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Terms of Reference Global Fund Analyst (Individual Consultant) – Investigations Section, OAI

BACKGROUND

The Office of Audit and Investigations (OAI) reports to the Administrator and is responsible for internal audit and investigations services to UNDP and its affiliated entities. OAI provides independent, objective assurance on the effectiveness of risk management and the effectiveness and adequacy of internal controls. OAI also responds to allegations of misconduct by conducting and reporting on investigations.

The Investigations Section of OAI is responsible for conducting investigations into allegations of misconduct, such as mismanagement, fraud, corruption, retaliation on whistleblowers, workplace harassment, abuse of authority, violation or willful disregard of UNDP regulations, rules, and administrative instructions, that involve UNDP staff, contractors and other applicable persons. The Investigations Section is also tasked with investigating allegations against parties external to the UNDP of financial irregularities committed to the detriment of UNDP. In addition, OAI undertakes proactive investigations in high risk areas that are susceptible to wrongdoings, fraud and corruption.

OAI conducts investigations in accordance with the Uniform Principles and Guidelines for Investigations, the UNDP Legal Framework for Addressing Non-Compliance with UN Standards of Conduct, and the OAI Investigation Guidelines.

The number of allegations received through OAI's reporting mechanisms fluctuates from month to month. OAI needs to engage analysts on contract from time to time when the number of cases requiring assessment and investigation are above staff capacity. For this purpose, OAI enlarges its pool of LTA and Roster holders who are suitably skilled and experienced analysts to call upon as required.

NATURE OF SERVICES AND SCOPE OF WORK

Under the supervision of the Investigations Advisor (GFATM), OAI, the Individual Consultant will undertake the following activities:

- Researches and analyzes:
 - Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) related cases across countries and regions and over different periods of time to identify patterns, trends and problem clusters.
 - Risks faced by the implementation of GFATM Grants, such as how the risks change over time, how cases are detected and how could they be identified more easily.
 - Reports, graphs and charts on GFATM related information, as part of OAI's risk mitigation and to advise Country Offices and Bureaux of red flags and raise awareness on fraud and corruption issues.
 - Information pertaining to investigations to aid in the planning of processes and deployment of investigations resources.
 - Information to identify similarities, patterns, trends and problem clusters across different countries and regions to assist in identifying lessons learned from reported cases.
- Assists in reporting to various internal and external stakeholders and partners on fraud related issues.
- Provides tactical intelligence support to the Investigations Advisor (GFATM), OAI, particularly on more complex cases.



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- Develops specialized and innovative research techniques, including data mining, forensic analysis and open source searches to identify elusive data sources, internally and externally.
- Prepares and analyses information to identify emerging trends and risks across the regions in order to strategize pro-active investigations.
- Maintains reference data and lessons learned from cases reported.
- Drafts and presents reports and statistics.
- Assist investigators on complex cases by conducting in-depth analysis (for example, on company structures and individuals) and preparing link charts using specialized software.
- Assists investigators with case assessments and investigations.
- Participates in investigations where required, including travel as necessary.
- Maintains contemporaneous records of all actions undertaken.

EXPECTED OUTPUTS

- Information analysis from internal and external data sources, social media and open source information and develops relevant new data sources.
- Reconstructed financial data and forensic accounting analysis.
- Contribute inputs to OAI's research reference library.
- Draft research and analysis reports of a high standard, providing an objective and factual summary of the data with soundly based conclusions and recommendations.
- Presentations on lessons learned to OAI and the Partnership with The Global Fund to Fight AIDS, Tuberculosis and Malaria, Bureau for Policy and Programme Support.
- Regular oral and written briefings to auditors, country offices and Bureaux with professional information based on lessons learned, research and analysis and fact-finding results, in order to mitigate risk.
- Draft memoranda, case assessments, investigations related documents, reports and management letters as necessary and under the direct supervision of the Investigations Advisor (GFATM), OAI.
- Written investigation-related documents such as assessment reports, closure notes, investigation plans, mission plans, vendor sanctions memos and investigation reports.
- Timeline and payment milestones will be determined in association with each task/deliverable.

COMPETENCIES

Communication: The individual consultant should be able to communicate effectively in writing to a varied and broad audience in a simple and concise manner.

Professionalism: The individual consultant should be capable of working in a high pressure environment with sharp and frequent deadlines, managing many tasks simultaneously; Able to handle a large volume of data and reports accurately and thoroughly, with great attention to detail; Exercise the highest level of responsibility and be able to handle confidential and politically sensitive issues in a responsible and mature manner.



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Teamwork: The individual consultant should work well in a team; Projects a positive image and is ready to take on a wide range of tasks; Focuses on results for the client; and welcomes constructive feedback.

Technical Skills: The individual consultant should be able to draft and edit documents in word and excel in English; French and/or Russian are an asset; Have excellent computer skills; Demonstrates a strong understanding of information security and confidentiality issues relevant to investigations.

Knowledge Management and Learning: The individual consultant should willingly share knowledge and experience and make contributions to UNDP practice areas (e.g., documented knowledge, community of practice building initiatives); actively develop substantive understanding and experience in one or more knowledge areas, including process and/or technical knowledge.

TRAVEL

The position may require the incumbent to travel to hardship locations where UNDP is a Principal Recipient of GFTAM funds. The Individual Consultant may be required to work from its premises in New York, USA.

INSTITUTIONAL ARRANGEMENT

The Investigations Advisor (GFATM), OAI, will facilitate access to all records and to all persons as necessary for the Individual Consultant to objectively review the case folders and related documents.

The Investigations Advisor (GFATM), OAI, will task the Individual Consultant. All work product produced by the Individual Consultant, as a result of this engagement, is owned by UNDP and shall be submitted to the Investigations Advisor (GFATM), OAI.

The Investigations Advisor (GFATM), OAI, will approve the Individual Consultant's official travel requirements.

QUALIFICATIONS

- Advanced university degree in audit, forensic audit, finance, actuarial science, intelligence research and data analysis, investigations, or risk management is required;
- Minimum of three (3) years of working experience of providing financial analysis, forensic audit and research services in an international organization is required;
- Working experience with GFATM grant implementation by a United Nations entity is highly desirable;
- Strong analytical and problem-solving skills in fraud and financial investigations is essential;
- Ability to use and apply the following technical process of aides, in order to improve the efficiency and effectiveness of OAI services:
 - Microsoft Office Suite
 - Social Media and Open Sources
 - Investigations software
 - Database applications



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- Forensic and Analysis tools

LANGUAGE SKILLS

- Fluency in oral and written English is required.
- Fluency in oral and written French is required.
- Working knowledge in Russian or Spanish is desirable.

DURATION

The contract analyst will be engaged on an 'as needed' basis. In other words, as and when OAI requires the services of one or more contract investigator/s, a selection will be made from the roster, according to investigation skills, language abilities and value for money of the contract analysts on LTA (different investigations may require certain languages or specific investigation skills).

PAYMENT TERMS

The consultancy fee will be paid per working day. Payment will be made upon submission of invoice and approval of deliverables by OAI. Invoice to be submitted shall contain dates, document information and deliverables on each approved case. All prices shall be quoted in United States Dollars (US\$).

FINANCIAL PROPOSAL

All interested individual consultants are requested to submit an itemized Price Proposal. The Price Proposal should be fixed and 'all-inclusive'. This means that all costs (professional fees and other related costs, if any) that could possibly be incurred by the individual consultants are factored into the final fixed price.

SUBMISSION DATE

Proposals are to be submitted by 12am on 15 February, 2017 (Eastern Standard Time, USA).

Evaluation method:

Individual consultants will be evaluated based on the following methodologies:

1. *Assessment of applicants:*

Technical evaluation (70% weight):

Step 1 – CV scoring



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The P11 will be evaluated against requirements specified in the TOR. Those applicants who meet the requirements will be long-listed and be invited to take written test on issues relating to investigations areas as described in the qualifications for this position.

Step 2 – Written Test

Those applicants who meet the threshold of written test results will be invited to interview. The written test aims to test the writing skills and investigations, forensic audit and finance knowledge of the applicants.

Step 3 – Interview

The short-listed applicants will be interviewed by the panel. The interview aims to test the competencies required for the position.

Financial criteria weight: 30%

The maximum number of points assigned to the financial proposal is allocated to the lowest price proposal. All other price proposals receive points in inverse proportion

2. Selection of applicants for Long Term Agreement and Roster:

Based on the result of assessment, OAI will award Long Term Agreement for maximum three (3) candidates. Other qualified candidates will be included into OAI Investigations Consultant Roster.

3. Selection of Individual Consultant for specific investigations cases:

The Individual Consultant will be engaged on an 'as needed' basis. In other words, as and when OAI requires the services of one or more contract analyst/s, a selection will be made from LTA pool and/or the roster, according to:

- the required skills, language abilities; and
- value for money of the contract analyst. This is based on the proposed daily rate of the applicants.

The selected consultant will be awarded an Individual Contract (IC) with specific TOR on investigations cases and duration.

Recommended Presentation of Proposal

Interested individual consultants **MUST** submit the following documents/information in his/her application:

1. **Cover Letter** - Explaining why you are applying for the position and highlighting any factors that are particularly relevant to your application;
2. **Completed and signed P11** - form including past relevant experience and contact details of 3 referees. A blank P11 form can be download from the attached document; and



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3. **Financial proposal** - indicating the proposed daily fee rate in United States Dollars [US\$].

Approved by:

Brett Simpson,
Deputy Director, Head of Investigations, OAI

26 January 2017