demonstrates ability to use and apply the following technical process applications, in order to improve the efficiency and effectiveness of OAI services:

- Microsoft office suite.
- Database applications.
- Enterprise Resource Planning systems.

4. DOCUMENTS TO BE INCLUDED WHEN APPLYING

Interested individual consultants must submit the following documents/information to demonstrate their qualifications:

1. Cover Letter - Explaining why you are applying for the position and highlighting any factors that are particularly relevant to your application;
2. Completed P11 form - including past relevant experience and contact details of 3 referees. A blank P11 is provided in Annex 4.
3. Financial proposal - indicating the proposed daily fee rate in US\$ and using the Financial Proposal form provided in Annex 3.

Interested applicants must submit the required documents to UNDP job-site:

https://jobs-admin.undp.org/cj_view_job.cfm?job_id=71241

Note: Please combine all above required documents into one (1) PDF file to upload into UNDP job-site above, as the system will accept only one upload.

5. FINANCIAL PROPOSAL

The Price Proposal should be fixed and "all-inclusive". This means that all costs (professional fees and other related costs such as cost for days working in New York, communication, insurance, etc., if any) are included in the daily fee. **The financial Proposal should NOT include travel-related cost to field offices.**

Payment Terms

The consultancy fee will be paid per working day.

Payment will be made upon:

- Submission of invoices and support documentation, specifying the number of working days worked and documentation to support pre-approved expenses.
- Certification of the Team Leader.

Travel

As and when travel for business purposes is required, OAI will notify the consultant and agree upon the reimbursable travel costs including tickets, lodging and terminal expenses as per UNDP Policy on Individual Consultants.

6. EVALUATION

Selection of applicants for awarding of contracts:

Individual consultants will be evaluated based on the Cumulative Analysis. Contract awards will be made to the 2 individual consultants whose offers have been evaluated and determined as:

- a) Responsive/compliant/acceptable, i.e. complete and met the minimum eligibility requirements, and
- b) Having received the highest score out of pre-determined set of weighted technical and financial criteria specific to the solicitation.

- Technical Criteria weight: 70%
 - Maximum top 5 candidates who obtained a minimum of 28 out of 40 CV points will be invited for interview.
 - Candidates who obtained a minimum of 49 out of 70 technical points (Max. 40 points for CV, Max. 40 points for interview) will be considered for the Financial Evaluation.
- Financial Criteria weight: 30%
 - The maximum number of points assigned to the financial proposal are allocated to the lowest price proposal. All other price proposals receive points in inverse proportion.

Maximum 2 offerors obtaining the highest cumulative score will be selected for contracting.

Evaluation Criteria	Weight	Max. Point
Technical	70%	70
Assessment of CV/TOR against requirement stated in TOR	40%	40
• Relevance of education requirements		10
• Number of year of professional audit experience		5
• Experience with performance audit and Resource Mobilization		10
• Experience and knowledge of general management practice		5
• Experience with NGO/UN agencies		5
• Computer skills (knowledge of Microsoft Office tools, databases application and ERP system)		5
Competency-based interview to measure competencies stated in TOR.	30%	30
Financial (lowest offer/offer*100)	30%	30 Points

Total Score	Technical score (max. 70) + financial (max.30)
-------------	--

ANNEX

ANNEX 1- TERMS OF REFERENCE (TOR)

ANNEX 2- INDIVIDUAL CONSULTANT GENERAL TERMS AND CONDITIONS

ANNEX 3- FINANCIAL PROPOSAL TEMPLATE

ANNEX 4- P11 FOR CONSULTANTS